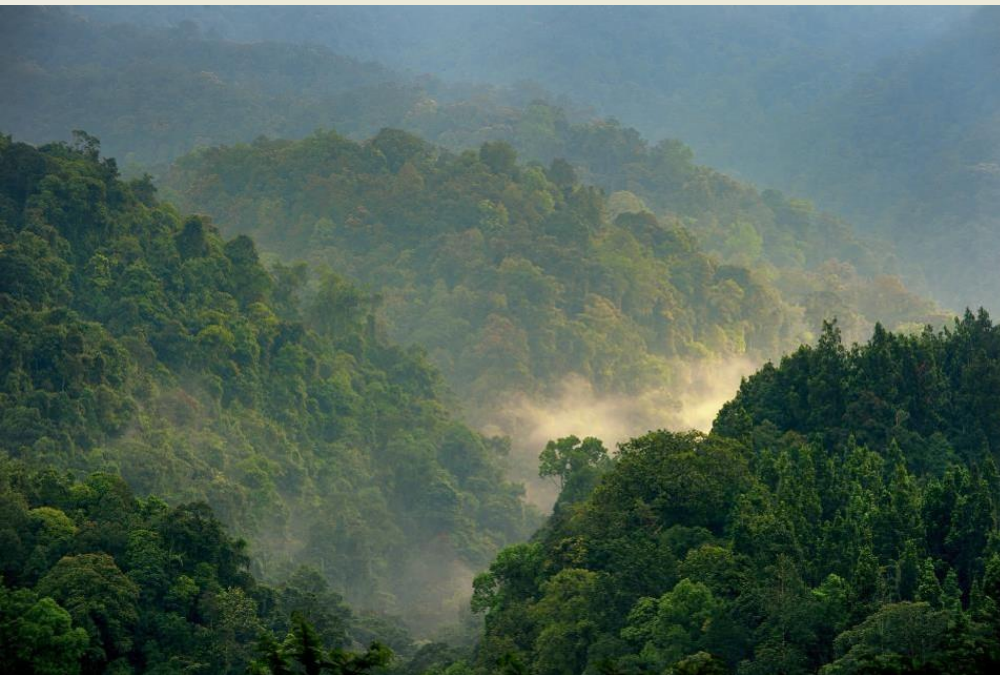


NOVEMBER 2020

# ASEAN-Swiss Partnership on Social Forestry & Climate Change (ASFCC): Final Evaluation Summary

By Patrick Durst & Rowena Soriaga



*Photo credit: CIFOR*

## ACKNOWLEDGMENTS

### ASFCC Partners

AWG-SF Secretariat (Alfi Syakila),  
ASEC (esp. Dian Sukmajaya),  
ASEAN Member States, RECOFTC,  
NTFP-EP, CIFOR, ICRAF, SEARCA,  
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(Annexes 6 & 8)

### Swiss Government

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(D. Lauchenauer); FOEN (K.  
Anderson)

### ASEAN Development Partners

esp. GIZ, NORAD, SIDA, JAIF,  
AFoCo, APFNet, FAO-RAP,  
UNREDD (Annex 8)

## Retrospective Perspective

Evaluators' views on program  
relevance, effectiveness and impact,  
and sustainability

**RELEVANCE:** Overall, the work of ASFCC was highly relevant to the global ambitions of SDC, the established thrusts of ASEAN, and the development priorities of ASEAN Member States (AMS). Social forestry provided an effective framework for addressing a wide range of issues important to local people, while simultaneously delivering global benefits related to climate change, biodiversity, and conflict management. (Section 1; Annexes 11-12)

**EFFECTIVENESS & IMPACT:** ASFCC touched the lives of over 2600 people through exchanges & dialogues, and trained over 500 officials and staff. ASFCC primary partners became increasingly collaborative as the program went along, resulting in many positive synergies. ASFCC contributed to changing mindsets about the potential for social forestry to address a wide range of issues. The area managed under social forestry arrangements in ASEAN doubled over the past decade, from 6.7 million to 13.9 million hectares. (Section 2; Annexes 13-16)

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*"It is unusual that we do not have a formal document signed by ASEAN and Switzerland. We do not have the document of partnership actually. Normally, we have an MOU endorsed by all AMS."*

*Although there is no such document, we still delivered cooperation ... we were able to maintain the partnership quite well."*

- Senior ASEAN official

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**Impacts:** Building on the regional frameworks for action in social forestry, ASFCC helped facilitate key policy and legislative reforms in eight countries (Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand and Vietnam). These reforms were supported by targeted studies funded through the ASEAN Strategic Response Fund (ASRF) and multi-stakeholder processes in several AMS.

**Partnerships:** Primary partner organizations engaged formally brought comparative advantages relevant for supporting social forestry development. More than 90% of survey respondents felt ASFCC had been "much" or "highly" effective in establishing, facilitating partnerships at the regional level. Through ASFCC, partner organizations and their local counterparts achieved new levels of access and engagement with ASEAN bodies and Member States.

**Unplanned outcomes:** ASFCC's open and transparent style of operations led other ASEAN bodies to slowly adopt some of the progressive modalities that ASFCC pioneered. In implementing ASFCC, Switzerland has become synonymous with social forestry in Asia, garnering SDC added credibility beyond the size of its development portfolio. ASFCC brought different units together within the Swiss administration, leading to a more effective "whole-of-government" approach. ASFCC served as an eye-opener for many with respect to the potential of long-term programme commitment.

Some **enabling factors:** (i) close linkages established with ASEAN bodies and processes; (ii) skillful program coordination; (iii) effective mechanisms to engage civil society; (iv) the long 10-year commitment of SDC to the programme; (v) positive mix of partners; and 6) solid grounding of policy initiatives with real-world experience.

Key **hindering factors:** (i) slow application of policies in many Member States; (ii) lack of a comprehensive monitoring, evaluation and learning system; (iii) frequent turn-over of AWG-SF focal points; and (iv) resource limits.

**SUSTAINABILITY:** More than three-fourths of survey respondents expect that five years from now the ASEAN Working Group on Social Forestry will be operating in a robust manner or at least at a modest level of sustained activity. In September 2020, the Working Group was finalizing its Plan of Action to 2025. Social forestry is now firmly institutionalized in most AMS and within ASEAN bodies, with a solid cadre of trained social forestry "champions" throughout the region. ASEAN Member States are committed to advancing social forestry and most have established targets for expanding social forestry significantly in the next decade. (Section 3; Table 9)



Photo Credit: RECOFTC

## 10 Lessons from 10 years

### ASFCC's Takeaways

1. Social forestry development is a complex process requiring sustained commitment, as gains from social forestry are fragile.
2. Immediate local needs must be prioritized on the path toward global objectives.
3. Accurate and consistent data/information on social forestry is critical for effective policy making and planning – a aspect still needing improvement in the region.
4. Working through formal ASEAN mechanisms requires considerable time and effort, but the added gravity assigned to ASEAN decisions and commitments is worth the effort.
5. The ASEAN approach of AMS joint decision-making and regular reporting on progress encourages through example, facilitates sharing, and generates peer pressure to achieve agreed actions.
6. Policy advice, grounded by practical field implementation experience, is perceived as more credible and implementable.
7. Social forestry is a multi-faceted endeavor that requires clear and convincing communications on many levels (from high-level policy makers to farm-level villagers and the general public).
8. Comparative advantages of supporting partners are a powerful asset in programme delivery, but careful selection and coordination are essential
9. Multi-stakeholder dialogue is crucial in social forestry implementation.
10. A wide range of knowledge and expertise is required for social forestry – especially to move successfully to management of landscapes.

## Considerations for the Future



Photo Credit: RECOFTC

**THEMATIC PRIORITIES:** Survey results show high priority given to future work in sustainable forest management (75%), social forestry (58%), poverty reduction & rural development (33%), and adaptation to climate change (33%). Beyond the inherent bias of AMS survey respondents toward forestry and natural resources management, even NGO & development partners advocating for global environmental priorities exhibit strong predisposition towards delivering local benefits (Section 5).

**ASEAN:** Despite its recognized bureaucracy and formality, ASEAN clearly provides useful forums for policy discussion and development of formal action plans that provide the basis for exchange, peer pressure and catalytic encouragement of action among Member States (Table 10; Box 3).

**DONOR MAPPING:** The ASEAN portfolio of projects in agriculture, climate change, biodiversity and environment is currently about US\$121 million, three-fourths of which is funded by Germany and the EU (Annex 18). This portfolio is complemented by numerous bilateral initiatives informally engaging ASEAN. Based on review of 16 development partners (8 bilateral and 8 multilateral, Annex 19), notable key points include:

- Norway and Germany both give very high priority to climate change action; Japan, Korea, and China less explicitly (Table 11).
- Germany has huge direct staff engagement, while Norway and Sweden tend to work more through “proxy” organizations.
- Some programmes (like UN-REDD) have a significant presence in the region, but engage only peripherally with ASEAN (Annex 19).

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*"The experiences of ASEAN Member States in addressing the COVID-19 pandemic have demonstrated the benefits and feasibility of working better across sectors."*

*COVID-19 being not only a health problem – but also a livelihood problem, an economic problem, an environmental problem – has meant countries have learned to appreciate and more successfully apply 'whole-of-government' approaches.*

*The lessons from this will hopefully carry over to future cross-sectoral efforts, such as landscape management."*

*- Senior AMS official*

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**OPTIONS:** Recognizing that many factors influence future SDC engagement with ASEAN, but based on investigations and consultations with key informants, following are three options areas for consideration (not mutually exclusive):

1. Stay the course: Interim measures to consolidate gains and maintain ASEAN relations
2. Least-demanding approaches (financially, technically, administratively), e.g. making a financial contribution to an existing initiative; providing requested support for a simple discreet initiative; supporting a climate initiative in another sector; or pioneering work in an emerging sector
3. Greater ambition for greater impact: Build a "big tent" of collaboration in supporting ASEAN and Member States move beyond sector silos by taking landscape management to scale, building on the coherence of Swiss support in ASEAN

#### **RECOMMENDATIONS:**

It is important for SDC to support the "stay the course" option as a first priority (preferably in conjunction with one or more of the other options). So as not to lose the momentum and gains that ASFCC achieved, SDC is encouraged to immediately take measures to maintain the strong relationships established with ASEAN by providing interim support to the Secretariat of the ASEAN Working Group on Social Forestry, until such time as a new programme is confirmed.

At the same time, SDC is urged to be bold and ambitious by developing a new programme of support for strengthening and upscaling landscape management in the region. Such support would represent a natural course of collaboration that builds on past Swiss experience and relationships with ASEAN, in particular the groundwork provided by the *Multi-Sectoral Framework on Climate Change*, which was developed in part with support from ASFCC precisely to facilitate such cross-sectoral approaches within ASEAN.

Working with ASEAN and AMS to advance practical implementation of landscape management approaches would undoubtedly benefit the people of Southeast Asia, but the impacts could reach much farther in terms of global environmental benefits and valuable knowledge gained. Considering that many individuals and organizations around the world are currently struggling to develop effective landscape management approaches, SDC contributions in this emerging area of development would represent a contribution of major global significance. ☞

# **Final Evaluation of the ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC)**

## **FINAL REPORT**

### **PROJECT SUMMARY**

DONOR	Swiss Agency for Development and Co-operation (SDC)
REPORT TITLE	Final Evaluation of the ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC)
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SECTOR	Social Forestry, Climate Change Adaptation and Mitigation
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COLLATION	219 pages (Main Report = 61 pp; 21 Annexes = 158 pp.) + 4 pages (Executive Summary)
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STATUS	Completed, with SDC response
AUTHORS	Patrick Durst and Rowena Soriaga

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# CONTENTS

CONTENTS.....	2
ANNEXES .....	4
INTRODUCTION .....	5
BACKGROUND .....	6
Project Context.....	6
Stakeholder Analysis.....	7
Review of Program Design .....	7
EVALUATION FRAMEWORK .....	9
KEY FINDINGS.....	10
1. RELEVANCE.....	10
Relevance to GPCCE mission and objectives.....	10
Relevance to thrusts of ASEAN and Member States .....	10
Relevance to context in target areas .....	12
2. EFFECTIVENESS AND IMPACT .....	15
Target vs. Actual .....	15
Outcome 1.....	18
Outcome 2.....	19
Outcome 3.....	21
Outcome 4.....	22
Unplanned Outcomes and Effects .....	24
Reach .....	25
Partnerships .....	28
Impacts.....	30
Facilitating and Hindering Factors affecting achievement of outcomes .....	32
3. SUSTAINABILITY .....	34
4. LESSONS .....	37
5. CONSIDERATIONS FOR FUTURE ENGAGEMENT WITH ASEAN .....	39
Priorities for Future Action.....	39
Partnership Opportunities with ASEAN .....	41
Current and Planned Donor Initiatives .....	44
Tangible Options for Future Engagement with ASEAN.....	48
RECOMMENDATIONS .....	59
ACKNOWLEDGEMENT BY THE SDC.....	61

## **TABLES**

[Table 1: ASFCC Phases](#)

[Table 2: Evaluation Criteria and Assessment Methods](#)

[Table 3: GPCCE Framework Strategy 2017-2020 vs. ASFCC Logical Framework 2017-2020](#)

[Table 4: Basic Information on Climate Change in ASEAN Member States, 2014](#)

[Table 5: Basic Information on Social Forestry in ASEAN Member States, 2010/2020](#)

[Table 6: Key Target Outputs vs. Accomplishments](#)

[Table 7: Capacities Built](#)

[Table 8: Measures of Improvement in Forest Management](#)

[Table 9: Local bodies](#)

[Table 10: ASEAN Member States Commitments to Rio Conventions](#)

[Table 11: Climate Change and/or Environment Programmes of Selected ASEAN Partners](#)

[Table 12: Nationally Determined Contributions of ASEAN Member States](#)

## **FIGURES**

[Figure 1: Reconstructed Theory of Change](#)

[Figure 2: ASFCC Impact Pathway Map](#)

[Figure 3: Network Diagram](#)

[Figure 4: AFCC Coordination Structure](#)

[Figure 5: MSFCC Strategic Thrusts](#)

[Figure 6: Swiss development support in ASEAN](#)

## **BOXES**

[Box 1: Changes in practice and policy](#)

[Box 2: Case Studies on Socio-Economic Benefits](#)

[Box 3: ASEAN Strategy Documents most relevant to Land Use](#)

[Box 4: Suggested principles for moving forward](#)

[Box 5: Landscape Approach and Integrated Landscape Management](#)

## ANNEXES

Annex 1 – Logical Frameworks: Comparative Assessment across Phases

Annex 2 – List of Documents Reviewed

Annex 3 – Self-Assessment Survey Form for Countries

Annex 4 – Self-Assessment Survey Form for Partners & Coordinators

[Annex 5 – Self-Assessment Survey Consolidated Results](#)

Annex 6 - List of Survey Respondents

Annex 7 – Guide Questions for online interviews and FGDs

Annex 8 - List of Persons Interviewed

Annex 9 – Evaluation Matrix (refined)

Annex 10 - Evaluation Schedule and Tasking (covid19-revised)

Annex 11 – GPCCE and ASFCC: Comparative Assessment of Indicators

Annex 12 – Status of Evaluation Recommendations, Phase 1 & 2

Annex 13 – Phase III Work Plan Target vs. Actual Activities

Annex 14 – Phase III Work Plan vs. Target Outputs

Annex 15 – ASRF Grants, 2014-2020

Annex 16 – ASFCC Impact Pathway Map with web links to sample activities/outputs

Annex 17 – Structure of ASEAN Cooperation in Food, Agriculture and Forestry

Annex 18 – ASEAN Donor Mapping Matrix

Annex 19 – Swiss Scoping of Land Use Development Actors in ASEAN

Annex 20 – AMS Nationally Determined Contributions (NDCs) for Agriculture and Food Systems

Annex 21 - Abbreviations

## INTRODUCTION

This document presents the inception report for the Final Evaluation of the ASEAN-Swiss Partnership on Social Forestry and Climate Change (hereafter called ASFCC). The main purpose of this summative evaluation is to assess the achievements of ASFCC in the context of the Association of Southeast Asian Nations (ASEAN), with focus on post-programme sustainability of outcomes and of the established approach (retrospective). The evaluation also has a formative purpose in that it shall identify entry points and options for a future engagement in the fields of climate change and environment (forward-looking).

This inception report focuses mainly on retrospective assessment of the ASFCC. Work of the evaluation team to assess opportunities for future engagement of the Swiss Agency for Development and Cooperation (SDC) in the region will be concentrated following submission of the inception report and documented fully in the final evaluation report.

The main goal of ASFCC is to contribute to food security through sustainable, efficient and effective use of land, forest, water and aquatic resources by minimizing the risks and impacts of, and the contributions to climate change. It has had two specific objectives:

- 1) Social Forestry approaches integrated into the climate change adaptation and mitigation strategies of ASEAN and its member states; and
- 2) Socio-economic benefits derived from the inclusion of communities, women and vulnerable groups in forestry and climate change adaptation and mitigation measures.

The Global Programme Climate Change and Environment (GPCCE) of SDC supported three phases of ASFCC implementation over 11 years (2011-2020). The work under ASFCC was largely implemented through a series of direct mandates with five ASEAN-based institutions and knowledge providers collaborating with the ASEAN secretariat through the ASEAN Working Group of Social Forestry (AWG-SF) Secretariat and ASEAN Member States (AMS), coordinated by a regional advisor. Two prior evaluations were conducted covering Phase 1 (2013) and Phase II (2016).

ASFCC was implemented with a one-year entry phase and three subsequent phases, covering the following implementation periods. Cumulative duration is 116 months, or almost 10 years.

**Table 1: ASFCC Phases**

Phase	Implementation Period	Months	Budget (CHF millions)
Entry	1 Apr 2010 – 31 Mar 2011	12	0.735
1	1 May 2011 - 31 Dec 2013	32	4.215
2	1 Jan 2014 - 31 Dec 2016	36	5.600
3	1 Mar 2017 - 29 Feb 2020	36	4.500
Total			15.05

*Source: Credit Proposals*

*Note: Estimated budget for duration of whole intervention is CHF 14.95M*

## BACKGROUND

### Project Context

Considerable progress has been achieved in advancing social forestry in AMS over the past decade. In 2010, there were few policies or laws related to social forestry in AMS,<sup>1</sup> but by 2020 important new social forestry legislation had been passed, or was about to be passed, in six AMS. The new laws are increasingly backed with progressive policies, guidelines and instructions.

In 2010, few countries had institutions within ministries dedicated to social forestry. By 2020, Indonesia, Lao PDR, Malaysia, Myanmar, and Vietnam had significantly restructured their institutions to support social forestry (joining Cambodia, Philippines and Thailand with similar existing entities), with clear mandates, roles and budgets.

At the start of 2010, there were no functioning multi-stakeholder social forestry working groups or national-level working groups. By 2020, five AMS (Cambodia, Lao PDR, Myanmar, Philippines, Vietnam) had established multi-stakeholder national working groups on social forestry, community forestry or village forestry. These entities provide valuable mechanisms for communities and vulnerable groups to communicate with policy makers and to work constructively to address needs and challenges.

In 2010, only 6.7 million hectares of forests were managed by local communities under social forestry practices. By 2020, that figure had more than doubled to 13.8 million hectares. If realized, additional commitments of AMS will bring this total to at least 30 million hectares by 2030. While these numbers are smaller than many people would aspire to, they represent very significant advances.

Social forestry has now been firmly institutionalized within the formal ASEAN bodies with the establishment of the ASEAN Working Group on Social Forestry (AWG-SF) and important linkages have been made with related ASEAN entities. Social forestry is now clearly “on the agenda” and part of the regular programme of work of ASEAN.

The contributions of social forestry approaches toward meeting climate change mitigation and adaptation objectives are now firmly recognized by many – albeit not all – key decision makers in the region. Increasingly, policy makers acknowledge the important roles that social forestry can play in meeting climate change and rural development objectives.

To what extent is ASFCC responsible for these achievements? Would these advances have occurred in the absence of ASFCC? Would they have happened as quickly? While attribution is difficult to prove, and the ultimate credit for accomplishments lies with AMS themselves, ASFCC has undoubtedly contributed significantly to these achievements. It is the aim of this evaluation to help identify the contributions that ASFCC has made in supporting these developments and how future work can continue to advance progress.

The scope of the evaluation includes assessment of the:

- significance of the Swiss contribution to the advancement of social forestry and climate change within ASEAN, and any other contributions beyond these areas;
- country and local level effects and impacts of ASFCC;
- transformative changes that ASFCC induced through the network of implementing partners; and options for a new SDC engagement based on the above and on a screening of the ASEAN as an institution.

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<sup>1</sup> The main AMS exception being the Philippines, which had passed innovative social forestry legislation much earlier.

## Stakeholder Analysis

The Credit Proposal for Phase III includes a clear stakeholder analysis, which provides a good overview of the organizational set up for ASFCC, including the anticipated roles of each implementing partner organization and the institutional linkages with other ASEAN bodies. The program arrangements changed slightly between Phase II and Phase III in response to two important changes in the operational context: (i) positive transformation of the program's coordination mechanism from being a Network to a Working Group, thus making it more embedded in the ASEAN structure; and (ii) restructuring of ASEAN offices starting in 2010 in line with the three ASEAN "Pillars" of cooperation.

The final evaluation methodology considers the different levels in which ASFCC operated (regional, national, local) and thus gives specific attention to: (i) perceptions of key stakeholders on the program's effectiveness and impacts in relation to these levels; (ii) the nature and effectiveness of regional collaborative actions in support of national and local actors; and, (iii) the effects on the final beneficiaries on the ground, i.e. poor people living in and around forests in AMS.

## Review of Program Design

Design of the program was embodied in the Logical Framework, which did not significantly change across the three phases (Annex 1).

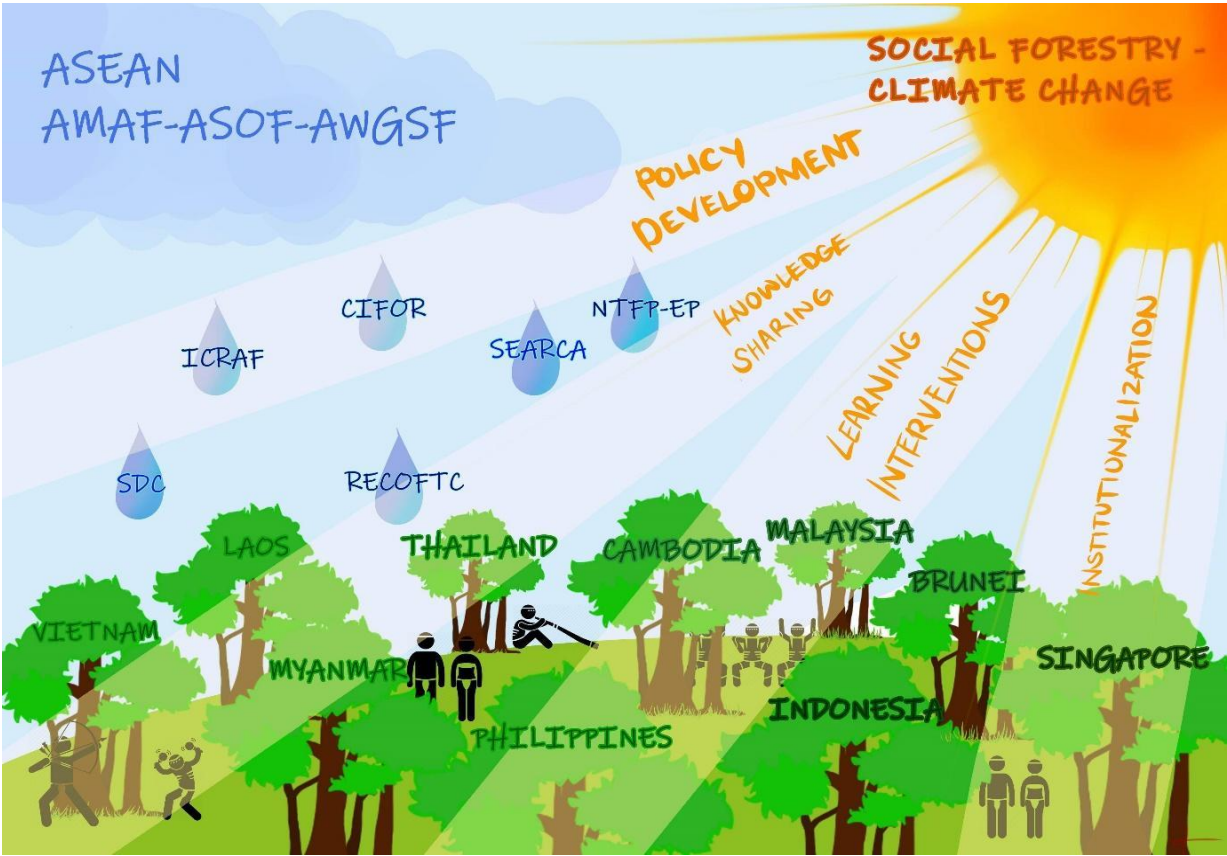
There was no explicit Theory of Change identified in the credit agreements for Phases I to III. However, the GPCCE Strategic Framework 2017-2020, to which ASFCC contributes, provided impact hypothesis statements for each component. ASFCC was most clearly linked to the GPCCE impact hypothesis for Component 3 on Climate Resilient Development and Sustainable Resource Management (see p.25 of the GPCCE Strategic Framework 2017-2020): *"By providing expertise and support to initiatives in climate risk and natural resource management, institutions and people understand their climate related risks and are able to develop adaptation measures. These measures are supported by the promotion of sustainable management practices for water, forest and ecosystems that take into account climate impacts and ensure the stability of key functions of natural resource and livelihood systems, making communities more resilient to the impacts of climate change."*

The logical framework for the third phase of ASFCC included 2 objectives, 4 outcomes, 10 outputs, and 33 indicators. Although there was no Theory of Change presented at the stage of project development, the evaluation team found most necessary elements in project documents to reconstruct a ToC that implicitly underlaid the program (Figure 1).

The ASFCC Logical Framework prioritized engagement with AMS through the ASEAN structure of working groups, sector leaders' mechanisms, and senior political bodies. The premise was that influencing the natural resources management decisions and actions of such formal ASEAN bodies would provide greater access to AMS policy makers, add gravity to the guidance and agreements developed by ASEAN, and provide effective platforms for learning and knowledge exchange.

Overall strengths of project design are the background and situation analysis, stakeholder analysis, and implementation arrangements. *The Role of Social Forestry in Climate Change Mitigation and Adaptation in the ASEAN Region*, a regional situational analysis prepared in 2010 by the Center for People and Forests (RECOFTC), established the project's baseline context and affirmed the relevance of the program to needs in the region. The participatory process for project formulation and implementation led to the engagement and collaboration of five well-connected partner organizations in implementing the program. Section 2 provides further assessment of Partnerships.

Figure 1: Reconstructed Theory of Change



## EVALUATION FRAMEWORK

This evaluation report contains findings from:

- inception meetings on the sidelines of the ASFCC Knowledge Sharing and Closing Event, 25-26 February 2020, in Jakarta, Indonesia
- review of over 350 documents from programme implementers and online research (Annex 2)
- self-assessment survey with 46 respondents from ASEAN Member States (12) and Partner Organizations (34) (Annexes 3 - 6)
- online interviews and focus group discussions (47) (Annex 7 - 8)

The draft Evaluation Matrix submitted initially was used as the basis to design questionnaires for the surveys and interviews; the Evaluation Matrix was then further refined based on the initial application of the methodologies for data collection and analyses. Table 2 presents a summary of evaluation dimensions and assessment methods, detailed further in the refined Evaluation Matrix in Annex 9 that contains the evaluation questions, data sources, data collection methods/tools and indicators/success standards. Annex 10 shows the evaluation schedule and tasking, revised in consideration of COVID-19.

**Table 2: Evaluation Criteria and Assessment Methods**

Criteria	Evaluation Dimensions	Assessment Methods
Relevance	<ul style="list-style-type: none"> <li>• Relevance of ASFCC to GPCCE mission and objectives</li> <li>• Relevance of ASFCC to thrusts of ASEAN and AMS</li> <li>• Relevance of ASFCC to context in target areas</li> </ul>	<ul style="list-style-type: none"> <li>• Comparative analysis of Logical Framework indicators</li> <li>• Analysis in relation to different contexts of ASEAN Member States</li> </ul>
Effectiveness & Impact	<ul style="list-style-type: none"> <li>• Target vs. Actual</li> <li>• Outcomes, planned &amp; unplanned</li> <li>• Reach</li> <li>• Partnerships</li> <li>• Value Addition</li> </ul>	<ul style="list-style-type: none"> <li>• Impact Pathway Mapping</li> <li>• Tracing gender dimensions</li> <li>• Network Diagram</li> <li>• Process tracing</li> <li>• Most significant change stories</li> </ul>
Sustainability & Future Workstream	<ul style="list-style-type: none"> <li>• Self-sustaining structures</li> <li>• Factors enabling / hindering sustainability</li> <li>• Replicability/scaleup potential</li> <li>• Coherence</li> </ul>	<ul style="list-style-type: none"> <li>• Institutional sustainability assessment</li> <li>• Qualitative assessment</li> <li>• Transversal links &amp; synergies</li> </ul>

It may be appreciated that the evaluation approach encountered the following limitations:

- COVID-19 constraints on travel (precluding opportunities to validate at field levels or in partner settings)
- weakness of online discussions versus face-to-face (internet connections sketchy for some)
- potential bias of respondents to survey and of key informants closely linked to the programme
- lesser response and representation from AMS informants as compared to representatives from partner organizations due to limited online infrastructure, language challenges, and scheduling conflicts

## KEY FINDINGS

Retrospective findings (Sections 1 to 3) fall under three general criteria for evaluation: (i) relevance; (ii) effectiveness and impact; (iii) sustainability. Under each criterion, findings are grouped according to dimensions following the refined evaluation matrix.

A section on Lessons Learned (Section 4) establishes a foundation that helps inform this evaluation's forward-looking aspects.

Formative findings (Section 5) include the following elements for SDC consideration in its future engagement with ASEAN: (i) priorities for future action; (ii) partnership opportunities; (iii) initiatives of other donors; and (iv) tangible options for future engagement.

### 1. RELEVANCE

#### Relevance to GPCCE mission and objectives

The ASFCC goals and objectives are very closely aligned with those of the GPCCE. ASFCC is most strongly linked with Component 3 of GPCCE: "Climate-resilient development and sustainable natural resource management". ASFCC also contributes to GPCCE Component 1 on "Climate and environment policy and planning." Of the 33 ASFCC Phase III outcome and output indicators, 26 (79%) align with GPCCE Component 3 and 7 indicators (21 %) align with GPCCE Component 1. (Table 3 and Annex 11)

**Table 3. GPCCE Framework Strategy 2017-2020 vs. ASFCC Logical Framework 2017-2020**

Relevant Indicators	
GPCCE Framework Strategy	ASFCC Logical Framework
Forests mountains and other ecosystems are sustainably managed and are resilient to climate change (Component 3, outcome 3)	13 indicators (Annex 11) <ul style="list-style-type: none"> <li>• 3 outcome indicators</li> <li>• 10 output indicators</li> </ul>
Climate resilience of communities is increased resulting in reduced impacts of climate change (Component 3, outcome 1)	13 indicators (Annex 11) <ul style="list-style-type: none"> <li>• 6 outcome indicators</li> <li>• 7 output indicators</li> </ul>
National and sub-national development policies and plans account for climate change and environmental risks. (Component 1, outcome 3)	7 indicators (Annex 11) <ul style="list-style-type: none"> <li>• 1 outcome indicator</li> <li>• 6 output indicators</li> </ul>

ASFCC was purposefully designed to contribute global benefits – especially with respect to climate change mitigation and resilience and sustainable forest management – in complement with local benefits to be realized in AMS.

#### Relevance to thrusts of ASEAN and Member States

ASFCC relevance and alignment to ASEAN thrusts can be viewed from three perspectives. First is in terms of ASFCC's relevance to ASEAN documents that pre-existed before the program started in 2010. Second is ASFCC's alignment with ASEAN high-level strategy documents that were developed over the 10-year period of ASFCC implementation. Third is ASFCC's role and contribution to the shaping and broadening of ASEAN strategies and policies that the program targeted to influence. The first two perspectives are discussed in this section, while the third perspective is taken up in the Section on Effectiveness and Impact.

Two key pre-existing ASEAN documents were highly relevant to the social forestry approach and helped shape the design of the first phase of ASFCC. These were the ASEAN Multi-Sectoral Framework on Climate Change: Agriculture, Fisheries and Forestry Towards Food Security (2009), or “AFCC,” and the closely-linked ASEAN Integrated Food Security Framework (AIFS) Strategic Plan (2009-2013). The ASFCC program goal is the same as that of AFCC.

**Table 4: Basic Information on Climate Change in ASEAN Member States, 2014**

Country	LUCF (MtCO <sub>2</sub> e)	Agriculture (MtCO <sub>2</sub> e)	Energy (MtCO <sub>2</sub> e)	Other (MtCO <sub>2</sub> e)	Total including LUCF (MtCO <sub>2</sub> e)	LUCF as % of total
Brunei	0.55	0.15	18.62	0.44	19.76	2.8%
Cambodia	23.78	19.35	8.25	1.24	52.62	45.2%
Indonesia	1,682.17	165.61	526.99	96.87	2,471.64	68.1%
Lao PDR	18.07	8.10	1.75	1.70	29.62	61.0%
Malaysia	-129.02	14.28	245.98	56.65	187.89	-68.7%
Myanmar	105.11	66.51	28.33	12.54	212.49	49.5%
Philippines	-60.3	53.17	102.01	26.46	121.34	-49.7%
Singapore	0.04	0.1	46.5	5.78	52.42	0.1%
Thailand	15.97	63.04	261.12	34.25	374.38	4.3%
Viet Nam	-18.35	62.53	167.24	40.53	251.95	-7.3%
Total	1,638.02	452.84	1,406.79	276.46	3,774.11	43.4%

*Source: RECOFTC Situational Assessment on Social Forestry and Climate Change 2020 based on data from WRI CAIT Climate Data Explorer, accessed 12 November 2019*

By clever design or good fortune, the concept of using social forestry as the entry point for engaging with ASEAN and AMS on a wide range of natural resources and environmental concerns was generally effective. Several AMS were interested in expanding social forestry in their countries at the time of the start of ASFCC, at least on modest scales. Importantly, the wide scope of activities encompassed by “social forestry” afforded the programme opportunities to deliver tangible benefits across a wide swath of natural resources management, policy reform and governance, institutional development, capacity strengthening, equity, social inclusion, disaster risk management, resiliency, etc., which were of keen interest to beneficiaries at local, national and regional levels (although often for differing reasons). At the same time, this wide scope of work provided simultaneous opportunities to secure global benefits such as climate change mitigation (through enhancement of carbon stocks and avoided carbon emissions), biodiversity conservation, and conflict management.

The programme strategy proved to be successful and effective, especially at the regional level, although requiring considerable investment in terms of time and effort and entailing some shortcomings. ASFCC undoubtedly had significant influence with the ASEAN bodies that deal closely with forestry (e.g., AMAF, ASOF and its subsidiary working groups and units). Two-thirds of the 46 individuals responding to the evaluation survey noted that ASFCC had “much influence” or “strong influence” in shaping the direction, agendas, emphases, strategies and work of ASEAN and its constituent bodies, particularly those related to forestry and climate change.

ASEAN strategy documents that emerged during ASFCC implementation and to which the program closely aligned include the ASEAN Blueprints (with 2025 time horizon). In response to the formulation of these top-level strategic documents (which also influenced ASEAN's organizational structure during the ASFCC implementation period), ASFCC closely reviewed and tracked the three ASEAN Blueprints to identify relevant "hooks" and opportunities for "cross-over." Of particular relevance was the ASEAN Economic Community Blueprint (AEC), under which ASFCC was administered. According to the ASFCC Regional Advisor, however, "it was not about aligning pillar by pillar, but how to cross link."

Based on consolidated survey results (Annex 5, Q1), most respondents from AMS perceive that the ASFCC was "much" or "strongly" aligned with the ASEAN Economic Community Blueprint (83%) and with the ASEAN Socio-Cultural Blueprint (75%).

Beyond engaging through ASEAN regional processes, ASFCC involved directly with AMS at national levels, particularly in developing or revising policies, legislation and regulations to be both consistent with ASEAN decisions and recommendations on social forestry and relevant to national contexts. ASFCC also supported multi-stakeholder processes in several AMS to broaden and enhance participation in

Direct field-level interventions at local community levels were less common under ASFCC, but highly valuable for some of the communities engaged. A key justification for targeted field work under ASFCC was to generate grounded knowledge and experience that could better inform policy making at national levels. Limitations of this approach were that the varied contexts from locale to locale sometimes made it difficult or impossible to draw general inferences for policy making or transfer knowledge and experiences from one situation to another. Budget limitations also meant ASFCC partners could not work extensively in all AMS, so beneficiaries were unevenly distributed among the countries.

While climate change mitigation and adaptation were key intended areas of ASFCC work, the choice of social forestry as an entry point resulted in a closer working relationship with AMS ministries and departments in charge of forestry than those dealing with "environment" more broadly. In some countries (e.g., Indonesia, Philippines), forestry and environment issues fall within the same ministry or department, but in most AMS this is not the case. The two areas of work also fall to two different units within the ASEAN Secretariat (i.e., the ASEAN Economic Community Department and the ASEAN Socio-Cultural Community Department). These separations were a constant challenge to ASFCC. Thus, while ASFCC achieved some interactions and influences with government units responsible for environment and climate change broadly, most direct engagement was with government units responsible for forestry.

### **Relevance to context in target areas**

SDC support for social forestry through ASEAN actually pre-dates ASFCC. The ASEAN Social Forestry Network (ASFN) was established by ASOF at the request of Indonesia in August 2005, as a government-driven social forestry network designed to link government policy makers with members of civil society, research organizations, academia, the private sector, and professional experts of related fields. Although ASFN initially struggled with limited resources, the potential of the network was recognized by various individuals, including officials from SDC, who participated in some of the early meetings of ASFN. SDC first provided modest financial support to ASFN, through RECOFTC, for a period of one year.

Subsequent recommendations and requests for expanded support from ASFN focal points led to a fact-finding mission by SDC advisors and helped shape the elements of ASFCC, focusing on strengthening ASFN, enhancing stakeholder dialogue and knowledge sharing, building more effective partnerships, and promoting social forestry as a means to achieve climate change mitigation and adaptation. At their 2009 meeting, ASFN focal points specifically acknowledged the potential to address climate change more effectively through: (i) sustainable forest management; (ii) multi-stakeholder collaboration; (iii) preserving, recording and sharing local and indigenous practices; and (iv) community carbon accounting. These articulated AMS needs and opportunities were subsequently encompassed in the design of ASFCC itself.

In the first years of ASFCC implementation, GIZ was supporting a similar regional initiative, the ASEAN-German Programme on Response to Climate Change: Agriculture, Forestry and Related Sectors (GAP-CC). SDC worked to coordinate with GIZ and the ASEAN Secretariat to ensure complementarity and coordination of the two programmes.

At the same time that ASFCC was being formulated, there was intense interest and major expectations within the global community that substantial financial incentives might be given to tropical countries in exchange for climate change mitigation efforts. Reducing Emissions from Deforestation and Degradation in Developing Countries (REDD+) was a dominant focus of forestry policy makers throughout ASEAN and most of the global forestry community. Civil society groups on the other hand were apprehensive about potential negative impacts of REDD+ on local communities and indigenous peoples' rights.

Other dominant concerns among AMS at the time ASFCC was initiated were Forest Law Enforcement, Governance and Trade (FLEGT) and sustainable forest management (SFM) more broadly, including efforts to reduce deforestation. While ASFCC supported efforts in these areas, other donor-supported programmes were also engaged with ASEAN on these topics (e.g., those supported by GIZ, Australia, EU, FAO). The social forestry arena was largely unsupported by other donors, however, offering unique opportunities to SDC for collaboration with ASEAN.

Between 2009 and 2020, priorities of AMS and donor organizations shifted. These evolving patterns of emphasis reshaped the work of ASFCC and the programme generally reoriented effectively to reflect the needs and interests of the region. For example, as expectations and modalities of REDD+ evolved, ASFCC shifted from raising awareness of REDD+ mechanisms and building capacity for local monitoring of forest carbon stocks to broader options for integrating land use and forest management into countries' Nationally Determined Contributions (NDCs) and strategies for achieving SDGs, improving institutions and governance, enhancing food security, and strengthening resilience to natural disasters and climate change. This evolution of priorities had not been entirely smooth, however, and ASFCC struggled in Phase III to effectively influence and support social forestry as a key measure for delivering NDCs and achieving SDGs, as well as reaching consensus on a focused set of priority actions.

Generally, however, social forestry approaches were, and continue to be, perceived as highly relevant for addressing the realities, needs, and priorities of various target groups in most AMS. Among country respondents to the self-assessment evaluation survey, two-thirds indicated that social forestry approaches and the Theory of Change pursued by ASFCC were "much" or "highly" relevant in addressing current challenges. Respondents from ASFCC partner organizations and programme coordinators viewed social forestry approaches particularly relevant for Myanmar, Cambodia, Lao PDR, Vietnam, Indonesia, and Thailand (with half or more respondents indicating "much" or "high" relevance for these countries). (Annex 5, Q4)

Moreover, the ASFCC approach of using social forestry as an entry point for addressing the challenges of climate change, food security, and sustainable natural resources management was met with widespread approval. More than 70% of self-assessment survey respondents considered the ASFCC approach "about right" in facilitating substantive action. Another 22% felt the ASFCC approach was too narrow and perhaps limited opportunities for action. Only 9% considered the ASFCC approach to be too broad or lacking focus. (Annex 5, Q5)

**Table 5: Basic Information on Social Forestry in ASEAN Member States, 2010/2020**

AMS	POPULATION				GDP		FOOD INSECURITY		FOREST AREA		SOCIAL FORESTRY	
	2010		2018		2010	2019	2009-2011	2016-2018	2010	2020	2010	2020
	Total (million)	Urban (percent)	Total (million)	Urban (percent)	Per capita nominal	Per capita nominal	percent of population	percent of population	1 000 ha	1 000 ha	1 000 ha	1 000 ha
Brunei	.389	75.0	.445	78.2	35,437	29,152	3.1	3.2	380	380	NA	NA
Cambodia	14.309	20.3	16.716	24.2	782	1,635	18.8	16.4	10,589	8,068	0.114	0.362
Indonesia	242.524	49.9	272.223	56.6	3,178	4,391	13.3	8.3	99,659	92,133	0.033	3.074
Lao PDR	6.246	30.1	7.165	36.3	1,243	2,974	21.1	16.5	16,941	16,596	NA	NA
Malaysia	28.112	70.9	32.869	72.2	8,920	12,241	3.7	2.5	18,948	19,114	NA	NA
Myanmar	50.156	28.9	54.808	31.1	997	1,540	16.9	10.6	31,441	28,544	0.041	0.251
Philippines	93.727	45.3	109.703	47.4	2,155	3,597	13.3	13.3	6,840	7,189	2.985	4.905
Singapore	5.074	100.0	5.935	100.0	46,569	56,679	NA	NA	18	16	NA	NA
Thailand	67.209	43.9	69.411	51.4	5,065	8,794	9.2	7.8	20,073	19,873	0.197	1.180
Vietnam	88.473	30.4	98.360	37.3	1,297	2,677	13.6	9.3	13,388	14,643	3.300	4.112
<b>Total</b>	<b>596.219</b>		<b>667.635</b>						<b>218,277</b>	<b>206,556</b>	<b>6.669</b>	<b>13.889</b>

Sources

UN DESA, Population Division

International Monetary Fund

Food and Agriculture Organization of the United Nations

RECOFTC

## 2. EFFECTIVENESS AND IMPACT

Assessing the effectiveness and impact of ASFCC is constrained by the fact that the indicators designed to guide the programme's work, as outlined in the logical framework, were not clearly defined, time-bound or measurable in many instances and were overlapping in some aspects. Thus, while some conclusions can be made with respect to programme contributions and impact, it is difficult to claim definitive "success" of many ASFCC elements since few standards for measuring and determining "success" were established *ex ante*. Where possible, the evaluation team has made subjective conclusions about the "success" (including effectiveness and impact) of various aspects of the programme based on qualitative observations, informant testimonials and documented results.

### Target vs. Actual

This evaluation assessed the extent to which the program achieved targets using three lenses:

- key achievements and adjustments from prior phases (Phase I and Phase II)
- achievement of activities planned for Phase III
- summary of key outputs delivered at the end of each phase

**Phase I and II Achievements and Adjustments:** Key recommendations from prior evaluations were generally acted upon positively (Annex 12). Key follow-up actions that influenced the program trajectory in Phase III included the following:

#### Substantive content

- Support to policy development was better aligned with AMS changing needs. In 2015, ASEAN decided to focus its Strategic Plan of Action for Cooperation on Food, Agriculture and Forestry (SPA FAF) 2016-2025 much more on climate adaptation. AMS considered REDD+, along with payments for ecosystem services (PES), as resource mobilization opportunities to finance sustainable forest management. In response, the AWG-SF Secretariat dedicated an action item for Phase III on "support to ASEAN FAF Related Policy Development." ASFCC also supported several activities prioritized in the FAF-SPA 2016-2025 (e.g., efforts of the Non-Timber Forest Products Exchange Programme (NTFP-EP) to strengthen small-scale enterprises).
- Post-training monitoring improved in Phases II and III, with RECOFTC consistently reporting on changes in knowledge of participants for each training, and documenting how participants planned to share and use newly obtained knowledge upon return to their home countries.
- The call to focus equally on climate change adaptation and mitigation measures was in part accomplished by increasing the focus of Phase III learning interventions on agroforestry and NTFP-supported livelihood development. ASFCC promoted these practices as joint measures for mitigating and adapting to climate change, while providing poverty reduction co-benefits.

#### Institutional Arrangements

- Support for focal points was strengthened by establishing the ASEAN Working Group on Social Forestry Strategic Response Fund (ASRF) in Phase II, with administrative support from the Southeast Asian Regional Center for Graduate Study and Research in Agriculture (SEARCA). In Phase III, further adjustments were made in how grants were awarded to allow ASRF to be more responsive to AMS needs.
- World Agroforestry (ICRAF) was engaged in Phase II to increase research competence on agroforestry development related to climate change. In Phase III, ICRAF focused on a participatory learning process with ASEAN and AMS which led to formulation and endorsement of the *ASEAN Guidelines for Agroforestry Development* in 2018.

**Accomplishment of Planned Activities:** The five partners that have direct mandates with SDC, as well as the AWG-SF Secretariat and Regional Advisor, generally completed the activities set out in the Phase III Work Plan for Outcomes 1-3 (Annex 13). Although the Phase III Work Plan did not specify activities under Outcome 4 (exit strategy), partners reported on how their organizations plan to sustain selected elements of ASFCC approaches. Operational reports of the Regional Advisor also included updates on activities contributing to Outcome 4.

**Accomplishment of Target Outputs:** ASFCC partners conducted a self-assessment exercise in 2017 to plot early accomplishments from Phase III against the 10 outputs in the logical framework. Annex 14 presents an updated detailed mapping of activities to outputs, guided by the ASFCC logical framework indicators and means of verification. This categorization however cannot be taken as definitive given the M&E limitations stated earlier. Key achievements are summarized in Table 6:

**Table 6: Key Target Outputs vs. Accomplishments**

Key Target Outputs	End-of-Phase Status
<p><b>Phase 1:</b> Common approaches of social forestry established and capacities increased</p> <p>Local people integrated into national climate change adaptation programs and REDD+</p> <p>Trained staff in social forestry departments and non-state organisations</p> <p>Best practices established</p>	<p>ASFCC embedded in the ASEAN set up and through networking support, allowed access to and exchange on a variety of social forestry concepts and approaches</p> <p>Local people concerns and potential contributions to REDD+ and climate change adaptation investigated and documented</p> <p>Training courses, country-to-country sharing sessions, in-country awareness raising campaigns and on-site support to learning sites initiated to help establish some best practices</p>
<p><b>Phase II:</b> Further develop common approaches of social forestry and their integration into national climate change adaptation programs and REDD+</p> <p>Test and integrate a flexible funding mechanism to support initiatives at ASEAN Social Forestry Network (ASFN) country level to promote social forestry and the link to climate change mitigation and adaptation</p>	<p>Coordination in production and sharing of knowledge products, and inclusion of two more implementing partner organizations (SEARCA and ICRAF) helped expand the agenda of integrating social forestry approaches in addressing climate change vulnerability and impacts</p> <p>ASEAN Strategic Response Fund (ASRF) was established as the flexible funding mechanism to support country focal points in responding to emerging challenges and opportunities for linking social forestry and climate change</p>
<p><b>Phase III:</b> Consolidation and institutionalization of social forestry into national climate change adaptation programs and REDD+, NDCs and regional cooperation initiatives</p> <p>Use of the ASEAN Strategic Response Fund (ASRF) mechanism to flexibly support national and regional initiatives integrating social forestry in climate change mitigation and adaptation programs; dissemination of lessons from ASFCC to other sectoral programmes</p>	<p>Social forestry as an approach to joint climate change adaptation and mitigation institutionalized in the <i>ASEAN Multisectoral Framework on Climate Change: Agriculture and Forestry towards Food and Nutrition Security and Achievement of SDGs</i></p> <p>By the end of the programme, ASRF had supported 30 initiatives in eight countries (Annex 15)</p>

Sources: Credit Proposals Phases I-III, External Evaluation Reports I-II, Operational Reports Phase III

## Outcomes

The ASFCC Phase III programme framework anticipated four outcomes. While specific wordings of the outcomes for earlier phases were slightly different, they essentially tracked consistently throughout all phases of ASFCC. Elaboration of key achievements and observations related to each outcome are presented below. Annex 14 provides details on outputs that led to the outcomes.

### Outcome 1

*A coordinated social forestry framework is developed, integrated and mainstreamed into ASEAN and the national forest and climate change strategies of the ASEAN Member States, and informs policies in other sectors*

The initial baseline report on social forestry and climate change in Southeast Asia (published in 2011) and the subsequent situational analysis reports, published in 2014 and 2017 by RECOFTC have been important ASFCC contributions in providing baseline information about social forestry and climate change, including regular assessments of trends and progress. These assessments have been valuable to inform discussions and debate in ASEAN and help officials shape strategic plans of action. Monitoring and evaluation of social forestry progress have been hindered by the lack of reliable data in some AMS, but these assessments are essential for tracking the contributions of social forestry to sustainable forest management and climate change mitigation and adaptation.

Different AMS are understandably at various points in enacting social forestry programmes, with some countries having a relatively long history of social forestry implementation (e.g., the Philippines) and others having initiated social forestry much more recently. ASFCC has nonetheless helped to achieve considerable coherence in terms of commitment to implement social forestry in large part because of dialogue and joint agenda-setting through AWG-SF and ASOF.

ASEAN strategic documents which ASFCC and its constituent partners had strong influence in shaping, not surprisingly, were widely recognized as being closely aligned with ASFCC. Most notably, more than 90% of the evaluation survey respondents indicated that ASFCC was “much” or “strongly” aligned with the *ASEAN Plans of Action for Cooperation in Social Forestry* and the *Vision and Strategic Plan for ASEAN Cooperation in Food, Agriculture and Forestry (2016-2025)*. Almost three-fourths of respondents also recognized ASFCC as “much” or “strongly” aligned with the *ASEAN Multisectoral Framework on Climate Change: Agriculture and Forestry Towards Food and Nutrition Security and Achievement of SDGs*. (Annex 5, Q1)

The *Plan of Action for ASEAN Cooperation on Social Forestry (2016-2020)* was a valuable instrument for coherently guiding initiatives and collaboration across the region on social forestry and climate change. The PoA identified common priorities for action among AMS and served to encourage and motivate countries otherwise lagging in implementation. A new PoA for the period 2021-2025 is currently under formulation.

ASFCC was also recognized as being closely aligned with, and supportive of, a number of other ASEAN strategic documents related to forestry, environment, land management, rural development and poverty eradication, small and medium enterprise (SME) development, and gender. (Annex 5, Q1)

Building on the regional frameworks for action in social forestry, ASFCC helped facilitate key policy and legislative reforms across the region, particularly in Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand and Vietnam. These important policy and legislative reforms were supported by targeted studies funded through the ASEAN Strategic Response Fund (ASRF) and multi-stakeholder processes in several AMS.

In total, the ASRF administered by SEARCA provided 25 grants to AMS for targeted studies in eight countries. These small grants (generally of US\$25,000 or less), highly appreciated by AWG-SF focal points, were very effective in advancing specific issues and reforms that otherwise would not have been

implemented in the absence of ASFCC support. In addition, five travel grants were provided to five AMS. (Annex 15)

Policy discussions of social forestry and climate change within ASEAN have also been effectively enriched by ASFCC's convening of regular Civil Society Forum meetings, organized in conjunction with annual meetings of the AWG-SF. The CSO Forum meetings have been instrumental in giving greater voice to forest-dependent people, marginalized and vulnerable groups, youth, and indigenous peoples.

Recognizing the importance of engaging related sectors beyond forestry in wider land-use management if climate change objectives are to be achieved, ASEAN (with key support from ASFCC) has worked to facilitate coordination and craft coherent approaches involving agriculture, energy, infrastructure, mining, social welfare, water, tourism, etc. A key step toward bringing all related sectors together was the formulation of the *ASEAN Multi-Sectoral Framework for Climate Change: Agriculture and Forestry Towards Food and Nutrition Security and Achievement of the SDGs*, adopted by the ASEAN Ministers in Agriculture and Forestry (AMAF) in October 2018.

ASEAN now faces the challenge of putting the Multi-Sectoral Framework on Climate Change into practice. With key support from ASFCC, an "Assessment on the Establishment of a Permanent Platform for the Implementation of the Multi Sectoral Framework on Climate Change" was elaborated and endorsed by AMAF in October 2019.

Overall, with its combined efforts through ASEAN bodies at the regional level aimed at driving actions in AMS, and the direct support provided to AMS (both at national and local levels), ASFCC is perceived to have had positive influence throughout AMS. Among country respondents to the self-assessment evaluation survey, 58% reported that ASFCC had "much influence" or "strong influence" in shaping the direction of strategies and social forestry work in their own countries. At least 50% of the survey respondents from ASFCC partner organizations and those involved in coordinating the ASFCC programme felt that ASFCC has had "much" or "strong" influence in all the AMS except Brunei, Malaysia, and Singapore. ASFCC is felt to have had the most influence in Lao PDR, Myanmar and Thailand. The programme is also perceived to have had substantial influence in Indonesia, Vietnam, Cambodia and the Philippines.

## **Outcome 2**

*Local, national and regional knowledge creation and sharing, communication and networking on social forestry and climate change is strengthened, put into use*

In the early phases of ASFCC, the programme was instrumental in building greater awareness and understanding of REDD+ and other climate change issues, assisting countries to position for potential engagement with REDD+, clarifying benefit-sharing arrangements, elaborating safeguards, and understanding the elements of Free Prior and Informed Consent (FPIC). ASFCC also successfully helped ASEAN countries develop common positions on forestry and climate change for negotiation in the United Nations Framework Convention on Climate Change (UNFCCC) and other international forums, especially prior to the conclusion of the Paris Climate Change Agreement.

ASFCC provided key support in helping AMS develop common positions for negotiating in international processes related to climate change and development (UNFCCC, UNFF). ASEAN was particularly successful in forging common positions for UNFCCC negotiations, especially on REDD+ prior to and leading up to the 2015 Paris Climate Change Agreement. Since concluding the Paris Agreement, however, cohesiveness has weakened and the AMS have not been able to advance forceful common positions on climate change, as countries have pursued differing objectives and priorities. About half of survey respondents (48%) felt that ASFCC was "moderately" effective in helping AMS develop common negotiating positions in international processes, while many (37%) felt ASFCC had "much" effect and 7% felt ASFCC had been "highly" effective. (Annex 5, Q23)

With significant support from ASFCC, social forestry is now widely recognized within ASEAN and AMS as a viable and positive approach for achieving sustainable forest management, including delivery of important climate change related benefits. Social forestry is now well established within ASEAN, embodied by the AWG-SF and the *Plan of Action for ASEAN Cooperation on Social Forestry* and other key ASEAN strategy documents. It is safe to say that mainstreaming of social forestry into ASEAN activities would not be nearly as advanced as it is at present without the contributions of ASFCC.

ASFCC has also helped to transform the way people look at vulnerable groups and their relationships with forests. ASFCC initiatives, such as the CSO Forum, have greatly strengthened the “voice” of marginalized people, vulnerable groups and youth. These same groups have further been strengthened to confidently articulate their positions and needs in a wide array of international fora, including at the 23rd and 24th Conferences of the Parties of UNFCCC, the Resilience Conference 2017 in Stockholm, and the 3rd and 4th Asia-Pacific Forestry Weeks.

ASFCC was successful in supporting ASEAN and AMS in coherently communicating to the broader international community the priorities, challenges and actions of the region with respect to climate change, food security and social forestry. This took the form of participation in international forums, videos, and published briefs and informational materials. Nearly all survey respondents (81%) felt that ASFCC had been “much” or “highly” effective in supporting ASEAN and AMS in communicating to the broader international community. (Annex 5, Q22)

ASFCC worked to lay the groundwork for effective cross-sectoral collaboration and coordination in land and resource management that relate to climate change and food security – but with varying degrees of success. Perceptions of respondents to the evaluation self-assessment survey differed between AMS officials and ASFCC partners and programme coordinators. More than half of country respondents felt that ASFCC was “much” or “highly” effective in engaging with climate change, agriculture, environment, social welfare and water sectors. Among respondents working with ASFCC partner organizations or coordinating the programme, however, climate change was the only sector that more than half of respondents (74%) perceived the programme had been “much” or “highly” effective in engagement. A lower but sizable percentage (47%) of these respondents felt the programme was “much” or “highly” effective in engaging with the agriculture and environment sectors. Only a few respondents in both groups felt that ASFCC had been very effective in engaging with the infrastructure, tourism, energy and mining sectors. (Annex 5, Q21)

Key informant interviews generally validated the weak engagement with non-forestry sectors, although recent efforts signal increased engagement (e.g., in the process of developing and implementing the *ASEAN Guidelines for Agroforestry Development*, increased engagement with the agriculture sector is being achieved in some countries). In contrast to the survey results, key informants from AMS were unable to provide clear evidence of strong engagement even with the climate change sector, with officials consistently referring to the fact that the climate change “fell under a different ministry or department,” making direct engagement difficult.

The ASFCC programme strategy proved to be most successful and effective at the regional level, albeit requiring considerable investment in terms of time and effort, and entailing some shortcomings. ASFCC undoubtedly had significant influence with the ASEAN bodies that deal closely with forestry (e.g., AMAF, ASOF and its subsidiary working groups and units). Two-thirds of the 46 individuals responding to the evaluation survey noted that ASFCC had “much influence” or “strong influence” in shaping the direction, agendas, emphases, strategies and work of ASEAN and its constituent bodies, particularly those related to forestry and climate change. (Annex 5, Q2)

Nearly all the individuals responding to the evaluation self-assessment survey recognized that ASFCC contributed the most to institutional and system changes at the regional level, followed by national levels, and finally local and community levels. (Annex 5, Q17)

### **Outcome 3**

*Identified strategic issues/topics and AWG-SF supported interventions around these topics conducted and lessons and experiences disseminated for broader implementation and policy development*

ASFCC has successfully driven transformational change in ASEAN in terms of governance and inclusion, partnerships, and a multi-sectoral approach. (Box 1)

#### **Box 1: Changes in practice and policy**

##### **Governance / Inclusion**

*"AWG-SF is very different from other WGs that only have ASEAN members around." - ASEAN Sec*

*"Before, we would have to hang out in corridors for hours to wait for our turn." - ASFCC Partner*

*"Now, officials are much more relaxed and not much acting rigidly as officials, not the old style in which I grew up. Even at the start of ASFCC, they started very formal and rigid. Nowadays the formalities have been cut by half and people talk much more. In the last 2-3 years, partners are now allowed to sit in." - ASFCC Partner*

##### **Partnerships**

*"We are still working together even with no money involved because we are working towards a target that we both think are important. We are working not within a project mode any longer. I still have a deadline with ASEC today." - ASFCC Partner (describing ongoing work related to ASFCC several months after the formal close of the programme)*

*"ASFCC has expanded SEARCA network, reach, and capacity to include social forestry." – SEARCA*

##### **Multi-sectoral approach**

*"ASFCC provided the opportunity for all the different ASEAN Working Groups to get together and talk; before they did not even know of each other's existence." – ASFCC Partner*

At national levels, ASFCC has contributed to change in several AMS in terms of how they approach forest management and how they engage with local people.

Beyond collaborating to support regional processes, the ASFCC organizational partners all worked to varying extents at national and sub-national levels in selected AMS. This in-country engagement invariably led to a large number of additional partnerships – including with national government agencies, national and local NGOs and civil society groups, other international organizations working in the country, farmer and producer associations, and private sector.

At the national levels, ASFCC partners most often supported and complemented the programmes and initiatives of respective national governments. For example, national working groups on social forestry or community forestry are typically established and chaired by national forestry agencies, but ASFCC provided important support to such groups. In Cambodia, Lao PDR, Myanmar, ASFCC provided valuable financial, facilitative, and technical support for multi-stakeholder working groups at country levels. In the Philippines where numerous multi-stakeholder processes were already in existence prior to the start of the programme, ASFCC support and engagement helped to further strengthen existing mechanisms, encouraged the formalization of a government-led National Working Group for Community-based Forest Management (CBFM), and extend the involvement and voice of diverse stakeholder groups. Vietnam was supported through ASRF grants for assessment studies in aid of policy-making.

ASFCC-supported research conducted by ASFCC partner organizations in collaboration with AMS has been helpful in increasing awareness of land use impacts and processes. For example, research led by the Center for International Forestry Research (CIFOR) helped to broaden understanding on changing landscapes (e.g., from traditional swidden systems to oil palm or maize production) and the impact such changes have on local communities. While such research was valuable in building greater understanding

of these issues, in most cases ASFCC was unable to make use of the research to effectively address the intractable issues of land-use conversions. In the process of conducting ASFCC-supported research in Indonesia, Lao PDR, Myanmar and Vietnam, CIFOR trained local scientists in research methodologies and practices.

SEARCA proved to be more than simply an administrator of the ASRF, adding value to the programme by supporting and training AMS officials with less experience in proposal formulation, closely monitoring progress of grants, troubleshooting issues during implementation, and synthesizing lessons learned across the ASRF programme.

#### **Outcome 4**

##### *Framework for post-ASFCC period is implemented based on GPCC exit strategy*

There was some expectation among ASFCC managers and advisers that there would be a 2-year close-out (transition) phase following Phase III of the programme. In mid-2018, however, it was decided that ASFCC would end with the completion of Phase III, in February 2020. This decision forced a more hurried exit strategy than some had anticipated. While it is always difficult to wind down a major programme, the more abrupt closure of ASFCC than expected constrained the transition options, especially limiting the opportunities to secure solid alternative donor support for key AWG-SF activities.

After the 2018 decision was firmly made to close ASFCC in February 2020, the Programme Adviser and SDC Forestry Adviser prepared a 4-page *Proposed Strategy for the Sustainability of Outcomes and Impacts of the ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC)*. The proposed strategy was pragmatic, without being highly ambitious. Several of the proposed actions to sustain ASFCC have, in fact, been initiated and some have been firmly put in place. Other proposed actions, however, have not been fully solidified and still await action.

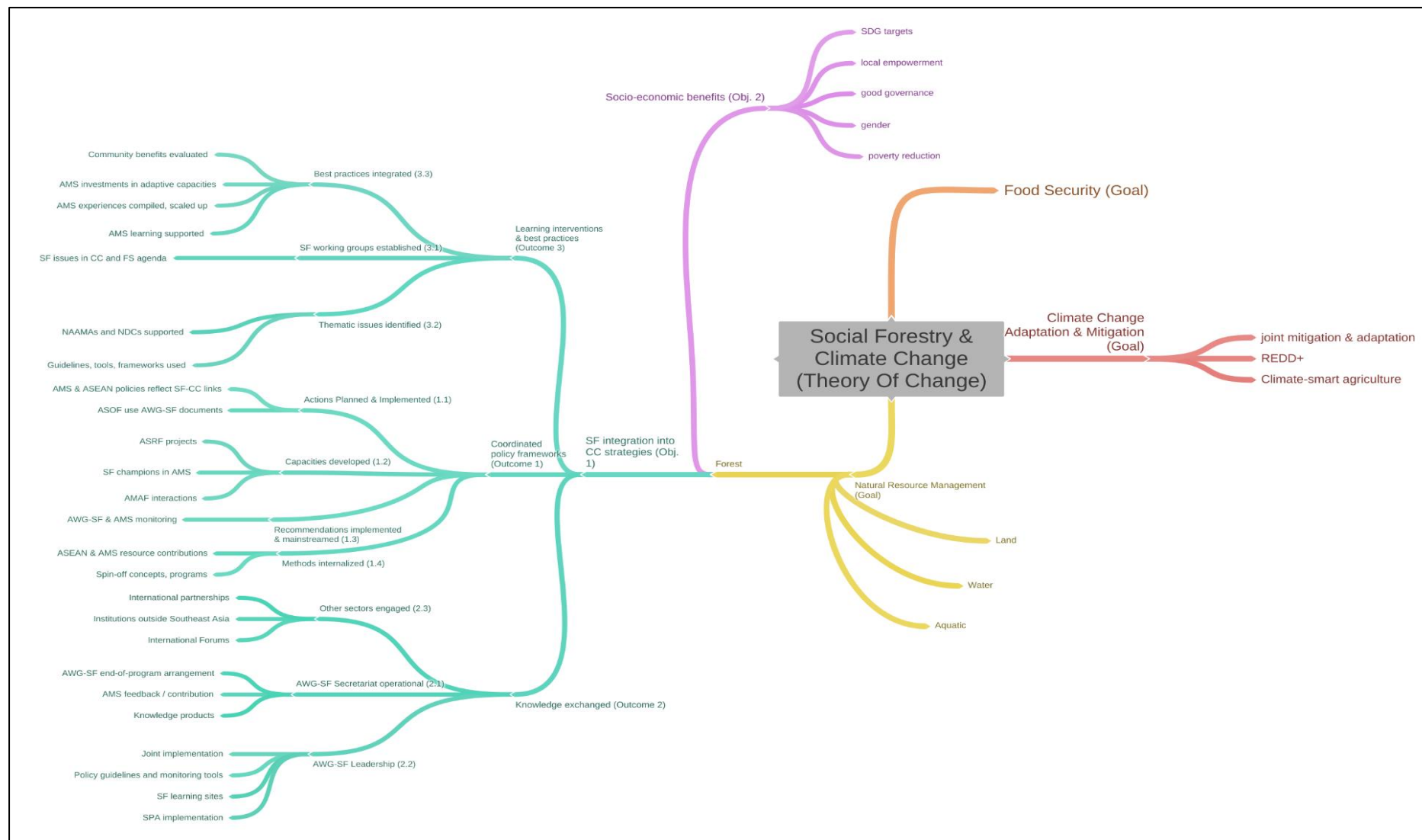
Aside from the AWG-SF and its ASFCC-supported Secretariat, ASFCC purposefully did not create rigid organizational structures. It is the view of this evaluation that this light structural approach was well-advised, as it pushed the programme to focus more attention on building a loose network of partners and AMS officials that can more readily continue to function (to varying degrees) after SDC support under ASFCC ends.

In closing ASFCC, emphasis has been given to what each ASFCC partner could potentially contribute to continue support to ASEAN and AMS in social forestry, using alternative donor funds or existing resources. Efforts have also been made to outline efforts that AMS would be willing and capable of implementing on their own or with other donors' support. These potential efforts are being outlined in the *Plan of Action for ASEAN Cooperation in Social Forestry (2021-2025)* that is currently being finalized.

One important element of sustainability that deserves special attention, however, is the AWG-SF Secretariat. The Secretariat has established essential links with the ASEAN Secretariat and AMS that are critical for maintaining the partnership (even at a reduced level of activity) and facilitating the future work of the AWG-SF. If continuity is not maintained by retaining the AWG-SF Secretariat, there is a serious risk of losing the momentum in social forestry that has been achieved through ASFCC support. The AWG-SF Secretariat can also serve SDC interests well should there be a desire to engage with ASEAN in future collaboration.

Figure 2 presents the ASFCC Programme Impact Pathway Map to visualize the transformation of activities to generate outputs that result in outcomes and impacts based on the program logical framework. Annex 16 contains web links to sample activities.

**Figure 2: ASFCC Impact Pathway Map**



## **Unplanned Outcomes and Effects**

The implementation of ASFCC has resulted in a number of unplanned and, sometimes unexpected outcomes at various levels.

### **ASEAN**

The open and transparent style with which ASFCC was managed and operated had unexpected influence on several ASEAN bodies – leading them to become somewhat less formal and bureaucratic. Inclusive and participatory events organized first by ASFN, and subsequently by AWG-SF, demonstrated to other ASEAN WGs, ASOF and other bodies the benefits of broadening debate and giving greater “voice” to non-government stakeholders. Other ASEAN bodies are slowly adopting some of the progressive modalities pioneered by ASFCC. This relative openness and informality have become a source of pride for FAF bodies within ASEAN.

*“It is unusual that we do not have a formal document signed by ASEAN and Switzerland. We do not have the document of partnership actually. Normally, we have an MOU endorsed by all AMS. Although there is no such document, we still delivered cooperation... we were able to maintain the partnership quite well.”*

- Senior ASEAN official

### **AMS**

At AMS level, a significant unplanned result was that some National Multi-Stakeholder Working Groups established with support from ASFCC to advance social forestry have proven valuable enough that they are now being used by other programmes and initiatives to advance a much wider array of issues than originally expected. The effective multi-stakeholder mechanisms created with ASFCC support have become the “go-to platforms” for debating issues related to REDD+, FLEGT, MRV, tenure, land-use allocation, and other concerns beyond narrow social forestry. This development holds promise for future work by AMS expanding to landscape management.

Development of national-level multi-stakeholder forums also served to unexpectedly empower local NGOs. Working with international ASFCC partner organizations has given some fledgling national and local NGOs the confidence they previously lacked, to engage with powerful national government agencies.

Some AMS officials were themselves surprised that ASFCC was able to help them bridge divides between sectors, such as agriculture and forestry. Starting from the entry point of social forestry, there has grown a realization that work at broader landscape and political levels beyond social forestry is possible.

*“Before, we were unsuccessful in applying agroforestry. But, after developing the ASEAN agroforestry guidelines, local authorities and communities began working together; they were surprised to see that it is possible to apply agroforestry. Before, we don’t.”*

- Senior AMS official

### **ASFCC partner organizations**

Several informants declared that the transformative impacts that ASFCC had on partner organizations were some of the most important legacies of ASFCC. ASFCC steadily increased partner organizations’ confidence and facilitated an expansion of their engagement with ASEAN and AMS governments in a number of surprisingly positive manners.

ASFCC partner organizations have been particularly pleased with the unexpected levels of access and engagement with ASEAN bodies and AMS governments that the programme has afforded them.

*“We did not expect that we will be working on this initiative with ASEAN. They commissioned us to do work on gap analysis and protocols. This was not originally suggested by us. This was a surprise. Cultivating such a positive relationship with ASEAN was a pleasant surprise.”*

- NTFP-EP programme staff

ASFCC programme flexibility was credited with unexpectedly giving opportunities to attempt creative approaches that would have been impossible had the programme adhered to a more rigid set of outputs and deliverables. For example, the flexibility to incubate new concepts allowed for the creation of the Civil Society Forum – a mechanism that was not originally planned in the ASFCC design.

The level of commitment to social forestry development that ASFCC partners have demonstrated – even after the close of ASFCC – is impressive. This is reflected in part by the efforts of ASFCC partner organizations to find resources to implement various aspects of the AWG-SF PoA after the close of ASFCC.

*“We are still working even with no money involved because we are working towards a target that we both [ASEAN and partner organization] think is important. We are working not in a project mode any longer, but still have deadlines to deliver.”*

- NTFP-EP programme staff

## **Government of Switzerland**

Despite assuming a decidedly low SDC profile in implementing ASFCC, Switzerland has become synonymous with social forestry in Asia. This has garnered added credibility to SDC as a development partner in the region beyond the size of its development portfolio.

ASFCC had several positive and surprising impacts on how various Swiss Government units engaged with development programmes. ASFCC brought different units together within the Swiss administration. For some, ASFCC reportedly served as an eye-opener with respect to the potential of long-term programme commitment. The regional mechanisms and ways of working that ASFCC pioneered generated a solid body of experiences that SDC is now reportedly applying in other regions of the world.

The degree of interest and engagement of the Swiss embassy in Jakarta was particularly noteworthy, leading to a more effective “whole-of-government” approach. This approach developed with respect to ASFCC has reportedly been emulated by other embassies interacting with Swiss development programmes elsewhere. By becoming more familiar with pressing issues being dealt with by ASFCC, the staff of the Swiss embassy in Jakarta also gained confidence to more effectively engage in dialogue with other embassies and donors.

## **Reach**

The greatest transformational legacy of ASFCC has occurred at the regional level, through ASEAN, which has significantly embraced concepts of social forestry as a mechanism for achieving more sustainable management of forests and delivering global and local benefits. The AWG-SF has been firmly institutionalized and is recognized as one of the most active, productive and effective of all ASEAN sectoral working groups (Box 1).

By supporting the development of the *ASEAN Multi-Sectoral Framework on Climate Change: Agriculture and Forestry Towards Food and Nutrition Security and Achievement of SDGs* and helping map out a feasible approach for facilitating its implementation, ASFCC has helped lay the groundwork for path-breaking, multi-sectoral approaches across all important land management and rural development

sectors. Effective implementation of the ASEAN *Multi-sectoral Framework on Climate Change* would represent a unique and highly important achievement of global significance.

Capacity development activities under ASFCC (Table 7) designed to strengthen capabilities for addressing climate change, food security, livelihoods and sustainable management of forests were generally well-targeted, effective and widely appreciated. Self-assessment survey respondents consistently recognized that ASFCC had been most effective in building capacities at the regional level, with 85% of respondents rating regional training as being “much” or “highly” effective. Nearly as many (76%) felt the programme had been similarly effective at national levels. Capacity-building effectiveness was also considered “much” or “highly” effective at local levels and among vulnerable groups, but to a lesser extent (48% and 43% of respondents, respectively). (Annex 5, Q12)

**Table 7: Capacities Built**

GPCCE Indicators Component 3	ASFCC Contributions
<i>Outcome:</i> Number of <u>people</u> (m/f) <u>benefitting</u> from implemented climate adaptation measures	At least 2,640 people reached on the ground through study tours, exchanges, dialogues as well as trainings in community enterprises, forest assessment, disaster risk reduction, planning and monitoring, etc.
<i>Output:</i> Number of <u>people</u> (m/f) with improved climate risk management <u>capacities</u>	Over <u>500 social forestry officers, educators, community enterprise practitioners, and non-government organizations</u> in ASEAN benefited from trainings conducted
<i>Output:</i> Number of national, regional or global <u>policies and platforms</u> promoting climate risk management approaches in regional institutions (technically state-of-the-art and socially-inclusive)	10 regional platforms supported/engaged 5 global platforms participated 4 national social forestry working groups formed

*Source: GPCCE Strategic Framework 2017-2020; Operational Reports & Updates 2017-2020*

At national levels, ASFCC has driven transformational change within several AMS in terms of how they approach forest management and how they engage with local people.

ASFCC had direct transformational impacts on the day-to-day lives of some selected forest-dependent communities and individuals (Box 2). Direct local effect was, however, less than that achieved at regional and national levels. By design, ASFCC focused mainly on policy reform and capacity development at higher levels, with the expectation that benefits would eventually accrue to local individuals. While programmatic budget constraints and design limited the scale and extent of direct interventions, these efforts nonetheless provided important learning and insights for related policy making and potential future upscaling.

## Box 2: Case Studies on Socio-Economic Benefits

Evidence of socio-economic benefits from social forestry may be found in:

### ASRF Projects on Livelihood Enhancement (SEARCA)

- Cambodia: Resource Trends Assessment and Feasibility Study on Sustainable Harvesting, Rehabilitation and Marketing of Non-Timber Forest Products in Angkor Wat, Siem Reap Province
- Malaysia: Conservation and Consumption Goods and Nature-based Recreation: Community-based Ecotourism Project
- Myanmar: Assessment of Non-timber Forest Products in Mountain Regions of Myanmar Towards Community Forestry Development, Thandaung Township of Kayin State and Putao Township of Kachin State
- Thailand: Assessing Forest Biodiversity and Utilization of Non-Timber Forest Products in Community Forest for Rural Livelihood and Conservation, Ban Mae Chiang Rai Lum Community Forest in Pa Mae Phrik National Forest Reserve, Lampang Province, northern Thailand

### [Voices from the Forest](#) Newsletter, CSO Forum Report and HIVE Webinars (NTFP-EP)

- [Issue No. 33](#): Learning from the Tagbanua
- [Issue No. 34](#): How it's done in Long Iman: A Walkthrough of Penan Rattan Processing
- [Issue No. 35](#): Confidence in Conflict Resolution: The Changkran Roy Community Forestry Experience
- Social Forestry in ASEAN: Sustaining Collaborative and Innovative People-Centered Actions, A [CSO Forum Report](#) 2018
- Hive [Webinar](#) Series on Community Intellectual Property Rights

### Articles in Academic Journals (CIFOR)

- Cole, R.; Brockhaus, M.; Wong, G.; Kallio, M. and Moeliono, M. 2019. *Local Agency in Development, Market, and Forest Conservation Interventions in Lao PDR's Northern Uplands*. CSEAS Vol. 8, No 2.
- Bong IW, Moeliono M, Wong GY, Brockhaus M. *What is success? Gaps and trade-offs in assessing the performance of traditional social forestry systems in Indonesia*. Forest and Society. 2019 Jan 19;3(1):1-21.
- Kallio MH, Hogarth NJ, Moeliono M, Brockhaus M, Cole R, Bong IW, Wong GY. *The colour of maize: Visions of green growth and farmers perceptions in northern Laos*. Land Use Policy. 2019 Jan 1; 80:185-94.
- Maharani, C. D., Moeliono, M., Wong, G. Y., Brockhaus, M., Carmenta, R., & Kallio, M. (2018). *Development and equity: A gendered inquiry in a swidden landscape*. Forest Policy and Economics.
- Thung, Paul Hasan. *Case Study on the Persistence of Swidden Agriculture in the Context of Post-2015 Anti-Haze Regulation in West-Kalimantan*. Human Ecology 46.2 (2018): 197-205.
- Pham TT, Moeliono M, Wong GY, Brockhaus M, Le ND. *The politics of swidden: A case study from Nghe An and Son La in Vietnam*. Land Use Policy. 2018.
- Moeliono M, Thuy P, Bong IW, Wong GY, Brockhaus M. *Social Forestry-why and for whom? A comparison of policies in Vietnam and Indonesia*. Forest and Society. 2017 Nov 27;1(2):78-97

### Knowledge Products (RECOFTC)

- The Role of Social Forestry in Climate Change Mitigation and Adaptation in the ASEAN region: [Assessment 2010](#)
- Current Status of Social Forestry in Climate Change Mitigation and Adaptation in the ASEAN region: [Situational Analysis 2013](#)
- Social Forestry and Climate Change in the ASEAN region: [Situational Analysis 2016](#)
- Current Status of Social Forestry in Climate Change Mitigation and Adaptation in the ASEAN region: [Situational Analysis 2020](#)
- Tenure Arrangements in ASEAN (draft)

More than 90% of all survey respondents felt ASFCC had been “much” or “highly” effective in establishing, facilitating and empowering partnerships at the regional level. Among partner and programme coordinators responding to the survey, fully 97% felt ASFCC had been “much” or “highly” effective in regional partnership work. Respondents were similarly positive (78%) in assessing ASFCC’s success in supporting partners at national levels. As with capacity development work, however, respondents noted that ASFCC was less effective in promoting partnerships at local levels and among vulnerable groups. (Annex 5, Q13)

The number and breadth of knowledge products produced with ASFCC support over the life of the programme is impressive and highly appreciated by social forestry practitioners and policy makers throughout the region and beyond. Among the best-known ASFCC knowledge products, more than half of all survey respondents considered the following products to be “much” or “highly” useful for their work (Annex 5, Q14):

- *Community forestry participatory assessment: a guide for practitioners*
- *ASEAN Guidelines for Agroforestry Development*
- The Social Forestry Knowledge Tree
- *Gap Analysis of ASEAN Standards for Non-Timber Forest Products*
- *ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture and Forestry*

Overall, survey respondents listed more than 50 distinct ASFCC-produced knowledge products of value for their work in social forestry and climate change.

## **Partnerships**

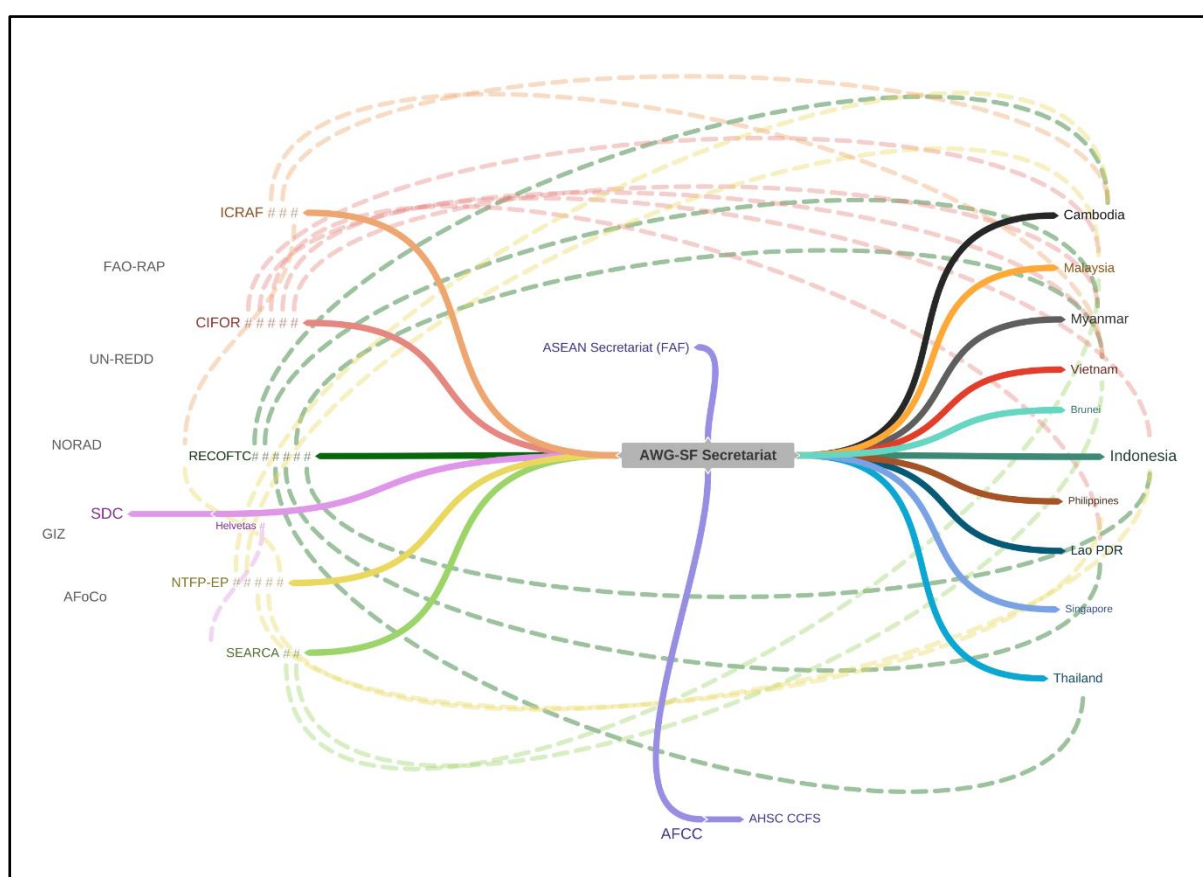
The primary partner organizations engaged formally with the ASFCC programme were a well-chosen mix of entities – each bringing unique comparative advantages relevant for supporting the development of social forestry in the region – including research, process facilitation, capacity development, technical support and standard-setting, livelihood development, trade and marketing facilitation, and small-grant administration.

Early in the programme, there was an attempt to apportion ASFCC support to AMS among partner organizations according to previous presence and working experience in various countries. This approach failed to build synergies among partners and to deliver the full benefits of the ASFCC partners. Fortunately, this approach was adjusted in Phase II and Phase III of the programme in favor of more coordinated inputs of relevant partners according to comparative advantage.

Over the life of the programme, the ASFCC primary partners became increasingly collaborative, resulting in several positive synergies, as represented in this ‘cobweb of relations’ (Figure 3).

While elements of competition invariably arose at various points in the programme, partners mostly worked well together and forged productive bonds of collaboration -- especially with regard to regional activities. Several informants characterized the partnership – including the AWG-SF focal points – as like “family”. That said, collaboration among ASFCC partners working within AMS was not as effective as it might have been. Work of the various ASFCC partners was sometimes fragmented and lacking strong connections among the respective activities of partners. Thus, the ASFCC programme of work in some AMS was sometimes more a collection of diffuse activities rather than a cohesive targeted programme of support. Annual work planning meetings of ASFCC helped ensure awareness of the activities of all the partners through, for example, preparing an annual common calendar and conducting a self-assessment of progress in the early part of Phase III. However, planning remained more a loosely bound set of activities than a coordinated programme, with common targets, strategically bringing in the best skills of each partner on a single set of activities.

**Figure 3: Network Diagram**



*Dotted lines represent recognized linkages drawn from Phase 3 operational reports (i.e., the specific AMS in which partners conducted in-country work and reported collaboration between partners). At the left-hand side of the figure organizations are shown that had various levels of collaboration with ASFCC partners in Phase 3.*

Program documents and design indicated an intention that ASFCC would work closely with several other (non-programme) entities (e.g., ADB, IFAD, World Bank, UN-REDD, FAO-RAP). For the most part, close collaboration with these other entities did not evolve in a significant manner, with the exception of FAO-RAP, which organized several events in collaboration with ASFCC. For example, with support from ASFCC, the ASFN and AWG-SF contributed as a “Stream Leader” in organizing major portions of the agendas for the third and fourth Asia-Pacific Forestry Weeks. Close coordination between ASFCC and FAO-RAP has also led the latter committing resources from FAO’s Technical Cooperation Programme (TCP) for advancing the *ASEAN Guidelines for Agroforestry Development* (formulated with support from ASFCC). The 2-year TCP project will support the formulation of roadmaps for agroforestry development and field testing in Cambodia, Lao PDR and Myanmar.

Engagement in the ASFCC partnership had major transformational effects and significant benefits for several of the partner organizations. More than three-fourths of all respondents from partner organizations and programme coordinators completing the self-assessment survey indicated ASFCC had “significant impact” or “much impact” on their organization by providing them: 1) increased influence and stronger “voice” in advocating for social forestry and climate change; 2) opportunities for exchanging knowledge with others; and 3) greater access to policy makers and political leaders. Almost as many (74%) cited strong benefits from the ability to draw upon the strengths of other partners to complement their own capacities. Less than half of the partner respondents noted the importance of financial support from the programme (Annex 5, Q16).

Four partner organizations observed that ASFCC had opened doors for collaboration even with non-ASFCC partners. ICRAF cited its new collaboration with FAO-RAP, while NTFP-EP cited ASEAN Centre for Biodiversity and AFoCO. SEARCA credited involvement in ASFCC for helping the organization to extend its reach, networks and capacity in social forestry and other areas where it previously had little involvement (Box 1). Although funding support was generally viewed as the least important benefit of the ASFCC partnership, ASFCC support had a transformational impact for RECOFTC in allowing it to develop as a recognized regional authority on social forestry policies and issues at a time when the organization's core funding had been in decline. ASFCC partnerships have spawned several joint proposals for potential future donor funding – some of which would have been unlikely without the collaboration and mutual trust that were established by working together on ASFCC initiatives.

Officials from several of the partner organizations noted that ASFCC afforded them never-before opportunities to engage closely with ASEAN through the official ASEAN entities and channels. By extension, this also gave them exceptional access to leading forestry and climate change officials from AMS. Other partner officials noted the benefits of working together with other partners – in several instances, for the first time. Partner collaboration notably strengthened support for national working groups on social forestry in selected AMS and many joint capacity-building events. ASFCC partner organizations with limited experience in particular AMS benefited from other partners with presence in the country helping to make connections and introductions for more effective work, both under ASFCC and for other work.

Officials with the ASEAN Secretariat also noted the benefits of the ASFCC partnership in providing timely technical expertise, particularly on topics with which the Secretariat lacked technical knowledge or expertise.

## **Impacts**

The overall goal of the ASFCC programme was *“to contribute to food security through sustainable, efficient and effective use of land, forests, water, and aquatic resources by minimizing the risks and impacts of, and the contributions to, climate change.”* The programme aimed to support the development and implementation of strategies of social forestry and climate change adaptation and mitigation in at least five ASEAN countries according to cross-sectoral approaches. There is ample evidence that the ASFCC programme successfully contributed to the development and implementation of such strategies across the region, with notable progress in at least seven AMS (see Section on Outcomes).

ASFCC programme objectives were two-fold:

Objective 1: Social forestry approaches developed and integrated into the climate change adaptation and mitigation strategies of ASEAN and the Member States

Objective 2: Social forestry contributes discernable socio-economic benefits for communities and vulnerable groups and contributes to the broader SDG targets

The programme clearly advanced on both of these objectives, but was significantly more successful with the first of the two. It is evident that ASFCC had very significant influence in shaping a large number of strategies, frameworks, action plans, guidelines, etc. within ASEAN formal bodies and sectoral units related to social forestry, climate change, agriculture, and food security (Table 8). This influence at the ASEAN regional level – combined with direct support to specific AMS – contributed to important policy developments and reforms in at least eight AMS (Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand and Vietnam).

**Table 8: Measures of Improvement in Forest Management**

GPCCE Indicators Component 3	ASFCC Contributions
Outcome 3: <u>Number of forest related policies</u> , laws, strategies and plans developed at <u>national level</u>	<u>14 national forest laws/policies/guidelines</u> in eight countries influenced (Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Thailand, Vietnam)
Output: Number of forest and mountain related <u>policies</u> , strategies and plans developed at the <u>global and regional level</u>	<u>8 ASEAN forest strategies, plans, guidelines</u> , tools supported <u>3 global processes</u> related to forests and climate change engaged
Output: <u>Quality</u> of policies, positions, plans, programmes addressing climate and sustainable management of forest/ecosystems in regional institutions (technically state-of-the-art and socially-inclusive)	<u>Inclusion of civil society</u> recommendations in ASEAN policy development processes facilitated <u>Evidence base</u> informing policy development generated through field engagements, assessment studies, multi-stakeholder consultations

*Source: GPCCE Strategic Framework 2017-2020; ASFCC Collaborative Impacts Matrix 2009-2020*

Self-assessment survey responses confirm that individuals engaged with ASFCC considered the programme was more successful in meeting the first programme objective as compared with the second. Nearly three-fourths of respondents felt the programme had “mostly” (61%) or “fully” achieved (13%) Objective 1. While 41% considered the programme mostly or fully achieved Objective 2, half of the respondents felt the programme had only “somewhat” achieved Objective 2. (Annex 5, Q6)

In assessing the impacts that ASFCC had on AMS, survey respondents acknowledged that the programme had more impact in advancing sustainable forest management than any other aspect. Fully 61% of respondents felt ASFCC had “much” or “significant” positive impact on sustainable forest management in the region. (Annex 5, Q9)

Fifty-nine percent of partner and programme coordinator respondents to the survey felt that ASFCC had “much” or “significant” positive impact on climate change mitigation and adaptation. However, a majority of the country respondents (58%) felt ASFCC had only “moderate” positive impact on climate change mitigation and adaptation in the region. Another one-third (33%) felt the programme had “much” positive impact on climate action, but none of the country respondents considered ASFCC to have had “significant” positive impacts on climate change action. (Annex 5, Q10)

ASFCC contributions in advancing socio-economic benefits to communities and vulnerable groups are more difficult to assess due to the diffuse nature of such localized work, questions of attribution, and the uncertain long-term impact of support on the welfare of local beneficiaries. Nonetheless, it is apparent that ASFCC indirectly contributed to improving the welfare of communities and vulnerable groups through capacity development, creating a stronger voice for marginalized groups and the rural poor in multi-stakeholder forums, improving market and product information, research leading to greater understanding of the roles and impacts of forest-dependent people, and supporting policy reforms benefiting the poor and vulnerable.

In several localized cases, significant direct benefits were realized by local communities, farmer associations, producer groups, and other civil society organizations, particularly in areas of product

development and marketing of forest-derived products by micro-, small and medium-sized enterprises (MSMEs). While budget constraints limited the scope and extent of such direct support, and precise numbers of beneficiaries are difficult to document for many activities, the number of people benefiting from some ASFCC field-oriented activities was impressive (e.g., improved capacity and connectivity of more than 10,000 beekeepers and honey gatherers through their respective networks in eight AMS).

Survey respondents indicated that they felt ASFCC had generally had “moderate” positive impact in the areas of rural livelihoods and food security in the region. There were no significant differences between the respondents from countries and from partners/coordination regarding these areas of focus. (Annex 5, Q8)

When prompted to specifically name the most significant contributions, achievements, or impacts of the ASFCC programme, the following were most frequently listed:

Supportive of Objective 1:

- learning exchange/network among AMS; improved communication among AMS
- targeted support through ASRF for analyses, studies, policy development, processes, etc.
- enhanced knowledge and understanding of elements of success for social forestry, including through systematic research
- technical support from partners
- greater understanding/appreciation of links between social forestry and climate change (“ideological shift” in mindsets about social forestry)
- formulation of legal frameworks, policies, regulations, roadmaps facilitating social forestry
- technical and policy guidelines (e.g., ASEAN Guidelines for Agroforestry Development)
- strengthened links between partner organizations, ASEAN and AMS; established sense of “partnership”
- social forestry mainstreamed and internalized in ASEAN through AWG-SF
- social forestry established as a viable approach for addressing climate change adaptation and mitigation
- transformational change of AMS institutions toward social forestry approaches

Supportive of Objective 2

- recognition of civil society organizations as key players in social forestry development
- effective multi-stakeholder working groups in several AMS
- greater voice to indigenous peoples, youth and other vulnerable groups through the CSO Forum and other mechanisms
- capacity development in various aspects of social forestry and climate change
- models for livelihood enhancement and SME development to improve socio-economic conditions of rural communities
- increased numbers of hectares managed under social forestry arrangements in AMS
- strengthened rights of access to forest resources for communities

**Facilitating and Hindering Factors affecting achievement of outcomes**

The following factors were important in contributing to the achievement of positive outcomes under ASFCC:

*Close linkage with ASEAN bodies and processes:* The strategy of working through formal ASEAN bodies to establish region-wide priorities in social forestry and climate change, backed with support mechanisms relevant to AMS (e.g., policy formulation, capacity development, stakeholder working groups) served to garner buy-in and commitment from AMS. The programme also effectively drew upon practical field-

level activities to inform the discourse on policies and strategies and lend greater legitimacy to policy guidance.

*Skilled coordination and support:* ASFCC consciously adopted a facilitative strategy in working with formal ASEAN bodies. Particularly in the early years of the programme, visibility of ASFCC as a distinct identity itself was minimized while efforts were made to enhance the “brands” of the ASEAN Social Forestry Network (ASFN) and the ASEAN Working Group on Social Forestry (AWG-SF), which evolved from ASFN. This strategy served well in building up the recognition and legitimacy of ASFN/AWG-SF, and enhancing regional pride, which is essential if ASFCC-supported entities are to thrive in the long run within ASEAN.

*Accompaniment approach:* The ASFCC Programme Adviser has been widely acknowledged for skillfully guiding the programme over the entire duration of ASFCC, being particularly adept in engaging with the wide range of ASEAN bodies and personalities, facilitating collaboration among the ASFCC partner organizations, and communicating the experiences of ASFCC to audiences throughout the world. ASFCC also benefited from strong support from SDC and other Swiss entities, including the Swiss embassies in the region. The continuous technical support of GPCCE advisers throughout the entire duration of ASFCC, particularly from Jürgen Blaser and Patrick Sieber, proved inspirational and catalytic.

*Civil society engagement:* A major contribution of ASFCC was introducing and facilitating wider and more meaningful stakeholder involvement in ASEAN and AMS processes. The CSO forums and empowerment of diverse stakeholders in AMS working groups have been transformational in many respects -- not the least of which has been to encourage the “opening up” of previously rigid and closed ASEAN processes.

*Continuity of approach over 10-year period:* SDC is to be highly commended for the relatively long duration of support it has given to social forestry development in ASEAN, channeled primarily through ASFCC. While it is widely recognized that forestry development is a long-term endeavor, donor programmes of such long duration (i.e., longer than five years) are an exception among the donor community. This long-term commitment is seen as a key contributing factor to the success of ASFCC.

*High visibility of technical events:* By skillfully organizing high-profile technical events, in association with meetings of ASOF, Asia-Pacific Forestry Commission, Asia-Pacific Forestry Week, and other high-level events in the region, ASFCC was able to “put social forestry on the agenda” of policy makers and other leading decision makers. Many of these events also attracted considerable positive media attention, further raising the profile of social forestry in the region.

*Positive mix of partner organizations with complementary contributions:* ASFCC engaged a productive mix of supporting partner organizations, each bringing valuable and unique skills, experience and knowledge to the programme. This combination of resources helped to establish the credibility of the programme and proved effective in engaging with AMS and regional officials.

*Policy dialogue grounded with practical real-world field and community experience:* The ASFCC partner organizations and the Programme Adviser were generally solidly recognized by AMS officials as having past and ongoing credible field implementation experience. This served to add legitimacy and weight to policy discussions and recommendations.

Constraints to greater achievement:

*Limited budget:* SDC funding of ASFCC over the course of the 10-year programme was relatively modest. The relatively high cost structures of the CGIAR partners (CIFOR and ICRAF) were particularly evident. Efforts to bring other donors into complementary funding arrangements met with very limited success. While the programme budget was adequate to support policy dialogue, formulation of guidelines, capacity development and targeted studies, greater resource allocations would have allowed for more direct support to AMS, and more community-level interventions and support.

*Relatively narrow range of technical expertise of ASFCC partner organizations:* The resident expertise of the ASFCC partner organizations in social forestry was outstanding. The overall mix of expertise of the ASFCC partner organizations was heavily concentrated on social forestry, with limited experience in important related sectors affecting the landscapes of ASEAN, such as agriculture, food security, energy, infrastructure development, tourism, finance, and business enterprise development. Addition of expertise in some of these related technical aspects may have helped the programme have wider impact, especially in moving development forward through a landscape management approach.

*Frequent turn-over of AWG-SF focal points:* Frequent turn-over of focal points resulted in the need to regularly re-introduce the ASFCC program to new individuals and facilitate their familiarity with the programme. This lack of continuity delayed progress in some AMS that might have been made with more consistent leadership. On the positive perspective, frequent turn-over of focal points allowed the programme to develop additional “champions” for social forestry over time.

*Slow application of policy guidance:* ASEAN processes are traditionally quite methodical, relying on deliberate collective decision making at the regional level and the individual pace of respective countries. The application of policies within AMS, particularly beyond central government levels, was hampered by normal bureaucratic inertia. In cases where effective higher-level “champions” for social forestry emerged, progress was far more rapid.

*Lack of a comprehensive and robust monitoring, evaluation and learning (MEL) system:* Although the AWG-SF Secretariat effectively documented all core activities carried out within official ASEAN processes, and tracked general progress against the ASFCC logical framework, it was not charged with serving as a comprehensive repository of all ASFCC activities and products, or with routinely analyzing the effectiveness and impact of ASFCC work. It is a weakness of ASFCC that a more robust corporate MEL system was not firmly established as part of the programme. A stronger MEL system could have helped to identify more clearly those areas of work resulting in the most significant impacts relative to costs, re-allocate tasks and finances among partners more efficiently, and readjust programme priorities to better meet the evolving needs of AMS. A more robust MEL system would also have facilitated the ASFCC communications programme. As one key informant noted, “Outcome ‘harvesting’ should have come earlier, but it’s only happening now at the end of the programme, with partners doing story-telling media pieces.”

*Limited ability of ASEAN Secretariat to secure financial resources:* Although the ASEAN Secretariat works to secure funding for all ongoing programmes, its ability to obtain long-term funding is highly dependent on the interests and priorities of donor development partners.

### 3. SUSTAINABILITY

Sustainability of ASFCC impacts are fragile, but generally likely to be maintained and slowly but steadily advance in the region. Progress is variable across ASEAN, with much stronger momentum in some AMS relative to others. Bolstering the prospects for future progress is the fact that social forestry is increasingly institutionalized in several AMS.

Most AMS have targets for social forestry or community forestry implementation. Some countries have adjusted targets upward over the past decade (e.g., Indonesia) as modest initial targets were achieved. Across the region, targets have been set by AMS that would more than double the area managed under social forestry approaches by the year 2030. Progress is being made toward achieving these targets, albeit much slower than many people hope for. The COVID-19 pandemic has, at least temporarily, slowed progress in some AMS (e.g., Indonesia reduced its 2020 target of transferring 500,000 hectares of state forests to local communities by half due to the slowdown of field work as a result of the

pandemic). That said, the fact that countries have set targets and continue to work toward them is positive.

Social forestry is now strongly institutionalized within ASEAN structures, particularly through the AWG-SF. The transition of the ASFN to a formally recognized working group of ASEAN (AWG-SF) bodes well for the future commitment of ASEAN to the sector. The functioning of the AWG-SF has steadily shifted to AMS. Prior to 2015, AFSCC funded the travel of two delegates from each AMS to participate in the annual Working Group meetings; that support has steadily declined with only five delegates funded by ASFCC to participate in the 2019 AWG-SF meeting. The host country now shoulders the entire cost of hosting the AWG-SF annual meetings.

Sustainability and progress at country levels are very dependent on strong “champions” for social forestry. One legacy of ASFCC is having developed and nurtured a strong cadre of social forestry advocates in the region. More than 40 individuals have served as AWG-SF focal points or leaders over the 10 years of ASFCC. Many hundreds more were trained in various aspects of social forestry under the programme. Many of these individuals have risen to higher levels within their bureaucracies or assumed positions of leadership in their communities. These individuals are likely to exert increasing influence in policy making, programme development and social forestry implementation in the future.

Evaluation self-assessment survey respondents indicated strong confidence in the future of the AWG-SF. Fully 41% of all respondents expect the AWG-SF will be “operating in a robust manner five years from now, with an expanded level of activity, supported by new and additional donor support.” Another 37% expect the AWG-SF will be “operating with at least modest, but important levels of activity, supported by voluntary contributions from AMS and partner organizations’ own resources.” (Annex 5, Q18)

Survey respondents were even more optimistic in their assessment of the extent of commitment that ASFCC has managed to instill in both ASEAN entities and AMS for continuing activities in social forestry and climate change. More than 80% of respondents believe the AWG-SF Secretariat is “much” or “highly” committed to continuing social forestry and climate change work. Nearly as many acknowledge such commitment on the part of the ASEAN Secretariat (78 %) and ASOF (72%). (Annex 5, Q19)

AMS are also recognized as being “much” or “highly” committed to future work in social forestry and climate change. Among partner and programme coordinator survey respondents, more than half believe Cambodia, Lao PDR, Indonesia, Myanmar, Philippines, Thailand and Vietnam to be “much” or “highly” committed to continuing social forestry and climate change activities. Respondents from countries were even more positive, with more than half perceiving all of the AMS – including Brunei, Malaysia and Singapore – to be much or highly committed to continuing social forestry and climate change work initiated under ASFCC. (Annex 5, Q19)

Nearly all AMS now have distinct government units established to advance social forestry in their countries (Table 9).

**Table 9: Local bodies**

<b>AMS</b>	<b>Policy Framework for Social Forestry</b>	<b>Implementing Office</b>	<b>Multi-stakeholder mechanism/s</b>
Cambodia	2002 Forestry Law 2003 Community Forestry Management Sub-Decree 2006 MAFF Guidelines on Community Forestry (Prakas) 2008 Protected Area Management Law	<b>Department of Forest and Community Forestry,</b> Forestry Administration, Ministry of Agriculture, Forestry and Fisheries	Community Forestry Program Coordination Committee at national (NCFPCC) and provincial levels (PCFPCC)
Indonesia	1998 Ministerial Decree 699 on CFM 2001 Forest Minister Decree No. 31 on administration of Community Forestry 2004 Regulation of the Minister of Forestry (No. 1 Menhut-II/2004) 2007 Ministerial Regulation No 37 2008 Ministerial Regulation No.49 providing the legal basis for HKm and Village Forests 2016 MOEF Ministerial Decree 83	<b>Directorate General of Social Forestry and Environmental Partnership,</b> Ministry of Environment and Forestry	
Lao PDR	2005 Forestry Law 2010 Forestry Strategy to 2020	<b>Village Forest and Non-Timber Product Management Division,</b> Department of Forestry, Ministry of Agriculture and Forestry	Village Forestry Working Group (VFWG)
Myanmar	1995 Forestry Policy 2016 CF Instruction 2017 Forest Strategy to 2020 2018 Forest Law 2019 CF Instruction	Community Forestry Unit, Forest Department  <b>Forest Research Institute (FRI),</b> Ministry of Natural Resources and Environmental Conservation (MONREC)	Community Forestry Working Groups (CFWG) at national, regional, and township levels
Philippines	1995 Executive Order No. 263 1997 Indigenous People's Rights Act	<b>Community Forestry Section,</b> Forest Management Bureau, Department of Environment and Natural Resources (DENR)	National Working Group on CBFM
Thailand	1992 Forest Sector Master Plan 2019 Community Forestry Act	<b>Community Forest Management Bureau,</b> Royal Forest Department	

AMS	Policy Framework for Social Forestry	Implementing Office	Multi-stakeholder mechanism/s
Vietnam	1991 Forest Protection and Development Law 2003 Land Law 2004 Forest Protection and Development Law	<b>Forest Protection and Management Division</b> Forest Protection Department, Viet Nam Administration of Forestry (VNFORD), Ministry of Agriculture and Rural Development (MARD)	

Source: RECOFTC Situational Analysis on Social Forestry and Climate Change 2020; AWG-SF Distribution List as of Feb 2020

A measure of the continuing relevance of ASFCC beyond the closure of the programme is the recent reference in the April 2020 Statement of the ASEAN Ministers of Agriculture and Forestry in Response to the Outbreak of the Coronavirus Disease (COVID-19) to Ensure Food Security, Food Safety and Nutrition in ASEAN, calling on AMS to *“continue efforts to implement the ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture and Forestry to increase resilience to, and contribute to the mitigation of and adaptation to climate change, natural disasters and other shocks.”*

Following the formal closure of ASFCC, the AWG-SF held a virtual meeting in September 2020, with approximately 40 participants from AMS, the ASEAN Secretariat, AWG-SF Secretariat, and former ASFCC partner organizations. The AWG-SF finalized its proposed Plan of Action for 2021-2025 and forwarded it to ASOF for endorsement. Encouragingly, many of the actions planned and proposed by the AWG-SF for the upcoming 5-year period have garnered support from former ASFCC partners and other development partners and donors.

## 4. LESSONS

**Social forestry development is a complex process that requires sustained commitment** over time. Successful implementation of social forestry requires lengthy efforts to establish trust among stakeholders, formulate enabling policies and strategies, build capacities, and enhance community support structures. As efforts expand to additional sectors and elements of development -- including objectives for achieving global benefits -- even greater commitment of time, effort and technical inputs should be anticipated.

**Working closely with, and through, formal ASEAN mechanisms** requires considerable time and effort, but the added gravity assigned to ASEAN decisions and commitments is generally worth the programmatic efforts made. In Southeast Asia, the socio-political culture is receptive and generally responsive to the “ASEAN way,” although progress often seems agonizingly slow. A dedicated entity, such as the AWG-SF Secretariat under ASFCC, can perform essential roles in linking donor organizations and development partners with the ASEAN Secretariat and the AMS. Clear understanding of the operational procedures of ASEAN, relationships of organizations, and astute awareness of the cultural traits of ASEAN and AMS are highly valuable in supporting programme implementation.

The **ASEAN approach of joint decision-making and regular reporting by AMS** on progress against plans of action effectively gives opportunity for leading countries to encourage others through example, facilitates the sharing of information and experiences, and generates peer pressure on all countries to strive toward achieving agreed actions and meeting targets.

**Accurate and consistent data and information on social forestry** in ASEAN is important for effective policy making and planning, but is generally lacking. While the periodic situational analysis reports produced with ASFCC support have gone a long way toward increasing the understanding of social

forestry in the region, the underpinning data collection and reporting at AMS levels lacks the rigor and comprehensiveness needed to effectively track the benefits and impacts of social forestry. More comprehensive and consistent data would not only facilitate better decision making, but would undoubtedly serve to expand the support and constituency for social forestry.

**Policy advice, grounded by practical field implementation experience** (e.g., that of RECOFTC and NTFP-EP) tends to be perceived by AMS as more credible and implementable. Thus, although costly to implement, field-level initiatives are important complements to policy reform elements.

**Effective communications** are exceedingly important to develop understanding and support for complex programs such as ASFCC and to generate the political commitment needed to make rapid progress against objectives. Social forestry is a multi-faceted endeavor that requires clear and convincing communications on many levels, from high-level policy makers to farm-level villagers and the general public. Greater investment in communications is required to instill wider appreciation of the potential for social forestry to contribute to achieving broader climate change and development objectives.

The **unique comparative advantages of supporting partners** are a powerful asset in programme delivery. However, careful selection of partner organizations to be engaged in a programme such as ASFCC is essential, as is clear definition and monitoring of each partner's basic roles, responsibilities and expectations. Strong coordination of partner contributions is needed to ensure that comparative advantages are brought to bear in a manner that results in "the whole being greater than the sum of the parts." Regular and robust assessment of each partners' delivery is important to ensure "value for money" and effective allocation of scarce budget resources. Careful monitoring of evolving programmatic needs may lead to adding new partners (as was done in ASFCC by bringing in SEARCA and ICRAF) or disengaging from existing partners.

The **importance of multi-stakeholder dialogue** in delivering successful outcomes in social forestry is essential. Only when the voices of all stakeholders, including women, youth, indigenous people, and other marginalized and vulnerable groups are heard alongside those of government, NGOs, the private sector, and investors, can meaningful and workable decisions on resource management be concluded.

**Immediate local needs must be prioritized** on the path toward global objectives. The more precarious the existence of local stakeholders, or the more immediate their daily needs, the more emphasis that people put on food security, clean water supplies, stable livelihoods and incomes, access rights to resources, etc., with lower priority given to global environmental benefits and long-term assets. This is not to say that more vulnerable people are uncaring about global benefits such as climate change mitigation, only that their short-term needs are overriding. This highlights the importance of ensuring that both sets of objectives (local/immediate as well as global/long-term) are addressed. It further implies that without the provision of immediate people-oriented benefits, it is unlikely that global benefits will be realized. A corollary is that climate change gains from social forestry initiatives are not a given; explicit efforts are needed to ensure that social forestry actions lead to climate change benefits.

A **wide range of knowledge and expertise** is required to effectively implement landscape-based approaches, including social forestry. Although social forestry has traditionally been "housed" within the forestry sector, to be truly effective at the landscape level, knowledge and expertise may also be needed in agriculture, water resources, energy, infrastructure, tourism, marketing, SME development, conflict management, tenure, and other fields.

**Gains from social forestry are fragile.** While good progress has been made in most AMS over the past decade, there has also been occasional stagnation of progress and backsliding as a result of inconsistent policies, eroding political commitment, and elite capture of resources. Continued support is needed to sustain and accelerate progress by strengthening tenure rights of local people, codifying favorable policies, building capacities, and further empowering the participation of vulnerable stakeholders.

## 5. CONSIDERATIONS FOR FUTURE ENGAGEMENT WITH ASEAN

### Priorities for Future Action

It is only natural that the closer one gets to the actual management of resources on the ground, the more that affected resource managers prioritize local benefits. Responses from AMS respondents in the survey conducted for the ASFCC evaluation placed the highest levels of importance on local benefits, including thematic areas of work: sustainable forest management (listed as one of three highest priorities by 75% of respondents), social forestry (58%), poverty reduction and rural development (33%), and adaptation to climate change (33%) (Annex 5, Q20). In a similar survey conducted in collaboration with RECOFTC, respondents representing AMS and those working mostly at country level underscored the importance of future initiatives focused on climate change adaptation, food security, economic development, and forest landscape restoration.

Respondents with wider regional or global perspectives highlighted slightly different priorities, but still focused on direct benefits to local people or measures that underpin long-term benefits. For example, the group of respondents of the RECOFTC survey with the widest perspective (including individuals working with NGOs, private sector, academia, etc.) placed high priority on securing land tenure and user rights (listed more than twice as often as any other area of work), forest landscape restoration, climate change adaptation, and food security.

*“Tenure has helped to promote the precautionary principle. However, tenure does not automatically translate to improvement of well-being. Many development partners are already focusing on tenure, but the gap is in strengthening federations through training.”*

- FAO-FLEGT informant

*“Due to COVID, poverty will increase and jobs will be needed. If rural people do not break even, they move to cities. ASEAN will be challenged by recovery packages to create more work away from cities and into landscapes and forests.”*

- Swiss Federal Office of Environment

It should be noted that the pool of respondents for both the ASFCC self-assessment survey and the RECOFTC survey comprise individuals who are somewhat predisposed to favor future work in areas related to forestry, social forestry and land-use management. Although efforts were made to provide opportunities for respondents to identify priorities more broadly, the tendency of many of the respondents naturally slides toward forest-related priorities. Despite this inherent bias, a key conclusion to draw is the consistent priority placed on future initiatives that generate direct local benefits through people-centered approaches. In contrast, topics such as climate change mitigation and environmental protection and management ranked as relatively low priorities in both surveys.

The importance of programmes delivering local benefits were also highlighted by many experienced representatives from AMS and development partners in key informant interviews. *“Initiatives need to be based on countries’ strategies; programmes must be ‘nationally owned’”* stressed one senior development partner official, a sentiment echoed by several others. Many informants highlighted the importance of increasing rural employment, improving livelihoods, enhancing rural product qualities and values, developing business skills and expanding markets for rural producers.

Key informants and the results of the survey conducted by RECOFTC underscored appreciation for regional approaches and collaboration as a way of catalyzing and strengthening national and sub-national efforts. Consistent and strong support was voiced for exchanging experiences and learning among AMS and addressing issues collectively through regional frameworks and guidelines. While noting the benefits of regional approaches through ASEAN processes, however, most informants echoed the results of the ASFCC self-assessment survey and the RECOFTC survey in calling for greater engagement with national and sub-national processes and on-the-ground initiatives.

While delivering benefits to local people will remain at the forefront for most development planners in AMS, there is widespread recognition of the importance and shared responsibility for acting on global environmental priorities.

All AMS are Parties to the UNFCCC, CBD, and UNCCD. However, not all of them have the implementation tools in place that are needed to facilitate synergy, coherent policy instruments and cost-effective ways for implementation. For UNFCCC, eight of the ten AMS have submitted their First Nationally Determined Commitments (NDCs) but none of them have National Adaptation Plans (NAPs). For UNCCD, seven of the ten AMS have committed to setting targets for Land Degradation Neutrality (LDN) but only Laos has a national action programme as of 1999. For CBD, all AMS have National Biodiversity Strategies and Action Plans (NBSAPs), but not all of them have mapped their national targets to the Aichi Biodiversity Targets. (Table 10)

**Table 10: ASEAN Member States Commitments to Rio Conventions**

Country	<a href="#">UNFCCC</a>	<a href="#">NDC</a>	<a href="#">CBD</a>	<a href="#">NBSAP</a> <a href="#">Aichi</a>	<a href="#">UNCCD</a>	<a href="#">NAP</a>	<a href="#">LDN</a>	SDG <a href="#">VNR</a>
Brunei	2016 (rtf)	-	2008 (acs)	√	2002 (acs)	-	-	2020
Cambodia	2017 (rtf)	√	1995 (acs)	√ *	1997 (rtf)	-	√	2019
Indonesia	2016 (rtf)	√	1994 (rtf)	√ *	1998 (rtf)	-	√	2019
Lao PDR	2016 (rtf)	√	1996 (acs)	√ *	1996 (acc)	√	√	2018
Malaysia	2016 (rtf)	√	1994 (rtf)	√	1997 (rtf)	-	-	2017
Myanmar	2017 (rtf)	√	1995 (rtf)	√	1997 (acs)	-	√	[2021]
Philippines	2017 (rtf)	-	1994 (rtf)	√	2000(rtf)	-	√	2019
Singapore	2016 (rtf)	√	1996 (rtf)	√ *	1999 (acs)	-	-	2018
Thailand	2017 (rtf)	√	2004 (rtf)	√	2001 (acs)	-	√	2017
Viet Nam	2017 (AA)	√	1995 (rtf)	√	1998 (acs)	-	√	2018

Notes: rtf - Ratification; acs - Accession; acc - Acceptance; AA - Approval; \* - NBSAP mapped to Aichi Biodiversity Targets 2011-2020

As a development partner with a broad mandate and perspective, SDC understandably strives to achieve both global and local benefits. Ideally, future SDC engagement with ASEAN would strongly deliver on both expectations. Such balance is not only desirable from an equity standpoint (local people should not be expected to bear all the costs of delivering global benefits), but is essential to gain the support and active engagement of local people.

*“To strike the right balance between regional talk shops and project-type activities in countries is a key challenge.”*

- AMS official with decades of experience engaging with ASEAN

*“Forest needs championing because it is an ugly duckling compared to agriculture that is more lucrative. Environmental services are a main game changer.”*

- Swiss Federal Office of Environment

Having successfully established strong working relationships with ASEAN bodies and the ASEAN Secretariat, SDC is in a good position to support a future programme that would strike a balance

between regional processes (norm setting, guidelines, frameworks, PoA, exchanges of knowledge and experiences) and national/sub-national action. Catalyzing greater action on the ground (e.g., sustainable management of critical landscapes) would be a logical extension of the foundation established by ASFCC.

Key informants and focus groups strongly emphasized the importance of building on the positive achievements, institutional structures, and constructive mindsets created under ASFCC. Nearly all consulted officials acknowledged the value of SDC extending support to other areas of work rather than continuation of a narrow programme on social forestry, but there was universal agreement that the good progress of ASFCC should not be dismissed, but rather used as a foundation for future initiatives.

Casting a new shadow over all considerations of future engagement with ASEAN is the COVID-19 pandemic. While long-term responses to the pandemic are only starting to be factored into AMS economic and environmental planning, the pandemic has clearly had a major impact on all aspects of life in the region. Recovery from the impacts of COVID-19 and protection against future pandemic threats will undoubtedly become high priorities in most future development programmes in the region. COVID-19 is bringing to the forefront issues of health (especially for marginalized and indigenous peoples), resilience, local value chains, simplified lifestyles, food security, sustainable livelihoods, and conservation of biodiversity (including greater safeguards of wildlife).

### **Partnership Opportunities with ASEAN**

The multi-sectoral nature of issues in climate change and environment prompts ASEAN to address these through various working groups under two of its three pillars – ASEAN Economic Community (AEC) and ASEAN Socio-Cultural Community (ASCC). The Department for AEC is headed by H.E. Dr. Aladdin D. Rillo while the ASCC Department is headed by H.E. Kung Phoak. Both assumed their posts in 2018.

Two key movers are addressing climate concerns within the structure of the ASEAN Secretariat – the Food, Agriculture, and Forestry Division (FAFD) under the Sectoral Development Directorate of AEC, and the Environment Division (ENVD) of the Sustainable Development Directorate under ASCC.

Most thematic topics of interest to SDC GPCCE fall under either ENVD or FAFD. Generally, ENVD bodies focus more on environmental protection and conservation, policy development, coordination, capacity development, and articulation of ASEAN common positions and statements. Work tends to be organized around studies, workshops, trainings, development of guidelines, collection of data and information, coordination of strategies, and other short-duration activities (with some exceptions, such as the work of the ASEAN Center for Biodiversity). In contrast, FAFD bodies focus more on production landscapes and sustainable management of natural resources (e.g., agriculture, forestry, fisheries, crops, livestock, trade, market access). FAFD bodies typically oversee more programmatic work and projects of longer duration than their ENVD counterparts. In addressing climate change, ENVD bodies (particularly the ASEAN Working Group on Climate Change) commonly deal with planning and coordination aspects, while substantive implementation of climate change actions reverts to specific FAFD production-focused WGs.

### **Food, Agriculture and Forestry Division (FAFD)**

FAFD facilitates cooperation among the ASEAN Ministers of Agriculture and Forestry (AMAF) through 14 ASEAN Bodies (e.g., Senior Officials, Working Groups, Networks, Task forces, Joint Committees) (Annex 17).

The [Vision and Strategic Plan For ASEAN Cooperation in Food, Agriculture and Forestry 2016-2025](#) (FAF SPA 2025) is the common strategy document that guides the Five-Year Plans of Action (PoA) of each ASEAN Body. The FAF SPA 2025 has seven strategic thrusts:

- 1) Enhance quantity and quality of production with sustainable, 'green' technologies, resource management systems, and minimize pre- and post-harvest losses and waste;

- 2) Enhance trade facilitation, economic integration and market access;
- 3) Ensure food security, food safety, better nutrition and equitable distribution.
- 4) Increase resilience to climate change, natural disasters and other shocks;
- 5) Assist resource-constrained small producers and SMEs to improve productivity, technology and product quality, to meet global market standards and increase competitiveness.
- 6) Strengthen ASEAN joint approaches on international and regional issues affecting FAF sectors.
- 7) Promote sustainable forest management.

ASFCC championed the institutionalization of the ASEAN Working Group on Social Forestry (AWG-SF), one of the five working groups under the ASEAN Senior Officials on Forestry (ASOF).<sup>2</sup> Mid-term reviews have recently been conducted on the Forestry SPA and AWG-SF PoA to check progress of implementation from 2016 to 2020, and to inform the second round of PoAs covering 2021-2025.

### **Environment Division (ENVD)**

ENVD coordinates work of the ASEAN Ministerial Meeting on Environment (AMME) through seven Working Groups representing the seven strategic priorities under the ASEAN Strategic Plan on Environment 2016-2025, with guidance from the ASEAN Senior Officials on Environment (ASOEN).<sup>3</sup>

Important ENV roles and thematic areas include:

- ASEAN Joint Statements (e.g., to UNFCCC)
- Climate change coordination
- Transboundary Haze Agreement
- Coastal and marine conservation
- Biodiversity conservation (ACB)
- ASEAN Heritage Parks
- Environmentally Sustainable Cities

A [2015 survey](#) conducted by the Institute for Global Environmental Strategies (IGES) reviewed ASEAN's organizational structure and decision making processes for regional environmental cooperation. The assessment reviewed structures operating under the ASEAN Socio-Cultural Community, based on key informant interviews and review of ASEAN official documents. While slightly dated, many of the review's findings and conclusions remain valid. The survey noted challenges related to: 1) complex decision-making processes; 2) infrequency of Working Group meetings; 3) insufficient resources; 4) insufficient coordination among major stakeholders and national government officials; and 5) socio-economic and cultural differences among the AMS.

The IGES review further noted that ASEAN Environmental WGs tended to act mostly as forums for policy discussion and review rather than as operational entities – a finding consistent with that of this evaluation. The IGES assessment urged environmental development assistance to be more directly focused on AMS needs (especially issue areas where specific AMS are positioned to lead concrete

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<sup>2</sup> The other four Working Groups under ASOF are focused on: (i) Forests and Climate Change (AWG-FCC); (ii) Forest Management (AWG-FM); (iii) Forest Products Development (AWG-FPD); (iv) CITES and Wildlife Enforcement (AWG-CITES-WE). Streamlining in 2015 resulted in rationalization of work previously organized under 11 ASOF bodies (four ASEAN Experts Groups, one ASEAN Working Group and six Networks) into 5 ASEAN Working Groups.

<sup>3</sup> The seven Working Groups under ASOEN are focused on: (i) Nature Conservation and Biodiversity (AWG-NCB); (ii) Coastal and Marine Environment (AWG-CME); (iii) Water Resources Management (AWG-WRM); (iv) Environmentally Sustainable Cities (AWG-ESC); (v) Climate Change (AWG-CC); (vi) Chemicals and Waste (AWG-CW); (vii) Environmental Education (AWG-EE).

action), shifting further from activities and short-term projects to longer-duration programmatic approaches, and involvement of a wider array of stakeholders.

SPAs and PoAs set out time-bound deliverables that require funding (Box 3), but the ASEAN Fund designed to support and drive progress on deliverables is chronically limited and funds are spread over many themes. ASEAN action is therefore strongly dependent on, and driven by, support from development partners and donors.

### Box 3: ASEAN Strategy Documents most relevant to Land Use

#### Strategic Plan of Action for Cooperation in [Food, Agriculture and Forestry](#), 2016-2025

ASEAN Plus Three Cooperation Strategy on Food, Agriculture And Forestry ([APTCS](#)), 2016-2025

Strategic Plan of Action for Cooperation in [Forestry](#), 2016-2025

- AWG [Forest Products Development](#) Plan of Action, 2016-2020
- AWG [Forest Management](#) Plan of Action, 2016-2020
- AWG [Social Forestry](#) Plan of Action, 2021-2025
- AWG [Forests and Climate Change](#) Plan of Action, 2016-2020
- AWG [CITES and Wildlife Enforcement Plan of Action](#), 2016-2020

Other FAFD Plans of Action

- AWG [Crops](#) Plan of Action, 2016-2020
- AWG [Fisheries](#) Plan of Action, 2016-2020
- AWG [Livestock](#) Plan of Action, 2016-2020
- AWG [Agriculture Research and Development](#) Plan of Action, 2016-2020

#### Strategic Plan of Action for Cooperation in [Environment](#), 2016-2025 <sup>4</sup>

A view expressed by several key informants is that ENV and its related bodies tend to be more formal, more rigid in communications, and less inclusive than those of FAF. Positively, however, most officials familiar with ASEAN acknowledge that all ASEAN bodies are becoming less formal and are moving toward greater transparency and inclusiveness.

Although ASEAN bodies are still viewed as working too independently along sector lines, there is increasing openness to collaboration among sectoral bodies and the divides between and among the organization's bodies are slowly being bridged. As climate change concerns affect all sectors and all aspects of society and development, addressing the challenges of climate change is increasingly pushing ASEAN toward greater integration and coordination. Signals from the highest levels (e.g., initiative of the Office of the Secretary-General to constitute an internal Working Group on Climate Change) are further driving increased coordination and collaboration among sectoral bodies.

*“ASFCC tested mechanisms and ways of working and this generated a solid body of experiences that can be applied much broader than social forestry or forestry or inclusive forestry.”*

*– Swiss official*

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<sup>4</sup> Plans of Actions of AWGs under ENVD are not available online, but strategic priorities and programmes under each Working Group are laid out in the brochure, [ASEAN Cooperation on Environment at a Glance](#).

## **Current and Planned Donor Initiatives**

Southeast Asia hosts a diverse array of development partners and organizations. This offers good opportunities for SDC to collaborate with “like-minded” partners and to complement the efforts of others.

The Swiss Embassy in Indonesia is part of an informal donor coordination group that meets every few months to update a list of regional environment and natural resources projects working implemented in collaboration with ASEAN (Annex 18). As of August 2020, the list contains 18 ongoing or recently concluded projects on the themes of climate change, agriculture, or biodiversity & environment, working with either the ASEAN Economic Pillar (6 projects) or the Socio-Cultural Pillar (12 projects). The total budget for these projects is approximately US\$120 million coming from seven donors – Germany (51%), European Union (31%), Switzerland (12%), Canada (3%), Japan (2%), and Norway (1%). Project durations range from 3 to 10 years, with the ASEAN-Swiss project being the longest at 10 years. Half of these 18 projects are expected to continue beyond 2020 (ending between 2021 and 2023).

Table 11 presents a qualitative assessment of engagement in climate change and environment for major development partners working in ASEAN and in AMS, including three (Germany, Sweden, and Norway) traditionally considered to be closely aligned with SDC. Annex 19 provides further information on development actors in the region that are active in environment, land use, and natural resources management.

Among the bilateral partners reviewed, Germany and Japan have the most significant engagement with ASEAN structures. Germany has around 40 staff assigned to the ASEAN portfolio based in Jakarta, plus hundreds more handling various development projects around the region. The ASEAN-German portfolio has 14 regional projects with budgets ranging between EUR 1 million and EUR 18.6 million. Japan has 11 staff based in the ASEC compound to support monitoring of the [Japan-ASEAN Integration Fund](#) that is a window for ASEAN Member States to apply for financial support for activities or projects up to two years in duration, with average budgets of US\$200,000. Additionally, through the Japan International Cooperation Agency (JICA), Japan has earmarked US\$1.2 billion in loans and investment for ASEAN countries. Japan provides an estimated 70 percent of ASEC funds, though this reportedly does not translate to commensurate influence on ASEAN processes. A similar funding mechanism with Republic of Korea exists, the [ASEAN-ROK Cooperation Fund](#), that supported the ASEAN-ROK Forest Cooperation (AFoCo) which has operated since 2012.

**Table 11: Climate Change and/or Environment Programmes of Selected ASEAN Partners**

<b>Initiatives in SEA</b>	<b>Switzerland</b>	<b>Germany</b>	<b>Sweden</b>	<b>Norway</b>	<b>EU</b>	<b>Japan</b>	<b>ROK</b>	<b>China</b>
<b>Climate Change/ Environment Priority</b>	√	√	√	√	√	√	√	√
<b>Main Partner in SEA</b>								
Government	√	√		√		√	√	√
Civil Society	√		√		√			
Multilateral			√	√	√	√		

Initiatives in SEA	Switzerland	Germany	Sweden	Norway	EU	Japan	ROK	China
<b>Main Entry Point</b>								
ASEAN Regional	√	√	√					
AMS Bilateral				√	√	√	√	√
<b>Main ODA Type</b>								
Grants	√	√	√	√	√			
Loans						√	√	√
<b>SDG Support in SEA</b>								
Climate Action	√	√	√	√	√	√	√	√
Life on Land	√	√	√	√	√	√	√	√
Sustainable Cities		√						√
Clean Energy		√						
Water & Sanitation								
Life below Water		√	√			√		
<b>NDC Links</b>								
LULUCF	√	√	√	√	√	√	√	√
Agriculture	√	√	√			√	√	
Waste			√					
Energy		√	√					
IPPU								√

Norway and Sweden largely engage ASEAN structures on development cooperation through “proxies”. Norad considers its substantial contribution to UN-REDD as its key delivery mechanism for engaging ASEAN. Sida generally provides development support to the region through technical institutes and NGOs working with ASEAN (e.g. SEAFDEC, RECOFTC, IUCN). The Ambassador to ASEAN of Norway started only in 2018; the Ambassador of Sweden started in 2019. (Annex 19)

Germany and Norway both give highest priority to climate change action in their development cooperation programmes. Although Germany’s support extends across several technical sectors, its support is largely channeled through a climate change screen. Both Germany and Norway have substantial and long-running climate programmes in the region. Germany’s International Climate Initiative (IKI) has bilateral and transnational projects with 9 of the 10 ASEAN countries. Norway’s International Climate and Forest Initiative (NICFI) supports REDD+, through a bilateral partnership with

Indonesia, and through UN-REDD in Vietnam and Myanmar. Indonesia is preparing to receive the [first tranche of results-based REDD+ payments](#) from Norway's US\$1 billion Letter of Intent. (Annex 19)

Japan, Republic of Korea and China are less explicit in promoting climate action through their development cooperation programmes. Development policies of these countries often allude to "sustainability," although they have not developed significant environmental or climate-focused flagship programmes. The strongest expression of environment/climate change support was found in the [ASEAN Plus Three Cooperation Strategy on Food, Agriculture and Forestry \(APTCS\), 2016-2025](#) that includes climate change adaptation and mitigation as one of its strategic thrust areas. (Annex 19)

Germany, like Japan and the Republic of Korea, tends to support climate action mainly through government mechanisms while Norway has moved towards working with civil society more recently, similar to Sweden, alongside contributions to multilateral programmes. Norway has an active "climate diplomacy touring" wherein visiting Norwegian diplomats regularly have climate on their agenda during political and diplomatic discussions. (Annex 19)

South-south cooperation among members of ASEAN Plus Three (Japan, Republic of Korea, China) often takes the form of loans (concessional and otherwise), while those with countries in the North are through grants and technical assistance projects. (Annex 19)

Canada and the United States of America are both ASEAN Dialogue Partners. Canada's strategic thrusts are strongly aligned with land use, while USA-supported programmes tend to be more wide-ranging in various environment and natural resources sectors. Canada's Plan of Action with ASEAN from 2016-2020 expressed interest in multisectoral frameworks and landscape approaches. It supports the ASEAN Integrated Food Security (AIFS) Framework and is considering support to the "ASEAN Multi-sectoral Framework on Climate Change: Agriculture, Fisheries and Forestry towards Food Security (AFCC)". Other areas of cooperation are sustainable agriculture, forest management practices, disaster management, and biodiversity in the context of economic diversification, climate change, and governance. Canada also supports implementation of the ASEAN Minerals Cooperation Action Plan (AMCAP) 2016-2020. CAD 11.9 million was provided to enable MSME development in ASEAN. USA on the other hand, is currently focused on trade, information and communication technology, and political security, to enhance partnership with ASEAN in promoting a free and open Indo-Pacific region. (Annex 19)

Some donor countries consider United Nations technical agencies in the region (e.g. FAO-RAP, UN-REDD) as their delivery mechanisms for indirectly supporting ASEAN. FAO-RAP has a work plan with ASEAN covering an extensive range of themes far beyond forestry, including food security, agroforestry, disaster management, and collaboration with Grow Asia on responsible investments. One action under this work plan is a US\$367,000 project in collaboration with ICRAF to help advance the ASEAN agroforestry guidelines in Myanmar, Laos, Cambodia through setting up structures and institutional mechanisms to promote agroforestry with forestry people, agriculture people and other units in government. An agroforestry knowledge hub will be established at the regional level in partnership with the ASEAN Secretariat. FAO-RAP is also developing a 10-year strategic plan that aligns with the Decade of Action (2020-2030), focusing on landscapes and livelihoods through two thematic clusters: (i) restoration and (ii) value chains. (Annex 19)

UN-REDD is near the end of its second phase, and working with donors to elaborate a third phase. Whereas the earlier phases invested in REDD+ strategies and capacity development, including for monitoring, verification and reporting (MRV), the third phase will likely focus on helping countries connect with climate finance as well as with private companies looking to invest in forest-based climate results. Norway is using UN-REDD to channel specific investments to Mekong countries to develop implementable national forest certification standards, regional dialogues to ensure consistency and compatibility within the region, and use ASOF as an ASQCC (ASEAN quality and standards). Norway also provided US\$1M to UN-REDD for incorporation of mangroves in REDD+ strategies. UN-REDD sees that climate finance has a big role in ensuring macro policies are in line with implementation to change practices on the ground. (Annex 19)

The Global Environment Facility (GEF) and Green Climate Fund (GCF) are financial mechanisms that help ASEAN Member States work towards global commitments. GEF is in its 7<sup>th</sup> cycle (US\$4.1 billion pledged) and GCF (US\$6.1 billion committed).

AMS can access two GEF funding windows - the System for Transparent Allocation of Resources (STAR) and the Capacity Building Initiative for Transparency (CBIT). Most funds under the STAR programme are already allocated in the region. The CBIT program supports non-Annex 1 countries to meet the enhanced transparency requirements defined in Article 13 of the Paris Agreement, for example through a US\$1.9 million upcoming project in [Indonesia](#) to be implemented by UNDP. Another US\$8.5 million project in the pipeline covers seven AMS focused on [integrated river basin management](#) to reduce pollution and preserve environmental flows in the East Asian Seas.

GCF supports 10 projects in five AMS amounting to US\$436 million, of which around 82% are allocated to Indonesia and Vietnam. GCF also approved 33 readiness activities in eight AMS worth around US\$21 million as of Sep 2020. (Annex 19)

Multilateral development banks are financing major projects related to climate and land use in Southeast Asia. For example, Asian Development Bank (ADB) and World Bank are managing projects in Indonesia and Lao PDR under the Forest Investment Program (FIP) of the Climate Investment Fund (CIF), an \$8 billion fund to support scaling up mitigation and adaptation action. The World Bank is managing the Carbon Fund of Forest Carbon Partnership Facility where Indonesia, Lao PDR and Vietnam are working towards obtaining Emission Reductions Purchase Agreements (ERPA) so that they can be remunerated for climate mitigation actions. (Annex 19)

From a trade perspective, the European Union Forest Law Enforcement, Governance and Trade (EU-FLEGT) and the International Tropical Timber Organization (ITTO) are working with AMS to improve environmental and social sustainability of timber value chains, as one way of reducing emissions from deforestation and forest degradation. EU-FLEGT, after a lengthy process, has concluded a Voluntary Partnership Agreement (VPA) with Indonesia. The VPA negotiation process is ongoing with Vietnam and Lao PDR. The European Forest Institute and FAO-RAP are supporting dialogues in other member states where VPA discussions are stalled or not started. ITTO has eight operational projects in five AMS, and another six projects in the pipeline that are awaiting finance. (Annex 19)

Many development organizations are currently in the process of elaborating new strategic plans, most covering to 2025 or longer (Annex 19). Several of these efforts have been slowed by the pandemic.

### **Potential collaboration**

All informants working with donor agencies and development organizations underscored willingness to collaborate (and modalities). Many informants acknowledged that it is very challenging to pool financial resources and formulate a single joint programme due to differing funding cycles, administrative procedures, and operational practices. Most stressed a preference for less formal collaborative planning and complementary actions.

*“We are very interested to work more closely again with SDC. Want to see where we can create synergies and have joint activities, depend on focus areas each chooses” - informant from Germany*

*“We do not want to be alone in programming; it is more enjoyable and efficient to partner with other donors to reinforce like-minded strategies.” - key informant from Sweden*

*“If you do things in a fragmented manner, chances of success are low.” - informant from Norway*

Various development partners, including Sweden, Norway, Germany, EU, and AFoCO, have taken particular notice of the work of ASFCC and have shown interest in collaborating with or supporting ASFCC follow-up efforts. The Swiss and Norwegian Embassies in Indonesia have had preliminary discussions. GIZ ASEAN portfolio manager and SDC GPCCE are in communication about future plans.

Swiss Agency for Development Cooperation (SDC) and the State Secretariat for Economic Affairs (SECO) are the two main actors of Swiss cooperation in Southeast Asia most engaged in land use themes.

Under SDC, the Global Programme for Climate Change and Environment (GPCCE) and Global Programme for Food Security (GPFS) are managing projects that are naturally highly interrelated. GPCCE is focused on sustainable forestry, energy supply, climate change adaptation, mountainous regions and funding climate protection. GPFS works on sustainable agricultural production and innovation, ensuring access to natural resources, sufficient food and balanced nutrition, and broad-based standards.

GPFS intervenes on five levels. The most important level is the smallholder farmers. To find ways to improve their resilience, safety net and livelihood, GPFS works with value chain actors interacting with farmers, markets, meso-level and policy regulatory level. After supporting the Committee on World Food Security in designing responsible agricultural investment principles through IISD, GPFS supported Grow Asia in developing the ASEAN Standards for Responsible Agricultural Investments (RAI), to further root these global principles.

SECO has a number of projects with linkage to the forest sector and to climate. SECO views forest protection as an element in many of its value chain development programs. SECO also has some cooperation programs that have strong emphasis on integrated agricultural practices or zero deforestation. SECO views its role as donor rather than as direct implementer, steering quality assurance. At times, though, SECO gets closer to implementation than some other donors because of its engagement in theory and policy discussions. SECO is a donor to FPCF, and represents Switzerland in ITTO meetings.

The Swiss Federal Office on the Environment (FOEN) sits on the board of UN-REDD and tracks global processes, including the UNFF Strategic Plan on Forests 2030.

The Swiss Embassy in ASEAN communicates 4 priorities – (1) human rights and peace (security), (2) vocational training and education, (3) humanitarian aid and disaster management, (4) climate change and social forestry. ASEAN-Swiss Sectoral Dialogue Partnership currently lists 49 Practical Cooperation areas for 2017-2021, which may be rationalized in the next round.

SDC operations are fairly decentralized, so many initiatives are also happening at the country level, especially where the SDC Asia Division has offices in Cambodia, Laos and Myanmar (as well as Vietnam in the past). The GPCCE office in Beijing is closely linked with ASEAN at policy and investment level.

Ideally, the strengths of SDC can complement the efforts of other partners and AMS. Norway has strong engagement in certain countries on the ground so if SDC is looking after regional level and policy, they could be a good combination. While Germany is known in ASEAN for its capacity to deliver technical assistance, the Swiss- through ASFCC- is now known for adept facilitation of cross-sectoral, multi-stakeholder approaches.

### **Tangible Options for Future Engagement with ASEAN**

SDC faces a bewildering array of options for future engagement with ASEAN. The analyses presented above and in annexes accompanying this report attempted to objectively assess priorities of AMS in environment and rural development, ongoing and planned support of the many development partners collaborating with ASEAN, potential gaps in support, and opportunities for cooperation among partners. Although attempts were made to conduct the analyses with as much objectivity as possible, the findings are undoubtedly influenced by biases of the survey respondents and informants (largely working in the forestry, land management, and rural development sectors) and the most readily accessible documentation.

Some further assumptions have been made in assessing options for future SDC engagement with ASEAN. First, is the assumption that SDC would prefer to pursue regional approaches and continue its

engagement and relationship with ASEAN as a regional institution (consistent with the guidance of the TOR for the ASFCC evaluation). An important second assumption is that SDC GPCCE places high priority on engagement that can deliver substantial global benefits (especially with respect to climate change mitigation) – although recognizing the importance of also generating immediate benefits to local people in AMS. There is also an assumption that SDC would logically strive to build on strengths and past experiences, draw upon comparative advantages, remain consistent with Swiss social values, partner with others, add value, and scale up for greater impact. Suggested principles for SDC to consider when planning future engagement with ASEAN and AMS are provided in Box 4.

#### Box 4. Suggested principles for moving forward

In considering options for future engagement with ASEAN and AMS, the following principles may be useful to consider:

1. **Build on the lessons learned, experiences gained, and achievements realized** under ASFCC; use these as a springboard for new collaboration
2. **Draw on own strengths:** support work in line with Swiss social values and domestic technical experience – applying an all-of-government approach to the extent possible
3. **Acknowledge the strengths (and weaknesses) of working through ASEAN frameworks** and entities; expand the development agenda across land-based sectors by advancing the institutional relationships already established with ASEAN
4. **No simple solutions to “wicked problems”:** recognize the complexity of challenges in addressing deforestation, forest and landscape restoration, environmental protection, climate change, biodiversity conservation, and poverty reduction, and tackle in comprehensive manner
5. **Local to global:** appreciate that to advance global environmental objectives requires a people-centered approach that ensures strong direct benefits to local people
6. **Add value:** seek opportunities for SDC to fill gaps, complement efforts of AMS and other partners, and strengthen ongoing processes
7. **Create space** to bring partners and AMS together for shared progress; establish a “big tent” with respect to collaboration
8. **Ensure transparency and participation** of AMS and key stakeholders in programme formulation and implementation
9. **Think big:** seek to scale up and broaden scope of influence to achieve greater impacts
10. **Be creative, innovative, and flexible...** but don’t attempt to reinvent the wheel

A range of options for future SDC engagement with ASEAN is presented below, recognizing that the ultimate decisions made by SDC may depend on many factors – including several considerations outside the purview of this review (e.g., budget allocations, political considerations, personality dynamics, additional analyses, etc.). Trade-offs will inevitably be required with respect to the needs of the region, the ambition level of SDC, and the resources available.

Three options are presented across a general spectrum from simple to most complex and challenging:

- a) Stay the course: Interim measures to consolidate ASFCC gains and maintain SDC relationship with ASEAN
- b) Least-demanding (financially, technically, administratively)
- c) Greater ambition for greater impact: Build a “big tent” of collaboration to advance landscape management

### ***Stay the course: Interim measures to consolidate ASFCC gains & maintain SDC relationship with ASEAN***

Many respondents and informants emphasized the importance and value of maintaining the excellent relationship that SDC has developed with ASEAN over the years of ASFCC. They stress that if SDC plans future work with ASEAN, it would be prudent to maintain the positive relationships through modest interim bridging support at least until such time as the future SDC collaboration with ASEAN is clearly defined. Critically, this would include interim support for the AWG-SF Secretariat. Even if future support moves in directions beyond or different from social forestry, as anticipated by SDC, the insights and connections developed by the AWG-SF Secretariat would undoubtedly be extremely valuable in developing or expanding new or additional relationships within ASEAN. “Starting over” to establish new working arrangements with ASEAN would be a slow and painful process that could largely be avoided if current relationships are maintained.

An interim approach to maintain arrangements with ASEAN could include modest funding to:

- retain the AWG-SF Secretariat staff, particularly to continue liaison with ASEAN and AMS
- further consolidate ASFCC knowledge, advocacy and awareness raising efforts to maintain visibility and promote future collaboration with other development partners
- maintain momentum of civil society engagement with ASEAN bodies pioneered under ASFCC
- catalyze action by AMS and partner organizations to follow through on strategies and commitments made at the end of ASFCC and solidify commitments for future action

There are definite trade-offs with respect to locating a Secretariat or programme staff within the ASEAN Secretariat compound versus being hosted by an AMS. Informants with knowledge of both options, however, conclude that the benefits of greater access and influence with ASEAN Secretariat staff gained by basing staff within the Secretariat compound outweigh benefits of alternative hosting arrangements. Now that ASEAN has a new building within the Secretariat grounds, there is more office space that can potentially house project and programme staff supported. If SDC is committed to continuing its engagement with ASEAN, it would be advisable to explore options for gaining office space within the Secretariat compound.

*“SDC’s relationships built up with ASEAN through ASFCC constitutes an asset that should not be discarded.” - ASFCC partner organization official*

*“The social capital built up in ASEAN is the most important achievement of ASFCC. Efforts are needed to ensure this social capital does not deteriorate.” - multilateral development expert*

### ***Least-demanding options (financially, technically, administratively)***

#### **1. Hop aboard a moving train: Make financial contribution to an existing/ongoing initiative**

Most likely, the least-demanding approach administratively would be to simply contribute to an existing and ongoing initiative (e.g., UN-REDD, FAO-coordinated Forest and Farm Facility). Such well-established programmes have moved past many of their early teething problems and are increasingly making valuable contributions in many aspects. By joining an ongoing initiative, SDC would contribute to, and build upon, existing efforts that have learned much from early efforts and are steadily expanding in importance and influence. This approach, however, would limit the opportunity for SDC to add value to, and build upon, the valuable experiences/lessons learned from ASFCC and the important institutional relationships and structures nurtured under ASFCC. While such ongoing initiatives have varying degrees of engagement with ASEAN, most are not strongly and directly linked with ASEAN bodies and some work in only a few AMS. For example, UN-REDD is engaged with five of the ten AMS; the Forest and Farm Facility is currently working only in Myanmar and Vietnam among AMS and is not engaged with ASEAN

overall in any significant manner. Thus, if continued work through ASEAN bodies and mechanisms is desired via these initiatives, further work would be required to formalize relationships.

## **2. Fill a gap: Provide requested support for a simple discreet initiative**

At various times, initiatives are proposed by AMS and incorporated in various Working Group Plans of Action. Many such discreet activities or small projects are funded by the Japan-ASEAN Integration Fund, but others languish for lack of funding. An example of one such proposal is the ASEAN Green Initiative, first proposed by the ASEAN Deputy Secretary-General and advanced by the ASEAN Senior Officials on the Environment (ASOEN). The ASEAN Green Initiative is intended to reflect ASEAN's commitment to biodiversity conservation and ecological restoration – largely through tree planting activities, including youth and civil society. An initiative of this type has the potential to attract considerable visibility and attention. However, while well-intended, such simplistic approaches often fail to make significant contributions to ecological restoration or carbon sequestration. Simple tree planting projects are notoriously unsuccessful overall. Successful restoration endeavors go far beyond simple tree planting to encompass comprehensive approaches of “tree growing” (i.e., planting, nurturing, managing) that provide direct tangible benefits for local people through clarity of tenure, access to markets, and deregulation of harvesting, processing and marketing (as for example has been successfully carried out in Vietnam). The ASEAN Green Initiative could be guided in positive directions – drawing from the social forestry and farm forestry experiences of programmes such as ASFCC – but would require substantial redirection from the initial concepts put forward.

## **3. Cut a new path for SDC in ASEAN: Support a climate-related initiative in a sector other than land use and natural resources**

Switzerland is synonymous with social forestry in ASEAN and has carved out a reputation for strong support in sustainable land use and natural resources management. There are many other environmental sectors, however, that could potentially benefit from SDC's support and engagement. Based on review of development partners' support to ASEAN (Table 10), important gaps remain in the areas of clean energy, transportation, water and sanitation, marine resources, waste management, and others. Among these, energy and transportation have the greatest potential to deliver significant climate change mitigation results. A major disadvantage for SDC, however, is a lack of experience and comparative advantage working in these sectors, particularly in Asia. Engaging in these less unfamiliar sectors would entail a very steep learning curve.

## **4. Brave new world: Pioneer work in an emerging sector**

One sector that represents a gap in support by ASEAN's development partners and at the same time offers significant potential for climate change mitigation gains is support for sustainable cities. Rapid urbanization is occurring throughout ASEAN, but typically is poorly planned and lacking in environmental considerations. There is a pressing need for support in making cities greener, more energy efficient, and more sustainable. While several donor organizations fund urban waste management and water sanitation, few are actively engaged in urban greening programmes. The full range of environmental challenges facing cities may be more daunting than any development partner would wish to tackle, but a focus on urban greening, urban and peri-urban forestry, green rooftops, vertical farming, etc. would be manageable and a way for SDC to draw to some extent on experience from ASFCC. FAO has just launched a “Green Cities Action Programme” and is seeking collaboration with development partners to implement the programme in various regions of the world. It is likely that ASEAN would be interested to join such a programme, especially if backed by a credible development partner. Tackling a challenge in an increasingly important sector for the region as sustainable cities would undoubtedly generate high visibility for SDC. But, as with potential work in other sectors that SDC is less familiar with (such as those noted above), embarking on work in urban settings would entail a major shift by SDC from past efforts.

### ***Greater ambition for greater impact: Build a “big tent” of collaboration to advance landscape management***

Simple proposals can seem very appealing, but there are no simple solutions to the challenges of sustainable land-use management, halting deforestation, climate change mitigation, biodiversity conservation, sustainable livelihood development, food security, conflict management, landscape restoration, etc. These challenges converge at landscape level – with overlapping local and global interests – to create a classic “wicked problem”. By definition, there are no simple solutions to “wicked problems,” but experience has demonstrated that progress is greatest when applying collaborative and integrated approaches. Thus, for example, simplistic top-down tree-planting projects nearly always fail, while initiatives that integrate tree management into more comprehensive programmes that address land and resource tenure, food security, income and livelihoods, etc. have far greater success.

There is now widespread recognition of the need for cross-sectoral, multi-stakeholder approaches to effectively deal with land management challenges – which offer some of the greatest opportunities for climate change mitigation in ASEAN and which directly support the livelihoods of half of the region’s people. Increasingly, over the past decade, development specialists have urged greater emphasis on “integrated landscape management” or the “landscape approach” to comprehensively guide land-use management in a cross-sectoral, multi-stakeholder manner (Box 5).

#### **Box 5: Landscape Approach and Integrated Landscape Management**

##### **What is a landscape approach?**

*Landscape approach is “a long-term collaborative process bringing together diverse stakeholders aiming to achieve a balance between multiple and sometimes conflicting objectives in a landscape or seascape.”*

Sayer, et al. (2017)

##### **The Five Elements of Integrated Landscape Management**

1. Shared or agreed management objectives that encompass multiple benefits (the full range of goods and services needed) from the landscape
2. Field, farm and forest practices are designed to contribute to multiple objectives, including human well-being, food and fiber production, climate change mitigation, and conservation of biodiversity and ecosystem services
3. Ecological, social, and economic interactions among different parts of the landscape are managed to realize positive synergies among interests and actors or to mitigate negative trade-offs
4. Collaborative, community-engaged processes for dialogue, planning, negotiating and monitoring decisions are in place
5. Markets and public policies are shaped to achieve the diverse set of landscape objectives and institutional requirements

*- Ecoagriculture Policy Focus 10, October 2013*

Development experts emphasize the potential of landscape management to effectively advance a number of national and international goals, objectives and agreements, including the SDGs, Paris Climate Agreement and associated NDCs, Global Forest Goals, the Bonn Challenge, Aichi Biodiversity Targets, the Land Degradation Neutrality Goal, and others. Landscape management approaches are increasingly advocated by funding agencies and development organizations, including the Global Environment Facility, the Green Climate Fund, UN-REDD, the Global Partnership on Forest and Landscape Restoration. Integrated landscape management can be particularly effective in delivering climate change mitigation benefits while concurrently improving the lives of local people.

*“The experiences of AMS in addressing the COVID-19 pandemic have demonstrated the benefits and feasibility of working better across sectors. COVID-19 being not only a health problem – but also a livelihood problem, an economic problem, an environmental problem – has meant countries have learned to appreciate and more successfully apply ‘whole-of-government’ approaches. The lessons from this will hopefully carry over to future cross-sectoral efforts, such as landscape management.”*

- Senior AMS official

### **Move beyond silos to catalyze regional action on landscape management**

A major constraint to landscape management is the compartmentalization of action along sectoral lines. There is an emerging consensus among ASEAN Secretariat sectoral divisions to work more closely on climate change and land-use management issues.

AMS governments and development partners working at various levels have acknowledged the potential of landscape management, but have struggled to implement landscape approaches successfully. The following multi-country initiatives involving AMS have embraced the landscape approach to managing land-use mosaics:

- Sentinel Landscapes Initiative (supported by CIFOR and ICRAF)
- Regional Model Forests Network – Asia (previous support from Japan and FAO, now by Canada)
- UN-REDD (and other REDD+ initiatives)
- Globally Important Agricultural Heritage Systems (FAO)
- The Restoration Initiative (IUCN, FAO and UNEP)

Likewise, at the individual country level, some AMS have pioneered efforts to break down sectoral boundaries and facilitate enhanced collaboration within landscapes. Examples include:

- DA-DAR-DENR-DILG National Convergence Initiative for Sustainable Rural Development in the Philippines, which brings together government agencies responsible for agriculture, agrarian reform, environment and natural resources management, and local government in a coordinated manner to maximize benefits and impacts of rural development
- Governor’s Climate Initiative (Aceh, Indonesia)
- Jurisdictional REDD+ (Kalimantan, Indonesia)
- Watershed management (Myanmar)
- Payment for ecosystem services programme (Vietnam)

These efforts could provide valuable insights into the challenges of landscape management and support badly needed scaling up, but they remain fragmented, with limited documentation and little sharing of experiences among AMS. As more and more landscape management projects and programmes are being planned, there is great potential to benefit from a strong supportive mechanism that would facilitate the sharing of knowledge and experiences, strengthen capacities, and provide guidance on processes, among others.

*“ASEAN reflects the same challenges that exist in countries.... When we discuss forest landscape restoration or management, we have the concept but do not know how to bring this to the field. AMS does not yet have a clear picture how they would address trade and investment in climate change. We are trying to see how it could be more concrete under the cooperation.”*

– Senior official from ASEC FAFD

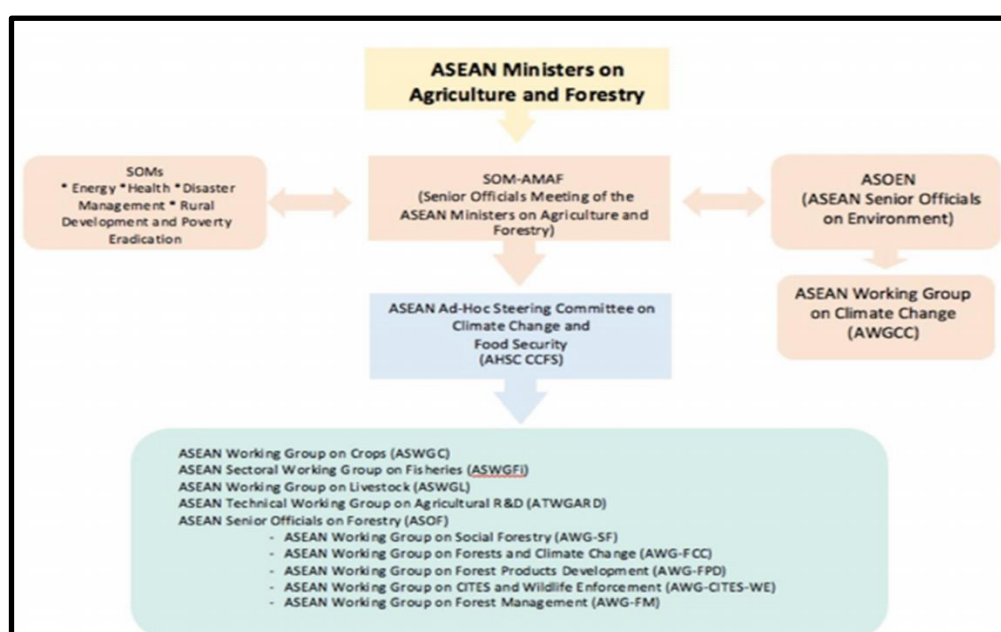
*“The silo mentality in ASEAN is super strong. This is one of the weaknesses that I observe in food security and climate change... come up with work plans, which I observe are a random consolidation of things, with no filter or synthesis. Climate people should influence all over ASEAN, but it is not how it is anchored, not in their mandate, and not in their perception.”*

– Development partner official

### Multi-Sectoral Framework on Climate Change: a ready-made mechanism for facilitating action

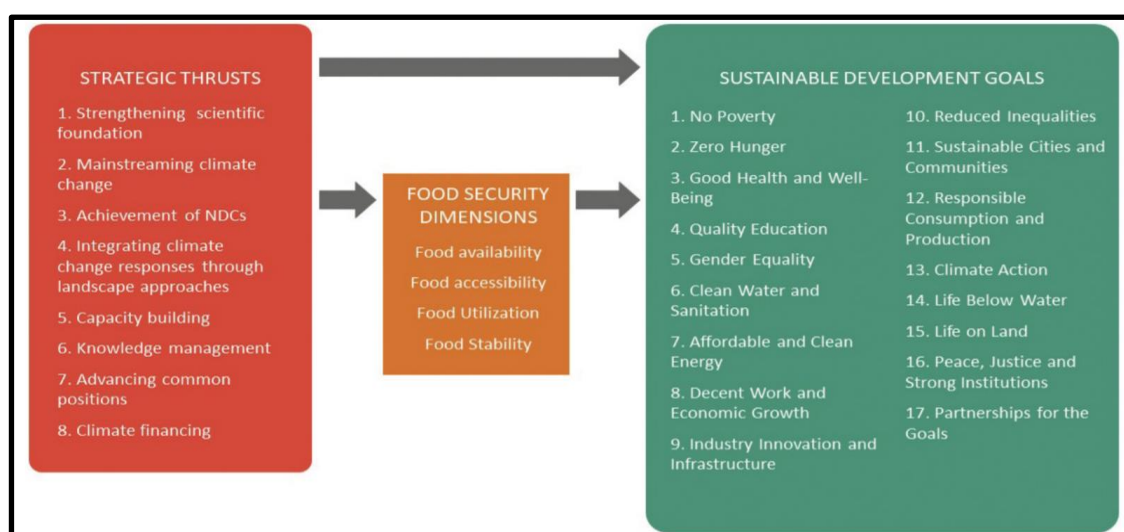
Fortunately, the groundwork for improved regional cooperation, within and through ASEAN, on landscape management has been laid. Working through relevant ASEAN structures, ASFCC and other partners supported the development of the *Multi-Sectoral Framework on Climate Change: Agriculture and Forestry Towards Food and Nutrition Security and Achievement of the SDGs* (MSFCC) – an integrated framework for pursuing cross-sectoral, multi-stakeholder approaches in land management and rural development. An initial mapping of climate-change related initiatives across ASEAN divisions covering seven sectors: (i) environment; (ii) science and technology; (iii) food agriculture and forestry; (iv) disaster management; (v) rural development and poverty eradication; (vi) women and children; (vii) social welfare and social protection. Regional cooperation within these sectors cover 45 initiatives overseen by eight senior officials’ bodies and supported by 11 working groups and sub-committees (Figure 4).

**Figure 4: AFCC Coordination Structure**



The MSFCC – which is intended to operationalize the *Multi-Sectoral Framework on Climate Change: Agriculture and Forestry Towards Food Security* (AFCC) – has eight strategic thrusts, designed to help ASEAN and AMS link actions strengthening food security with advances toward achieving the SDGs, including climate action (Figure 5). The AFCC and MSFCC offer rare and important mechanisms for bridging technical divides in ASEAN and AMS, developing policies and guidelines for cross-sectoral and multi-stakeholder action at landscape levels, sharing experiences and knowledge among AMS, building capacities, conducting assessments and research, and catalyzing action on landscape management.

**Figure 5: MSFCC Strategic Thrusts**



A particularly important opportunity presented by the MSFCC is the intention to “facilitate the achievement of the NDCs in the agriculture and forestry sectors.” AMS have made ambitious commitments to reduce greenhouse gas emissions in their NDCs, with particularly strong emphasis on action in agriculture and natural resources (Table 10). These commitments point toward the need for effective management of landscapes encompassing mosaics of agriculture, forestry, and other use of natural resources.

Support channeled through the MSFCC could include collaboration with the ASEAN NDC Partnership in various land-based components. AMS are struggling to elaborate practical actions to deliver NDCs (Table 12 and Annex 20). The ASEAN NDC Partnership (lodged under the AWG-FCC) could work to identify and support the common priorities in AMS NDCs that provide both local and global benefits, and where working together would be most productive. Such an approach would also provide a framework for synergizing ASEAN and AMS actions related to the three Rio Conventions (UNFCCC, CBD, and UNCCD). Reportedly, no donors are currently providing sustained support for the work of the ASEAN NDC Partnership, so there is a niche opportunity for SDC to contribute.

**Table 12. Nationally Determined Contributions of ASEAN Member States**

	Conditionality		Mitigation Targets					Sectoral Measure					Adaptation Measures	Financing Requirements	
	Conditional	Combined	Increased Use of Renewable Energy	Enhanced Energy Efficiency	Reduced Carbon / GHG Emission Intensity	Reduced Carbon / GHG Emission	Carbon Neutral / Ecosystems Neutral GHG Emission	Agriculture and Natural Resources	Energy	Industry and Trade	Transport	Urban			Water
Brunei*															
Cambodia	✓					✓		✓	✓	✓	✓	✓		✓	✓
Indonesia		✓				✓		✓	✓	✓		✓		✓	
Lao PDR	✓		✓					✓	✓	✓		✓	✓	✓	✓
Malaysia		✓			✓			✓	✓	✓			✓	✓	
Myanmar	✓							✓	✓	✓	✓	✓	✓	✓	
Philippines	✓					✓								✓	
Singapore**	n/a	n/a	✓	✓	✓			✓	✓	✓		✓	✓	✓	
Thailand		✓						✓	✓	✓			✓	✓	
Viet Nam		✓			✓	✓		✓	✓	✓		✓	✓	✓	

Source: Amponin and Evans (2016) in ASEAN (2018) p. 16

Notes: \* - not available; \*\* - the analysis of Singapore's NDC was not part of the original source but used the same methodology

The MSFCC was endorsed by AMAF in 2018. Subsequently, recommendations for establishing a platform within ASEAN for implementing the MSFCC were approved by AMAF in 2019 and the mandate for the AFCC was extended to 2030.

The “running start” imparted by full endorsement of relevant ASEAN bodies is a significant advantage for using the MSFCC as a framework for cooperation, as approvals of programmes and partnerships within ASEAN typically take considerable time and effort to negotiate and endorse. According to knowledgeable insiders, official endorsement of new programmes by relevant ASEAN bodies may take as long as three years. In the case of AFCC and the MSFCC, endorsements are in place and action could presumably commence without delays.

To date, no ASEAN development partner has come forward to provide sustained support for the implementation of the MSFCC, but SDC is a logical candidate for such engagement. Substantively, Germany and Switzerland have the strongest and most sustained engagement with ASEAN on land management issues. Germany has strongly focused engagement on conservation aspects through ENV Working Groups, while Switzerland has worked more on production aspects through FAF Working Groups. As the MSFCC is designed to bridge the divide between ENV and FAF, the complementarity of German and Swiss support could be highly effective, should SDC commit to supporting the MSFCC.

### **Bite the bullet: Take landscape management to scale with an “ASEAN Critical Landscapes Management Initiative”**

This option combines all of the work with ASEAN bodies on policy, knowledge management and exchange, guideline development, etc. related to landscape management described above with support for **on-the-ground engagement** with AMS in the practical management of a few selected “critical landscapes” in Southeast Asia. Critical landscapes would logically be selected on the basis of their global importance due to carbon (e.g., peat lands), biodiversity, and/or water resources.

Engaging with field-level landscape management challenges would take to heart the overwhelming sentiment of AMS and development organization partners who stress the importance of delivering local benefits in conjunction with seeking global benefits.

*“To strike the right balance between regional talk shops and project-type activities in countries is a key challenge.”*

- AMS official with decades of experience engaging with ASEAN

There is a pressing need to move beyond small pilots and demonstrations and put landscape management into practice at scale. Selected critical landscapes should be of sufficient size to impart major global climate mitigation and adaptation benefits from improved management.

Facilitating effective landscape management may seem daunting, but it should not be seen as the responsibility of a single entity to deliver – nor should it be a major financial burden for any single entity. Landscape management is all about participatory planning, compromise, prioritization of actions, and coordination of actors to deliver results. Effective approaches require site-specific planning and engagement of diverse government agencies, NGOs, farmer and producer organizations, private sector entities, and financial institutions. In short, a “big tent” enabling environment is needed to welcome and encourage inputs from diverse sources.

In addition to available national resources in AMS, various initiatives of different development partners potentially be enlisted to support efforts, depending on location and needs of identified critical landscapes. These might include:

- Planned new GIZ programme (focusing on climate change and agriculture)
- Planned new Sida programme on developing research related to landscape governance

- FAO-supported TCP project on scaling up agroforestry in ASEAN
- Full range of Swiss development support in ASEAN and AMS (at regional and national levels)
- IISD and Grow Asia (RAI)
- Landscape & livelihood projects of organizations such as AFoCO, APFNet, ITTO, UN-REDD, GEF
- Various NGOs, including NTFP-EP and RECOFTC <sup>5</sup>
- Private sector (especially for investment, products, and marketing)

While general knowledge and awareness of technical challenges are important in implementing landscape management approaches, success depends more heavily on facilitation, negotiation, and motivation skills, and an ability to recognize and manage power dynamics. Particularly important is putting in place processes for equitable participation of all stakeholders in planning and decision making, and coordinating resources needed to address local priorities. Neutral facilitation and motivation are key elements.

*“We should not ask, ‘what is the problem of forestry, or what is the problem of agriculture, in this landscape?’ Rather, we should ask, ‘what is the problem commonly faced in the landscape?’ From there, move on to joint intervention, joint action planning, and joint financial planning.”*

- Senior multilateral development expert

### **Identifying critical landscapes in Southeast Asia**

A number of possible critical landscapes in AMS have been suggested that are of major global significance due to high levels of carbon, high biodiversity conservation values, international water systems, etc. For maximum impact, selected critical landscapes should be production landscapes rather than protected landscapes, although there may be value in addressing production challenges in buffer zones adjacent to protected areas.

Some indicative sites in AMS include:<sup>6</sup>

- Tonle Sap, Cambodia: unique flooded forest ecosystem with mosaic of agriculture, forestry, fisheries, livestock livelihoods and rich biodiversity
- Central Kalimantan, Indonesia: carbon-rich peatlands, with challenges related to oil palm, fire management, food security and biodiversity conservation
- Inle Lake, Myanmar: biologically rich with dozens of endemic species, challenges with tourism and unsustainable agriculture
- Mekong Delta, Vietnam: carbon and biodiversity rich mangroves, expansive rice production
- Northern watersheds, Thailand: carbon and biodiversity rich forests, important headwaters
- Carood Watershed, Philippines: classic land-use mosaic of agriculture, forestry and fisheries, with promising landscape restoration potential

### **Coherence of Swiss development support: a key part of the “big tent” approach**

Forests and landscapes are seen as integral elements of nature-based solutions. It is paramount to have policy coherence among climate biodiversity, livelihoods, and development. Long-term processes are needed to extend regional initiatives and private-sector supply chains to local communities. Strengthening voices and position of indigenous peoples and local communities is an important part of

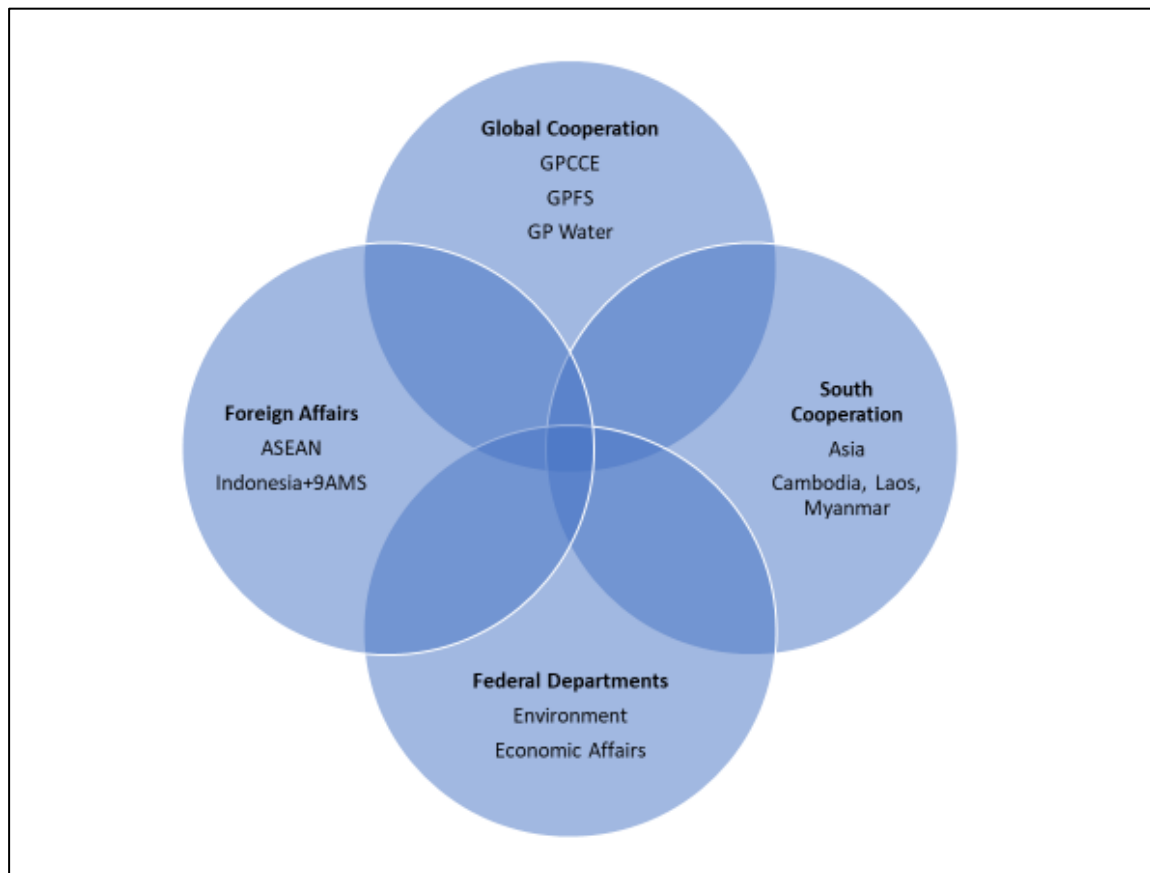
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<sup>5</sup> The RECOFTC draft proposal for expanded support to social forestry in Asia includes many elements relevant to landscape management.

<sup>6</sup> The listed examples are indicative only and do not reflect explicit endorsement. Through review and consultation would be essential for successful identification of actual “critical landscapes” targeted for management support.

the development process. Environmental services are growing in importance as a result of COVID-19. This context, combined with initiatives of various Swiss programmes in the Southeast Asian region, is an opportune time to ramp up its whole-of-government approach to achieve a shared goal and an integrated government response to particular issues, through working across portfolio boundaries, creating informal and formal mechanisms for cooperating across departments on various activities such as policy development, program management and service delivery (Figure 6).

**Figure 6: Swiss development support coherence in ASEAN**



## RECOMMENDATIONS

SDC is encouraged to maintain, on an interim basis, the relationships and important organizational elements established under ASFCC, including the AWG-SF Secretariat, until such time as a new programme of engagement with ASEAN is fully articulated and confirmed. Interim support should also be considered for consolidating ASFCC knowledge, advocacy and awareness-raising efforts; for civil society engagement with ASEAN; and coordinating efforts to maintain momentum on commitments made at the close of ASFCC by AMS and ASFCC partner organizations.

More substantially and longer term, SDC is in a very strong position to advance landscape management approaches in ASEAN and AMS. Landscape management builds on several Swiss advantages and interests. The principles and approaches of landscape management are closely aligned with those developed for social forestry, but cover more sectors and extend to a wider array of actions. ASFCC has laid the foundation for work in ASEAN on landscape management, combining environmental, social and economic thrusts.

A regional programme on landscape management could be particularly attractive to SDC for the following reasons:

- Landscape management has huge potential for delivering both global environmental benefits and improvement of the lives of local people
- A landscape management programme could easily be scaled to the level of support SDC is willing/able to provide (moving from a focus on regional-level work (facilitated through ASEAN), through to coordinating with other complementary programmes and ongoing field efforts supporting landscape management approaches, and finally (most recommended if resources permit) programme support for improved management of selected critical landscapes in AMS)
- Activities could include policy, capacity development, and exchange elements through ASEAN structures – capitalizing on relationships and arrangements established under ASFCC
- Adopting a landscape approach to development support in ASEAN affords an opportunity to link to AWG-CC (ENV Division) for work on NDCs and climate change policy and various ASEAN WGs focused on production landscapes (e.g., various FAF Working Groups, including AWG-SF)
- Activities would logically build on previous foundations of the MSFCC and AFCC envisioned and elaborated with support from ASFCC
- There are various ongoing landscape initiatives in the region to learn from and strengthen, but many are isolated and uncoordinated, signifying a significant opportunity to facilitate sharing and learning
- Support for selected critical landscapes could be based on global significance in terms of climate change mitigation (e.g., peat lands in Indonesia), biodiversity conservation, etc.
- Landscape approaches are highly complementary with current global priorities (climate change mitigation and adaptation, SDGs, the UN Decade of Ecological Restoration, recent trends in land management approaches, Covid-19 pandemic response, etc.)
- Landscape management principles are highly consistent with Switzerland's own land management approaches and philosophies

Strategies in advancing an “ASEAN Critical Landscapes Management Initiative” should include:

- Build on strengths and past experiences, including those gained under ASFCC
- Establish strong working relationships with a lead AMS to “champion” the initiative within ASEAN
- Strike the right balance between regional talk shops and in-country field-level activities
- Prioritize local benefits to enhance prospects for achieving global benefits
- Identify critical landscapes in selected AMS to put principles into practice
- Facilitate country budget commitments to sustain the initiative beyond donor support

In moving any agenda forward in ASEAN, it is crucial to have leadership from one or more AMS to “champion” the initiative. For anything related to local livelihood development, sustainable forest management, social forestry, multi-stakeholder processes, or cross-sectoral management approaches, prospective “champions” to lead within ASEAN would logically include Indonesia, Philippines, and Vietnam, as these countries have demonstrated the most progress in multi-stakeholder, landscape management approaches to date and exhibit sustained strong commitment to such approaches.

Working with ASEAN and AMS to advance practical implementation of landscape management approaches would undoubtedly benefit the people of Southeast Asia, but the impacts could reach much farther in terms of global environmental benefits and valuable knowledge gained. Considering that individuals and organizations around the world are struggling to develop effective landscape management approaches, SDC contributions to successful implementation of landscape management in ASEAN would represent a contribution of major global significance. ☞

## ACKNOWLEDGEMENT BY THE SDC

### Acknowledgement by the SDC

The final independent evaluation of the *ASEAN-Swiss Partnership on Social Forestry and Climate Change* was commissioned by the Swiss Agency for Development and Cooperation (SDC). The evaluation mandate was attributed to the two evaluators, Mr. Patrick Durst and Mrs. Rowena Soriaga, based on the results of a competitive invitation to tender.

The evaluation took place between February and September 2020. The work was carried out in a period marked by the Covid-19 pandemic which largely impeded travel, on-site visits and face-to-face meetings. Facing this challenge, the evaluators adapted their investigation approach by multiplying information-gathering and compiling methods, producing solid analyses and innovative knowledge based on a diversity of sources. Main findings, lessons and recommendations were shared and discussed early November 2020 with the SDC management and staff, mainly of the Global Programme Climate Change and Environment (GPCCE) and the Asia Division.

The SDC expresses its thanks to the evaluators for the elaboration of the present evaluation report, which is deemed to be of very high quality and of great value to the SDC's reflection on past accomplishments and failures, and on forthcoming engagements. The presented options for the future in particular will feed into the scoping process of 2021 for a renewed engagement of the GPCCE with the ASEAN and its member states in the related fields of forests and landscapes, climate change and the environment.

The present text acts as management response.

Berne, November 16, 2020

For the Swiss Agency for Development and Cooperation



Janine Kuriger  
Head, GPCCE



Pierre-André Cordey  
Programme Manager, GPCCE

## Annexes

Annex 1 – Logical Frameworks: Comparative Assessment across Phases

Annex 2 – List of Documents Reviewed

Annex 3 – Self-Assessment Survey Form for Countries

Annex 4 – Self-Assessment Survey Form for Partners & Coordinators

Annex 5 – Self-Assessment Survey Consolidated Results

Annex 6 - List of Survey Respondents

Annex 7 – Guide Questions for online interviews and FGDs

Annex 8 - List of Persons Interviewed

Annex 9 – Evaluation Matrix (refined)

Annex 10 - Evaluation Schedule (covid19-adjusted)

Annex 11 – GPCCE and ASFCC: Comparative Assessment of Indicators

Annex 12 – Status of Evaluation Recommendations, Phase 1 & 2

Annex 13 – Phase III Work Plan Target vs. Actual Activities

Annex 14 – Phase III Work Plan vs. Target Outputs

Annex 15 – ASRF Grants, 2014-2020

Annex 16 – ASFCC Impact Pathway Map with web links to sample activities/outputs

Annex 17 – Structure of ASEAN Cooperation in Food, Agriculture and Forestry

Annex 18 – ASEAN Donor Mapping Matrix

Annex 19 – Swiss Scoping of Land Use Development Actors in ASEAN

Annex 20 – AMS Nationally Determined Commitments (NDCs) for Agriculture and Food Systems

Annex 21 - Abbreviations

## ASFCC LOGICAL FRAMEWORKS PHASES 1 TO 3: COMPARATIVE ASSESSMENT

Sources:

Credit Proposal Annex

Credit Proposal

Credit Proposal

PHASE 3	PHASE 2	PHASE 1	Assessment
Overall goal (similar to AFCC-FS)			
To contribute to food security through sustainable, efficient and effective use of land, forest, water and aquatic resources by minimizing the risks and impacts of, and the contributions to climate change	same	same	no change from 1-3
Project objectives			
Social Forestry approaches developed and integrated into the climate change adaptation and mitigation strategies of ASEAN and the Member States	same	same	no change from 1-3
Social forestry contributes discernible socioeconomic benefits for communities and vulnerable groups and contributes to the broader SDGs targets	Socio-economic benefits derived from the inclusion of communities, women and vulnerable groups in social forestry and climate change adaptation and mitigation measures	Socio-economic benefits derived from the inclusion of communities, women and vulnerable groups in social forestry and climate change adaptation and mitigation measures	from "derived" to "discernible"
Outcomes[1]			
1. A coordinated social forestry policy framework is developed, integrated and mainstreamed into ASEAN and the national forest and climate change strategies of the ASEAN Member States, <b>and inform policies in other sectors</b>	1. A coordinated social forestry policy framework is developed, integrated and mainstreamed into ASEAN and the national forest and climate change strategies of the ASEAN Member States	1. A coordinated social forestry policy framework is developed, integrated and mainstreamed into ASEAN and the national forest and climate change strategies of the ASEAN Member States	broadened
2. Local, national and regional knowledge creation and sharing, communication and networking on Social Forestry and Climate Change is strengthened, put into use	same	same	no change from 1-3
3. <b>Identified strategic issues/topics and AWG-SF supported interventions around these topics</b> conducted <b>and lessons and experiences disseminated</b> for broader implementation and policy development	3. Learning interventions and best practices conducted in social forestry and climate change for broader implementation and policy development	3. Learning interventions and best practices conducted in social forestry and climate change for broader implementation and policy development	made more specific in phase 3

## Annex 1

PHASE 3	PHASE 2	PHASE 1	Assessment
<b>Outputs</b>			
<b>For outcome 1:</b>	<b>For outcome 1:</b>	<b>For outcome 1:</b>	
Output 1.1: ASEAN priority policy and strategic issues in social forestry and climate change are commonly identified and assessed, and strategic actions planned and implemented	Output 1.1: ASEAN priority policy and strategic issues in social forestry and climate change are commonly identified and assessed, <b>and strategic actions planned and implemented</b>	Output 1.1: ASEAN priority policy and strategic issues in social forestry and climate change are commonly identified and assessed	deepened in phase 2
Output 1.2: <b>Institutional</b> capacities of AWG-SF, focal points and network partners, <b>and key institutions are developed</b> to effectively reach and influence the relevant decision makers and <b>key</b> stakeholders within ASEAN and Member States	Output 1.2: Capacities of ASFN, focal points and network partners are improved to effectively reach the relevant decision makers and influential stakeholders within ASEAN and Member States	Output 1.2: Capacities of ASFN, focal points and network partners are improved to effectively reach the relevant decision makers and influential stakeholders within ASEAN and Member States	made more specific in phase 3
Output 1.3: <b>Adopted</b> recommendations of the <b>AWG-SF are implemented and mainstreamed within ASEAN and AMS by the AWG-SF , and informed other ASEAN Working Groups and other sectoral bodies</b>	Output 1.3: Policy recommendations on the contribution of social forestry in climate change are mainstreamed within ASEAN and the Member States	Output 1.3: Policy recommendations on the contribution of social forestry in climate change are mainstreamed within ASEAN and the Member States	made more specific in phase 3
<b>Output 1.4. ASEAN and AMS internalise and continue to employ the approaches, mechanisms, developed in the ASFCC.</b>	Output 1.4. ASEAN and AMS internalise and continue to employ the approaches, mechanisms, developed in the ASFCC.	Output 1.4. ASEAN and AMS internalise and continue to employ the approaches, mechanisms, developed in the ASFCC.	added in phase 3
<b>For outcome 2:</b>	<b>For outcome 2:</b>	<b>For outcome 2:</b>	
Output 2.1: <b>AWG-SF Secretariat</b> is fully operational and efficiently managing, facilitating, disseminating knowledge and, <b>consolidating programmatic outputs towards institutionalisation within ASEAN</b>	Output 2.1: ASFN Secretariat is fully operational and efficiently managing and sharing knowledge, communication and information	Output 2.1: ASFN Secretariat is fully operational and efficiently managing and sharing knowledge, communication and information	updated to phase 3 institutional context
Output 2.2: <b>AWG-SF</b> Focal Points and Network Partners <b>take active leadership in the working group and take the lead in</b> knowledge creation and sharing, capacity development and <b>SF implementation.</b>	Output 2.2: ASFN, Focal Points and Network Partners effectively participate in the Network and fully contribute to knowledge sharing and capacity development	Output 2.2: ASFN, Focal Points and Network Partners effectively participate in the Network and fully contribute to knowledge sharing and capacity development	updated to phase 3 institutional context and deepened
Output 2.3: <b>AWG-SF</b> exchanges knowledge <b>with other sectors and a broader range of stakeholders within and beyond the ASEAN region</b> is increasingly recognized.	Output 2.3: ASFN exchanges knowledge beyond its own network and is increasingly recognized	Output 2.3: ASFN exchanges knowledge beyond its own network and is increasingly recognized	updated to phase 3 institutional context and broadened

PHASE 3	PHASE 2	PHASE 1	Assessment
<b>For outcome 3:</b>	<b>For outcome 3:</b>	<b>For outcome 3:</b>	
Output 3.1: <b>Established</b> Multi-stakeholder <b>National and Regional SF-</b> Working Groups addressing CC adaptation, mitigation <b>and food security issues effectively functioning and linking to other relevant sectoral groups.</b>	Output 3.1: Multistakeholder National Working Groups aiming at developing social forestry approaches and nationally appropriated adaptation and mitigation actions formed and strengthened in selected Member States	Output 3.1: Multistakeholder National Working Groups aiming at developing social forestry approaches and nationally appropriated adaptation and mitigation actions formed and strengthened in selected Member States	updated to phase 3 institutional context deepened (food security) and broadened (other sectoral groups)
Output 3.2: Thematic issues relating to locally appropriated adaptation and mitigation actions identified through multi-stakeholder processes are investigated, analysed, shared and <b>addressed</b> .	Output 3.2: <b>Commonly</b> identified thematic issues relating to locally appropriated adaptation and mitigation actions are investigated, analyzed and shared	Output 3.2: Commonly identified thematic issues relating to locally appropriated adaptation and mitigation actions are investigated, analyzed and shared	commonality downplayed in phase 3 but deepened from "shared" to "addressed"
Output 3.3: <b>Mitigation and</b> Adaptation strategies and best practices from social/ community forestry initiatives assessed, developed and <b>integrated into broader, cross sectoral conceptual framework and approaches</b> for wider implementation to inform policy processes within AMS and in the ASEAN region	Output 3.3: Adaptation strategies and best practices from selected community forestry initiatives assessed, developed and upscaled for wider implementation and to inform policy processes	Output 3.3: Adaptation strategies and best practices from selected community forestry initiatives assessed, developed and upscaled for wider implementation and to inform policy processes	made more specific in phase 3
<b>For Outcome 4:</b> <a href="#">[1] Due to its internal nature, outcome 4 (GPCC exit strategy and implementation thereof) is captured in an internal document elaborated jointly by SDC and the regional ASFCC advisor and does not form part of the ASFCC logframe jointly elaborated with all the supporting partners</a>			

**Annex 2**  
**DOCUMENTS REVIEWED**

Type	No.	Phase	Title	Source	Author	Link	Access Date
<b>Activity Reports</b>							
ActRep	1	3	AFCC Presentation for COFO24, Rome, 2018	Doris	DC	emailed to evaluators	29-Feb
ActRep	2	3	9th AFCC Steering Committee Meeting Minutes, 2019	Doris	AFCC	emailed to evaluators	29-Feb
ActRep	3	3	DCapistrano Text Inputs for Opening and Closing Speeches of Ambassador Kunz	Doris	ASFCC	emailed to evaluators	05-Mar
ActRep	4	3	Text inputs for 25 Feb PA Cordey opening remarks	Doris	ASFCC	emailed to evaluators	05-Mar
ActRep	5	3	9th Ad-hoc Steering Committee on Climate Change_RDPE - ASEAN Rural Development	Alfi	ASEAN	emailed to evaluators	09-Mar
ActRep	6	3	Report_regional Agroforestry for Climate Change Resilient Landscapes RT_SS	Pop	RECOFTC	Training Report 16-23 Jul 2018 (23pp)	06-May
ActRep	7	3	ASRF Cambodia Final Report	Amy	AWG-SF Cambodia	Cambodia Project Report to ASRF	06-May
ActRep	8	3	CSO Forum REAP Final Report, February 2020	Dazzle	NTFP-EP	emailed to evaluators	05-May
ActRep	9	3	<u>COP23 Side event in Bonn</u>	Dazzle	NTFP-EP	<a href="https://ntfp.org/2017/11/cop23event/">https://ntfp.org/2017/11/cop23event/</a>	05-May
ActRep	10	3	<u>COP24 in Katowice</u>	Dazzle	NTFP-EP	<a href="https://ntfp.org/2018/12/cop24sideevent/">https://ntfp.org/2018/12/cop24sideevent/</a>	05-May
ActRep	11	1	ASFCC_Phase1_methods_final_FGD_EgoNet_Org	Moir	CIFOR		06-May
ActRep	12	3	Annex 3- Minutes of 9th AFCC Ad Hoc Steering Committee Meeting, November 2019	Doris	AFCC	emailed to evaluators	16-Jul
ActRep	13	3	Annex 4 - Report of the 39th ASFRB Meeting, Aug 15-16, 2019	Doris	ASEAN	emailed to evaluators	16-Jul
ActRep	14	3	Annex 6 - ASFCC Presentation at the 4th ASEAN-Switzerland JCC Mtg	Doris	Doris	emailed to evaluators	16-Jul
ActRep	15	3	Annex 7 - DCapistrano inputs to Amb Kunz's Opening Keynote and Closing Speech	Doris	Doris	emailed to evaluators	16-Jul
ActRep	16	3	Annex 8 - ASFCC Final Knowledge Sharing & Closing Event Programme	Doris	ASFCC	emailed to evaluators	16-Jul
ActRep	17	3	Annex 2 - Assessment on Establishment of Permanent Platform for AFCC Implementation	Pierre	AWG-SF	emailed to evaluators	13-Jul
ActRep	18	3	Annex 9- ASFCC Partners' Self-Assessment of Output Achievement as of November 2017	Pierre	ASFCC	emailed to evaluators	13-Jul
ActRep	19	3	Annex 11 - Outcome Report - ASEAN Guidelines and Action Plan on Responsible Investment	Pierre	ASEAN	emailed to evaluators	13-Jul
ActRep	20	3	ASRF_3_Vietnam_Project_Brief	online	SEARCA		12-Jun
ActRep	21	3	CIFOR - Country Profile Updating Workshop in Lao PDR 2017	online	CIFOR		12-Jun
ActRep	22	3	CIFOR-ASFCC_Report_Vietnam-Phase 1	online	CIFOR		12-Jun
ActRep	23	3	CIFOR-ASFCC_Report_Laos-Phase 1 (2012-2013)	online	CIFOR		12-Jun
ActRep	24	3	CIFOR OP-92-REDD Context in Laos 2013	online	CIFOR		12-Jun
ActRep	25	3	NTFP-CSO-Forum-Report_web-2018	online	NTFP-EP		12-Jun
ActRep	26	3	Concept+Note_Asia-Pacific+Forest+Week+2019.docx	online	APFW		12-Jun
ActRep	27	s	Report on ASFCC experts interviews - draft 2	Ron	RECOFTC	emailed to evaluators	17-Jul
<b>Evaluation Reports</b>							
Eval	28	1	ASFCC External Review Phase 1, April 2013	Pierre-Andre	Hans Schaltenbrand & Eduardo	emailed to evaluators	09-Mar
Eval	29	2	ASFCC External Review Phase 2, Aug 2016	Pierre-Andre & o	Thang Hooi Chew & Madhav Ka	emailed to evaluators	05-Mar
Eval	30	2	ASFCC External Review Phase 2, Aug 2016 - Management Response	Pierre-Andre	SDC	emailed to evaluators	09-Mar
Eval	31	3	ASEAN structure and contacts 2020	Pierre-Andre	SDC	emailed to evaluators	08-Mar
Eval	32	3	Proposed List of Key Informants	Alfi	ASFCC	emailed to evaluators	05-Mar
Eval	33	3	Annex 9- ASFCC Partners' Self-Assessment of Output Achievement as of November 2017	Pierre & Doris	ASFCC	emailed to evaluators	09-Jul
<b>Knowledge Products</b>							
KP	34	1	Situational analysis 2013: Social forestry in climate change mitigation and adaptation in	Alfi	RECOFTC	emailed to evaluators	09-Mar
KP	35	2	Projects: ASFCC II	online	NTFP-Indonesia	<a href="http://www.ntfp-indonesia.org/asean-swiss-">http://www.ntfp-indonesia.org/asean-swiss-</a>	13-Feb
KP	36	2	Situational analysis 2016: Social forestry and climate change in the ASEAN region	Alfi	RECOFTC	emailed to evaluators	09-Mar
KP	37	3	Situational analysis 2020: Social forestry and climate change in the ASEAN region	Alfi	RECOFTC	<a href="https://www.recoftc.org/publications/00003">7. Situational Analysis 2020 2nd draft 2001</a>	11-Mar
KP	38	3	1. Final event - Social Forestry Trends in ASEAN - RECOFTC	Alfi	RECOFTC	<a href="https://www.recoftc.org/publications/00003">https://www.recoftc.org/publications/00003</a>	10-Mar
KP	39	3	2. Final Event - ASEAN Plan of Action Social Forestry 2021-2025	Alfi	ASEAN	<a href="https://www.recoftc.org/publications/00003">https://www.recoftc.org/publications/00003</a>	10-Mar
KP	40	3	3. Final event - Philippines	Alfi	DENR	<a href="https://www.recoftc.org/publications/00003">https://www.recoftc.org/publications/00003</a>	10-Mar
KP	41	3	4. Final Event - CSO	Alfi	Civil Society Forum	<a href="https://www.recoftc.org/publications/00003">https://www.recoftc.org/publications/00003</a>	10-Mar

**Annex 2**  
**DOCUMENTS REVIEWED**

Type	No.	Phase	Title	Source	Author	Link	Access Date
KP	42	3	5. Final Event - Indonesia	Alfi	MOEFRI	<a href="https://www.recoftc.org/publications/00003">https://www.recoftc.org/publications/00003</a>	10-Mar
KP	43	3	6. Final Event - FAO Forest Farm Facility	Alfi	FAO	<a href="https://www.recoftc.org/publications/00003">https://www.recoftc.org/publications/00003</a>	10-Mar
KP	44	3	7. Final Event - news article - ASEAN sees big gains in social forestry, challenges persist	Alfi	RECOFTC	<a href="https://www.recoftc.org/projects/asfcc/new">https://www.recoftc.org/projects/asfcc/new</a>	10-Mar
KP	45		AWG-SF webpage on Indonesia	online	AWG-SF	<a href="https://www.awg-sf.org/indonesia/">https://www.awg-sf.org/indonesia/</a>	13-Feb
KP	46		Community Forestry in Sikka	online	Indonesia Nature Film Society	<a href="https://www.youtube.com/watch?v=evHs7-&gt;">https://www.youtube.com/watch?v=evHs7-&gt;</a>	13-Feb
KP	47	3	Supporting Community Forestry Enterprises (CFEs) with the ASEAN Strategic Action Plan	online	NTFP-EP / ASFN	<a href="https://ntfp.org/wp-content/uploads/2016/C">https://ntfp.org/wp-content/uploads/2016/C</a>	13-Feb
KP	48		NTFP-EP webpage on Indonesia	online	NTFP-EP	<a href="https://ntfp.org/where-we-are/indonesia/">https://ntfp.org/where-we-are/indonesia/</a>	13-Feb
KP	49		Yayasan Pengembangan Sumberdaya Hutan Indonesia	online	NTFP-Indonesia	<a href="http://www.ntfp-indonesia.org/">http://www.ntfp-indonesia.org/</a>	13-Feb
KP	50		Mitra Kami (network/location map)	online	NTFP-Indonesia	<a href="http://www.ntfp-indonesia.org/tentang-kam">http://www.ntfp-indonesia.org/tentang-kam</a>	13-Feb
KP	51	2	About Us: History, Strategies & Mechanism, Terminology	online	AWG-SF	<a href="https://www.awg-sf.org/about-us/">https://www.awg-sf.org/about-us/</a>	20-Jan
KP	52	1	ASFN	Juergen	ASFN 2011	emailed by Juergen, contains history	09-Apr
KP	53	1	RECOFTC-publicationASFN	Juergen	RECOFTC	emailed by Juergen, Situational Assessment :	09-Apr
KP	54	1	Subic-2009-Outcomes and Recommendations - 3rd ASFN Mtg	Juergen	ASFCC	emailed to evaluators	01-May
KP	55	3	NTFP-EP Contributions to Knowledge Tree	Dazzle	NTFP-EP	<a href="https://drive.google.com/drive/u/2/folders/">https://drive.google.com/drive/u/2/folders/</a>	05-May
KP	56	3	NTFP and AWGSF Policy Paper on Supporting Community Forestry Enterprises (CFEs) with	Dazzle	NTFP-EP	<a href="https://ntfp.org/wp-content/uploads/2016/C">https://ntfp.org/wp-content/uploads/2016/C</a>	05-May
KP	57	3	Voices from the forest March 2019 issue	Dazzle	NTFP-EP	<a href="https://ntfp.org/wp-content/uploads/2019/C">https://ntfp.org/wp-content/uploads/2019/C</a>	05-May
KP	58	3	Voices from the forest webpage	Dazzle	NTFP-EP	<a href="https://ntfp.org/ir-voices-from-the-forest/">https://ntfp.org/ir-voices-from-the-forest/</a>	05-May
KP	59	3	Cole et al-2019-local agency	Moir	CIFOR	emailed to evaluators	06-May
KP	60	3	colour of maize	Moir	CIFOR	emailed to evaluators	06-May
KP	61	3	FAO NDCs 200127 no bleed	Moir	CIFOR	emailed to evaluators	06-May
KP	62	3	Indah Waty-What is success	Moir	CIFOR	emailed to evaluators	06-May
KP	63	3	Maharani et al-Development and Equity	Moir	CIFOR	emailed to evaluators	06-May
KP	64	3	Social_Forestry_-_why_and_for_whom_A_comparison_of	Moir	CIFOR	emailed to evaluators	06-May
KP	65	3	Thung-2018-Human_Ecology	Moir	CIFOR	emailed to evaluators	06-May
KP	66	3	Annex 5A - Social Forestry and Sustainable Multifunctional Landscapes	Doris	ASFCC	emailed to evaluators	16-Jul
KP	67	3	Annex 5B - Social Forestry and Inclusive Livelihoods	Doris	ASFCC	emailed to evaluators	16-Jul
KP	68	3	Annex 5C - Social Forestry and Social Transformation	Doris	ASFCC	emailed to evaluators	16-Jul
KP	69	3	Annex 5D - Social Forestry and Political and Institutional Change	Doris	ASFCC	emailed to evaluators	16-Jul
KP	70	s	recoftc-0000379-0001-en-Situational Assessment 2020	online	RECOFTC		08-Sep
KP	71	s	ASFCC research on stakeholder perceptions RECOFTC FINAL 10 August 2020-print	David	RECOFTC	emailed to evaluators	31-Aug
<b>Outputs</b>							
Output	72	3	The ASEAN RAI - Key elements of the Guidelines	Doris	ASEAN	emailed to evaluators	29-Feb
Output	73	3	1. Distribution List as of February 2020	Alfi	ASFCC	emailed to evaluators	05-Mar
Output	74	3	ASEAN Cooperation on Social Forestry Plan of Action 2020-2025	hard copy draft	AWG-SF (recoftc)	Dian presented in Jakarta PoA 2016-2019	25-Feb
Output	75	3	AMAF approved report on AFCC as permanent coordinating platform for climate change	Doris	ASEAN	emailed to evaluators	29-Feb
Output	76	3	Approved Multisectoral Framework on Climate Change towards Food and	Doris	ASEAN	emailed to evaluators	29-Feb
Output	77	3	ASEAN Agroforestry Guidelines revised	Doris	ASEAN (icraf)	emailed to evaluators	29-Feb
Output	78	3	ASEAN RAI Guidelines Brochure	Doris	ASEAN (Oxfam Grow)	emailed to evaluators	29-Feb
Output	79	3	4. ASEAN-Multisectoral-Framework-for-climate-change	Alfi	ASEAN	emailed to evaluators	05-Mar
Output	80	3	5. ASEAN-Guidelines-on-responsible-investment-in-FAF	Alfi	ASEAN	emailed to evaluators	05-Mar
Output	81	3	6. ASEAN Guidelines for Agroforestry Development	Alfi	ASEAN	emailed to evaluators	05-Mar
Output	82	3	Agroforestry for climate resilience-Draft 1	Pop	ICRAF - RECOFTC	Practitioner's Field Guide	06-May
Output	83	3	Full text AF Training Manual_JDW [4] (1)	Pop	ICRAF - RECOFTC	Method Manual (internal doc)	06-May
Output	84	3	4 Case study_ASRF_2019_Compress_updated_sc	Amy	AWG-SF Cambodia	Community Forestry in Cambodia – A review	06-May
Output	85	3	Projects supported by asrf final list_02232020	Amy	SEARCH	emailed to evaluators	06-May

**Annex 2**  
**DOCUMENTS REVIEWED**

Type	No.	Phase	Title	Source	Author	Link	Access Date
Output	86	3	CSO Forum statements	Dazzle	NTFP-EP	<a href="https://drive.google.com/open?id=15sjzqZkx">https://drive.google.com/open?id=15sjzqZkx</a>	05-May
Output	87	3	AEC Impact Study	Dazzle	NTFP-EP	<a href="https://ntfp.org/wp-content/uploads/2016/1">https://ntfp.org/wp-content/uploads/2016/1</a>	05-May
Output	88	3	CSO Forum CEL Briefing Paper on Promoting CF MSMEs in light of the ASEAN Economic C	Dazzle	NTFP-EP	<a href="https://ntfp.org/wp-content/uploads/2017/1">https://ntfp.org/wp-content/uploads/2017/1</a>	05-May
Output	89	3	CSO Forum 2014 Working Papers	Dazzle	NTFP-EP	<a href="https://ntfp.org/wp-content/uploads/2016/C">https://ntfp.org/wp-content/uploads/2016/C</a>	05-May
Output	90	3	CSO Forum Report Card 2018	Dazzle	NTFP-EP	<a href="https://ntfp.org/wp-content/uploads/2018/1">https://ntfp.org/wp-content/uploads/2018/1</a>	05-May
Output	91	3	Hive Webinar 1: Introduction to the Intellectual Property Regime	Dazzle	NTFP-EP	Presentation: <a href="https://www.slideshare.net/N">https://www.slideshare.net/N</a>	05-May
Output	92	3	Hive Webinar 1: Introduction to the Intellectual Property Regime	Dazzle	NTFP-EP	Video recording: <a href="https://youtu.be/S3ahkuEV">https://youtu.be/S3ahkuEV</a>	05-May
Output	93	3	Hive Webinar 2: Protecting Traditional Knowledge, Traditional Culture Expression of Indi	Dazzle	NTFP-EP	Presentation: <a href="https://www.slideshare.net/se">https://www.slideshare.net/se</a>	05-May
Output	94	3	Hive Webinar 2: Protecting Traditional Knowledge, Traditional Culture Expression of Indi	Dazzle	NTFP-EP	Video recording: <a href="https://youtu.be/nFifa_xoN">https://youtu.be/nFifa_xoN</a>	05-May
Output	95	3	Hive Webinar 3: Practical Case Examples on the Use of Existing Intellectual Property Tool	Dazzle	NTFP-EP	Presentation: <a href="https://www.slideshare.net/se">https://www.slideshare.net/se</a>	05-May
Output	96	3	Hive Webinar 3: Practical Case Examples on the Use of Existing Intellectual Property Tool	Dazzle	NTFP-EP	Video recording: <a href="https://youtu.be/LpVqEZU-">https://youtu.be/LpVqEZU-</a>	05-May
Output	97	3	STATEMENT-OF-ASEAN-MINISTERS-ON-AGRICULTURE-AND-FORESTRY-ON-COVID-19-FIN	Alfi	ASEAN	<a href="https://asean.org/storage/2020/04/STATEM">https://asean.org/storage/2020/04/STATEM</a>	19-May
Output	98	3	Agroforestry ASEAN white paper	Delia Catacutan	ICRAF	emailed to evaluators	08-May
Output	99	3	participants exceed - sdc asfcc	Crissy	NTFP-EP	emailed to evaluators	10-Jun
Output	100	3	Annex 1 - Plan of Action for ASEAN Social Forestry Cooperation 2021-2025	Doris	AWG-SF	emailed to evaluators	16-Jul
Output	101	3	Annex 2 - Assessment on Establishment of Permanent Platform for AFCC Implementation	Doris	ASFCC	emailed to evaluators	16-Jul
Output	102	3	SEARCA ASRF webpage	online	SEARCA		12-Jun
Output	103	3	NTFP-Policy-Paper-INDCs-2016	online	NTFP-EP		12-Jun
Output	104	3	ANNEX-15.-NTFP-EP_ASFN-Policy-Paper-SMEs	Dazzle	NTFP-EP	emailed to evaluators	29-Jul
<b>Operational Reports</b>							
ProgRep	105	3	ASFCC Collaborative Impacts from 2009 – 2020 (first draft, word version)	Pop	ASFCC partners	emailed to evaluators	06-May
ProgRep	106	3	ASFCC Collaborative Impacts from 2009-2020	Alfi	ASFCC	emailed to evaluators	15-May
ProgRep	107	3	ASRF contribution to the ASFCC Logframe, 2020	Amy	SEARCA	emailed to evaluators	06-May
ProgRep	108	2	AWG-SF_Sec-Phase_2-Operational_Report	Pierre	AWG-SF Sec	emailed to evaluators	09-Mar
ProgRep	109	3.1	AWG-SF_Sec-Phase_3.1-Operational_Report-2017	Alfi	AWG-SF	emailed to evaluators	09-Mar
ProgRep	110	3.2	AWG-SF_Sec-Phase_3.2-Operational_Report-2018	Alfi	AWG-SF	emailed to evaluators	09-Mar
ProgRep	111	3.3	AWG-SF-Sec-Phase_3.3-Operational_Update-Oct 2019	Alfi	AWG-SF Sec	<a href="#">6. AWG-SF Secretariat02.pdf</a>	11-Mar
ProgRep	112	2	CIFOR-Phase_2-Operational_Report	Pierre-Andre	CIFOR	emailed to evaluators	09-Mar
ProgRep	113	3	CIFOR-Phase_3.1-Operational_Report-2017	Pierre-Andre	CIFOR	emailed to evaluators	08-May
ProgRep	114	3.2	CIFOR-Phase_3.2-Operational_Report-2018	Pierre-Andre	CIFOR	emailed to evaluators	09-Mar
ProgRep	115	3.3	CIFOR-Phase_3.3-Operational_Update-Oct 2019	Alfi	CIFOR	<a href="#">1. 2019 CIFOR ASFCC update Jogja.pdf</a>	11-Mar
ProgRep	116	2	ICRAF-Phase_2-Operational_Report	Pierre-Andre	ICRAF	emailed to evaluators	09-Mar
ProgRep	117	3	ICRAF-Phase_3.1-Operational_Report-2017	Alfi	ICRAF	emailed to evaluators	09-Apr
ProgRep	118	3	ICRAF-Phase_3.2-Operational_Report-Oct 2018	Alfi	ICRAF	emailed to evaluators	09-Apr
ProgRep	119	3.3	ICRAF-Phase_3.3-Operational_Update-Oct 2019	Alfi	ICRAF	<a href="#">2. 2019-10 ICRAF support to ASFCC.pdf</a>	11-Mar
ProgRep	120	1	NTFP-EP-Phase_0-Operational_Report-2011	Juergen	NTFP-EP	emailed by Juergen, NTFP Apr-Sep 2010	09-Apr
ProgRep	121	2	NTFP-EP-Phase_2-Operational_Report	Pierre-Andre	NTFP-EP	emailed to evaluators	09-Mar
ProgRep	122	3	NTFP-EP-Phase_3.1-Operational_Report-2017	Pierre-Andre	NTFP-EP	emailed to evaluators	08-May
ProgRep	123	3.2	NTFP-EP-Phase_3.2-Operational_Report-2018	Pierre-Andre	NTFP-EP	emailed to evaluators	09-Mar
ProgRep	124	3.3	NTFP-EP-Phase_3.3-Operational_Update-Oct 2019	Alfi	NTFP-EP	<a href="#">5. 18October2019 NTFP-EP Presentation ASI</a>	11-Mar
ProgRep	125	3	NTFP-EP's Reports to ASFCC	Dazzle	NTFP-EP	<a href="https://drive.google.com/open?id=1Mki2L3v">https://drive.google.com/open?id=1Mki2L3v</a>	05-May
ProgRep	126	1	RECOFTC-Phase_0-Operational_Report-2010	Juergen	RECOFTC	emailed by Juergen, RECOFTC report as of Se	09-Apr
ProgRep	127	2	RECOFTC-Phase_2-Operational_Report	Pierre-Andre	RECOFTC	emailed to evaluators	09-Mar
ProgRep	128	3	RECOFTC-Phase_3.1-Operational_Report-2017	Alfi	RECOFTC	emailed to evaluators	09-Apr
ProgRep	129	3	RECOFTC-Phase_3.2-Operational_Report-2018	Alfi	RECOFTC	emailed to evaluators	09-Apr

**Annex 2**  
**DOCUMENTS REVIEWED**

Type	No.	Phase	Title	Source	Author	Link	Access Date
ProgRep	130	3.3	RECOFTC-Phase_3.3-Operational_Update-Oct 2019	Alfi	RECOFTC	<a href="#">3. RECOFTC ASFCC planning meeting 2019.r</a>	11-Mar
ProgRep	131	2	Regional-Advisor-Phase_2-Operational_Report	Pierre-Andre	Doris	emailed to evaluators	09-Mar
ProgRep	132	3.1	Regional Advisor-Phase_3.1-Operational_Report-2017	Pierre-Andre	Doris	emailed to evaluators	09-Mar
ProgRep	133	3.2	Regional Advisor-Phase_3.2-Operational_Report-2018	Pierre-Andre	Doris	emailed to evaluators	09-Mar
ProgRep	134	3.3	Regional Advisor-Phase_3.3-Operational_Report-Aug 2019	Doris	DC	emailed to evaluators	29-Feb
ProgRep	135	2	SEARCA-Phase_2-Operational_Report	Pierre-Andre	SEARCA	emailed to evaluators	09-Mar
ProgRep	136	3	SEARCA-Phase_3.1-Operational_Report-2017	Alfi	SEARCA	emailed to evaluators	09-Apr
ProgRep	137	3	SEARCA-Phase_3.2-Operational_Report-2018	Alfi	SEARCA	emailed to evaluators	09-Apr
ProgRep	138	3.3	SEARCA-Phase_3.3-Operational_Update-Oct 2019	Alfi	SEARCA	<a href="#">4. SEARCA Presentation 16oct.pdf</a>	11-Mar
ProgRep	139	3	Annex 2. List of publication	Juergen	CIFOR	emailed to evaluators	12-Jul
ProgRep	140	3	ASFCC phase III-CIFOR Operational Report-final draft June 2020	Juergen	CIFOR	emailed to evaluators	12-Jul
ProgRep	141	3	ASFCC_Final_Operational_Report_ICRAF_contract_810483146997	Pierre	ICRAF	emailed to evaluators	09-Jul
ProgRep	142	3	ASFCC_Final_Operational_Report_ICRAF_contract_810483146997	Pierre	ICRAF	emailed to evaluators	13-Jul
ProgRep	143	3	ASFCC_phase_III-CIFOR_Operational_Report-final_draft_June_20202545	Pierre	CIFOR	emailed to evaluators	09-Jul
ProgRep	144	3	ASFCC_phase_III-CIFOR_Operational_Report-final_draft_June_20202545	Pierre	CIFOR	emailed to evaluators	13-Jul
ProgRep	145	3	Capistrano_Narrative_Report_on_the_ASFCC_Phase_3_1Mar-31Dec_2018_(with_Annex	Pierre	Doris	emailed to evaluators	02-Jun
ProgRep	146	3	Capistrano_Narrative_Report_on_the_ASFCC_Phase_3_1Mar-31Dec_2018_(with_Annex	Pierre	Doris	emailed to evaluators	13-Jul
ProgRep	147	3	Mandate E-81050456 (Type B) Final Report on ASFCC3 (DCapistrano)	Pierre & Doris	Doris	emailed to evaluators	09-Jul
ProgRep	148	3	RECOFTC_ASFCC_phase_III_Completed_Operational_Report	Pierre	RECOFTC	emailed to evaluators	09-Jul
<b>Project Documents</b>							
ProjDoc	149	1	ASEAN_entry_proposal_12Mar2010_für_OK_24.3.10	Pierre-Andre	SDC	emailed to evaluators	09-Mar
ProjDoc	150	1	Antrag_Hauptkredit_ASEAN-Swiss_Partnership_on_Social_Forestry_and_Climate_Chang	Pierre-Andre	SDC	emailed to evaluators	09-Mar
ProjDoc	151	2	Signed_credit_proposal_ASEAN_ASFCC_phase_2	Pierre-Andre	SDC	emailed to evaluators	09-Mar
ProjDoc	152	2	Antrag_Zusatzkredit_ASFCC_Phase_I_Regional_coordinator___RPP_consultation_Thailan	Pierre-Andre	SDC	emailed to evaluators	09-Mar
ProjDoc	153	3	3. ANNEX_Logframe	Alfi	ASFCC	emailed to evaluators	09-Mar
ProjDoc	154	3	Credit_proposal_ASEAN_ASFCC_phase_3_signed	Pierre-Andre	SDC	emailed to evaluators	09-Mar
ProjDoc	155	3	7F-07476.03.08_B_Mandate_81049858_Helvetas_Swiss_Intercooperation_S_Koottala_B	Pierre-Andre	SDC	emailed to evaluators	09-Mar
ProjDoc	156	3	ASFCC Phase III_sent	Alfi	ASFCC	emailed to evaluators	09-Mar
ProjDoc	157	1	Antrag_Zusatzkredit_ASFCC_Phase_I_Regional_coordinator___RPP_consultation_Thaila	Pierre-Andre	SDC	emailed to evaluators	
ProjDoc	158	1	ASEAN entry proposal FINAL	Juergen	SDC 2010	emailed by Juergen 34 pp (Phase 1 1 April 20	09-Apr
ProjDoc	159	3	Proposed Strategy for ASFCC Sustainability beyond 2020 (DCapistrano-JB comments)	Juergen	SDC	emailed to evaluators	08-May
<b>Strategy Documents</b>							
Strategy	160	2	Strategic-Plan-of-Action-for-ASEAN-Cooperation-on-Forestry-2016-2025	online	ASEAN		10-Mar
Strategy	161	3	GPCCE Strategic Framework 2017-2020	online	SDC		09-Mar
Strategy	162	2	ASEAN Socio-Cultural Community (ASCC) Pillar	online	ASEAN	<a href="https://asean.org/asean-socio-cultural/">https://asean.org/asean-socio-cultural/</a>	13-Feb
Strategy	163	2	ASEAN Socio-Cultural Community (ASCC) Blueprint 2025	online	ASEAN	<a href="https://www.asean.org/wp-content/uploads">https://www.asean.org/wp-content/uploads</a>	13-Feb
Strategy	164	2	Mid-Term Review of the ASEAN Socio-Cultural Community Blueprint (2009-2015)	online	ASEAN	<a href="https://asean.org/storage/2017/09/2.-Feb-20">https://asean.org/storage/2017/09/2.-Feb-20</a>	13-Feb
Strategy	165	2	2015 ASEAN Socio-Cultural Community (ASCC) Scorecard	online	ASEAN	<a href="https://www.asean.org/storage/2016/04/9.-">https://www.asean.org/storage/2016/04/9.-</a>	13-Feb
Strategy	166	3	ASEAN SOCIO-CULTURAL COMMUNITY (ASCC) COUNCIL as of 8 Jan 2018	online	ASEAN	<a href="https://asean.org/wp-content/uploads/2012">https://asean.org/wp-content/uploads/2012</a>	13-Feb
Strategy	167	3	ASEAN SECTORAL MINISTERIAL BODIES as of 13 Feb 2018	online	ASEAN	<a href="https://asean.org/asean/asean-structure/asc">https://asean.org/asean/asean-structure/asc</a>	13-Feb
Strategy	168		ASEAN Related Sites	online	ASEAN	<a href="https://asean.org/links-3-2/asean-related-sit">https://asean.org/links-3-2/asean-related-sit</a>	13-Feb
Strategy	169	2	1. Vision and SP-FAF (final) - ASEAN Cooperation on Food Agriculture & Forestry Vision	Alfi	ASEAN	emailed to evaluators	09-Mar
Strategy	170	3	ANNEX 9 Agenda 5. ASEAN Cooperation on Climate Change_ASOEN_ASEC	Alfi	ASOEN	emailed by Alfi as doc for ASOEN Strat Plan 2	20-Apr
Strategy	171	3	CFNWG in Myanmar	Pop	AMS Cambodia	Myanmar CF National Working Group	06-May
Strategy	172	3	CFN ToR_update_23_Oct_2013_Eng	Ron Kalyan	AMS Cambodia	Cambodia Community Forest Network	07-May

**Annex 2**  
**DOCUMENTS REVIEWED**

Type	No.	Phase	Title	Source	Author	Link	Access Date
Strategy	173	3	NCFPCC ToR Final (2)	Ron Kalyan	AMS Cambodia	National Community Forestry Programme Cc	07-May
Strategy	174	3	PCFPCC ToR_update_23_Oct_2013-Eng	Ron Kalyan	AMS Cambodia	Provincial Community Forestry Programme C	07-May
Strategy	175	3	ASEAN org and pol structure 2020	Pierre-Andre	ASEAN	emailed to evaluators	08-Mar
Strategy	176	3	Register of Entities Associated with ASEAN as of 7 Jan 2020	online	ASEAN	<a href="https://asean.org/storage/2012/05/REGISTE">https://asean.org/storage/2012/05/REGISTE</a>	13-Feb
<b>Documents for Scoping the Future (Forward-looking Assessment)</b>							
Future	177	s	20.-SPA-ATWGARD-2016-20201	online	ATWGARD		14-Sep
Future	178	s	200311_IISD proposal_ASEAN-RAI-Implementation	Hans	ASEAN	emailed to evaluators	30-Jul
Future	179	s	20-2-01e Global Climate Risk Index 2020_14	online			23-Jun
Future	180	s	47084-002_ Community-Focused Investments to Address Deforestation and Forest Degra	online	ADB		18-Sep
Future	181	s	8._asean-china_environmental_cooperation_action_plan2016-2020	online	ASEAN-China		14-Sep
Future	182	s	Adopted-AJSCC-to-COP242	online	ASEAN		16-Jul
Future	183	s	Agd 5. PoA-Social Forestry 2021-2025 200501_Final Draft (cln)	Alfi	AWG-SF	emailed to evaluators	15-Sep
Future	184	s	AHP-RAP-2016-2020-ACB-GB-endorsed	online	ASEAN		16-Sep
Future	185	s	AJDRP	online	AHA Centre	<a href="https://ahacentre.org/publication/ajdrp/">https://ahacentre.org/publication/ajdrp/</a>	14-Sep
Future	186	s	AMAF Structure (1 December 2016)	Miyuki	ASEAN	emailed to evaluators	10-Jul
Future	187	2	AMAF Structure (1 December 2016)	Miyuki	ASEAN	emailed to evaluators	11-Jul
Future	188	s	Annex 10 - Statement of ASEAN Ministers on Agriculture and Forestry on COVID-19, April	Pierre & Doris	AMAF	emailed to evaluators	09-Jul
Future	189	3	Annex 11 - Outcome Report - ASEAN Guidelines and Action Plan on Responsible Invesme	Pierre & Doris	ASEAN	emailed to evaluators	09-Jul
Future	190	s	ANNEX 11 Agenda 6.3.1.2 Proposed Streamlining of Subsidiary Bodies under the ASOF (A	Thang	ASOF	emailed to evaluators	20-Jul
Future	191	3	Annex 2 - Assessment on Establishment of Permanent Platform for AFCC Implementation	Pierre	AFCC	emailed to evaluators	09-Jul
Future	192	s	ANNEX 23 Agd 10 POA AWG-FPD - Final	Thang	ASOF	emailed to evaluators	20-Jul
Future	193	s	ANNEX 26 Agd 9.3 POA Social Forestry_23022017_Final	Thang	ASOF	emailed to evaluators	20-Jul
Future	194	s	ANNEX 31 Agd 10.2 POA AWG-FM	Thang	ASOF	emailed to evaluators	20-Jul
Future	195	s	Annex 31 Agd 8.5.1 Update on AFCC	Thang	ASOF	emailed to evaluators	20-Jul
Future	196	s	Annex 32 Agd 8.5.1 app 3 Matrix proposed actions for MSCF	Thang	ASOF	emailed to evaluators	20-Jul
Future	197	s	ANNEX 40 Agd 11.1.2 Plan of Action Forest and Climate Change - Fin	Thang	ASOF	emailed to evaluators	20-Jul
Future	198	s	APMS-2006-2020-re-printed-December-2018 peatlands	online	ASEAN		16-Sep
Future	199	s	APTCS	Inada	ASEAN+3	emailed to evaluators	24-Jul
Future	200	s	ASEAN 1st NDC Adapt_Mitigation priorities for Agriculture sector	Beau Damen	FAO	emailed to evaluators	20-Sep
Future	201	s	ASEAN 5th State of the Environment Report 2017	online	ASEAN ENV	<a href="https://environment.asean.org/wp-content/">https://environment.asean.org/wp-content/</a>	16-Jul
Future	202	s	ASEAN ENV-At-A-Glance-Brochure-2019-small	online	ASEAN		17-Jul
Future	203	s	ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture and Forestr	Hans	ASEAN	emailed to evaluators	30-Jul
Future	204	s	ASEAN Joint Statement on Climate Change COP 24	online	ASEAN	<a href="https://asean.org/storage/2012/05/Adopted">https://asean.org/storage/2012/05/Adopted</a>	16-Jul
Future	205	s	ASEAN org and pol structure 2020	Pierre	Swiss Embassy in Jakarta	emailed to evaluators	23-May
Future	206	s	ASEAN Strategic Plan of Action on Water Resources Management 2015	online	ASEAN		16-Sep
Future	207	3	ASEAN Working Group on Forest and Climate Change (AWGFCC) - ASEAN Working Group	online	AWG-FCC		12-Jun
Future	208	s	ASEAN, Germany reaffirm commitment to deepen partnership - ASEAN _ 2019 Jul	online	ASEAN		01-May
Future	209	s	ASEAN, Norway to enhance partnership - 2019	online	ASEAN		01-May
Future	210	s	ASEAN, Switzerland to strengthen partnership - ASEAN _ 2019 Nov	online	ASEAN	<a href="https://asean.org/asean-switzerland-reaffirr">https://asean.org/asean-switzerland-reaffirr</a>	01-May
Future	211	s	ASEAN_Standards_and_Conformity_Infrastructure_Side_Event_Stream_4_AFPW_160217	online	ASEAN		19-Aug
Future	212	s	ASEAN-Canada PoA adopted	online	ASEAN-Canada		14-Sep
Future	213	s	ASEAN-Country-Coordinatorship-2015-2024rev	online	ASEAN		23-Jun
Future	214	s	ASEAN-Japan_Summit_Chairman_s_Statement_28Final_29	online			15-Jul
Future	215	s	ASEAN-Outlook-on-the-Indo-Pacific_FINAL_22062019	online	ASEAN		15-Jul
Future	216	s	ASEAN-ROK-POA-2016-2020-FINAL	online			14-Sep

**Annex 2**  
**DOCUMENTS REVIEWED**

Type	No.	Phase	Title	Source	Author	Link	Access Date
Future	217	s	ASEAN-Strategic-Plan-on-Environment-2016-2025	online	ASEAN		19-Aug
Future	218	s	ASEAN-Switzerland-PCA-2017-2021	online	ASEAN	<a href="http://asean.org/wp-content/uploads/2017/">http://asean.org/wp-content/uploads/2017/</a>	21-Jul
Future	219	s	ASEAN-UN-JSPADM-2016-2020_final	online	ASEAN-UN	<a href="https://asean.org/storage/2017/12/ASEAN-L">https://asean.org/storage/2017/12/ASEAN-L</a>	14-Sep
Future	220	s	ASEAN-UN-POA-FINAL-AS-OF-5-SEP-2016	online	ASEAN-UN	<a href="https://asean.org/asean/external-relations/a">https://asean.org/asean/external-relations/a</a>	14-Sep
Future	221	3	ASFCC research on stakeholder perceptions RECOFTC FINAL 10 August 2020	David	RECOFTC	emailed to evaluators	10-Aug
Future	222	s	ASFCC Survey Draft Report DG	David	RECOFTC	emailed to evaluators	09-Jul
Future	223	s	AWGCC Action Plan (Current)	Pierre	AWGCC	emailed to evaluators	09-Jul
Future	224	s	Brief project proposal ASEAN-German Climate Programme	Pierre	GIZ	emailed to evaluators	09-Jul
Future	225	s	Brunei SDG VNR	online	SDG UN	<a href="https://sustainabledevelopment.un.org/cont">https://sustainabledevelopment.un.org/cont</a>	21-Sep
Future	226	s	Cambodia _ Green Climate Fund	online	GCF		18-Sep
Future	227	s	Cambodia NBSAP Aichi	online	CBD		21-Sep
Future	228	s	Cambodia SDG VNR	online	SDG UN	<a href="https://sustainabledevelopment.un.org/cont">https://sustainabledevelopment.un.org/cont</a>	21-Sep
Future	229	s	Cambodia_LDN Profile	online	UNCCD	<a href="https://www.unccd.int/sites/default/files/inl">https://www.unccd.int/sites/default/files/inl</a>	21-Sep
Future	230	s	CFS_Agroecological_innovative_approaches_Draft_One.Rev1	online	CFS		19-Aug
Future	231	s	Chart-ASOF Subsidiary Bodies ( ASOF-19)	Thang	ASOF	emailed to evaluators	20-Jul
Future	232	s	COVID-19-induced visitor boom reveals the importance of forests as critical infrastructure	Pat	EFI		15-Jul
Future	233	3	DENR - ASEAN Working Group on Social Forestry (AWGSF) - ASEAN Working Groups - DENR	online	DENR		12-Jun
Future	234	3	DENR FASPO news - UPLBFI and NTFP-EP to refine CBFM project proposals - 2016	online	DENR		12-Jun
Future	235	s	Developing Research Capacity of Universities in Southeast Asia_June 2020	David		emailed to evaluators	01-Sep
Future	236	s	Draft ASEAN Program Concept Note_June 2020-recoftc	Pierre & David	RECOFTC	emailed to evaluators	09-Jul
Future	237	s	Email on Model Forest update	Preecha	RMFN Asia	emailed to evaluators	01-Sep
Future	238	s	Email response to interview questions for ITTO	Steve Johnson	ITTO	emailed to evaluators	27-Jul
Future	239	s	FAO FLEGT flyer	online	FAO	<a href="http://www.fao.org/in-action/eu-fao-flegt-pr">http://www.fao.org/in-action/eu-fao-flegt-pr</a>	15-Sep
Future	240	s	FAO_Copy of NDC_database_SEA_2020	Beau	FAO	emailed to evaluators	04-Jul
Future	241	s	FAO_NDC AFOLU in Asia_2020	Beau	FAO	emailed to evaluators	26-May
Future	242	s	FAO-RAP Landscapes and Livelihoods Programme 13 July	Thomas	FAO	emailed to evaluators	24-Jul
Future	243	s	FCPF Carbon Fund Dashboard as of Sep 2020	online	FCPF	<a href="https://forestcarbonpartnership.org/carbon-">https://forestcarbonpartnership.org/carbon-</a>	18-Sep
Future	244	s	Final-ASEAN-China-Joint-Statement-Synergising-the-MPAC-2025-and-the-BRI	online	ASEAN-China		15-Sep
Future	245	s	Finance for Nature Virtual Global Series	Keith	Keith notes	emailed to evaluators	27-Jul
Future	246	3	FMB Directory 2020	online	DENR		12-Jun
Future	247	s	Forest Landscape Restoration for Asia-Pacific Forests_2016	online	FAO	<a href="http://www.fao.org/3/a-i5412e.pdf">http://www.fao.org/3/a-i5412e.pdf</a>	20-Sep
Future	248	s	FRL_Indonesia_modified_2018	online	UNFCCC	<a href="https://redd.unfccc.int/files/frel_submission">https://redd.unfccc.int/files/frel_submission</a>	24-Aug
Future	249	s	FRL_Laos_modified_2018	online	UNFCCC	<a href="https://redd.unfccc.int/files/lao_2018_frel_s">https://redd.unfccc.int/files/lao_2018_frel_s</a>	24-Aug
Future	250	s	FRL_Malaysia_modified	online	UNFCCC	<a href="https://redd.unfccc.int/files/modified_submi">https://redd.unfccc.int/files/modified_submi</a>	24-Aug
Future	251	s	FRL_Myanmar_modified	online	UNFCCC	<a href="https://redd.unfccc.int/files/revised-myanmar">https://redd.unfccc.int/files/revised-myanmar</a>	24-Aug
Future	252	s	GCF-status-pledges-irm_1	online	GCF	<a href="https://www.greenclimate.fund/document/s">https://www.greenclimate.fund/document/s</a>	15-Sep
Future	253	s	Germany _ Donor Tracker	online			04-Jul
Future	254	s	Germany _ Donor Tracker	online	Donor Tracker		04-Jul
Future	255	s	GIZ GAP-CC 2010-2013	online	GIZ		06-Jun
Future	256	s	giz2013-en-projects-portfolio-asean-environment	online	GIZ		06-Jun
Future	257	s	Global Forest Resources Assessment 2020 Database	online	FAO	<a href="https://fra-data.fao.org/">https://fra-data.fao.org/</a>	22-Aug
Future	258	s	Global Forest Resources Assessment 2020 Main Report	online	FAO	<a href="http://www.fao.org/3/i8699en/i8699en.pdf">http://www.fao.org/3/i8699en/i8699en.pdf</a>	22-Aug
Future	259	s	GPCCE flyer 2014	online	SDC GPCCE	<a href="https://www.eda.admin.ch/content/dam/de">https://www.eda.admin.ch/content/dam/de</a>	01-Sep
Future	260	s	GPFS flyer	online	SDC GPFS	<a href="https://www.eda.admin.ch/content/dam/de">https://www.eda.admin.ch/content/dam/de</a>	01-Sep
Future	261	s	Hanna_2019-08-01 ASEAN-Germany Cooperation - An Overview	Hanna	GIZ	emailed to evaluators	22-Jul

**Annex 2**  
**DOCUMENTS REVIEWED**

Type	No.	Phase	Title	Source	Author	Link	Access Date
Future	262	s	Hanna_20200721-ASEAN-GER Climate Programme-AWGCC meeting	Hanna	GIZ	emailed to evaluators	22-Jul
Future	263	s	IIED Unseen Foresters 2020 Jul	Dazzle	IIED		29-Jul
Future	264	s	IKI Projects - Indonesia bilateral transnational - Sep 2020	online	GIZ		17-Sep
Future	265	s	IKI Projects - Internationale Klimaschutzinitiative - Sep 2020	online	GIZ		17-Sep
Future	266	s	IKI Projects - Vietnam bilateral transnational - Sep 2020	online	GIZ		17-Sep
Future	267	s	Indonesia _ Climate Investment Funds	online	ADB		18-Sep
Future	268	s	Indonesia _ Green Climate Fund	online	GCF		18-Sep
Future	269	s	Indonesia FIP - Community-Focused Investments to Address Deforestation and Forest Degradation	online	ADB		18-Sep
Future	270	s	Indonesia NBSAP Aichi	online	CBD		21-Sep
Future	271	s	Indonesia SDG VNR	online	SDG UN	<a href="https://sustainabledevelopment.un.org/content/documents/2016-12-SDG-VNR-Indonesia.pdf">https://sustainabledevelopment.un.org/content/documents/2016-12-SDG-VNR-Indonesia.pdf</a>	21-Sep
Future	272	s	Information Note on ASEAN Green Initiative (AGI) for Switzerland (6May2020.._	Ralph Stamm	ASEAN ENV	emailed to evaluators	21-Jul
Future	273	s	Information Note on ASEAN Green Initiative (AGI) for Switzerland (6May2020.._	Pierre	ASEAN ENV	emailed to evaluators	08-Jun
Future	274	s	JAIF SUPPORT FOR MSMEs _ JAIF _ Japan-ASEAN Integration Fund	online	JMT		13-Jul
Future	275	s	Japan MOE - ASEAN-Japan Climate Action Agenda 2017	online			15-Jul
Future	276	s	Japan Strategy - Free and Open Indo-Pacific	online			15-Jul
Future	277	s	Japan Strategy - Paris Agreement 2019	online			15-Jul
Future	278	s	Keith Anderson presentation to Expert Group on Adaptation to Climate Change 2017	online	Swis Federal Office for Environment	<a href="https://foresteurope.org/wp-content/uploads/2017/07/Keith-Anderson-presentation-to-Expert-Group-on-Adaptation-to-Climate-Change-2017.pdf">https://foresteurope.org/wp-content/uploads/2017/07/Keith-Anderson-presentation-to-Expert-Group-on-Adaptation-to-Climate-Change-2017.pdf</a>	27-Jul
Future	279	s	Kriangkrai - Sida asien-oceanien-eng 2016-2021	Kriangkrai		emailed to evaluators	20-Jul
Future	280	s	Lao FIP - Protecting Forests for Sustainable Ecosystem Services _ Climate Investment Funds	online	ADB		18-Sep
Future	281	s	Lao PDR NAP 1999	online	UNCCD	<a href="https://knowledge.unccd.int/sites/default/files/inline-files/Lao_PDR_NAP_1999.pdf">https://knowledge.unccd.int/sites/default/files/inline-files/Lao_PDR_NAP_1999.pdf</a>	21-Sep
Future	282	s	Lao People's Democratic Republic _ Climate Investment Funds	online	ADB		18-Sep
Future	283	s	Lao People's Democratic Republic _ Green Climate Fund	online	GCF		18-Sep
Future	284	s	Lao People's Democratic Republic_LDN Profile	online	UNCCD	<a href="https://www.unccd.int/sites/default/files/inline-files/Lao_Peoples_Democratic_Republic_LDN_Profile.pdf">https://www.unccd.int/sites/default/files/inline-files/Lao_Peoples_Democratic_Republic_LDN_Profile.pdf</a>	21-Sep
Future	285	s	Lao SDG VNR	online	SDG UN	<a href="https://sustainabledevelopment.un.org/content/documents/2016-12-SDG-VNR-Lao.pdf">https://sustainabledevelopment.un.org/content/documents/2016-12-SDG-VNR-Lao.pdf</a>	21-Sep
Future	286	s	Laos NBSAP Aichi	online	CBD		21-Sep
Future	287	s	Lee - 2016_Four-year_Partnership_of_ASEAN-ROK_Forest_Cooperation_Special_Report	Lee		emailed to evaluators	23-Jul
Future	288	s	Lee - AFOCO - ASEAN Garden Project Concept Note	Lee		emailed to evaluators	23-Jul
Future	289	s	Lee - AFOCO Capacity Building on Enhancing Resilience to Forest Fire and Local Livelihoods	Lee		emailed to evaluators	23-Jul
Future	290	s	Lee - Afoco_2019_Working_Towards_A_Greener_Asia	Lee		emailed to evaluators	23-Jul
Future	291	s	Lee - Afoco-D5-I-18R-Strategic-Plan-2019-2023	Lee		emailed to evaluators	23-Jul
Future	292	s	Malaysia _ Green Climate Fund	online	GCF		18-Sep
Future	293	s	Malaysia NBSAP	online	CBD		21-Sep
Future	294	s	Malaysia SDG VNR	online	SDG UN	<a href="https://sustainabledevelopment.un.org/content/documents/2016-12-SDG-VNR-Malaysia.pdf">https://sustainabledevelopment.un.org/content/documents/2016-12-SDG-VNR-Malaysia.pdf</a>	21-Sep
Future	295	s	Map of Countries Setting LDN Targets	online	UNCCD	<a href="https://www.unccd.int/actions/ldn-target-setting">https://www.unccd.int/actions/ldn-target-setting</a>	21-Sep
Future	296	s	Myanmar _ Green Climate Fund	online	GCF		18-Sep
Future	297	s	Myanmar NBSAP Aichi	online	CBD		21-Sep
Future	298	s	NAPA_Laos_2009	online	UNFCCC	<a href="https://www.adaptation-undp.org/sites/default/files/inline-files/NAPA_Laos_2009.pdf">https://www.adaptation-undp.org/sites/default/files/inline-files/NAPA_Laos_2009.pdf</a>	13-Oct
Future	299	s	NDC_Cambodia	online	UNFCCC	<a href="https://www4.unfccc.int/sites/ndcstaging/Pages/Document%20Library/NDC%20Cambodia%202015.pdf">https://www4.unfccc.int/sites/ndcstaging/Pages/Document%20Library/NDC%20Cambodia%202015.pdf</a>	24-Aug
Future	300	s	NDC_Indonesia	online	UNFCCC	<a href="https://www4.unfccc.int/sites/ndcstaging/Pages/Document%20Library/NDC%20Indonesia%202015.pdf">https://www4.unfccc.int/sites/ndcstaging/Pages/Document%20Library/NDC%20Indonesia%202015.pdf</a>	24-Aug
Future	301	s	NDC_Laos	online	UNFCCC	<a href="https://www4.unfccc.int/sites/ndcstaging/Pages/Document%20Library/NDC%20Laos%202015.pdf">https://www4.unfccc.int/sites/ndcstaging/Pages/Document%20Library/NDC%20Laos%202015.pdf</a>	13-Oct
Future	302	s	NDC_Malaysia	online	UNFCCC	<a href="https://www4.unfccc.int/sites/ndcstaging/Pages/Document%20Library/NDC%20Malaysia%202015.pdf">https://www4.unfccc.int/sites/ndcstaging/Pages/Document%20Library/NDC%20Malaysia%202015.pdf</a>	13-Oct
Future	303	s	NDC_Myanmar	online	UNFCCC	<a href="https://www4.unfccc.int/sites/ndcstaging/Pages/Document%20Library/NDC%20Myanmar%202015.pdf">https://www4.unfccc.int/sites/ndcstaging/Pages/Document%20Library/NDC%20Myanmar%202015.pdf</a>	13-Oct
Future	304	s	NDC_Vietnam_updated	online	UNFCCC	<a href="https://www4.unfccc.int/sites/ndcstaging/Pages/Document%20Library/NDC%20Vietnam%202015.pdf">https://www4.unfccc.int/sites/ndcstaging/Pages/Document%20Library/NDC%20Vietnam%202015.pdf</a>	13-Oct
Future	305	s	NICFI website	online	NICFI		22-Jun
Future	306	s	nicfi-strategic-framework	online	NICFI		23-Jun

**Annex 2**  
**DOCUMENTS REVIEWED**

Type	No.	Phase	Title	Source	Author	Link	Access Date
Future	307	s	Norway _ Donor Tracker	online	Donor Tracker		22-Jun
Future	308	s	OECD Greening Development Cooperation je2020-1_62291en	online			09-Jul
Future	309	s	Overview-of-ASEAN-Canada-Dialogue-Relations-as-of-24-April-2020	online	ASEAN-Canada		15-Sep
Future	310	s	Overview-of-ASEAN-Switzerland-Sectoral-Dialogue-Relations-as-of-July-2019	online	ASEAN	<a href="https://asean.org/wp-content/uploads/2017">https://asean.org/wp-content/uploads/2017</a>	21-Jul
Future	311	s	Pandemic Slows Transfer of Forests to Indonesian Indigenous Communities _ KCET-2020-	online			26-Aug
Future	312	s	Philippines _ Climate Investment Funds	online	ADB		18-Sep
Future	313	s	Philippines _ Green Climate Fund	online	GCF		18-Sep
Future	314	s	Philippines NBSAP	online	CBD		21-Sep
Future	315	s	Philippines SDG VNR	online	SDG UN	<a href="https://sustainabledevelopment.un.org/cont">https://sustainabledevelopment.un.org/cont</a>	21-Sep
Future	316	s	POA-on-Forest-and-Climate-Change-2016-2020	online	AWG-FCC		14-Sep
Future	317	s	Press release_ ASEAN-Switzerland achievements	Ralph Stamm	Swiss Embassy in Jakarta	emailed to evaluators	21-Jul
Future	318	s	Ramm_200311_IISD proposal_ ASEAN-RAI-Implementation	Hans Ramm	SDC GPFS		24-Jul
Future	319	s	Ramm-ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture and	Hans Ramm	SDC GPFS		24-Jul
Future	320	s	Regional Analysis of NDC Contributions in Asia: Gaps and opportunities in the agriculture	Beau Damen	FAO	<a href="http://www.fao.org/3/ca7264en/CA7264EN">http://www.fao.org/3/ca7264en/CA7264EN</a> .	26-May
Future	321	3	Review-POA Social Forestry	Dian	FAF	emailed to evaluators	05-Jun
Future	322	s	RMFN-Asia_Strategic_Plan_2020-2024_FINAL	online	RMFN Asia		16-Sep
Future	323	s	RN-APFSOS-Climate Change Preliminary inputs-20180724	Beau	FAO		01-Sep
Future	324	s	ROK_Donor_tracker_chart_ODA	online	Donor Tracker		08-Sep
Future	325	s	Safeguards_REDD_Cambodia	online	UNFCCC	<a href="https://redd.unfccc.int/files/6_cambodia_1s">https://redd.unfccc.int/files/6_cambodia_1s</a>	24-Aug
Future	326	s	Safeguards_REDD_Indonesia	online	UNFCCC	<a href="https://redd.unfccc.int/files/sisredd_versi_er">https://redd.unfccc.int/files/sisredd_versi_er</a>	24-Aug
Future	327	s	Safeguards_REDD_Myanmar	online	UNFCCC	<a href="https://redd.unfccc.int/files/myanmar_1st_s">https://redd.unfccc.int/files/myanmar_1st_s</a>	13-Oct
Future	328	s	Safeguards_REDD_Vietnam	online	UNFCCC	<a href="https://redd.unfccc.int/files/4850_1_first_so">https://redd.unfccc.int/files/4850_1_first_so</a>	24-Aug
Future	329	s	SDC_organigramm-deza_EN	online	SDC	<a href="https://www.eda.admin.ch/dam/deza/en/dc">https://www.eda.admin.ch/dam/deza/en/dc</a>	21-Sep
Future	330	s	SECO Factsheet Global BioTrade Facilitation Program	online	SECO		28-Jul
Future	331	s	SECO Factsheet Sustainable trade contributes to the protection of tropical forests	online	SECO		28-Jul
Future	332	s	Sida asien-oceanien-eng 2016-2021	online			09-Jul
Future	333	s	Sida Greening Development Cooperation je2020-2_62292en	online			09-Jul
Future	334	s	Sida-Aid Policy Framework-2016	online			15-Jul
Future	335	s	Sida-directory-for-development-partnership-ap-compressed	online			09-Jul
Future	336	s	Sida-Strategy Environmental Sustainability-2018-2022	online			15-Jul
Future	337	s	Singapore _ Green Climate Fund	online	GCF		18-Sep
Future	338	s	Singapore NBSAP Aichi	online	CBD		21-Sep
Future	339	s	Singapore SDG VNR	online	SDG UN	<a href="https://sustainabledevelopment.un.org/cont">https://sustainabledevelopment.un.org/cont</a>	21-Sep
Future	340	s	Stamm_ ASEAN donor mapping matrix	Ralph Stamm	Swiss Embassy in Jakarta	emailed to evaluators	21-Jul
Future	341	s	Strategic-Plan-of-Action-for-the-ASEAN-Cooperation-in-Livestock-2016-2020	online	ASEAN		15-Sep
Future	342	s	Submissions - REDD+ Cambodia	online	UNFCCC	<a href="https://redd.unfccc.int/submissions.html?co">https://redd.unfccc.int/submissions.html?co</a>	24-Aug
Future	343	s	Submissions - REDD+ Indonesia	online	UNFCCC	<a href="https://redd.unfccc.int/submissions.html?co">https://redd.unfccc.int/submissions.html?co</a>	24-Aug
Future	344	s	Submissions - REDD+ Lao	online	UNFCCC	<a href="https://redd.unfccc.int/submissions.html?co">https://redd.unfccc.int/submissions.html?co</a>	24-Aug
Future	345	s	Submissions - REDD+ Malaysia	online	UNFCCC	<a href="https://redd.unfccc.int/submissions.html?co">https://redd.unfccc.int/submissions.html?co</a>	24-Aug
Future	346	s	Submissions - REDD+ Myanmar	online	UNFCCC	<a href="https://redd.unfccc.int/submissions.html?co">https://redd.unfccc.int/submissions.html?co</a>	24-Aug
Future	347	s	Submissions - REDD+ Vietnam	online	UNFCCC	<a href="https://redd.unfccc.int/submissions.html?co">https://redd.unfccc.int/submissions.html?co</a>	24-Aug
Future	348	s	Swiss federal government structure	online	Swiss Federal Office for Civil Pri	<a href="https://slideplayer.com/slide/5291244/">https://slideplayer.com/slide/5291244/</a>	21-Sep
Future	349	s	Team _ Forest Investment Program-1-Indonesia	online			18-Sep
Future	350	s	Thailand _ Climate Investment Funds	online	ADB		18-Sep
Future	351	s	Thailand _ Green Climate Fund	online	GCF		18-Sep

**Annex 2  
DOCUMENTS REVIEWED**

Type	No.	Phase	Title	Source	Author	Link	Access Date
Future	352	s	Thailand NBSAP	online	CBD		21-Sep
Future	353	s	Thailand SDG VNR	online	SDG UN	<a href="https://sustainabledevelopment.un.org/cont">https://sustainabledevelopment.un.org/cont</a>	21-Sep
Future	354	s	USAID-IndigenousPeoples-Policy-mar-2020	online	USAID	<a href="https://www.usaid.gov/sites/default/files/dc">https://www.usaid.gov/sites/default/files/dc</a>	26-Aug
Future	355	s	Viet Nam _ Green Climate Fund	online	GCF		18-Sep
Future	356	s	Vietnam _ Climate Investment Funds	online	ADB		18-Sep
Future	357	s	Vietnam NBSAP Aichi	online	CBD		21-Sep
Future	358	s	VietNam SDG VNR	online	SDG UN	<a href="https://sustainabledevelopment.un.org/cont">https://sustainabledevelopment.un.org/cont</a>	21-Sep
Future	359	s	WRI-CAIT-Historical Emissions-2010 vs 2014	online	WRI	to validate RECOFTC Situational assessment :	24-Aug

EVALUATORS' INVENTORY OF AVAILABLE PROGRESS REPORTS ACROSS THE PHASES											
Phase	Duration	Months	Budget (CHF in mill)	Operational Reports							
				Adv	Sec	RECOFTC	NTFP	CIFOR	ICRAF	SEARCA	
Entry	1 Apr 2010 – 31 Mar 2011	12	0.735	none	none	1 Apr – Sep 2010	1 Apr – Sep 2010	none	na	na	
1	1 May 2011 - 31 Dec 2013	32	4.215	none	none	none	none	none	na	na	
2	1 Jan 2014 - 31 Dec 2016	36	5.600	1 July 2014 – 30 Jun 2017	Jul 2014-Mar 2017	Jan 2014 – Dec 2016	Jan 2014 – Feb 2017 (Phase report)	01 Jan 2014 – 31 Mar 2017	1 Jan 2014 – 31 Dec 2016	Apr 2014 - Feb 2017	
3	1 Mar 2017 - 29 Feb 2020	36	4.500								
3.1	Mar 2017- Feb 2018			1 Jul 2017 - 28 Feb 2018	Apr - Dec 2017	Mar - Dec 2017	Mar-Dec 2017	Mar-Dec 2017	Mar - Dec 2017	Mar - Dec 2017	
3.2	Mar 2018 - Feb 2019			1 Mar - 31 Dec 2018	Jan - Dec 2018	Jan - Dec 2018	Jan – Dec 2018	01 Mar – 31 Dec 2018	Jan – Dec 2018	Jan – Dec 2018	
3.3	Mar 2019 - Feb 2020			1 Jan - 31 Aug 2019	ppt 2019	ppt 2017-2020	ppt 2016-2020	ppt 2017-2020	ppt 2017-2020	ppt 2019	
3.final	1 Mar 2017 - 29 Feb 2020			received	none	received	none	received	received	none	
<b>Total (months)</b>		<b>116</b>	<b>15.050</b>								
Total (years)		9.67	14.950								
SDC Expense as at start of Phase 3			10.470								

## ANNEX 3

### ASFCC SELF-ASSESSMENT SURVEY (FORM 1 – FOR COUNTRIES), 10 April 2020

Thank you for your participation in the ASFCC final evaluation. Please be assured that:

- We will not report or share individual results or identifying characteristics with others.
- We will only report consolidated or composite results. Your response will be averaged with other responses to protect the identities of individual respondents.
- You are strongly encouraged to provide additional written comments related to the survey questions. We will remove any potentially identifying details from written comments before sharing them to ensure anonymity.
- We will not identify respondents, so please be candid.

Please respond to as many questions as possible. This survey will take approximately 30 - 45 minutes to complete.

This pdf version of the study is for your reference only. Online version of the form is available at: <https://forms.gle/ehAnaJweMEACKj2x6> . Please input your responses [online](#) by **24 April 2020, Friday**.

For any questions, please feel free to contact Patrick Durst ([pdurst.asiaforest@gmail.com](mailto:pdurst.asiaforest@gmail.com)) or Rowena Soriaga ([rsoriaga@gmail.com](mailto:rsoriaga@gmail.com)).

### Relevance of ASFCC to ASEAN and Member States

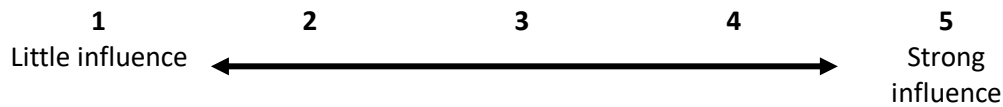
1. Overall, how would you rate ASFCC's alignment with or response to ASEAN strategy documents related to climate change mitigation, adaptation to climate change, social forestry, food security, poverty reduction, rural development, environment, sustainable forest management?

Document	Weakly aligned	←————→				Strongly aligned	Don't know
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ASEAN Cooperation on Food Agriculture & Forestry Vision & Strategic Plan, 2016-2025	1	2	3	4	5		
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ASEAN Socio-Cultural Community (ASCC) Blueprint 2025	1	2	3	4	5		

Any other relevant ASEAN strategy document/s not listed above?

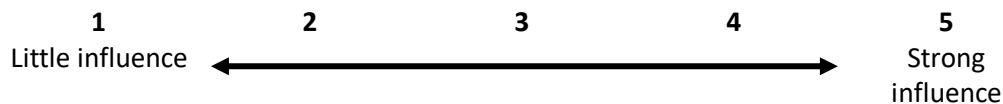
### ANNEX 3

2. How much has ASFCC influenced the direction, agendas, emphases, strategies, and work of ASEAN and ASEAN's various constituent bodies (e.g., ASOF, AMAF, ASOEN, AWGCC, AHSC CCFS, etc.)?



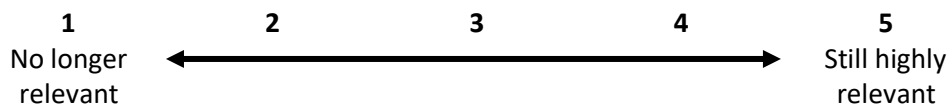
If you think ASFCC has had substantive influence on the direction of ASEAN's programs, list an example that you consider to be particularly important:

3. How much has ASFCC influenced the direction, agendas, emphases, strategies, and work in your own country?



#### Relevance to context in target areas

4. How relevant are social forestry approaches and the ASFCC Theory of Change to the current realities, needs and priorities of target groups in your country?



5. The ASFCC approach has focused on using social forestry as an entry point for addressing the challenges of climate change, food security, and sustainable natural resources management. Considering the current needs and priorities of ASEAN Member States, this approach is:

(Check one)

- ☐ too narrow (constrains opportunities for action)
- ☐ too broad (lacks focus)
- ☐ about right (effectively facilitates substantive action)

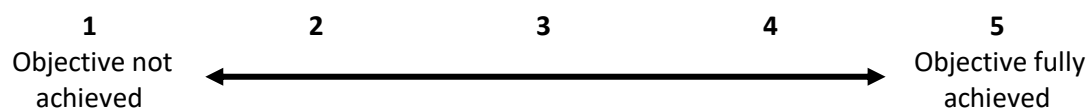
Comments on focus and relevance of ASFCC approach:

### ANNEX 3

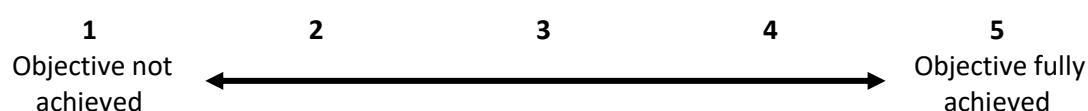
#### Target vs. Actual

6. Overall, how would you rate ASFCC achievements in comparison to its two main objectives?

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Objective 2: Socio-economic benefits derived from inclusion of communities, women and vulnerable groups in forestry and climate change adaptation and mitigation measures

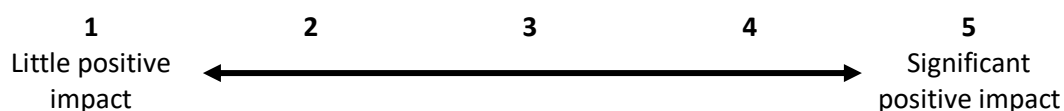


#### Outcomes

7. From your perspective, what have been the most significant contributions/ achievements/ impacts of the ASFCC program? (List at least one and a maximum of three.)

1.
2.
3.

8. How would you rate ASFCC's overall impact on rural livelihoods in your country?

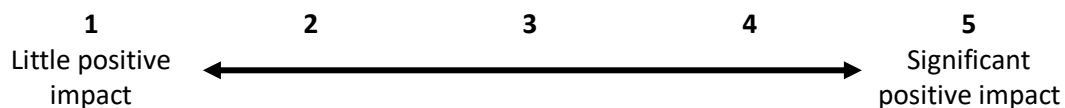


Provide examples or additional comments to elaborate your rating:

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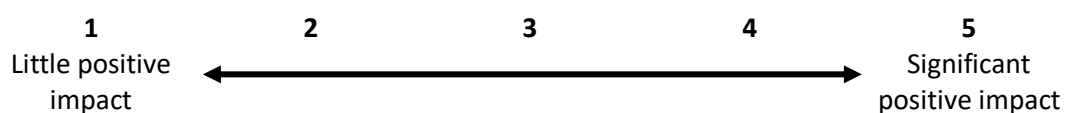
### ANNEX 3

9. How would you rate ASFCC's overall impact on the sustainable management of forests in your country?



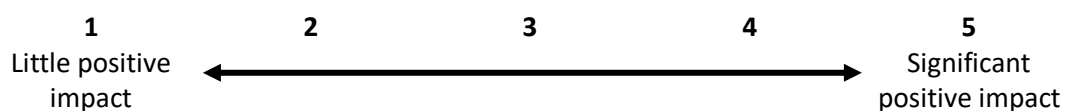
Provide examples or additional comments to elaborate your rating:

10. How would you rate ASFCC's overall impact on climate change mitigation and adaptation in your country?



Provide examples or additional comments to elaborate your rating:

11. How would you rate ASFCC's overall impact on food security in your country?



Provide examples or additional comments to elaborate your rating:

### ANNEX 3

#### Reach

12. How effective was ASFCC in building capacities for addressing climate change, food security, livelihoods and sustainable management of natural resources at the following levels:

Level	Not so Effective	A little	Somewhat	Much	Highly Effective	Don't Know
Regional	1	2	3	4	5	
National	1	2	3	4	5	
Local	1	2	3	4	5	
Vulnerable groups	1	2	3	4	5	

13. How effective was ASFCC in establishing, facilitating, and empowering partnerships at the following levels:

Level	Not so Effective	A little	Somewhat	Much	Highly Effective	Don't Know
Regional	1	2	3	4	5	
National	1	2	3	4	5	
Local	1	2	3	4	5	
Vulnerable groups	1	2	3	4	5	

14. Please list up to three knowledge products produced under the ASFCC program that you think are the most useful. (Knowledge products may include policy papers, research publications, websites, videos, etc.). If you are not aware of any knowledge product, please type "none" to advance to the next question.

1.
2.
3.

### ANNEX 3

15. How useful are the following guidelines and tools to your work?

Level	Not so Useful	A little	Some what	Much	Highly Useful	Don't Know
ASEAN Guidelines for Agroforestry Development 2018	1	2	3	4	5	
ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture and Forestry 2018	1	2	3	4	5	
Community forestry participatory assessment: a guide for practitioners 2020	1	2	3	4	5	
Gap Analysis of ASEAN Standards for Non-Timber Forest Products 2020	1	2	3	4	5	
Citizen Monitoring in Forestry: Toolbox 2018	1	2	3	4	5	
The Social Forestry Knowledge Tree	1	2	3	4	5	

Any other tools or guidelines to consider?

## ANNEX 3

### Partnerships and Value Addition

16. Overall, how would you rate ASFCC's impact on your organization / agency?

Aspect	Little positive impact	Somewhat	Moderate	Much	Significant positive impact	Don't know
Financial support	1	2	3	4	5	
Knowledge exchange opportunities with others	1	2	3	4	5	
Ability to draw upon strengths of others to complement own capacities	1	2	3	4	5	
Access to policy makers and political leaders	1	2	3	4	5	
Increased influence and stronger "voice" advocating for social forestry & climate change	1	2	3	4	5	

Any other aspects?

17. At which level did ASFCC contribute the most to institutional and system changes?

Level	Rank 1 to 3 (1 = most contribution; 3 = least contribution to system change)
Regional	
National	
Local	

## ANNEX 3


### Self-sustaining structures

18. In five years' time (i.e., 2025), what do you anticipate will be the status of the AWG-SF?

- ☐ AWG-SF will be inactive or disbanded
- ☐ AWG-SF will be operating, but with limited resources, little activity and limited effectiveness
- ☐ AWG-SF will be operating with modest, but important levels of activity, supported by voluntary contributions from AMS and partner organizations' own resources
- ☐ AWG-SF will be operating in a robust manner, with an expanded level of activity, having secured new and additional donor support

### Factors enabling / hindering sustainability

19. To what extent has the ASFCC managed to instill a sense of ownership and commitment to continuing AWG-SF operations and activities in social forestry and climate change among key stakeholders?

Stakeholder	Not Committed				Highly Committed	Don't Know
ASEAN Secretariat	1	2	3	4	5	
AMAF	1	2	3	4	5	
ASOF	1	2	3	4	5	
AWG-SF Secretariat	1	2	3	4	5	
AMS: Brunei	1	2	3	4	5	
AMS: Cambodia	1	2	3	4	5	
AMS: Indonesia	1	2	3	4	5	
AMS: Lao PDR	1	2	3	4	5	
AMS: Malaysia	1	2	3	4	5	
AMS: Myanmar	1	2	3	4	5	
AMS: Philippines	1	2	3	4	5	
AMS: Singapore	1	2	3	4	5	
AMS: Thailand	1	2	3	4	5	
AMS: Vietnam	1	2	3	4	5	

## ANNEX 3

### Replicability/scaleup potential

20. Looking forward into future initiatives and activities, which are the top three most important to your country?

- ☐ climate change mitigation
- ☐ adaptation to climate change
- ☐ social forestry
- ☐ food security
- ☐ good agricultural practices
- ☐ poverty reduction and rural development
- ☐ environmental protection and management
- ☐ sustainable forest management
- ☐ land use change / management
- ☐ forest and landscape restoration

Any other future topics that build on ASFCC which are not yet included in the list of choices?

Any other comments?

### Coherence

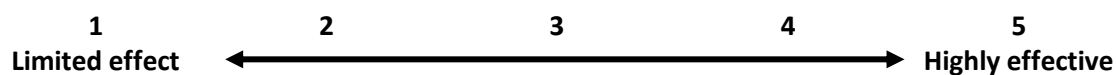
21. How effective was ASFCC in engaging various related sectors that affect food security and climate change ?

Sector	Not so Effective	←—————→			Highly Effective	Don't Know
Agriculture	1	2	3	4	5	
Climate	1	2	3	4	5	
Energy	1	2	3	4	5	
Environment	1	2	3	4	5	
Infrastructure	1	2	3	4	5	
Mining	1	2	3	4	5	
Social Welfare	1	2	3	4	5	
Tourism	1	2	3	4	5	
Water	1	2	3	4	5	

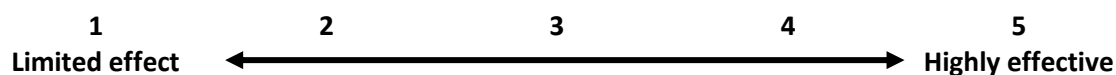
Any other sector engaged?

### ANNEX 3

22. How effective has ASFCC been in supporting ASEAN and ASEAN Member States in communicating the priorities, challenges, and actions of the region vs-a-vis climate change, food security and social forestry to the broader international community?



23. How effective has ASFCC been in helping AMS develop common negotiating positions in international processes (e.g. UNFCCC, UN CBD, UNFF, UNSDG)?



#### Demographics

24. During what phase/s did you engage with ASFCC?

- ☐ Entry Proposal (Apr 2010 – Mar 2011)
- ☐ Phase 1 (May 2011 – Dec 2013)
- ☐ Phase 2 (Jan 2014 – Dec 2016)
- ☐ Phase 3 (2017-2020)

25. Which stakeholder group do you represent?

- ☐ ASEAN Member State / AWG-SF Focal Point
- ☐ ASEAN Secretariat
- ☐ AWG-SF Secretariat
- ☐ ASFCC Implementing Partner
- ☐ Other \_\_\_\_\_

26. What is your position?

- ☐ Head of Forestry
- ☐ AWG-SF Leader
- ☐ AWG-SF Focal Point
- ☐ Other Senior Management
- ☐ Technical staff
- ☐ Former AWG-SF Leader or Focal Point
- ☐ Other \_\_\_\_\_

### ANNEX 3

27. Please select the option that represents how you describe yourself (Please check only one)

- ☐ Female
- ☐ Male
- ☐ Other (Prefer to self-identify, please describe) \_\_\_\_\_

## Annex 4

### ASFCC SELF-ASSESSMENT SURVEY (FORM 2 – FOR PARTNERS AND COORDINATORS), 10 April 2020

Thank you for your participation in the ASFCC final evaluation. Please be assured that:

- We will not report or share individual results or identifying characteristics with others.
- We will only report consolidated or composite results. Your response will be averaged with other responses to protect the identities of individual respondents.
- You are strongly encouraged to provide additional written comments related to the survey questions. We will remove any potentially identifying details from written comments before sharing them to ensure anonymity.
- We will not identify respondents, so please be candid.


Please respond to as many questions as possible. This survey will take approximately 30 - 45 minutes to complete.

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### Relevance of ASFCC to ASEAN and Member States

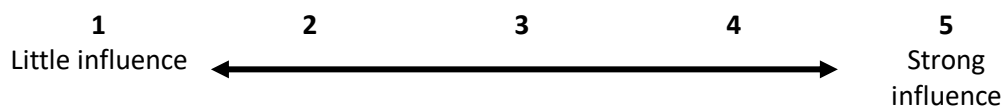
1. Overall, how would you rate ASFCC's alignment with or response to ASEAN strategy documents related to climate change mitigation, adaptation to climate change, social forestry, food security, poverty reduction, rural development, environment, sustainable forest management?

Document	Weakly aligned  Strongly aligned					Don't know
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ASEAN Strategic Plans on Environment	1	2	3	4	5	
ASEAN Rural Development and Poverty Eradication Plan	1	2	3	4	5	
ASEAN Economic Community (AEC) Blueprint 2025	1	2	3	4	5	
ASEAN Socio-Cultural Community (ASCC) Blueprint 2025	1	2	3	4	5	

Any other relevant ASEAN strategy document/s not listed above?

## Annex 4

2. How much has ASFCC influenced the direction, agendas, emphases, strategies, and work of ASEAN and ASEAN's various constituent bodies (e.g., ASOF, AMAF, ASOEN, AWGCC, AHSC CCFS, etc.)?



If you think ASFCC has had substantive influence on the direction of ASEAN's programs, list an example that you consider to be particularly important:

3. How much has ASFCC influenced the direction, agendas, emphases, strategies, and work in ASEAN Member States?

ASEAN Member State	Little Influence	Some	Moderate	Much	Strong Influence	Don't Know
Brunei	1	2	3	4	5	
Cambodia	1	2	3	4	5	
Lao PDR	1	2	3	4	5	
Indonesia	1	2	3	4	5	
Malaysia	1	2	3	4	5	
Myanmar	1	2	3	4	5	
Philippines	1	2	3	4	5	
Singapore	1	2	3	4	5	
Thailand	1	2	3	4	5	
Vietnam	1	2	3	4	5	

### Relevance to context in target areas

4. How relevant are social forestry approaches and the ASFCC Theory of Change to the current realities, needs and priorities of target groups in ASEAN Member States?

ASEAN Member State	Little Influence	Some	Moderate	Much	Strong Influence	Don't Know
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#### Annex 4

5. The ASFCC approach has focused on using social forestry as an entry point for addressing the challenges of climate change, food security, and sustainable natural resources management. Considering the current needs and priorities of ASEAN Member States, this approach is:

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- ☐ too narrow (constrains opportunities for action)
- ☐ too broad (lacks focus)
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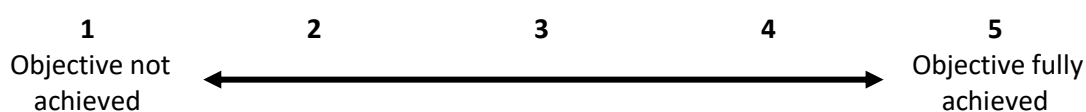
Comments on focus and relevance of ASFCC approach:

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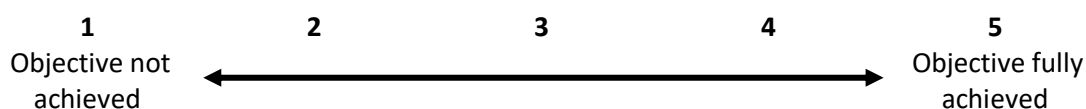
#### Target vs. Actual

6. Overall, how would you rate ASFCC achievements in comparison to its two main objectives?

Objective 1: Social Forestry approaches developed and integrated into climate change adaptation and mitigation strategies of ASEAN and Member States



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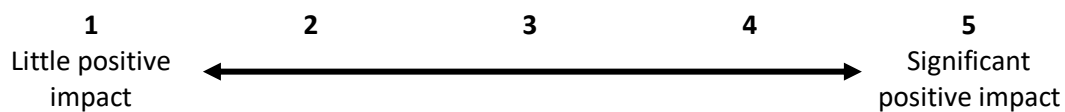
#### Outcomes

7. From your perspective, what have been the most significant contributions/ achievements/ impacts of the ASFCC program (list at least one and a maximum of three)?

1.
2.
3.

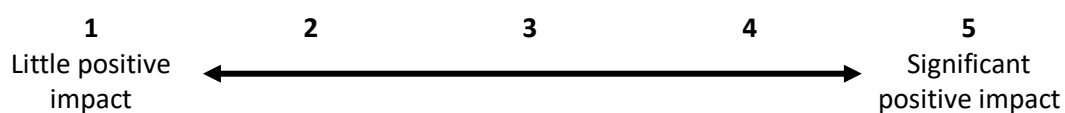
#### Annex 4

8. How would you rate ASFCC's overall impact on rural livelihoods in ASEAN Member States?



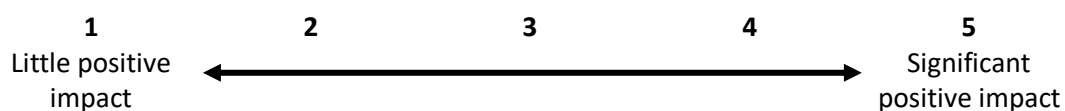
Provide examples or additional comments to elaborate your rating:

9. How would you rate ASFCC's overall impact on the sustainable management of forests in ASEAN Member States?



Provide examples or additional comments to elaborate your rating:

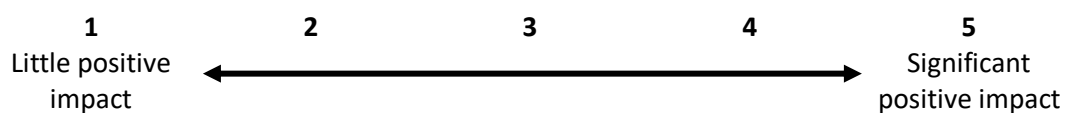
10. How would you rate ASFCC's overall impact on climate change mitigation and adaptation in ASEAN Member States?



Provide examples or additional comments to elaborate your rating:

## Annex 4

11. How would you rate ASFCC's overall impact on food security in ASEAN Member States?



Provide examples or additional comments to elaborate your rating:

### Reach

12. How effective was ASFCC in building capacities for addressing climate change, food security, livelihoods and sustainable management of natural resources at the following levels:

Level	Not so Effective	A little	Somewhat	Much	Highly Effective	Don't Know
Regional	1	2	3	4	5	
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## Annex 4

14. Please list up to three knowledge products produced under the ASFCC program that you think are the most useful. (Knowledge products may include policy papers, research publications, websites, videos, etc.). If you are not aware of any knowledge product, please type "none" to advance to the next question.

1.
2.
3.

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Level	Not so Useful	A little	Some what	Much	Highly Useful	Don't Know
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Any other tools or guidelines to add?

--

## Annex 4

### Partnerships and Value Addition

16. Overall, how would you rate ASFCC's impact on your organization / agency?

Aspect	Little positive impact	Somewhat	Moderate	Much	Significant positive impact	Don't know
Financial support	1	2	3	4	5	
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Increased influence and stronger "voice" advocating for social forestry & climate change	1	2	3	4	5	

Any other aspects?

17. At which level did ASFCC contribute the most to institutional and system changes?

Level	Rank 1 to 3 (1 = most contribution; 3 = least contribution to system change)
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## Annex 4


### Self-sustaining structures

18. In five years' time (i.e., 2025), what do you anticipate will be the status of the AWG-SF?

- ☐ AWG-SF will be inactive or disbanded
- ☐ AWG-SF will be operating, but with limited resources, little activity and limited effectiveness
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### Factors enabling / hindering sustainability

19. To what extent has the ASFCC managed to instill a sense of ownership and commitment to continuing AWG-SF operations and activities in social forestry and climate change among key stakeholders?

Stakeholder	Not Committed				Highly Committed	Don't Know
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## Annex 4

## Replicability/scaleup potential

20. Looking forward into future initiatives and activities, which are the three most important for the Southeast Asian region?

- ☐ climate change mitigation
- ☐ adaptation to climate change
- ☐ social forestry
- ☐ food security
- ☐ good agricultural practices
- ☐ poverty reduction and rural development
- ☐ environmental protection and management
- ☐ sustainable forest management
- ☐ land use change / management
- ☐ forest and landscape restoration


Any other future topics that build on ASFCC which are not yet included in the list of choices?

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Any other comments?

## Coherence

21. How effective was ASFCC in engaging various related sectors that affect food security and climate change ?

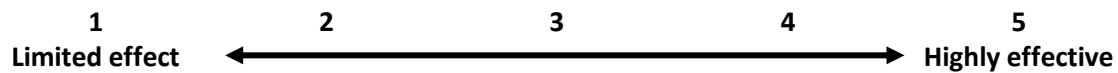
Sector	Not so Effective				Highly Effective	Don't Know
Agriculture	1	2	3	4	5	
Climate Change	1	2	3	4	5	
Energy	1	2	3	4	5	
Environment	1	2	3	4	5	
Infrastructure	1	2	3	4	5	
Mining	1	2	3	4	5	
Social Welfare	1	2	3	4	5	
Tourism	1	2	3	4	5	
Water	1	2	3	4	5	

Any other sector engaged?

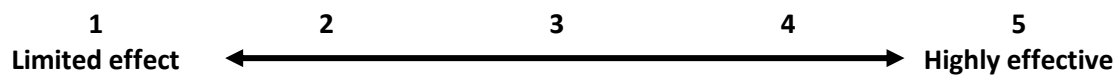
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## Annex 4

22. How effective has ASFCC been in supporting ASEAN and ASEAN Member States in communicating the priorities, challenges, and actions of the region vs-a-vis climate change, food security and social forestry to the broader international community?



23. How effective has ASFCC been in helping AMS develop common negotiating positions in international processes (e.g. UNFCCC, UN CBD, UNFF, UNSDG)?



### Demographics

24. During what phase/s did you engage with ASFCC?

- ☐ Entry Proposal (Apr 2010 – Mar 2011)
- ☐ Phase 1 (May 2011 – Dec 2013)
- ☐ Phase 2 (Jan 2014 – Dec 2016)
- ☐ Phase 3 (2017-2020)

25. Which stakeholder group do you represent?

- ☐ ASEAN Member State / AWG-SF Focal Point
- ☐ ASEAN Secretariat
- ☐ AWG-SF Secretariat
- ☐ ASFCC Implementing Partner
- ☐ ASFCC Program Coordination / Advise
- ☐ Other \_\_\_\_\_

26. What is your position?

- ☐ ASEAN Secretariat Official
- ☐ Head of Partner Organization
- ☐ Focal Point for Partner Organization
- ☐ Staff of Partner Organization
- ☐ AWG-SF Secretariat
- ☐ ASFCC Program Coordination / Adviser
- ☐ Former Program Partner
- ☐ Other \_\_\_\_\_

#### Annex 4

27. Please select the option that represents how you describe yourself (Please check only one)

- ☐ Female
- ☐ Male
- ☐ Other (Prefer to self-identify, please describe) \_\_\_\_\_

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

### Relevance of ASFCC to ASEAN and Member States

- Overall, how would you rate ASFCC's alignment with or response to ASEAN strategy documents related to climate change mitigation, adaptation to climate change, social forestry, food security, poverty reduction, rural development, environment, sustainable forest management?

STRATEGY DOCUMENT	STRONGLY OR MUCH ALIGNED		
	AMS (12)	PARTNERS (34)	AVERAGE
ASEAN Cooperation on Social Forestry Plans of Action	100%	91%	96%
ASEAN Cooperation on Food Agriculture & Forestry Vision & Strategic Plan, 2016-2025	100%	91%	96%
Multisectoral Framework on Climate Change towards Food and Nutrition Security and SDGs	83%	74%	78%
ASEAN Strategic Plans on Environment	83%	38%	61%
ASEAN Rural Development and Poverty Eradication Plan	67%	47%	57%
ASEAN Economic Community (AEC) Blueprint 2025	83%	44%	64%
ASEAN Socio-Cultural Community (ASCC) Blueprint 2025	75%	56%	65%
Aggregate for 7 documents	85%	63%	74%

Any other relevant ASEAN strategy document/s not listed above?

- ASEAN Strategic Action Plan on SME Development (SAPSMED) 2016-2025
- ASEAN Cooperation on Forestry
- ASEAN Statement on Strengthening Forest Law Enforcement and Governance (FLEG)
- ASEAN Work Plan for FLEG (2016-2025)
- ASEAN Agreement on Transboundary Haze Pollution
- Basic Framework of ASEAN- Mekong Basin Development Cooperation
- Declaration on Gender-Responsive Implementation of the ASEAN Community Vision 2025 and 2030 Agenda on Sustainable Development
- ASEAN Peatland Management Strategy

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

2. How much has ASFCC influenced the direction, agendas, emphases, strategies, and work of ASEAN and ASEAN's various constituent bodies (e.g., ASOF, AMAF, ASOEN, AWGCC, AHSC CCFS, etc.)?

COUNTRIES: Moderate to strong influence

PARTNERS: Much Influence

**TOTAL & AVE.: MUCH INFLUENCE**

SCALE	AMS		PARTNERS		TOTAL		AVERAGE
	No.	%	No.	%	No.	%	%
little influence	0	0%	0	0%	0	0%	0
some	0	0%	2	6%	2	4%	3%
moderate	4	33%	10	29%	14	30%	31%
<b>much</b>	<b>4</b>	<b>33%</b>	<b>16</b>	<b>47%</b>	<b>20</b>	<b>43%</b>	<b>40%</b>
strong influence	4	33%	6	18%	10	22%	25%
Total	12	100%	34	100%	46	100%	

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

### 3. How much has ASFCC influenced the direction, agendas, emphases, strategies, and work in ASEAN Member States?

COUNTRY	STRONG OR MUCH INFLUENCE
AMS (12 respondents)	58%
PARTNERS (34 respondents)	
Brunei	12%
Cambodia	50%
Indonesia	65%
Lao PDR	56%
Malaysia	35%
Myanmar	62%
Philippines	50%
Singapore	12%
Thailand	59%
Vietnam	56%

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

### Relevance to context in target areas

4. How relevant are social forestry approaches and the ASFCC Theory of Change to the current realities, needs and priorities of target groups in ASEAN Member States?

COUNTRY	STRONG OR MUCH RELEVANCE
AMS (12 respondents)	67%
PARTNERS (34 respondents)	
Brunei	12%
Cambodia	71%
Indonesia	65%
Lao PDR	68%
Malaysia	35%
Myanmar	74%
Philippines	47%
Singapore	9%
Thailand	59%
Vietnam	65%

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

5. The ASFCC approach has focused on using social forestry as an entry point for addressing the challenges of climate change, food security, and sustainable natural resources management. Considering the current needs and priorities of ASEAN Member States, this approach is:

COUNTRIES: About Right

PARTNERS: About Right

**TOTAL & AVE.: ABOUT RIGHT**

SCOPE	AMS		PARTNERS		TOTAL		AVERAGE
	No.	%	No.	%	No.	%	%
too narrow (constrains opportunities for action)	2	17%	8	24%	10	22%	20%
too broad (lacks focus)	2	17%	2	6%	4	9%	11%
about right (effectively facilitates substantive action)	8	67%	24	71%	32	70%	69%

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

### Target vs. Actual

6. Overall, how would you rate ASFCC achievements in comparison to its two main objectives?

**Objective 1: Social Forestry approaches developed and integrated into climate change adaptation and mitigation strategies of ASEAN and AMS**

COUNTRIES: Much influence

PARTNERS: Much Influence

**TOTAL & AVERAGE: MUCH INFLUENCE**

SCALE	AMS		PARTNERS		TOTAL		AVERAGE
	No.	%	No.	%	No.	%	%
not achieved	0	0%	0	0%	0	0%	0%
weakly	0	0%	1	3%	1	2%	1%
somewhat	2	17%	9	26%	11	24%	22%
<b>much</b>	<b>9</b>	<b>75%</b>	<b>19</b>	<b>56%</b>	<b>28</b>	<b>61%</b>	<b>65%</b>
fully achieved	1	8%	5	15%	6	13%	12%
Total	12	100%	34	100%	46	100%	

**Objective 2: Socio-economic benefits derived from inclusion of communities, women and vulnerable groups in forestry and climate change adaptation and mitigation measures**

COUNTRIES: Some influence

PARTNERS: Some Influence

**TOTAL & AVERAGE: SOME INFLUENCE**

SCALE	AMS		PARTNERS		TOTAL		AVERAGE
	No.	%	No.	%	No.	%	%
not achieved	0	0%	0	0%	0	0%	0%
weakly	0	0%	4	12%	4	9%	6%
<b>somewhat</b>	<b>5</b>	<b>42%</b>	<b>18</b>	<b>53%</b>	<b>23</b>	<b>50%</b>	<b>47%</b>
much	4	33%	10	29%	14	30%	31%
fully achieved	3	25%	2	6%	5	11%	15%
Total	12	100%	34	100%	46	100%	

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

### Outcomes

7. From your perspective, what have been the most significant contributions/ achievements/ impacts of the ASFCC program?

See separate file

8. How would you rate ASFCC's overall impact on rural livelihoods in ASEAN Member States?

COUNTRIES: Moderate

PARTNERS: Moderate

**TOTAL & AVERAGE: MODERATE**

SCALE	AMS		PARTNERS		TOTAL		AVERAGE
	No.	%	No.	%	No.	%	%
little positive impact	0	0%	0	0%	0	0%	0%
some	2	17%	4	12%	6	13%	14%
<b>moderate</b>	<b>7</b>	<b>58%</b>	<b>19</b>	<b>56%</b>	<b>26</b>	<b>57%</b>	<b>57%</b>
much	2	17%	7	21%	9	20%	19%
significant positive impact	1	8%	4	12%	5	11%	10%
Total	12	100%	34	100%	46	100%	

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

9. How would you rate ASFCC's overall impact on the sustainable management of forests in ASEAN Member States?

COUNTRIES: Much

PARTNERS: Much

TOTAL & AVERAGE:

**MUCH**

SCALE	AMS		PARTNERS		TOTAL		AVERAGE
	No.	%	No.	%	No.	%	%
little positive impact	0	0%	0	0%	0	0%	0%
some	1	8%	2	6%	3	7%	7%
moderate	3	25%	12	35%	15	33%	30%
<b>much</b>	<b>8</b>	<b>67%</b>	<b>15</b>	<b>44%</b>	<b>23</b>	<b>50%</b>	<b>55%</b>
significant positive impact	0	0%	5	15%	5	11%	7%
Total	12	100%	34	100%	46	100%	

10. How would you rate ASFCC's overall impact on climate change mitigation and adaptation in ASEAN Member States?

COUNTRIES: Moderate

PARTNERS: Much

**TOTAL: MODERATE**

**AVERAGE: MUCH**

SCALE	COUNTRIES		PARTNERS		TOTAL		AVERAGE
	No.	%	No.	%	No.	%	%
little positive impact	0	0%	0	0%	0	0%	0%
some	1	8%	2	6%	3	7%	7%
moderate	<b>7</b>	<b>58%</b>	12	35%	19	41%	<b>47%</b>
much	4	33%	<b>16</b>	<b>47%</b>	<b>20</b>	<b>43%</b>	40%
significant positive impact	0	0%	4	12%	4	9%	6%
Total	12	100%	34	100%	46	100%	

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

11. How would you rate ASFCC's overall impact on food security in ASEAN Member States?

COUNTRIES: Moderate

PARTNERS: Moderate

**TOTAL & AVERAGE: MODERATE**

SCALE	COUNTRIES		PARTNERS		TOTAL		AVERAGE
	No.	%	No.	%	No.	%	%
little positive impact	2	17%	2	6%	4	9%	11%
some	2	17%	4	12%	6	13%	14%
<b>moderate</b>	<b>4</b>	<b>33%</b>	<b>17</b>	<b>50%</b>	<b>21</b>	<b>46%</b>	<b>42%</b>
much	<b>4</b>	<b>33%</b>	9	26%	13	28%	30%
significant positive impact	0	0%	2	6%	2	4%	3%
Total	12	100%	34	100%	46	100%	

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

### Reach

12. How effective was ASFCC in building capacities for addressing climate change, food security, livelihoods and sustainable management of natural resources at the following levels:

LEVEL	STRONGLY OR MUCH EFFECTIVE			
	AMS (12)	PARTNERS (34)	TOTAL (46)	AVERAGE
Regional	75%	88%	85%	82%
National	75%	76%	76%	76%
Local	50%	47%	48%	49%
Vulnerable Groups	42%	44%	43%	43%

13. How effective was ASFCC in establishing, facilitating, and empowering partnerships at the following levels:

LEVEL	STRONGLY OR MUCH EFFECTIVE			
	AMS (12)	PARTNERS (34)	TOTAL (46)	AVERAGE
Regional	75%	97%	91%	86%
National	83%	76%	78%	80%
Local	42%	38%	39%	40%
Vulnerable Groups	50%	35%	39%	43%

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

14. Please list up to three knowledge products produced under the ASFCC program that you think are the most useful. (Knowledge products may include policy papers, research publications, websites, videos, etc.). If you are not aware of any knowledge product, please type "none" to advance to the next question.

See separate file

15. How useful are the following guidelines and tools to your work?

TOOL / GUIDELINE	HIGHLY OR MUCH USEFUL			
	AMS	PARTNERS	TOTAL	AVERAGE
ASEAN Guidelines for Agroforestry Development 2018	83%	68%	72%	75%
ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture and Forestry 2018	42%	56%	52%	49%
Community forestry participatory assessment: a guide for practitioners 2020	83%	71%	74%	77%
Gap Analysis of ASEAN Standards for Non-Timber Forest Products 2020	50%	47%	48%	49%
Citizen Monitoring in Forestry: Toolbox 2018	33%	50%	46%	42%
The Social Forestry Knowledge Tree	83%	68%	72%	75%

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

### Partnerships and Value Addition

16. Overall, how would you rate ASFCC's impact on your organization / agency?

ASPECT	SIGNIFICANT OR MUCH POSITIVE IMPACT			
	AMS (12)	PARTNERS (34)	TOTAL (46)	AVERAGE
Financial support	50%	47%	48%	49%
Knowledge exchange opportunities with others	67%	79%	76%	73%
Ability to draw upon strengths of others to complement own capacities	58%	74%	70%	66%
Access to policy makers and political leaders	67%	79%	76%	73%
Increased influence and stronger "voice" advocating for social forestry & climate change	58%	88%	80%	73%

17. At which level did ASFCC contribute the most to institutional and system changes?

LEVEL	MOST CONTRIBUTION			
	AMS (12)	PARTNERS (34)	TOTAL (46)	AVERAGE
Regional	75%	82%	80%	79%
National	25%	15%	17%	20%
Local	0%	3%	2%	1%

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

### Self-sustaining structures

18. In five years' time (i.e., 2025), what do you anticipate will be the status of the AWG-SF?

COUNTRIES: AWG-SF will be operating in a robust manner, with an expanded level of activity, having secured new and additional donor support

PARTNERS: AWG-SF will be operating with modest, but important levels of activity, supported by voluntary contributions from AMS and partner organizations' own resources

**TOTAL & AVE.: AWG-SF will be operating in a robust manner, with an expanded level of activity, having secured new and additional donor support**

STATUS	AMS		PARTNERS		TOTAL		AVERAGE
	No.	%	No.	%	No.	%	%
AWG-SF will be inactive or disbanded	0	0%	0	0%	0	0%	0%
AWG-SF will be operating, but with limited resources, little activity and limited effectiveness	3	25%	7	21%	10	22%	23%
AWG-SF will be operating with modest, but important levels of activity, supported by voluntary contributions from AMS and partner organizations' own resources	3	25%	14	41%	17	37%	33%
AWG-SF will be operating in a robust manner, with an expanded level of activity, having secured new and additional donor support	6	50%	13	38%	19	41%	44%

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

### Factors enabling / hindering sustainability

19. To what extent has the ASFCC managed to instill a sense of ownership and commitment to continuing AWG-SF operations and activities in social forestry and climate change among key stakeholders?

STAKEHOLDER	HIGHLY OR MUCH COMMITTED			
	AMS (12)	PARTNERS (34)	TOTAL (46)	AVERAGE
ASEAN Secretariat	83%	76%	78%	80%
AMAF	75%	50%	57%	63%
ASOF	75%	71%	72%	73%
AWG-SF Secretariat	92%	79%	83%	86%
AMS: Brunei	50%	15%	24%	32%
AMS: Cambodia	67%	53%	57%	60%
AMS: Indonesia	75%	62%	65%	68%
AMS: Lao PDR	75%	53%	59%	64%
AMS: Malaysia	67%	35%	43%	51%
AMS: Myanmar	67%	62%	63%	64%
AMS: Philippines	67%	65%	65%	66%
AMS: Singapore	50%	15%	24%	32%
AMS: Thailand	67%	56%	59%	61%
AMS: Vietnam	67%	53%	57%	60%

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

### Replicability/scaleup potential

20. Looking forward into future initiatives and activities, which are the three most important for the Southeast Asian region?

THEME	THREE MOST IMPORTANT			
	AMS	PARTNERS	TOTAL	AVERAGE
climate change mitigation	8%	21%	17%	14%
<b>adaptation to climate change</b>	<b>33%</b>	<b>56%</b>	<b>50%</b>	<b>45%</b>
<b>social forestry</b>	<b>58%</b>	32%	<b>39%</b>	<b>45%</b>
<b>food security</b>	25%	<b>38%</b>	35%	32%
good agricultural practices	25%	6%	11%	15%
<b>poverty reduction and rural development</b>	<b>33%</b>	26%	28%	30%
environmental protection and management	17%	24%	22%	20%
<b>sustainable forest management</b>	<b>75%</b>	35%	<b>46%</b>	<b>55%</b>
land use change / management	8%	21%	17%	14%
<b>forest and landscape restoration</b>	17%	<b>41%</b>	35%	29%

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

### Coherence

21. How effective was ASFCC in engaging various related sectors that affect food security and climate change?

SECTOR	HIGHLY OR MUCH EFFECTIVE			
	AMS	PARTNERS	TOTAL	AVERAGE
<b>Agriculture</b>	83%	47%	57%	65%
<b>Climate Change</b>	92%	74%	78%	83%
Energy	33%	3%	11%	18%
<b>Environment</b>	83%	47%	57%	65%
Infrastructure	42%	3%	13%	22%
Mining	25%	0%	7%	13%
<b>Social Welfare</b>	83%	26%	41%	55%
Tourism	42%	21%	26%	31%
Water	50%	15%	24%	32%

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

22. How effective has ASFCC been in supporting ASEAN and ASEAN Member States in communicating the priorities, challenges, and actions of the region vs-a-vis climate change, food security and social forestry to the broader international community?

COUNTRIES: Much

PARTNERS: Much

**TOTAL & AVERAGE: MUCH**

SCALE	AMS		PARTNERS		TOTAL		AVERAGE
	No.	%	No.	%	No.	%	%
limited effect	0	0%	0	0%	0	0%	0%
a bit	0	0%	1	3%	1	2%	1%
moderate	2	17%	6	18%	8	17%	17%
<b>much</b>	<b>9</b>	<b>75%</b>	<b>19</b>	<b>56%</b>	<b>28</b>	<b>61%</b>	<b>65%</b>
highly effective	1	8%	8	24%	9	20%	16%
Total	12	100%	34	100%	46	100%	

## ANNEX 5 - ASFCC SELF-ASSESSMENT RESULTS 2020

23. How effective has ASFCC been in helping AMS develop common negotiating positions in international processes (e.g. UNFCCC, UN CBD, UNFF, UNSDG)?

COUNTRIES: Moderate

PARTNERS: Moderate

**TOTAL & AVERAGE: MODERATE**

SCALE	AMS		PARTNERS		TOTAL		AVERAGE
	No.	%	No.	%	No.	%	%
limited effect	0	0%	0	0%	0	0%	0%
a bit	0	0%	4	12%	4	9%	6%
<b>moderate</b>	<b>5</b>	<b>42%</b>	<b>17</b>	<b>50%</b>	<b>22</b>	<b>48%</b>	<b>46%</b>
<b>much</b>	<b>5</b>	<b>42%</b>	12	35%	17	37%	38%
highly effective	2	17%	1	3%	3	7%	10%
Total	12	100%	34	100%	46	100%	

## COUNTRIES

Note: Names in **bold** are Leaders and Focal Points

N o	Name	Designation	Email	Note
<b>ASEAN Member States (based on AWG-SF Distribution List as of Feb 2020)</b>				
1	<b>Ms. Noralinda Hj Ibrahim</b>	<b>Brunei: Acting Director of Forestry</b> , Forestry Department, Ministry of Primary Resources and Tourism	noralinda.ibrahim@forestry.gov.bn	
2	Ms Duratul Ain Haji Durani	Brunei: Forestry Officer, International Relations & NDP Division, Forestry Department	duratul.durani@forestry.gov.bn	
3	Liyana Yahya	Brunei: Forestry Officer, Forestry Department	liyana.yahya@forestry.gov.bn	Y
4	H.E Keo Omaliss	Cambodia: Director General, Forestry Administration Ministry of Agriculture, Forestry and Fisheries (FA-MAFF)	omaliss@gmail.com	
5	<b>Mr. Long Ratanakoma</b>	<b>Cambodia AWG-SF National Focal Point</b> and Deputy Director Department of Forest and Community Forestry	<a href="mailto:dfc.koma@gmail.com">dfc.koma@gmail.com</a> <a href="mailto:komasvr@gmail.com">komasvr@gmail.com</a>	Y
6	<b>Mrs. Im Maredi</b>	<b>Cambodia AWG-SF Alternate Focal Point</b>	immaredi2013@gmail.com	Y
7	Dr. Bambang Supriyanto	Indonesia: Director General, Directorate General of Social Forestry and Environmental Partnership, Ministry of Environment and Forestry	bambang_halimun@yahoo.com bambang_halimun@hotmail.com Copy: sitikodri@gmail.com	
8	<b>Mrs. Erna Rosdiana</b>	<b>Indonesia AWG-SF Leader &amp; AWG-SF Secretariat Chairperson</b> , Director of Social Forestry Area Preparation, Directorate General of Social Forestry and Environmental Partnership	ernarosdiana@gmail.com rini9407@gmail.com awg-sf.secretariat@awg-sf.org Copy: ekowati_enik@yahoo.com kerjasamateknikpskl@gmail.com	
9	<b>Dr. Tuti Herawati</b>	<b>Indonesia AWG-SF focal point</b> , Head of Division Community Forestry, Directorate Area Preparation of Social Forestry	tutiherawatie29@gmail.com	Y
10	<b>Dr. Oupakone Alounsavath</b>	<b>Lao PDR AWG-SF Leader</b> , Director Village Forest and Non Timber Product Management Division, Department of Forestry, Ministry of Agriculture and Forestry	dofadm@gmail.com	Y
11	<b>Mr. Somsack Sisomvang</b>	<b>Lao PDR AWG-SF Focal Point</b>	sysomsack@yahoo.com	

## Annex 6 - Target Respondents for ASFCC Self-Assessment Survey

Apr 2020

12	Mr. Khamla Sinthavong	Lao PDR Village Forest and NTFP Management Division (VFMND), Department of Forestry	l83dof@gmail.com	Y
13	<b>Dato' Wan Mazlan Bin Wan Mahmood</b>	<b>Malaysia ASOF &amp; AWG-SF Leader</b> , Biodiversity and Forestry Management Division, Ministry of Water, Land and Natural Resources (KATS)	wmazlan@kats.gov.my Copy: m.uma@kats.gov.my (Ms. Uma Maniam)	
14	Mr. Ricky Alisky Martin	Forest Management Officer (Social Forestry), Sabah Forestry Department, Sabah, Malaysia	RickyAlisky.Martin@sabah.gov.my Copy: roslinawani@nre.gov.my	Y
15	Mr. Saleh Awaludin	Director of Forest Plantation and Forest Protection, Forestry Department of Peninsular Malaysia	salleh@forestry.gov.my	
16	Dr. Thaung Naing Oo	Myanmar: Director, Forest Research Institute (FRI), Ministry of Natural Resources and Environmental Conservation (MONREC)	tnoo71@gmail.com	Y
17	Mr. Tint Swe	Myanmar: Training and Research Development Division (TRRD), Forest Department, MONREC	trrd.fd@gmail.com	
18	Mr. Sein Moe	Myanmar: Assistant Director, Extension Division, Forest Department, MONREC	seinmoe9@gmail.com	
19	<b>Dr. Ei Ei Swe Hlaing</b>	<b>Myanmar AWG-SF Focal Person</b> , Staff Officer, Forest Research Institute, Forest Department, Ministry of Natural Resources and Environmental Conservation (MONREC)	eieiswehlaing@gmail.com	
20	Mr. Nonito M. Tamayo	Philippines: Director, Forest Management Bureau Department of Environment and Natural Resources (DENR)	nonie_tamayo@yahoo.com	
21	<b>Mr. Ildefonso L Quilloy</b>	<b>Philippines AWG-SF Leader</b> , Supervising Forest Management Specialist, Chief, Forest Resources Management Division (FRMD), FMB-DENR	ilquilloy@yahoo.com	
22	<b>Luz Maria S. Lansigan</b>	<b>Philippines AWG-SF Focal Point</b> , Senior Forest Management Specialist, Community Forestry Section, FRMD	luzfpl@yahoo.com fmb2cbfm@yahoo.com	
23	<b>Mr. Hassan Ibrahim</b>	<b>Singapore: National Biodiversity Centre Division</b> , National Parks Board, Singapore Botanic Gardens	HASSAN_IBRAHIM@nparks.gov.sg Copy: WENDY_YAP@nparks.gov.sg JEREMY_WOON@nparks.gov.sg Timothy_ONG@nparks.gov.sg	

## Annex 6 - Target Respondents for ASFCC Self-Assessment Survey

Apr 2020

24	Mr. Attapol Charoenchansa	Thailand: Director General, Royal Forest Department	nun47_kan2@yahoo.com cf_rfd@hotmail.com	
25	Mrs. Nuntana Boonyanant	Thailand: Director, Community Forest Management Bureau, Royal Forest Department	nun47_kan2@yahoo.com cf_rfd@hotmail.com	
26	<b>Dr. Komsan Rueangritsarakul</b>	<b>Thailand AWG-SF Focal Point</b> , Forestry Technical Officer, Professional Level, Community Forest Management Bureau, Royal Forest Department	komsan.r@hotmail.com	Y
27	Dr. Nguyen Huu Thien	Vietnam: Deputy Director, Forest Protection Department	thien.dof@gmail.com	
28	<b>Mr. Dinh Van Tuyen</b>	<b>Viet Nam AWG-SF Focal Point</b> , Officer of Forest Protection and Management Division, Forest Protection Department, VNFOREST, MARD	tuyenhlnp@gmail.com Copy: tdatluu@gmail.com (Mr. Luu Tien Dat)	Y
<b>Former ASFN / AWG-SF Leaders and Focal Points</b>				
1	Mr. Sugeng Marsudiarto	Former AWG-SF Focal Point (at the early stage of ASFN)	smarsudiarto@gmail.com	
2	Mr. Wiratno	Former AWG-SF Focal Point	inung_w2000@yahoo.com	
3	Dr. Nur Masripatin	Former chair of AWG-FCC/ ARKN FCC collaborating closely in SC CCFS (AFCC)	nurmasripatin@gmail.com	
4	Dr. Pralong Dumrongthai	Former AWG-SF Focal Point Thailand	pralong2000@hotmail.com	
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## Annex 6 - Target Respondents for ASFCC Self-Assessment Survey

Apr 2020

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## ANNEX 7 – INTERVIEW QUESTIONS

### CONTENT

GUIDE QUESTIONS FOR DORIS CAPISTRANO, ASFCC REGIONAL ADVISER .....	2
GUIDE QUESTIONS FOR JÜRGEN BLASER, ASFCC GLOBAL ADVISER .....	4
GUIDE QUESTIONS FOR DIAN SUKMAJAYA, ASEC FAFD.....	5
GUIDE QUESTIONS FOR AWG-SF LEADERS / FOCAL POINTS .....	6
FGD GUIDE QUESTIONS – RECOFTC .....	7
FGD GUIDE QUESTIONS - NTFP-EP .....	9
GUIDE QUESTIONS FOR MOIRA MOELINO, CIFOR .....	10
GUIDE QUESTIONS FOR AMY LECCIONES, SEARCA .....	11
GUIDE QUESTIONS FOR DELIA CATACUTAN, ICRAF .....	12

## ANNEX 7 – INTERVIEW QUESTIONS

### GUIDE QUESTIONS FOR DORIS CAPISTRANO, ASFCC REGIONAL ADVISER

#### Comments on List of Respondents

Please have a look at the attached lists and make suggestions on additions or revisions.


1. Respondents for Self-Assessment Survey (2 sub-groups)
2. List of Key Informants from Alfi – for possible follow-up interviews

#### Self-Assessment Survey

We are preparing a self-assessment survey that we hope to dispatch this week (already behind schedule). We have questions for you on some of the question formulations (draft survey questions are shown in blue font):


3. Vulnerable Groups – Are the “levels” below adequate in characterizing the ASFCC’s specific “main targets”?

How effective was ASFCC in building capacities for addressing climate change, food security, livelihoods and sustainable management of natural resources at the following levels:

Level	Not so Effective				Highly Effective	Don't Know
Regional	1	2	3	4	5	
National	1	2	3	4	5	
Local	1	2	3	4	5	
Vulnerable groups	1	2	3	4	5	

4. Any other missing ASEAN strategy documents relevant to ASFCC? Are these the key ones to focus on?

Overall, how would you rate ASFCC’s alignment with or response to ASEAN strategy documents related to climate change mitigation, adaptation to climate change, social forestry, food security, poverty reduction, rural development, environment, sustainable forest management?

Document	Weakly aligned				Strongly aligned	Don't know
ASEAN Cooperation on Social Forestry Plan of Action 2020-2025	1	2	3	4	5	
ASEAN Cooperation on Food Agriculture & Forestry Vision & Strategic Plan, 2016-2025	1	2	3	4	5	
Multisectoral Framework on Climate Change towards Food and Nutrition Security and SDGs	1	2	3	4	5	
ASEAN Rural Development and Poverty Eradication Plan	1	2	3	4	5	
ASEAN Socio-Cultural Community (ASCC) Blueprint 2025	1	2	3	4	5	
ASEAN Economic Community (AEC) Blueprint 2025	1	2	3	4	5	

## ANNEX 7 – INTERVIEW QUESTIONS

5. We have a question to assess respondents' perspective of the usefulness of guidelines supported by ASFCC. Are those shown below including the main ones? Any missing?

How useful are the following guidelines and tools to your work?

Level	Not so Useful	←————→						Highly Useful	Don't Know
<a href="#">ASEAN Guidelines for Agroforestry Development 2018</a>	1	2	3	4	5	6	7		
<a href="#">ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture and Forestry 2018</a>	1	2	3	4	5	6	7		
<a href="#">Community forestry participatory assessment: a guide for practitioners 2020</a>	1	2	3	4	5	6	7		
<a href="#">Gap Analysis of ASEAN Standards for Non-Timber Forest Products 2020</a>	1	2	3	4	5	6	7		
<a href="#">Citizen Monitoring in Forestry: Toolbox 2018</a>	1	2	3	4	5	6	7		

6. Should we have a survey question that attempts to gauge the usefulness of “research products” produced under ASFCC (primarily by CIFOR)? If so, what would comprise a list of key research products (not easy to identify for us so far)? Did partners other than CIFOR produce “research products”? Your perspective on the research area of work is appreciated.

### Other Questions

- How did the program prioritize activities? How was it decided which partner would do which specific activities? How did the program decide how much budget to allocate to each?
- What was the thinking behind doing the contracting arrangement via RECOFTC and Helvetas rather than via ASEAN?
- What has ASFCC done with respect to M&E? Are there (complete) databases of knowledge products produced? All trainings (and participants)? Tracking of achievements against base lines?
- The program documents for ASFCC Phase I, II, III are remarkably similar, but there have clearly been some subtle – and some not so subtle – changes in emphasis over the different phases. For example, earlier phases seem to have given more attention to engaging with REDD+ processes and local measuring/monitoring of carbon, while phase III seems to have given relatively little attention to these aspects. Help us understand how these changes in emphasis evolved (thinking/analysis behind shifting priorities, etc.).
- Meeting of AWG-SF planned for June in Cambodia – status and alternative plans?

## ANNEX 7 – INTERVIEW QUESTIONS

### GUIDE QUESTIONS FOR JÜRGEN BLASER, ASFCC GLOBAL ADVISER

Some questions on program formulation/design...

- Back when ASFCC was first being formulated, what was the process?
- How were ASEAN regional contexts and needs considered in the design of the program results framework?
- Who do you consider to be the program target beneficiaries? How were they identified in formulating the program?
- How did prior similar initiatives inform the design & implementation of ASFCC?

Program evolution....

- Did lessons from ASFCC Phase 1 and Phase 2 feed into the design of GPCCE Strategy 2017-2020? If so, how?
- What do you think would have happened to social forestry in ASEAN if ASFCC had not provided support?
- How did ASFCC complement other related initiatives in the region?

Program implementation and achievements...

- In general, are you satisfied with the accomplishments of ASFCC?
- What were the facilitating and constraining factors that affected the realization of outcomes?
- From your perspective, have there been any unintended effects/outcomes (good or bad) of the program that you hadn't anticipated?

Partnerships...

- How do you think the mix of ASFCC partners have worked out in delivering the program?
- Did ASFCC have the "right" partners? Do you think the program effectively drew on the respective comparative advantages of each of the partners? Could the program have done OK without some of the partners?
- How could the partners have been more effective in collaborating towards achievement of outputs?
- If any, are there alternative strategies that would have been more effective in achieving intended outputs?

Coherence....

- What are the existing or emerging collaborations between the ASEAN and other donors/initiatives in areas related to ASFCC (in particular Norway, Germany)?

Future directions....

- Moving forward, do you see tangible options for collaboration or joint ventures with ASEAN development partners, such as bi- and multilateral development partners?
- What do you see as the prospects for a future SDC program in the ASEAN region?

## ANNEX 7 – INTERVIEW QUESTIONS

### GUIDE QUESTIONS FOR DIAN SUKMAJAYA, ASEC FAFD

#### ASFCC focus and evolution...

1. Who in ASEAN was involved in the development/design of ASFCC? How did past ASEAN experience or initiatives inform the program design? How did SDC engage with ASEAN in designing ASFCC?
2. How has the programme aligned with and responded to ASEAN strategy documents?
3. How has ASFCC responded to changes in ASEAN priorities during the period of ASFCC implementation (e.g. ASEAN Blueprints)?

#### Achievements/Influence/reach...

4. How did ASFCC influence processes and policies – both at ASEAN regional level and within AMS? For example, how did the ASFCC program influence: (i) AMAF's approach on gender mainstreaming; (ii) Declaration on the Gender-Responsive Implementation of the ASEAN Community Vision 2025 and 2030 Agenda on Sustainable Development; (iii) ASEAN Peatland Management Strategy; (iv) ASEAN common position for forest and climate change at UNFCCC?
5. What were the facilitating and constraining factors that affected the realization of desired outcomes under ASFCC?
6. Were there any surprises or unintended effects (good or bad) along the way of ASFCC implementation?

#### Partnerships...

7. What has the ASEAN Secretariat gained from partnering within the ASFCC program?
8. How could the partnerships within ASFCC have been more effective in efforts to achieve program outputs?
9. To what extent will the ASEAN Secretariat be able to continue collaboration, without substantial funding brought by the SDC, for a Knowledge and Action Network on Social Forestry within the ASEAN region?

#### Looking forward...

10. To what extent does the policy dialogue on national and regional economic policies (including trade and investment) within ASEAN account for climate change and environmental issues?
11. To what extent are the main drivers of deforestation (such as oil palm, illegal logging, mining, cattle) addressed by ASEAN through a climate change perspective?
12. How could the SDC build on its existing linkages within ASEAN to reach out to other parts of the institution?
13. What are the social or political risks that may jeopardize the sustainability of ASFCC's results?
14. Which are the ASEAN and AMS priorities and most pressing concerns in terms of land use, environment, rural development, etc. which could most benefit bear external engagement?
15. Are there tangible options for collaboration or joint ventures with ASEAN development partners, such as bi- and multilateral development partners, particularly with Germany (BMZ/GIZ), Sweden (SIDA) and Norway?

## ANNEX 7 – INTERVIEW QUESTIONS

### GUIDE QUESTIONS FOR AWG-SF LEADERS / FOCAL POINTS

#### Influence/reach....

1. What were the main ways that ASFCC contributed to development in your country? How did your country benefit from participating in ASFCC? What benefits did you get?
2. We know that ASFCC emphasized policy reforms and development at the regional level, through ASEAN, but did it also support policy reform in your country?
3. At what levels did ASFCC operate in your country? Did ASFCC support direct work with community groups, vulnerable groups, farmer organizations, etc. on the ground in your country?

#### Program achievements....

4. Did ASFCC deliver what you expected for your country? Could the program have done more? If so, how? In what ways?
5. What were the problems you encountered along the way in implementing social forestry and achieving targets in your country (especially the desired results in ASFCC)?
6. Were there been any surprises along the way with ASFCC... unintended or unexpected results (good or bad)?

#### Partnerships....

7. Did you benefit from the experience of other ASEAN countries through knowledge sharing under ASFCC? Examples?
8. How could the partnerships have been more effective in achieving outputs/outcomes?

#### Sustainability of ASFCC....

9. Do you think the momentum of social forestry can be maintained in your country now that the ASFCC program has ended?
10. What are the social or political risks that may jeopardize the sustainability of social forestry in your country?

#### Looking forward....

11. Moving forward, what are the highest priorities and most pressing concerns of people in your country in terms of land use, environment, natural resources management, etc. which could benefit from external donor support or engagement?
12. Do you think that additional external support would lead to increased uptake of social forestry policies within your country? Why?

## ANNEX 7 – INTERVIEW QUESTIONS

### FGD GUIDE QUESTIONS – RECOFTC

ASFCC focus and evolution...

1. When you think back over the 10 years of ASFCC, what can you say about how conditions/context and priorities have changed in ASEAN countries, including those where RECOFTC has worked?
2. What did ASFCC (and RECOFTC) do to adapt to these changes (change in emphasis, change in approach, change in engagement levels, change in activities, etc.)?

Influence/reach....

3. How has ASFCC influenced processes and policies in countries where RECOFTC has operated?
4. We always emphasize that the enabling environment (policies, regulations, institutions) have to be in place to facilitate tangible progress “on the ground”. ASFCC has focused mostly on this supporting environment, with the idea that countries and local institutions have to do the work on the ground. Has this fundamental aspect of ASFCC’s Theory of Change worked? Are countries actually taking things to next levels expected?
5. What can you say about ASFCC’s involvement beyond social forestry and climate change... e.g., oil palm, illegal logging, mining, energy, water, economic land concessions, etc.?
6. What specific steps/activities/initiatives has RECOFTC implemented under ASFCC to engage vulnerable groups (especially activities designed to strengthen their capacities and positions in society)?

Program achievements....

7. Considering that the “key indicators” for ASFCC’s outcomes and outputs are more qualitative than quantitative, how do you characterize the achievements of the program? How do you personally describe the success or shortcomings of the program? [May wish to comment on ASFCC M&E system, or lack thereof.]
8. What were the facilitating and constraining factors that affected the realization of desired outcomes?
9. Have there been any unintended effects (good or bad)?

Partnerships....

10. Under ASFCC, partnerships were both prescribed (program level) and developed/cultivated (implementation level, especially in countries). What partnerships have proven to be most valuable for RECOFTC during ASFCC implementation?
11. How could the partnerships have been more effective in achieving outputs/outcomes?
12. Are there alternative strategies that would have been more effective in achieving intended outputs/outcomes?

## ANNEX 7 – INTERVIEW QUESTIONS

### Sustainability of ASFCC....

13. What factors (enabling environment) are most important to ensure sustainability of ASFCC's outcomes?
14. What are the social or political risks that may jeopardize the sustainability of ASFCC's results?
15. What is the future outlook for the ASEAN Working Group on Social Forestry, including its AWG-SF Secretariat? Could the collaboration mechanisms and structure established under ASFCC continue without substantial new funding? If so, how?
16. What are the prospects for continued collaboration on a Knowledge and Action Network on Social Forestry within the ASEAN region, without substantial funding from SDC?

### Looking forward....

17. What are the ASEAN priorities and most pressing concerns in terms of land use, which could benefit from external engagement?
18. How might a future program of cooperation (whether SDC-supported or other) better address the main drivers of deforestation (such as oil palm, illegal logging, land conversion, cattle, mining)? Is it practical to try to address these issues in ASEAN through a climate change perspective?
19. If you were formulating a new program of cooperation with ASEAN countries for a donor, with a view toward contributing to global objectives (climate change, biodiversity, etc.), what approaches and strategies would you emphasize?
20. Going forward, do you see prospects for SDC to collaborate with other ASEAN development partners, such as Germany (BMZ/GIZ), Sweden (SIDA) and Norway, on social forestry, climate change, land management, environment, etc.?

### Survey of ASEAN country needs and priorities for future collaboration?

Other RECOFTC colleagues you consider key for us to talk with?

## ANNEX 7 – INTERVIEW QUESTIONS

### FGD GUIDE QUESTIONS - NTFP-EP

ASFCC focus and evolution...

1. How did prior similar initiatives inform the implementation of ASFCC?
2. Were there similar initiatives in areas where NTFP-EP operated during ASFCC? If so, how did ASFCC complement these initiatives ?
3. What changes occurred in ASEAN countries over the life of ASFCC that called for adjustment or refocus of ASFCC program activities? How did ASFCC adapt to these changes?

Influence and reach...

4. What sectors (other than forestry) did NTFP-EP engage with in the process of implementing project activities at the community, local and national levels?
5. What did NTFP-EP do to enjoin vulnerable groups in ASFCC activities?

Program achievements and partnerships...

6. How did ASFCC influence processes and policies (local, national, or regional)?
7. What factors facilitated (or constrained) the realization of desired outcomes under ASFCC?
8. Can you point us to any NTFP-EP products (case studies, videos etc.) that somehow capture ASFCC impacts (e.g. changes to the situation of communities, women and vulnerable groups and on forests)?
9. Have there been any unintended or unexpected effects of the program (good or bad)?
10. Under ASFCC, partnerships were both prescribed (program level) and developed/cultivated (implementation level, especially in countries). What partnerships have proven to be most valuable for NTFP-EP during ASFCC implementation?

Sustainability of gains

11. What factors (enabling environment) do you consider to be the most important to ensure sustainability of ASFCC's outcomes?
12. What are the prospects for continued collaboration on a Knowledge and Action Network on Social Forestry within the ASEAN region, without substantial funding from SDC?

Looking forward....

13. From your perspective, moving forward, what are the most pressing concerns and priorities in ASEAN countries in terms of land use, environment, and rural development that could benefit from external engagement?
14. How might a future program of cooperation (whether SDC-supported or other) better address the main drivers of deforestation (such as oil palm, illegal logging, land conversion, cattle, mining)? Is it practical to try to address these issues in ASEAN through a climate change perspective?
15. If you were formulating a new program of donor cooperation with ASEAN countries, with a view toward contributing to global objectives (climate change, biodiversity, etc.), what approaches and strategies would you emphasize? Which would be the opportune/necessary entry-points, within ASEAN, including at the ASEAN Secretariat to initiate a dialogue across relevant sectors?

## **ANNEX 7 – INTERVIEW QUESTIONS**

### **GUIDE QUESTIONS FOR MOIRA MOELINO, CIFOR**

#### **Relevance to thrusts of ASEAN and AMS**

1. What were the some of the key economic, political, social, demographic & institutional conditions in ASEAN and key member countries at the start of ASFCC that influenced the research that CIFOR took on under the program?
2. Have there been changes in ASEAN priorities during the period of ASFCC implementation, and if so, how did ASFCC and CIFOR respond?

#### **Target vs. actual....influence and reach**

3. What were the main sectors and focus of CIFOR's research under ASFCC? What were the main contributions of CIFOR to the ASFCC program? Did CIFOR's research under ASFCC take on topics related to local communities and/or vulnerable groups?
4. How did CIFOR's research under ASFCC influence processes and policies in ASEAN and AMS?
5. What were the facilitating and constraining factors that affected the realization of outcomes?
6. Were there any unintended/unexpected effects of CIFOR's work under ASFCC (good or bad)?
7. Was CIFOR involved with capacity development under ASFCC?

#### **Partnerships**

10. What benefits did CIFOR get from the ASFCC partnerships?
11. How could the ASFCC partnerships have been more effective in collaborating towards achievement of outputs?

#### **Self-sustaining structures; scaling up**

12. What are the social or political risks that may jeopardize the sustainability of ASFCC's results?
13. What are the prospects for continued collaboration on a Knowledge and Action Network on Social Forestry within the ASEAN region, without substantial funding from SDC?

#### **Looking forward....**

14. From your perspective, moving forward, what are the most pressing concerns and priorities in ASEAN countries in terms of land use, environment, and rural development that could benefit from external engagement?
15. How might a future program of cooperation (whether SDC-supported or other) better address the main drivers of deforestation (such as oil palm, illegal logging, land conversion, cattle, mining)? Is it practical to try to address these issues in ASEAN through a climate change perspective?
16. If you were formulating a new program of donor cooperation with ASEAN countries, with a view toward contributing to global objectives (climate change, biodiversity, etc.), what approaches and strategies would you emphasize?

## ANNEX 7 – INTERVIEW QUESTIONS

### GUIDE QUESTIONS FOR AMY LECCIONES, SEARCA

ASFCC focus and evolution...

1. Who in SEARCA were involved in the development in designing SEARCA's engagement with ASFCC? Did prior similar initiatives in SEARCA inform the design or complement implementation of ASFCC (e.g. EU-UNDP-SEARCA SGP-PTF)?
2. If not mistaken, SEARCA was brought into ASFCC primarily to administer the Strategic Response Fund. So, how does SEARCA relate to, and engage with, the other ASFCC partners and add value to other components of ASFCC?

Achievements/Influence/reach...

3. Please inform us briefly how the ASEAN Strategic Response Fund operates? Status of the AWG-SF Strategic Response Fund Guidelines and ASRF Business Plan?
4. What sectors and local communities were engaged in the process of implementing ASRF projects? Have any of the ASRF grants been targeted at support for vulnerable groups?
5. How did ASFCC through ASRF influence processes and policies?
6. What ASFCC outcomes were directly supported by ASRF interventions?
7. What difficulties has SEARCA experienced along the way in administering the ASRF program?
8. Any unintended effects / surprises (good or bad)?

Partnerships

9. What has SEARCA gained from partnering within the ASFCC program?
10. How could the partnerships within ASFCC have been more effective in efforts to achieve program outputs?

Self-sustaining structures

11. What is the likelihood that, or to what extent will, ASRF be maintained now that SDC's support through ASFCC has come to an end?
12. What are the social or political risks that may jeopardize the sustainability of ASFCC's results?
13. How could SEARCA help to continue collaboration, without substantial funding brought by the SDC, for a Knowledge and Action Network on Social Forestry within the ASEAN region?
14. Do you know of other ASEAN sectors that have expressed interest in adapting programme approaches to complement environment and climate change objectives?

## ANNEX 7 – INTERVIEW QUESTIONS

### GUIDE QUESTIONS FOR DELIA CATA CUTAN, ICRAF

ASFCC focus and evolution...

*Who in ICRAF were involved in the development in designing ICRAF's engagement with ASFCC? Did prior similar initiatives inform the design or complement implementation of ASFCC especially in countries where ICRAF operates e.g. Vietnam, Indonesia, Cambodia?*

Achievements/Influence/reach...

*Agroforestry Guidelines was cited as a key achievement. How was it developed? Who were involved? What facilitated its endorsement in AMAF? How does this guideline relate to the White Paper on Agroforestry contributions to food security and climate change adaptation and mitigation?*

*Cambodia, Indonesia and Viet Nam were cited as having sought further clarification support from ASFCC technical partners that led to more rapid uptake and more effective achievement of national objectives. Can you tell us more about the process and the outcomes? How did ASFCC through ICRAF influence processes and policies?*

*Was ICRAF able to enjoin vulnerable groups and develop their capacities? Under ASFCC, have you engaged with vulnerable groups?*

*What were the facilitating and constraining factors that affected the realization of outcomes?*

*Any unintended effects / surprises (good or bad)?*

Partnerships...

*How effective was ASFCC in building capacities and fostering partnerships?*

*What partnerships were formed during ASFCC implementation (regional, national, local)?*

*How did these partnerships contribute towards the achievement of intended outputs?*

*How could the partnerships be more effective in collaborating towards achievement of outputs? To be provocative, any laggards or freeriders?*

Self-sustaining Structures...

*Is there solid evidence that further support would lead to increased uptake of social forestry policies designed within the ASEAN at country level? What are the social or political risks that may jeopardize the sustainability of ASFCC's results? How could ICRAF help to continue collaboration, without substantial funding brought by the SDC, for a knowledge and action network on Social Forestry within the ASEAN region?*

Looking forward...

*Which are the ASEAN priorities and most pressing concerns in terms of land use, which could bear external engagement?*

*Do you know of other ASEAN sectors that have expressed interest in adapting programme approaches to complement environment and climate change objectives? Any emerging collaboration or joint ventures with ASEAN development partners, such as bi- and multilateral development partners, particularly with Germany (BMZ/GIZ), Sweden (SIDA) and Norway?*

## ANNEX 8 – ASFCC KEY INFORMANTS INTERVIEWED (VIA SKYPE OR ZOOM)

### COUNTRIES

#	Code	Name	Country	Interviewed
1	INO	Nur Masripatin	INDONESIA	19 May (Skype)
2	PHI	Isabelita Austria	PHILIPPINES	22 May (Zoom)
3	MYA	Ei Ei Swe Hlaing	MYANMAR	22 May (Skype)
4	LAO	Oupakone Alounsavath	LAO PDR	27 May (Zoom)
5	CAM	Long Ratanakoma	CAMBODIA	28 May (Zoom)

### PARTNERS AND COORDINATORS

#	Code	Name	Org	Interviewed
6	DoC	DORIS CAPISTRANO	ASFCC	8 April (Zoom)
7	PAC	PIERRE-ANDRE CORDEY	SDC	30 April (Skype)
8	JB	JÜRGEN BLASER	SDC	1 May (Skype)
9	DG	DAVID GANZ	RECOFTC	1 May; 6 May (Zoom)
10	CG	CRISSY GUERRERO	NTFP-EP	4 May (Zoom)
11	FP	FEMY PINTO	NTFP-EP	4 May (Zoom)
12	DL	DAZZLE LABAPIS	NTFP-EP	4 May (Zoom)
13	MM	MOIRA MOELINO	CIFOR	5 May (Skype)
14	RT	RONNAKORN TRIGANORN	RECOFTC	6 May (Zoom)
15	PS	POP SAENGCHARNCHAI	RECOFTC	6 May (Zoom)
16	AL	AMY LECCIONES	SEARCA	6 May (Skype)
17	DC	DELIA CATACUTAN	ICRAF	7 May (Skype)
18	DS	DIAN SUKMAJAYA	ASEC	11 May (Skype)
19	AS	ALFI SYAKILA	AWGSF	12 May (Skype)

## FORWARD-LOOKING INFORMANTS

#	M/F	Name	Org	Interviewed
20	M	THANG HOOI CHIEW	AMS Malaysia (retired), development consultant	13-Jul, 1030 KUL, 1.15h
21	F	MIYUKI ISHIKAWA	JAIF JMT	13-Jul, 1500 JKT, 45m
22	F	NUR MASRIPATIN	AMS Indonesia	15-Jul, 1400 JKT, 1h
23	F	DORIS CAPISTRANO	ASFCC	16-Jul, 1500 MNL, 1.15h
24	M	ROBERT NASI	CIFOR	16-Jul, 1100 JKT, 30m
25	M	AARON BECKER	FAO GEF	16-Jul, 1100 FRA, 30m
26	M	DAVID GANZ	RECOFTC	17-Jul, 1330 BBK, 1h (FGD)
27	M	RONNAKORN TRIGANORN	RECOFTC	17-Jul, 1330 BBK, 1h (FGD)
28	M	YURDI YASMI	IRRI Director General; former FAO, RECOFTC, ICRAF, CIFOR	18-Jul, 1400 PNH, 1.45h
29	M	VONG SOK	ASEC ENVD	20-Jul, 1500 JKT, 1h (FGD)
30	M	TRI SULISTYO SAPUTRO	ASEC ENVD	20-Jul, 1500 JKT, 1h (FGD)
31	F	NATALIA	ASEC ENVD	20-Jul, 1500 JKT, 1h (FGD)
32	M	DIAN SUKMAJAYA	ASEC FAFD	20-Jul, 1100 JKT, 40m
33	M	RALPH STAMM	Swiss Embassy in Indonesia	21-Jul, 1600 JKT, 1.30h
34	F	HANNA REUTER	GIZ	22-Jul, 1100 JKT, 1.30h
35	M	BEAU DAMEN	FAO ASEAN CC	22-Jul, 1600 BKK, 1.30h
36	M	YEONGJOO LEE	AFOCO	23-Jul, 1500 ROK, 1h
37	F	KRIANGKRAI THITMAKORN	SIDA	23-Jul, 1500 BKK, 30m
38	M	YOSHIAKI INADA	Japan Embassy in ASEAN	24-Jul, 1100 JKT, 45m
39	M	THOMAS HOFER	FAO	24-Jul, 1600 BKK, 1h
40	M	BEN VICKERS	UNREDD	25-Jul, 1600 BKK, 1h
41	M	HUANG KEBIAO	APFNET	27-Jul, 1500 PRC, 1h
42	M	KEITH ANDERSON	Swiss Federal Office of Environment	27-Jul, 1100 Bern, 1h
43	M	OEWIND DAHL	NICFI	28-Jul, 0700 Oslo, 1h
44	M	DANIEL LAUCHENAUER	SECO	28-Jul, 1100 Bern, 30m
45	M	BRUNO CAMMAERT	FLEGT	29-Jul, 1100 BKK, 1h
46	F	CRISSY GUERRERO	NTFP-EP	29-Jul, 1500 JKT, 2h (FGD)
47	F	FEMY PINTO	NTFP-EP	29-Jul, 1600 PHI, 2h (FGD)
48	M	DAZZLE LABAPIS	NTFP-EP	29-Jul, 1600 PHI, 2h (FGD)
49	M	STEVE JOHNSON	ITTO	29-Jul, response emailed
50	M	HANS RAMM	SDC GPFS	30-Jul, 1000 Bern, 1h
51	M	PATRICK SIEBER	SDC GPCCE	14-Aug, 1000 Bern, 1h

## Annex 9 - Evaluation Matrix (refined)

Final Evaluation of the ASEAN-Swiss partnership on Social Forestry and Climate Change (ASFCC)

RELEVANCE						
<i>Dimension</i>	<i>Key Questions (per TOR)</i>	<i>Specific sub-questions</i>	<i>Data Sources</i>	<i>Data Collection Methods/Tools</i>	<i>Indicators/ Success Standard</i>	<i>Data Analysis Method/s</i>
Relevance of the programme to GPCCE mission and objectives	Have the main goal and the objectives of the ASFCC been relevant throughout based on the mission and the objectives of the GPCCE? (p.4)	<p>How is ASFCC reflective of GPCCE's mission of "contributing to low-emission and climate- resilient development, promoting access to clean energy for all, and sustainable management of natural resources"?</p> <p>How is ASFCC aligned with and responsive to the relevant expected outcomes in the GPCCE strategic framework, i.e.:</p> <ul style="list-style-type: none"> <li>- National and sub-national development policies and plans account for climate change and environmental risks. (Component 1, outcome 3)</li> <li>- Climate resilience of communities is increased resulting in reduced impacts of climate change (Component 3, outcome 1)</li> <li>- Forests, mountains and other ecosystems are sustainably managed and are resilient to climate change (Component 3, outcome 3)?</li> </ul>	<p>GPCCE Strategic Framework 2017-2020</p> <p>ASFCC Logical Framework</p>	<p>Desk Review of documents from SDC</p> <p>Online key informant Interviews</p>	<p>Degree of correspondence between ASFCC and GPCCE (% of ASFCC indicators corresponding to GPCCE indicators)</p>	Comparative analysis of Indicators in ASFCC Theory of Change and GPCCE Strategic Framework

## Annex 9 - Evaluation Matrix (refined)

Final Evaluation of the ASEAN-Swiss partnership on Social Forestry and Climate Change (ASFCC)

Relevance of programme to thrusts of ASEAN and its member countries	Is the social forestry approach and the Theory of Change of the ASFCC still relevant to the priorities of ASEAN and its member countries? (p.4)	<p>What was the economic, political, social, demographic &amp; institutional context in ASEAN and key member countries before the programme started?</p> <p>How has the programme aligned with and responded to ASEAN strategy documents?</p> <p>Have there been changes in ASEAN priorities during the period of ASFCC implementation, and if so, how did ASFCC respond?</p>	<p>SF &amp; CC Situational Assessments 2010 vs 2020</p> <p>AFCC 2009</p> <p>SPA AIFS 2009-2015</p> <p>AEC Blueprint 2016-2025 and POA</p> <p>ASFCC Logical Framework</p>	<p>Desk Review of documents from SDC &amp; ASFCC Partners</p> <p>Self-assessment Survey (Q2, Q3)</p> <p>Online key informant interviews</p>	<p>Rating of survey respondents on ASFCC influence on ASEAN constituent bodies and Member States</p> <p>(little to strong relevance)</p> <p>Congruence of programme design &amp; adaptability with economic, political, and social context and needs of ASEAN countries</p>	<p>Qualitative assessment of ASFCC Project Documents (Logical Framework, External Evaluation Reports, Phase 3 Work Plan, Operational Reports) vs.</p> <p>Pre-ASFCC ASEAN documents (AFCC 2009, SPA AIFS 2009-2015)</p> <p>Enacted before ASFCC Phase 3 (AWG-SF POA 2016-2020; FAF SPA 2016-2025)</p> <p>Survey Results</p>
Relevance of the programme to the context in the target areas	Is the social forestry approach and the Theory of Change of the ASFCC still relevant to the realities of target groups in ASEAN member countries? (Q2)	<p>What were the explicit needs of the target beneficiaries before the programme started?</p> <p>How were these contexts and needs considered in the design of programme results framework?</p> <p>How did prior similar initiatives inform the design &amp; implementation of ASFCC?</p> <p>How did ASFCC complement similar initiatives in the target areas?</p> <p>What changes to the initial country context affected implementation, if any? How did ASFCC adapt to these changes?</p>	<p>Situational Assessments</p> <p>Secondary data on context in forest areas of ASEAN members</p>	<p>Desk review of baseline documents from SDC</p> <p>Online research</p> <p>Self-assessment Survey (Q4, Q5)</p> <p>Online key informant interviews and</p> <p>Focus Group Discussions</p>	<p>Rating of survey respondents on relevance of ASFCC approach to target areas (little to strong relevance)</p> <p>Flexibility of programme design to the evolving context and needs of forest-dependent people</p>	<p>Tabular assessment of contextual differences among ASEAN member countries</p> <p>Review of Situational Assessments 2010 vs 2020 to identify changes in trends and patterns</p> <p>Survey Results</p>

## Annex 9 - Evaluation Matrix (refined)

Final Evaluation of the ASEAN-Swiss partnership on Social Forestry and Climate Change (ASFCC)

EFFECTIVENESS AND IMPACT						
<i>Dimension</i>	<i>Key Questions (per TOR)</i>	<i>Specific sub-questions</i>	<i>Data Sources</i>	<i>Data Collection Methods/Tools</i>	<i>Indicators/ Success Standard</i>	<i>Data Analysis Method/s</i>
Target vs. actual	What are the effects of ASFCC on beneficiaries, ASEAN member states, others? (p.4)	What recommendations from the external evaluations for Phase 1 & 2 were acted upon?  Did mandated partners accomplish the activities set out in consolidated Work Plan for Phase 3?  To what outputs in the logical framework did activities for Phase 3 contribute?	Consolidated Activity Work Plans Phase 3  Operational reports 2017 & 2018 & Planning Meeting Updates 2019  AWG-SF focal persons & Partners [Forest Communities]	Desk Review  Self-assessment Survey (Q6, Q7)  Online key informant interviews (KII)  Focus Group Discussions (FGD) [Site Visits]	Actions on Recommendations in External Evaluation Reports Phase 1 & 2  Accomplishment of activities targeted for Phase 3	Comparative assessment of Operational Reports as against the Consolidated Activity Work plan for Phase 3 and Evaluations Recommendations from Phases 1 & 2  Survey Results
Outcomes, planned and unplanned	To which institutional and system changes has the ASFCC contributed to, at different levels (regional, national, sub-national)? (p.4)	What outcomes are directly attributable to ASFCC interventions?  How did ASFCC influence processes and policies?  Any unintended effects/surprises (good or bad)?	Operational Reports  Knowledge products  AWG-SF focal persons & Partners [Forest Communities]	Desk Review  Self-assessment Survey (Q16-17)  Online KII & FGD [Site Visits]	Most cited achievements/ contributions/ impacts of ASFCC	Process tracing (timeline)  Programme Impact Pathway mapping to trace linkages between activities, outputs and outcomes  Survey Results
Reach	To what extent has the ASFCC induced transformational change, both at the level of local partners and beneficiaries, and within the ASEAN community? (p.4)	What sectors and local communities were engaged in the process of implementing project activities?  What steps were taken to enjoin vulnerable groups in activities that develop their capacities?	Knowledge products  Activity Reports [Forest communities]	Desk Review  Self-assessment Survey (Q12, 15)  Online KII & FGD [Site Visits]	Cited examples of changes in operational practices, institutional policies, strategies or approaches  Sex-disaggregated data	Most significant change stories  Word search from interview notes  Tracing gendered dimensions of impacts  Survey Results
Partnership	Has the ASFCC had a transformative	Have the partners engaged with the programme proven to be	Operational reports	Desk review	Number and nature of partnerships	Network Diagram to analyze patterns in

## Annex 9 - Evaluation Matrix (refined)

Final Evaluation of the ASEAN-Swiss partnership on Social Forestry and Climate Change (ASFCC)

	effect on the main implementing partners, individually and as a group/network? (p.5)	<p>effective in delivering the programme, drawing on respective comparative advantages of partners?</p> <p>What partnerships were borne out of ASFCC engagement?</p> <p>How could the partnerships be more effective in collaborating towards achievement of outputs?</p>	<p>AWG-SF focal persons &amp; Partners</p> <p>[Other donors and partners]</p>	<p>Self-assessment Survey (Q13-14)</p> <p>Online KII &amp; FGD</p> <p>[Site Visits]</p>	<p>formed during implementation and their contributions to outputs and outcomes</p>	<p>engagement, participation and reach of implementing partners</p> <p>Survey Results</p>
Impacts	What has been the impact of the ASFCC on livelihoods and on forests (sustainable forest management)? (p.4)	What changed in the situation of communities, women and vulnerable groups and on forests by the end of the programme?	<p>Knowledge products</p> <p>Media</p> <p>ASFCC Collaborative Impacts Matrix 2009-2020</p> <p>AWG-SF focal persons &amp; Partners</p>	<p>Desk Review</p> <p>Self-assessment Survey (Q8-11)</p> <p>Online KII &amp; FGD</p> <p>[Site Visits]</p>	Socio-economic benefits & forest management improvements cited in knowledge products and other media sources	<p>Programme Impact Pathway Mapping to trace linkages between activities, outputs and outcomes</p> <p>Survey Results</p>

## Annex 9 - Evaluation Matrix (refined)

Final Evaluation of the ASEAN-Swiss partnership on Social Forestry and Climate Change (ASFCC)

SUSTAINABILITY						
<i>Dimension</i>	<i>TOR key Questions</i>	<i>Specific Sub-Questions</i>	<i>Data Sources</i>	<i>Data Collection Methods/Tools</i>	<i>Indicators/ Success Standard</i>	<i>Data Analysis Method/s</i>
Self-sustaining structures	How far has the ASFCC managed to generate ownership and commitment within the ASEAN, and among member states?	<p>What is the state of the ASEAN Working Group on Social Forestry, including its AWG-SF secretariat, as well as its institutional and political potential?</p> <p>Could a collaboration continue, without substantial funding for a knowledge and action network on Social Forestry within the ASEAN region?</p>	<p>ASEAN Secretariat</p> <p>AWG-SF Secretariat and Focal points</p> <p>ASFCC Implementing Partners</p> <p>SDC</p>	<p>Survey (Q17)</p> <p>Online KII &amp; FGD</p> <p>Desk review</p>	<p>Presence or absence of local bodies to continue project gains</p> <p>Commitment and functioning of these local bodies</p>	<p>Survey Results</p> <p>Institutional sustainability assessment</p>
Sustainability Factors	What is the likelihood that, or to what extent will, the effects of the ASFCC be maintained once the SDC's support has come to an end? (p.5)	<p>Which factors (enabling environment) help ensure sustainability of ASFCC's outcomes?</p> <p>What are the social or political risks that may jeopardize the sustainability of ASFCC's results?</p>	<p>ASEAN Secretariat</p> <p>AWG-SF Secretariat and Focal points</p> <p>ASFCC Implementing Partners</p> <p>SDC</p>	<p>Self-assessment Survey (Q18)</p> <p>Online KII &amp; FGD</p> <p>Desk Review [Site Visits]</p>	<p>Presence of enabling environment that can sustain programme gains in terms of localized policies and programmes</p> <p>Extent of readiness and commitment of partners to continue programme gains after phase out</p>	Qualitative assessment

## Annex 9 - Evaluation Matrix (refined)

Final Evaluation of the ASEAN-Swiss partnership on Social Forestry and Climate Change (ASFCC)

FUTURE WORKSTREAM						
<i>Dimension</i>	<i>TOR key Questions</i>	<i>Specific Sub-Questions</i>	<i>Data Sources</i>	<i>Data Collection Methods/Tools</i>	<i>Indicators/ Success Standard</i>	<i>Data Analysis Method/s</i>
Lessons	What were the facilitating and constraining factors that affected the realization of outcomes?	<p>What is the state-of-the-art of the policy debate on climate change mitigation within the ASEAN? (p.5)</p> <p>How far does the policy dialogue on national and regional economic policies (including trade and investment) within the ASEAN account for climate change and environmental issues?</p>	<p>ASEAN Secretariat</p> <p>AWG-SF Secretariat and Focal points</p> <p>ASFCC Implementing Partners</p> <p>SDC</p>	<p>Online KII &amp; FGD</p> <p>Survey results (Q19)</p> <p>Desk review</p>	[Not applicable]	Qualitative assessment
Replicability or scale-up potential	<p>How far could the SDC build on its existing network within ASEAN to reach out to other parts of the institution?</p> <p>Institutionally, which would be the opportune/necessary entry-points, within ASEAN, including at the ASEAN Secretariat to initiate a dialogue across relevant sectors? (p.5)</p>	<p>What are the topics that are most relevant for a majority of member states, which are being tackled by the ASEAN Community? (p.5)</p> <p>What other ASEAN sectors have expressed interest in adapting programme approaches to complement environment and climate change objectives?</p> <p>Is there solid evidence that further support would lead to increased uptake of social forestry policies designed within the ASEAN at country level?</p>	<p>ASEAN Secretariat</p> <p>AWG-SF Secretariat and Focal points</p> <p>ASFCC Implementing Partners</p> <p>SDC</p>	<p>Self-assessment Survey (Q21-23)</p> <p>Online KII &amp; FGD</p> <p>Desk Review</p>	<p>Expressed needs or expressions of interest from other stakeholders at regional and national level</p> <p>Formal ASEAN sector strategies, objectives and programmes</p>	Transversal links and synergies between different relevant working groups and units of the ASEAN
Future Options	Which are the ASEAN priorities and most pressing concerns in terms of land use, which could bear external engagement?	How far are main drivers of deforestation (such as oil palm, illegal logging, cattle) addressed by the ASEAN through a climate change perspective? (p. 5)	<p>ASEAN Secretariat</p> <p>AWG-SF Secretariat</p>	<p>Self-assessment Survey (Q20)</p> <p>Online KII &amp; FGD</p>	[Not applicable]	Qualitative Assessment

## Annex 9 - Evaluation Matrix (refined)

Final Evaluation of the ASEAN-Swiss partnership on Social Forestry and Climate Change (ASFCC)

	<p>How does the ASEAN Community perceive its role with regards to the Paris Agreement and the 2030 Agenda, and how does this translate into the secretariat's work and priorities?</p> <p>Are there tangible options for collaboration or joint ventures with ASEAN development partners, such as bi- and multilateral development partners, particularly with Germany (BMZ/GIZ), Sweden (SIDA) and Norway?</p>	<p>What are the existing or emerging collaborations between the ASEAN and other donors/initiatives in the above-mentioned fields (in particular Norway, Germany)?</p>	<p>and Focal points</p> <p>ASFCC Implementing Partners</p> <p>SDC</p> <p>Other development actors</p>	Desk Review		
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## Annex 10 - Evaluation Schedule

Activities	Dates
1. Notice to Proceed	Feb 17 – contract signed
2. Inception meetings (Jakarta)	Feb 25-26
3. Review documents	Mar-Jun (150+ documents)
4. Systematize collected secondary data	Mar-Jun
5. Prepare self-assessment survey	Mar 31 – draft to SDC
6. Facilitate conduct of self-assessment survey	Apr 13 – survey form circulated May 15 – 46 responses received May 25 – results processed, analysed
7. Online Key Informant Interviews & Focus Group Discussions (retrospective aspects)	Mostly for retrospective aspects (19 informants; 20 interview/FGD sessions)
• ASFCC Partners	Apr 30 – May 12 (14 interviewees)
• ASEAN Member States	May 19 – 28 (5 interviewees)
8. Online Meetings with SDC	Mar-Sep (7 meetings, 1.5-2h each)
9. Online Evaluators' Team Meetings	Mar-Oct (20 meetings, 1.5-2h each)
10. Data analysis and writing (retrospective aspects)	May-Jun
<b>10. Inception report submitted with initial findings &amp; refined evaluation matrix</b>	<b>Jun 12</b>
11. Online Key Informant Interviews & Focus Group Discussions (forward-looking aspects)	Jul 13 – Aug 14 (32 informants; 27 interview/FGD sessions)
12. Data analysis and writing (forward-looking aspects)	Jun – Sep
XX. Presentation of Draft Findings to the online 14 <sup>th</sup> AWG-SF Meeting	Sep 9
<b>13. Submit full draft report</b>	<b>Sep 21</b>
14. Discuss draft report (HQ)	Nov 4
15. Submit updated draft	Nov
17. Integrate final comments	Nov
17. Submit final report	<b>Nov 20</b>

## ANNEX 11

### GPCCE AND ASFCC: COMPARATIVE ASSESSMENT OF INDICATORS

This exercise mapped the indicators in the ASFCC Theory of Change to relevant components of the GPCCE Strategic Framework. The main findings are that:

- The main goal and the objectives of the ASFCC have been reflective of the mission and objectives of the GPCCE. ASFCC embodies GPCCE's mission of contributing to low-emission and climate resilient development through developing and implementing social forestry, climate change adaptation and mitigation strategies using cross-sectoral approaches. Among GPCCE's four components which represent program objectives, ASFCC objectives are most reflected in Component 3 on Climate-resilient Development and Sustainable Natural Resource Management. ASFCC in part also contributes to Component 1 on Climate and Environment Policy and Planning.
- ASFCC is most aligned with three of the 10 outcome areas of the GPCCE Framework Strategy. ASFCC's logical framework for Phase 3 has a total of 33 outcome and output indicators. Of this total, 26 indicators (79%) align with Component 3, specifically Outcome 1 (13 indicators) and Outcome 3 (13 indicators), while 7 indicators (21%) align with Component 1, Outcome 3.

GPCCE Framework Strategy	ASFCC Logical Framework
<i>Mission:</i> Contribute to low-emission and climate resilient development promoting access to clean energy for all and sustainable management of natural resources	<i>Goal Indicator:</i> Strategies of social forestry and climate change adaptation and mitigation of at least 5 ASEAN countries are developed and implemented according to cross-sectoral approaches, more specifically in accordance to objectives of poverty alleviation and food security
<i>Components:</i>  1. Climate and environment policy and planning  2. Low-emission development  3. Climate-resilient development and sustainable natural resource management	<i>Objective 1 indicator:</i>  AWG-SF inputs are included in the overall climate change policy framework, mitigation and adaptation in at least 5 ASEAN member states and in relevant to ASEAN climate change policy and strategy processes (including AFCC and related Action Plans)
	<i>Objective 2 indicators:</i>  Improved inclusion and increasing number of different stakeholders (government, communities, private sector, academia, CSOs, micro-, small and medium enterprises/ MSMEs) involved in social forestry and climate change adaptation and mitigation combined measures  Increased policy and operational for equitable and efficient SF-based livelihoods including through SMEs  Increased skills and shares (incentives, land area, etc.) that communities and vulnerable groups receive in nationally appropriated adaptation and mitigation actions

### GPCCE 3. 3

Forests mountains and other ecosystems are sustainably managed and are resilient to climate change

- *Measurement:* Evidence shows that forests and other ecosystems are less vulnerable to climate change and are sustainably managed (e.g. more diverse, less fragmented, restored forests/ecosystems)
- *Outcome Indicator:* Number of forest related policies, laws, strategies and plans developed at national level
- *Output Indicators:*
  - Number of forest and mountain related policies, strategies and plans developed at the global and regional level
  - Quality of policies, positions, plans, programmes addressing climate and sustainable management of forest/ecosystems in regional institutions (technically state-of-the-art and socially-inclusive)

#### Relevant ASFCC Outcome Indicators:

1. Strategic issues defined by policy assessments of the ASFCC tackled by ASEAN and member countries, at least during each ASOF meeting, and in the context of the AWG-SF with influence on at least 5 national or joint strategies (Outcome 1)
2. ASEAN and AMS policy interventions and action plans communicated to international and national climate change and forest fora based on jointly developed messages including and combining social forestry and climate change (ASFCC Outcome 1 Indicator)
3. Investment of ASEAN member states for SF for joint A&M implementation (Outcome 1)

#### Relevant ASFCC Output Indicators:

1. All ASFN review documents used during ASOF and other selected ASEAN meetings and by other ASEAN bodies (Output 1.1)
2. Recommendations on linkages between social forestry and climate change measures based on ASFN studies and interventions are integrated into cross-sectoral national and ASEAN policy messages (Output 1.1)
3. Network of SF Champions of at least 5 countries actively advocating SF related in their countries (Output 1.2)
4. At least 5 Member States undertake initiatives and contributes to SF goals using the ASRF Mechanism their own resources to enhance the capacity and effectiveness of AWG-SF focal points and network partners and key institutions to engage with influential stakeholders and decision makers within and beyond ASEAN (Output 1.2)
5. Previous AWG-SF policy and strategic recommendations are implemented and monitored by the AWG-SF and the member states (Output 1.3)
6. Qualitative and quantitative targets of social forestry are included in Member States policies and strategies and regularly monitored. (Output 1.3)
7. Strategically targeted knowledge products and tools (e.g.: knowledge tree, AFCC conceptual framework, etc.) produced and/or coordinated by the Secretariat and used by Member States and ASEAN bodies (Output 2.1)
8. Strategically targeted policy guidelines and monitoring tools developed with the coordination of the AWG-SF secretariat and used by member states (Output 2.2)
9. Substantive presence in international forums and meetings to share and represent SF-related issues and experiences (Output 2.3)
10. Collaborations with other institutions outside of the region (Output 2.3)

### GPCCE 3. 1

Climate resilience of communities is increased resulting in reduced impacts of climate change

- *Measurement:* Evidence shows increase capacity in climate risk management
- *Outcome indicator:* Number of people (m/f) benefitting from implemented climate adaptation measures
- *Output indicators:*
  - Number of innovative climate risk management approaches explored and promoted
  - Number of people (m/f) with improved climate risk management capacities
  - Number of national, regional or global policies and platforms promoting climate risk management approaches.

### Relevant ASFCC Outcome Indicators:

1. AWG-SF focal points and relevant working groups or key people meet and collaborate to exchange information and experiences and to launch joint initiatives. (Outcome 2)
2. A majority of Member States provide updated information on SF implementation to the ASEAN mechanism (CHM, MAR) (Outcome 2)
3. AWG-SF information and messages disseminated through the website and knowledge sharing channels of partners and their extended network (Outcome 2)
4. Broader stakeholders participation in AWG-SF activities and substantive participation of key ASEAN decision makers and engagement in cross sectoral platform and mechanism within and beyond ASEAN (Outcome 2)
5. Strategic AWG-SF-supported approaches and proven best practices are disseminated at national and ASEAN levels (Outcome 3)
6. Previous ASFN recommendation already endorsed by ASOF are implemented (Outcome 3)

### Relevant ASFCC Output Indicators:

1. Continued appreciation of the coordination work and increasing contribution of member states to enable the expanded mandate of the secretariat (Output 2.1)
2. Institutional arrangement of AWG-SF in place by the end of the program (Output 2.1)
3. Increased quality and effectiveness of SPA implementation (Output 2.2)
4. Establishment of Social Forestry learning and study exchange sites where Member States and partners can work and learn together (Output 2.2)
5. Regional collaboration initiatives in support of the development of NAAMAs and NDCs (Output 3.2)
6. Scaling-up potential of experiences compiled and learning interventions supported in at least 5 Member States with the direct involvement of AWG-SF focal points, partners and State agencies, and evaluation of expected benefits for local communities and disadvantaged people (Output 3.3)
7. Investment by AMS in developing adaptive capacities based on lesson from CF initiatives (Output 3.3)

### GPCCE 1.3

National & sub-national development policies & plans account for climate change & environmental risks

- *Measurement:* Evidence that climate change and environmental priorities are mentioned in national and sub-national development policies and plans.
- *Outcome indicator:* Number and quality of climate and environment related policies, strategies and plans developed at national and sub-national level (including technical quality and social inclusiveness)
- Output indicators:
  - Evidence that SDC's results and lessons are brought into relevant national and sub-national policies, processes and platforms.
  - Number of national and sub-national policies, processes and platforms taking on board results of SDC/GPCCE interventions (e.g. INDCs, MAPS, NAPs).

#### Relevant ASFCC Outcome Indicators:

1. Integration of social forestry as an inclusive process in cross-sectoral ASEAN climate-change related policies, programs and projects and in the individual AMS (Outcome 1)

#### Relevant ASFCC Output Indicators:

1. Interactions between AWG-SF and AMAF (Output 1.2)
2. ASEAN and AMS provide resources for institutionalization, conceptualisation, initiatives, and program as spin off building upon ASFCC (Output 1.4)
3. Consolidation of knowledge management activities and enhance joint implementation of initiatives to address strategic issues in ASEAN and ASEAN member states (Output 2.2)
4. AWG-SF partnerships with other governments, civil society, private sectors, enterprises and international stakeholders to advance SF-related issues in international platforms (Output 2.3)
5. Strengthened capacity of national and regional multi-stakeholder social forestry working groups to address SF-issues into climate change and food security agenda (Output 3.1)
6. Guidelines, tools, conceptual framework, methods and approaches developed through collaboration between ASEAN, AMS, and ASFCC and used by the AWG-SF and other AWGs, etc. (Output 3.2)

**ASFCC EVALUATION RECOMMENDATIONS: STATUS POST-PHASE 3**

No.	Topic	Key recommendation	Status
<b>Substantive Content - Phase 1</b>			
1	SF Policy Framework Strategic issues	Further support the implementation of AFCC SPA focusing on targeted components	DONE via AFCC Multi-sectoral Framework
2		Further monitor potential effects of ASEAN integration on SF communities and sensitize NWGs about this	DONE via CIFOR research on swidden.
3		Consider additional support to Myanmar to strengthen the accelerated pace (momentum) of SF/CF program development (most effectively through the Regional Cooperation department of SDC, East Asia Division)	DONE via ASRF projects. Stepped-up support from RECOFTC and ICRAF was also noticeable
4		Provide true economic evidence for the connection of SF-CC with CBA/TEV and share results with decision makers	PARTLY DONE.
5		Invest in a sound planning process for phase 2 with the help of country-updates and priority tasks.	DONE, including through being informed by the RECOFTC situational analyses.
6	Knowledge Sharing put into action	Increase post-training monitoring and share results to improve training effects and clarify roles of members and partners	DONE via RECOFTC operational reports Phase 2 and 3.
7		Focus more on country-to-country trainings for earlier results	I think we can conclude this was done. We heard mention of various study tours to other countries from Ei Ei, Koma and Bellet (Oupakone also I think). including being informed by the RECOFTC situational analyses.
8		Continue plans to upgrade website but revisit objectives in the light of other competing knowledge sources	DONE via Knowledge Tree within RECOFTC website (although coming very late in the programme)
9		Embed the concept of Learning Group within the context of improvements in the learning process around annual meetings / conferences	?
10		Consider preparing communication plans for discrete policy targets	If this was done, it seems it was done in a fragmented manner, not targeted against specific policy targets as suggested
11		Develop supplemental (perhaps less formal) forms of sharing that can promote deeper exchange and understanding.	DONE, see Phase 2 evaluation findings.
12	Learning interventions, best practices and upscaling	Prepare joint implementing strategy at country level to identify, assess and disseminate best practices	Pretty sure that this was NOT DONE, based on what various partners and AMS officials have said. I think this was a missed opportunity of the programme.
13		Identify benchmark sites for monitoring evidence to support policy work	
14		Collaboratively update research priorities, building on the range of ongoing research-oriented actions	It seems like a stretch to claim this was done. While someone must have set some research priorities, we didn't hear much of anything about collaborative planning of research.
15		Leverage resources with other research resources in the region	Can probably claim that CIFOR and RECOFTC did some such leveraging from other donors supporting their own programs (but not sure if any examples exist of leveraging other non-ASFCC partners for research resources

No.	Topic	Key recommendation	Status
16		Conduct targeted work on CC Adaptation particularly on institutional issues preventing wide scale local adaptation action in SF areas.	Not sure what is meant by "institutional issues preventing wide scale adaptation action" but to the extent ASFCC did anything on this, it would probably have been done by NTFP-EP.
<b>Substantive Content - Phase 2</b>			
17	SF Policy Framework Strategic issues	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.	PARTIALLY. ASFCC adapted to align with some of the changing needs of ASM (e.g., moving from strong support on REDD+ and potential carbon markets to more pragmatic needs related to implementing SF, including food security, tenure, conflict management, etc.. But did not see that ASFCC did a lot to work directly with AMS on NDCs or SDGs.
18		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.	see management response to Phase 2 evaluation
19	Knowledge Sharing put into action	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.	I think this is meant to refer to CIFOR drawing from its global research and applying it more to AMS contexts. From what we heard, this didn't happen (at least not to the extent hoped). Although not a "global partner", RECOFTC would probably claim that they drew upon experience and knowledge from Nepal to adapt and apply in AMS, but it seems not to a great extent.
20	Learning interventions, best practices and upscaling	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.	DONE via NTFP-EP
21		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.	I would contend that NTFP-EP's work is more heavily skewed to adaptation (as that's what is higher priority for most communities. Work of ASFCC that promoted enhanced carbon sequestration from afforestation, reforestation and agroforestry can fairly be claimed to focused equally on mitigation and adaptation. Work that was mostly related to conserving existing natural forests through "avoided emissions" was probably more mitigation focused than adaptation (but even in those instances, ASFCC work mainly promoted adaptation measures for local people also).

No.	Topic	Key recommendation	Status
22		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.	see Management Response to Phase 2 Evaluation
23		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.	I think we can say this was done. SEARCA seems to have taken on board this recommendation. They revised the ASRF approach to be more flexible and give grants to all AMS focal points to use for targeted priorities. This broadened the scope of the grants and made the program more responsive to AMS needs. They also added value to the grant process by close monitoring and conducting analytical synthesis.
24		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) <sup>1</sup> on Social/Community/Agro-forestry research, capacity building, knowledge management and policy outreach.	see management response to Phase 2 evaluation

No.	Topic	Key recommendation	Status
<b>Institutional Arrangements - Phase 1</b>			
25	Institutional arrangement -> Flexibility -> Focal Points	Strengthen Focal Points	DONE
26		Work out a funding support via fund parking at Implementation or Cooperation Partners; elaborate criteria to release the funds, increase quota per partner.	DONE via SEARCA ASRF
27	Implementation Partners	Let ICRAF to join the Implementation Partners to increase research competence in agro- forestry related to CC	DONE
28		Reflect "territorial approach" and adjust it.	If the meaning of the recommendation was to ditch the idea of "territorial approach" then it seems this was done.
29		Conduct more joint activities to raise synergism and reduce scattered small individual activities.	DONE [Yes, but probably not to the extent possible or desirable. While collaboration and teamwork among partners seems to have improved over time, there are not as many good examples of partners working together as I would have liked to have seen (especially when working within AMS). Partners seemed to have worked pretty well together on events and production of guidelines and products, but less well on activities in AMS]
30	Cooperation partners beyond present ones	Establish or further strengthen links and cooperation primarily with GAP-CC, AFEET, SEARCA, LEAF, and ARKN-FCC.	Certainly, ASFCC strengthened links with SEARCA by bringing them in as a partner. LEAF was a USAID project that David Ganz coordinated for awhile so he could tell us if any "strengthening" of links occurred. Not sure about ARKN-CC. There was expectation of closer collaboration with other organizations noted in the first credit agreement TOR, but mostly didn't happen. There was some strengthening of links with FAO-RAP over time.

No.	Topic	Key recommendation	Status
31	Swiss Federal Government program in the region	Design a synergetic collaboration plan or even a joint program with SDC's Department of Regional Cooperation, East Asia Division, involved in the Mekong Region (Cambodia, Myanmar, Laos, Vietnam)	?
32		Regularly exchange progress with SECO at the Swiss Embassy in Indonesia to seek private sector involvement on the voluntary carbon trade market	Seems Doris always met with Swiss Embassy staff in Jakarta whenever she visited Indonesia. Not sure if she pursued this approach at all, but obviously it never happened. Probably more reflective of the lack of substantive evolution of the voluntary carbon market, which essentially rendered this infeasible.
33		SDC to pledge continuity and envisage two more 3yr. phases, 2014-16 and a phasing out period 2017-19. Communicate this at an early stage to the owners of ASFN.	DONE
34	ASFCC-ASFN Secretariat (coordination cum management)	Fill vacant post as soon as possible; in addition...	We assume this was done. Unless there had been additional posts that were never filled. From my understanding, the Secretariat always seems well staffed up until near the end of the program
35		...buy-in required competence from involved Implementation Partners (synthesizing, knowledge sharing, light monitoring, communication) or other	DONE
36		Further develop & simplify joint in-built monitoring for ASFN & SDC	DONE via common calendar
37		Elaborate Partnership Program standards (financial, supporting principles)	Addressed in part by bringing in Helvetas
38		Use or enlarge the updated assessment report 2013 for strategic planning purpose (country-specific task list with priorities for 2014-15-16)	DONE. Hopefully, the RECOFTC situational analysis report was used to guide strategic planning. Almost surely, for RECOFTC, if not for the entire ASFCC program. But to what extent?.... Down to a "country-specific task list with priorities for 2014-15-16?
39		Internet/Intranet: Keep on low profile and use it for operational issues.	Not sure what this really means

No.	Topic	Key recommendation	Status
<b>Institutional Arrangements - Phase 2</b>			
40	ASFCC-ASFN Secretariat (coordination cum management)	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.	Not sure if the Secretariat was really strengthened in these areas from Phase 2 to Phase 3. As we see, there doesn't seem to be clear M&E role for the Secretariat. Knowledge management seems limited to tracking the official documents and meetings related to ASEAN bodies and processes. Communication is strong with ASEAN Secretariat, focal points and partners, but I doubt more so than in Phase 2.
41		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.	DONE via Knowledge Tree within RECOFTC website. But very late in the program... would have been much more valuable if the current Knowledge Tree had been up and running much earlier in the programme. Also, the Knowledge Tree "platform" is certainly not an "interactive learning and sharing portal and policy discussion hub" as per the recommendation. So, in my view, this recommendation was only PARTIALLY DONE (at best).
42	Institutional arrangement -> Flexibility -> Focal Points	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.	Not sure what form of "ad-hoc review committee" was envisioned, but perception is that most review was quite informal and mostly done by Regional Adviser.
43		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.	see Management Response to Phase 2 Evaluation
44	Cooperation partners beyond present ones	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).	The Multi-sector Framework on CC could qualify as the coordination mechanism recommended
45		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.	?
46		Strengthen 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.	see Management Response to Phase 2 Evaluation

**Outcome 1****ASFCC TARGET VS. ACTUAL ACTIVITIES, MAR 2017 - FEB 2020 (PHASE 3)**

Outcome 1. A coordinated social forestry policy framework is developed and integrated into ASEAN and the national forest and climate change strategies of the member states				
Target Activities per Phase 3 Work Plan	Actual Activities			Summary
	2017	2018	2019 (Oct)	
AWG-SF Secretariat				
AWG-SF Conference and Annual Meeting	7th Conference on Social Forestry in Forest Landscape Restoration: Enabling Partnership and Investments for Sustainable Development Goals  11th AWG-SF Meeting, Chiangmai, Thailand, 12-16 Jun 2017	Conference on "Harnessing Potential of Agroforestry for a Prosperous and Resilient ASEAN", Danang, Vietnam, 26 Jun 2018  12th AWG-SF Meeting, Danang, Vietnam, 27-29 Jun 2018	Conference back-to-back with  13th AWG-SF Meeting, Brunei Darussalam, 1-2 Jul 2019	3 meetings back-to-back with conferences (2017, 2018, 2019) 1 final event (2020)
Support implementation of multisectoral framework cooperation (i.e. AHSC CCFS)		6th AHSC CCFS Meeting, Lombok, Indonesia, 17-19 Jan 2018  7th AHSC CCFS Meeting, Danang, Vietnam, 27-30 Jun 2018	9th AHSC CCFS Meeting, 14-15 Nov 2019	3 meetings
Support ASEAN FAF Related Policy Development (i.e. AMAF, ASOF)	18th ASOF International Seminar & 20th ASOF Meeting, Putrajaya, Indonesia, 26-28 Jul 2017	21st ASOF Meeting & 19th ASOF International Seminar, Nya Pyi Taw, Myanmar, 11-14 Jul 2018	22nd ASOF Meeting, Philippines, 18-19 Jul 2019  39th SSOM AMAF, Vietnam, Aug 2019  41st SOM-AMAF, Brunei, 14-18 Oct 2019  SPA-FAF Review, Jakarta, 30 Oct 2019	6 meetings
CIFOR				
Organizing the writing and technical workshops with country partners to consolidate research findings and generate information for national and regional poicy making process in social forestry and climate mitigation and adaptation	Initial Writing Workshop with Indonesia and Vietnam research teams, Bogor, 27-28 Feb 2017  Advanced Writing Workshop with 3 country teams, Hanoi, 16-22 Nov 2017			2 writing workshops implemented and attended by cross-country research teams, completed ahead of target year

**Outcome 1**

<b>Outcome 1. A coordinated social forestry policy framework is developed and integrated into ASEAN and the national forest and climate change strategies of the member states</b>				
<b>Target Activities</b> per Phase 3 Work Plan	<b>Actual Activities</b>			<b>Summary</b>
	<b>2017</b>	<b>2018</b>	<b>2019 (Oct)</b>	
Analyse existing data and literature, publish knowledge documents to support deeper understanding on social forestry practices, REDD+ and/ or PES initiatives, adaptation to trajectories of change, livelihoods, risk-coping strategies, migration-remittances, gender perspectives and social networks	<p>2 journal articles published:</p> <p>Moeliono M, Bong, WI, Pham TT, Wong GY, Brockhaus M. 2017. Social Forestry - why and for whom? A comparison of policies in Vietnam and Indonesia. Forest and Society volume 1 (2).</p> <p>Cole R, Wong GY, Brockhaus M, Moeliono M, Kallio M. 2017. Objectives, ownership and engagement in Lao PDR's REDD+ policy landscape. Geoforum 83: 91-100.</p> <p>4 presentations by Grace Wong, Indah Waty Bong, Moira Moeliono, and Pham Thu Thuy in Resilience 2017 Conference "Resilience Frontiers for Global Sustainability" on 20-23 August 2017 in Stockholm:</p> <ul style="list-style-type: none"> <li>• Moira Moeliono presented 'Land use change and livelihoods in peat and swidden landscapes of Kapuas Hulu, West Kalimantan Indonesia' in a workshop "Comparative Studies of Environmental Impact of Forest Fire in Boreal and Tropical Forests and Peatlands" on 12-13 December 2017 in Khabarovsk</li> </ul>	<p>6 journal articles published:</p> <p>Bong IW, Moeliono M, Wong GY, Brockhaus M. What is success? Gaps and trade-offs in assessing the performance of traditional social forestry systems in Indonesia. Forest and Society. 2019 Jan 19;3(1):1-21.</p> <p>Kallio MH, Hogarth NJ, Moeliono M, Brockhaus M, Cole R, Bong IW, Wong GY. The colour of maize: Visions of green growth and farmers perceptions in northern Laos. Land Use Policy. 2019 Jan 1;80:185-94.</p> <p>Maharani, C. D., Moeliono, M., Wong, G. Y., Brockhaus, M., Carmenta, R., &amp; Kallio, M. (2018). Development and equity: A gendered inquiry in a swidden landscape. Forest Policy and Economics.</p> <p>Thung, Paul Hasan. "A Case Study on the Persistence of Swidden Agriculture in the Context of Post-2015 Anti-Haze Regulation in WestKalimantan." Human Ecology 46.2 (2018): 197-205.</p> <p>Pham TT, Moeliono M, Wong GY, Brockhaus M, Le ND. The politics of swidden: A case study from Nghe An and Son La in Vietnam. Land Use Policy. 2018.</p> <p>Cynthia Maharani presented 'When does information drive changes? The analysis of social networks in swidden communities of West Kalimantan' in Sunbelt</p>	<p>5 articles in progress:</p> <ul style="list-style-type: none"> <li>• Grace Wong on 'trapped in the margins of Southeast Asia: Swidden farmers struggling to cope'</li> <li>• Indah Waty Bong on 'Migration, land use change and resilience within swidden landscapes in Indonesia, Laos and Vietnam'</li> <li>• Moira Moeliono on 'Social forestry for resilience? Lessons from Indonesia, Laos and Vietnam'</li> <li>• Pham Thu Thuy on 'Importance of migration as local risk scoping strategy in response to climate change in Vietnam'</li> <li>• Cynthia Maharani on 'When does information drive changes? The analysis of social networks in swidden communities of West Kalimantan'</li> </ul>	<p>7 journal articles published, exceeding target of 3 by 2019</p> <p>research findings presented in 2 science events (100% achieved)</p>
Contribute research evidence to the developemnt of a knowledge tree decision making tool for effective, efficient and equitable social forestry (ASFCC- wide output led by AWG-SF)		Conceptual design for Knowledge Tree expanded and presented in the Agroforestry Conference/ AWG-SF meeting in Da Nang, 25-30 June 2018		Knowledge tree conceptual design proposed to partners
Organize method trainings on policy analyses with Myanmar and Lao partner	Methods/writing training, Nay Pyi Taw, Myanmar, 16-20 Oct 2017 with country research partners	2 field survey methodology training workshops, Kota Kinabalu, 28-30 Aug & 7-10 Nov 2018	Methods/writing training on REDD+ Country Profile Update in Laos country writers' team?	3 trainings on policy analysis & research method (target of 1 exceeded)

**Outcome 1**

<b>Outcome 1. A coordinated social forestry policy framework is developed and integrated into ASEAN and the national forest and climate change strategies of the member states</b>				
Target Activities per Phase 3 Work Plan	Actual Activities			Summary
	2017	2018	2019 (Oct)	
Manage collected data, analyze, write and publish knowledge documents to generate evidence to support the ongoing implementation of the national community forestry policy and process of developing the national REDD+ strategy		<p>Laos REDD+ Country Profile Update (incorporating social forestry topic in chapter 'Governance in the forest margins'), in collaboration with NUOL, Laos REDD+ division and Laos GIZ Clipad Project was dormant throughout 2018 but has been revived in January 2019 with involvement of additional partners</p> <p>Draft Myanmar REDD+ Country Profile (with a chapter on social forestry), cofund with CIFOR GCS REDD+ project, is under review</p> <p>Sabah Profile is still an outline</p>	<p>Knowledge Sharing workshop on NDC and CC in Laos?</p> <p>Workshop in Sabah?</p> <p>ASFCC research concepts &amp; methods integrated in syllabus at Kyoto graduate school</p>	<p>3 working papers in process</p> <p>(short of publication in English and local language)</p>
<b>NTFP-EP</b>				
ASEAN wide policy study on NTFP policies as strategy towards CC resilience	<p>Exchanges with AWG-SF and ACCMSE on ASEAN NTFP Policy Study</p> <p>Supported Philippine NTFP policy development with FMB, TWG-NTFP</p>	<p>TORs for: Assessment of Policies on Non-Timber Forest Products in Southeast Asia NTFP Standards Gap Analysis</p>	<p>ASEAN NTFP policy study: Country reports done for Philippines, Indonesia and Malaysia. Report writing is in progress for Cambodia.</p> <p>Regional overview/analysis presented in the ASOF technical seminar, July 2019</p>	<p>Reports to be finalized and published within 2019</p>
ASEAN FPIC Guidelines development	<p>Levelling-off Workshop on developing the regional FPIC guidelines with AIPP, 27-28 Nov 2017</p>	<p>Concept proposal for AWGSF AMS consultations towards a common approach to FPIC Documentation report of the Regional Levelling off workshop on FPIC</p>	X	
ASEAN Guidelines on Mainstreaming SF in MSMEs	<p>Supported AWG-SF &amp; ACCMSME proposal on "Strengthening Community Forestry MSME Capacities and Market Linkages in ASEAN" submitted to ASEC</p>	<p>Outline for the Guideline on mainstreaming CFEs in MSMEs circulated to AWGSF &amp; ASFCC partners</p>	<p>ASEAN MSME Proposal (Strengthening Community Forestry MSME Capacities and Market Linkages in ASEAN) has been approved by the ACCMSME in April 2019 ASEAN Secretariat, AWG-SF and NTFP-EP are currently looking for dialogue and development partners to support implementation</p>	DONE

**Outcome 1**

<b>Outcome 1. A coordinated social forestry policy framework is developed and integrated into ASEAN and the national forest and climate change strategies of the member states</b>				
Target Activities per Phase 3 Work Plan	Actual Activities			Summary
	2017	2018	2019 (Oct)	
ASEAN Member State Engagement in Cambodia	<p>CAM: 6th Annual meeting of Cambodia CSO Forum convened in partnership with NGO Forum and Danmission</p> <p>Active participation and monitoring of inputs in the development of the Cambodia Environment Code and Environmental Impact Assessment (EIA)</p>	Facilitated quarterly meetings of the CSO-REDD+ network to review the Safeguards Information System and develop a common workplan for 2018	<p>Rolling out of the Agroforestry guidelines at the country level - Agroforestry roadmap and AF dissemination workshop with FA</p> <ul style="list-style-type: none"> <li>• CFMP and SIS consultation meeting with RECOFTC, and FA (national, local)</li> <li>• CSO Forum engagement in the national advocacy conference – session on the natural resources management, presentation and distribution of community survey reports on demand</li> <li>• Release of research reports on the impacts of ELCs and mining on public goods (climate resilience and biodiversity, food security)</li> </ul>	DONE
Capacity building on CFE development	CAM: Side Parallel Session on CF-MSMEs with ACCMSME at AWG-SF Conference	Inputs to Community Forestry training manual (RECOFTC)		DONE
Capacity Building and Exchange Visit on National CF Working Group and Multi-stakeholder Forest Governance	CAM: Training workshop on forest governance for CSO REDD+ and Prey Lang network, 29-30 Dec 2017	<p>CAM: Mekong Flooded Forests (MFF) Landscape Forum</p> <p>CAM: CSO Forum on NRM, November 2018</p> <p>CAM: Commune Forum on NRM</p>		DONE
Preparation of Policy briefs (enterprise, CC, safeguards, etc.)	<a href="#">CSO Forum poster presentation safeguards, tenure and access rights, community economy and livelihood, governance at APFC Session, Colombo Sri Lanka, 23-27 Oct2017</a>	Facilitated CSO inputs to ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture, and Forestry (FAF)		DONE
AWG-SF increased exposure in NTFP-EP publications	<p>Voices from the Forest Issue No. 33</p> <p>Facebook</p> <p>Twitter</p>	<p>Voices from the Forest Issue No. 34</p> <p>Facebook</p> <p>Twitter</p> <p>E-newsletter Forest in a Gist</p> <p>NTFP-EP Hive Webinar Series (2)</p>	"Wild Tastes in Asia: Coming home to the forest for food" written by Madhu Ramnath and Ramon Razal.	DONE

**Outcome 1**

<b>Outcome 1. A coordinated social forestry policy framework is developed and integrated into ASEAN and the national forest and climate change strategies of the member states</b>				
Target Activities per Phase 3 Work Plan	Actual Activities			Summary
	2017	2018	2019 (Oct)	
CSO participation to National Determined Commitment (NDC) related activities	COP23 Bonn Side Event: "Social Forestry Sustains Community Actions to Advance the Paris Agreement, 15 Nov 2017  PHI: National NDCs workshop action plan put forward to NWG-CBFM	COP24 Katowice Side Event: "role and contribution of indigenous peoples and local community initiatives in enhancing climate ambition and transformative change", Dec 2018	PHI: NDC formulation workshop of the Climate Change Commission	Mainly at global level
Set up sub-national dialogues on the roles of CF in CCA/CCM	CAM: Supported Partners for Forestry and Fisheries (PAFF) case study on synergy of ASFCC3 in Kratie and Stung Treng Provinces	CAM: Participatory resource monitoring Validation workshop in O'svay CF in Cambodia, January 2018  CAM: awareness raising workshop on green growth, good governance and DRR/CCA as part of the Mekong landscape sustainable management	PHI: Inputs to Philippines Sustainable Forest Management (PSFM) Act and Implementing Rules and Regulations (IRR) of Executive Order 318, Promoting Sustainable Forest Management in the Philippines, September 2018	DONE
Sharing good practices on forest governance and REDD+ contribution to green growth	CAM: REDD+ CSO Working Group meeting with the National REDD+ Focal Point	CAM: CSO Forum country team preparatory meeting, May 2018 to develop a country report card that detailed an assessment of achievements, challenges to 4 CSO thematic areas  Inputs to ASEAN Agroforestry Guidelines (ICRAF)	CAM: awareness raising workshop on green growth, good governance and DRR/CCA as part of the Mekong landscape sustainable management	DONE
Support to Community Protected Area (CPA)	CAM: REDD+ CSO WG in Consultation Workshop on the Amendment of Forestry and CPA law	Organized and convened CSOs for recommendations on final draft of Environment and Natural Resources Code (ENRC), National Consultation Workshop Mar 2018	X	DONE
<b>RECOFTC</b>				
Develop synthesis and policy briefs from PAR results	Synthesis report and policy brief on social forestry, climate change and food security. Data taken from 13 PAR results in three countries	Develop synthesis and policy brief from PAR result	Finalization of PAR policy brief	DONE
Develop social forestry and climate change report 2020			Drafted situational analysis 2020 Peer review workshop, 13 Jan 2020	Draft

**Outcome 1**

<b>Outcome 1. A coordinated social forestry policy framework is developed and integrated into ASEAN and the national forest and climate change strategies of the member states</b>				
Target Activities per Phase 3 Work Plan	Actual Activities			Summary
	2017	2018	2019 (Oct)	
Training of practitioners on: Market analysis of CF products, Leadership training for sustainable forests, Agroforestry in the context of CF and CC, Forest Landscape Restoration, Improving tenure & rights in the forestry context	2 regional trainings: (i) Enhancing livelihood curriculum in forestry universities and extension agencies and (ii) Leadership camp for sustainable forests	2 Regional trainings: (i) Agroforestry for Climate Change Resilient Landscapes; (ii) Forest Landscape Restoration (FLR): Sustaining Landscapes through Local Partnerships	4 regional trainings on: agroforestry, forest landscape restoration, CF leadership, and tenure and rights  CBF Assessment framework training, 28 Oct-2 Nov 2019	9 regional trainings
National level training on: Market analysis of CF products, Agroforestry in the context of CF and CC, Forest Landscape Restoration, Improving tenure & rights in the forestry context	1 national training: Enhancing livelihood curriculum in forestry universities and extension agencies (Indonesia)	1 National training: Agroforestry for buffer zone landscapes (Thailand)	3 National trainings: agroforestry (Thailand) and on tenure and rights (Myanmar and Vietnam)	5 national trainings
Learning exchange program: Myanmar Parliament and AWG-SF Leader		Myanmar CFNWG study tour, Bangkok and Kanchanaburi, Thailand, 21-24 Aug 2018	Myanmar CFNWG study tour  AWG-SF learning exchange in Philippines  Malaysia learning exchange in Thailand	DONE
Develop training module for agroforestry for climate	Training Manual: 'Developing agroforestry for climate change resilient landscapes'	Training manual: Developing agroforestry for climate change resilient landscapes	Finalization of agroforestry training manual	DONE
Organize policy dialogues/seminars on food, agriculture and forestry issues: NDCs and climate change finance opportunity for CF, Forest Landscape Restoration, Improving tenure and access rights in forestry context, Payment for Ecosystem Services in forestry sector, Access and benefit sharing in forestry sector	Workshop on Realizing Forest Landscape Restoration Goals in ASEAN Member States 2017 (co-organizer), Yunnan, China 4-7 December 2017	4 Policy Dialogues: (i) Forest landscape restoration (Thailand); (ii) Connecting finance and policy: forest landscape restoration in Southeast Asia (Regional); Bangkok, Thailand 8-9 March 2018 (iii) Payment for forest ecosystem services (Vietnam), Hoi An, Vietnam 6-7 June 2018 (iv) Forest tenure reform for inclusive and equitable development: learning from experiences and challenges (Indonesia)	4 policy dialogues (Thailand, regional, Indonesia and Vietnam)  Forest Law policy dialogue (21-22 Nov 2019)	
ICRAF				

**Outcome 1**

<b>Outcome 1. A coordinated social forestry policy framework is developed and integrated into ASEAN and the national forest and climate change strategies of the member states</b>				
<b>Target Activities</b> per Phase 3 Work Plan	<b>Actual Activities</b>			<b>Summary</b>
	<b>2017</b>	<b>2018</b>	<b>2019 (Oct)</b>	
Synthesis and packaging of agroforestry research results & knowledge into a guideline for AMS		5th NCFPCC meeting, Siem Reap: Agroforestry Session led to Stocktaking workplan Field visits to community sites in 4 core regions	Agroforestry Guideline published in 6 languages (Burmese, Indo, Khmer, Thai, Vietnamese, English) and launched at APFW, Korea, 2019	ASEAN Guidelines for Agroforestry Development endorsed at 12th AWG-SF Meeting, 19th ASOF Seminar, and 40th AMAF Meeting, 2018
Stocktaking & developing an agroforestry strategy or a roadmap for Cambodia		5th NCFPCC meeting, Siem Reap: Agroforestry Session led to Stocktaking workplan  Field visits to community sites in 4 core regions	Workshop won Agroforestry Stocktaking with FA, Phnom Penh, 1 Feb 2019  Stocktaking report: Agroforestry in the context of Community Forestry in Cambodia  Draft Action Plan for Developing Agroforestry Strategy in progress	DONE
Develop a Guide for Agroforestry Practitioners in AMS			Draft version updated Additional expert involved Further revision in process	DONE
Facilitating Vietnam's national Agroforestry TWG to improve policy support for, and stimulate investments in agroforestry		Review report on agroforestry related policies in Vietnam Concept notes for agroforestry development in 3 priority ecological regions National Consultation Workshop 'Enhancing agroforestry development in Vietnam' co-organized with MARD & FAO	Supported VNForest presentation on World Day to Combat Desertification, Jun 2019 Support proposal development "Agroforestry Development to combat desertification in context of Land Degradation Neutrality"	DONE
Providing technical support to the ongoing revision of Vietnam's Forestry Law		Technical support to VNForest meetings with central and local line departments enabled contribution to Decree No. 156/2018/ND-CP: integrating forestry, agriculture, fishery production in protection forest (Art. 25) and production forest (Art. 30)		DONE
Collaborating with RECOFTC in designing and implementing a regional Agroforestry training		6 Training modules developed & training tested: (i) Roles of Agroforestry in resilient landscapes (ii) Enabling conditions for agroforestry adoption (iii) Stakeholder engagement in agroforestry interventions (iv) designing AF interventions for climate resilient landscapes (v) Planning AF interventions for climate resilient landscapes (vi) M&E of agroforestry interventions		Training Manual endorsed at 13th AWG-SF Meeting, Brunei and in 22nd ASOF Meeting, Philippines, 2019

**Outcome 1**

<b>Outcome 1. A coordinated social forestry policy framework is developed and integrated into ASEAN and the national forest and climate change strategies of the member states</b>				
<b>Target Activities</b> per Phase 3 Work Plan	<b>Actual Activities</b>			<b>Summary</b>
	<b>2017</b>	<b>2018</b>	<b>2019 (Oct)</b>	
Participate in ASFCC, AWG-SF & ASEAN-FAF events and organize policy dialogues for agroforestry development at regional level				DONE
<b>SEARCA</b>				
Grant administration:  1. development of proposal to ensure the proposal more strategic and support SPA partners can encourage the focal point  2. evaluation the proposal, unlike the practice of ASRF, the PSC review the proposal, invite partners to be one of the evaluator (just online and SEARCA give the guideline parameters)	ASRF Launch and promotion Forest Fest Philippines, 23 Jul 2017  Country profiling activity and pilot-testing of the Project Development Toolkit in Myanmar (6-11 August 2017) and Lao PDR (24-29 September 2017) Gap Analysis  7th ASRF Steering Committee Meeting, Chiang Mai, Thailand, 13 Jun 2017 ASFCC partners involved in proposal evaluation 8 proposals received of which PSC approved 4 proposals, and 4 in process	Trees on Farms Forum with ICRAF PH, Philippines, 20 March 2018  M&E Vietnam 29 June-04 Jul 2018 M&E Malaysia 12-15 Sep 2018 Gap Analysis on Social Forestry of the eight AMS prepared by Technical Consultant  8th Program Steering Committee (PSC) Meeting, Danang, Vietnam, 26 Jun 2018 9 proposals approved for Grant I 3 slots awarded for Grant II		30 projects supported:  10 projects for Consultations to enhance SF policies  10 projects for conduct of Assessment studies as inputs to policy making 8 projects for capacity building  5 projects for livelihood enhancement  5 travel awards for participation in conferences

**Outcome 2****ASFCC TARGET VS. ACTUAL ACTIVITIES, MAR 2017 - FEB 2020 (PHASE 3)**

Outcome 2. Local, national and regional knowledge sharing, communication and networking on Social Forestry and Climate Change is strengthened and put into use				
Target Activities per Phase 3 Work Plan	Actual Activities			Summary
	2017	2018	2019 (Oct)	
AWG-SF Secretariat				
Peer review Meeting on selected publication/ guidelines/ topic		Video of Social Forestry in Bandar Lampung, Indonesia, Jan-May 2018	Agroforestry Guidelines, MSCF Guideline, Responsible Investment Guideline, Mainstreaming Gender in FAF, SDG Stocktaking	DONE
Knowledge Sharing/ Courtesy call: more on content, like seminar on joint interest	Meeting with GIZ Meeting with ASEAN-EU	Regional Policy Dialogue, Bangkok, Thailand, 8-9 Mar 2018	ASRF Knowledge Workshop, Learning Exchange & POA Development, Manila, Philippines, 8-9 Sep 2019	DONE
Maintain and update the website and social media of AWG-SF				
Knowledge dissemination through develop publication-including multimedia documentation and joint in international fora	Social Forestry Festival, Jakarta, Indonesia, 6-8 Sep 2017	People & Forest Forum, Bangkok, Thailand, 19-20 Aug 2018  Asia-Pacific Rainforest Summit, Yogyakarta, Indonesia, 23-25 Apr 2018		COMPLETED knowledge disseminated in 4 international forums
ASFCC Planning Meeting	Jakarta and Bali, 9-14 November 2017	Bogor, Indonesia, 18-20 Nov 2018	Jakarta, Oct 2019	DONE

## Outcome 2

Outcome 2. Local, national and regional knowledge sharing, communication and networking on Social Forestry and Climate Change is strengthened and put into use				
Target Activities per Phase 3 Work Plan	Actual Activities			Summary
	2017	2018	2019 (Oct)	
CIFOR				
Organize and/or contribute to at least 3 knowledge sharing or training events in the studied countries (Indonesia, Lao PDR, Myanmar and Vietnam) to share research findings and to support policy assessments and learning in social forestry and climate mitigation and adaptation. Priority topics identified at the national workshops will be addressed through targeted papers or	Laos REDD+ knowledge sharing and country profile update workshop, Vientiane, Laos, 11-12 Oct 2017  Myanmar REDD+ country profile knowledge sharing and writing workshop, Nay Pyi Taw, 16-20 Oct 2017		New Partnerships developed with: SFD, PACOS, SASOF, FRI-Myanmar	2 national knowledge sharing workshops (short by 1)
Participate and contribute to trainings, policy dialogues, workshops, conference and meetings at the regional level organized by ASFCC partners, ASEAN or AWG-SF to disseminate research findings.	Regional Workshop in Forest Governance and Land Tenure on 15-19 May 2017 in Lombok - AWG-SF 7th conference on 12-16 June 2017 in Chiang May - Tenure Conference 2017 on 25-27 October 2017 in Jakarta, Indonesia Workshop on “Comparative Studies of Environmental Impact of Forest Fire in Boreal and Tropical Forests and Peatlands” on 12-13 December 2017 in Khabarovsk - Resilience 2017 Conference “Resilience Frontiers for Global Sustainability” on 20-23 August 2017 in Stockholm	CSO Forum on Social Forestry in ASEAN, DaNang, Vietnam, 24-25 Jun 2018 Harnessing the potential of agroforestry for prosperous and resilient ASEAN conference, 26 Jun 2018 12th AWF-SF meeting, 27-29 June 2018 7th Adhoc Steering Committee on Climate Change and Food Security, 28-30 June 2018. 19th ASEAN Senior Officials on Forestry (ASOF) International seminar, 11 July 2018, Nay Pyi Taw Tropical Peatlands Exchange, Bogor 8 Aug 2018 RECOFTC Learning Group Workshop on ‘Agroforestry for Climate Change Resilient Landscapes’, Chiang Mai, October 2018	APFW 2019  Kyoto Science Dialogue May 2019	research findings disseminated in 11 partner events
Organize at least 1 panel discussion or side event that highlights ASFCC topics in a global conference (e.g. COP, GLF, IUFRO), bringing in ASFCC partners and AWG-SF participation, as appropriate.	A panel on ‘Social Forestry at the margins: Swidden as small-scale forestry systems’ has been accepted for the IUFRO Small-scale Forestry Conference on 11-13 June 2018 in Vaasa, Finland.	organized panel discussion in IUFRO small scale forestry conference in Vaasa, Finland, 10-13 June 2018 with 5 presentations	High level panel on Forestry in NDCs of Asia-Pacific Countries: 2020 vision  GLF Kyoto	1 panel discussion in a global event organized (completed ahead of target year)
NTFP-EP				

## Outcome 2

Outcome 2. Local, national and regional knowledge sharing, communication and networking on Social Forestry and Climate Change is strengthened and put into use				
Target Activities per Phase 3 Work Plan	Actual Activities			Summary
	2017	2018	2019 (Oct)	
Regional tenure workshop (and coordination with other partners such as SSNC, RRI)	x	X	not regional, PHI only	
Support to training on youth on knowledge, communication,	MYS: NTFP Carnival in Sarawak with AMS participation	INO: Training students, teachers and parents on forest food calendar in Long Adiu Village, Malinau	MYS: Forest foods marketing study	DONE
Knowledge sharing and consultation on priority CF products towards innovative, efficient technology and common standards	INO: Meetings with MoEF on participatory certification and labeling approaches	PHI: Participatory Guarantee System and Organic standards introduced in Quezon Province and equipped PIGTEPONEN CBNE members with knowledge on the PGS process	INO: PGS certification started with european buyer. • Local multi-stakeholder PGS unit established in central kalimantan. • Chain of custody monitoring started. Training of farmers Oct-Nov 2019 10 Dayak villages will undergo training increasing capacity of close to 200 farmers • A 2nd PGS process with US company is commencing soon	DONE
CSO Forum meetings	<a href="#">6th CSO Forum on SF annual meeting, Chiangmai, Thailand, 9-10 June 2017</a>	<a href="#">7th CSO Forum on SF annual meeting, Danang, Vietnam, 2018</a>	CSO Forum partners brought key messages to the: ASEAN Guidelines and Action Plan on Responsible Investment in Food, Agriculture and Forestry: Workshop on operationalizing the Action Plan (July 2019) RECOFTC's learning event on Partnerships for providing strong and clear tenure rights: Ensuring social forestry delivers in ASEAN (July 2019) CSO Forum contribute to the series of consultations for the development of the regional customary tenure workstream with MRLG	DONE
Support for Hutan Desa / Eco-Culture zones work in Sintang and Palu	INO: planning assistance in implementation of Sintang District West Kalimantan decree on recognizing and protecting ecoculture zones/areas in 4 villages to develop their annual work plan and village regulation	INO: Documentation of the eco-culture zones in Gemba Raya Village in Sintang for forwarding to ICCA Indonesia	Continuing support to the government of Kayong Utara district (West Kalimantan) to implement CLAPS	DONE
Regional or national activities to support the link of SF in NDCs	poster calendar with key messages from national and regional workshops on social	PHI: internal discussion on the forestry contribution to the NDC May 2018 submitted to Aksyon Klima for	Assessing, engaging and recognizing Community Based Forest Management	DONE

**Outcome 2**

<b>Outcome 2. Local, national and regional knowledge sharing, communication and networking on Social Forestry and Climate Change is strengthened and put into use</b>				
<b>Target Activities</b> per Phase 3 Work Plan	<b>Actual Activities</b>			<b>Summary</b>
	<b>2017</b>	<b>2018</b>	<b>2019 (Oct)</b>	
Regional Sharing workshop on safeguards in NDCs	see Outcome 1 - COP23	CSO Forum Report and Statement tenure rights, governance, community economy and livelihood, and safeguards; importance of traditional ecological knowledge on sustainable resources management	X	DONE
Support to Strategic NTFP Policy review and policy	see Outcome 1	see Outcome 1	see Outcome 1	DONE
Social Forestry Films	x	X	Social forestry film #3 – Shifting cultivation and food security	DONE
Community Forest Food Security and CCA workshop with youth from various islands	INO: Community Forest Food Security and CCA workshops with youth participation	INO: Youth Workshop on Forest Foods, Nov 2018	• Youth interactive forum in Kutai Barat (East Kalimantan), highlighting food from the forest and craft	DONE

**Outcome 2**

Outcome 2. Local, national and regional knowledge sharing, communication and networking on Social Forestry and Climate Change is strengthened and put into use				
Target Activities per Phase 3 Work Plan	Actual Activities			Summary
	2017	2018	2019 (Oct)	
RECOFTC				
Support AWG-SF Secretariat on technical & information sharing	7th AWG-SF Conference 2017 and 10th AWG-SF Annual Meeting 2017	AWG-SF 8th Conference and 12th AWG-SF annual meeting	ASFCC final event, Feb 2020	DONE
Organize Regional Social Forestry Learning Group Workshop: Sustainable NTFPs Management, Agroforestry for Joint Mitigation and Adaptation, Community-based forest enterprise development		2 Learning Group workshops: (i) Mainstreaming Enterprise/ Entrepreneurship curriculum development in ASEAN forest universities (ii) Agroforestry for climate change resilient landscapes, Chiang Mai, Thailand, 15 to 17 Oct 2018	3 regional learning group workshops on curriculum development, agroforestry and SF beyond 2020	5 regional learning group workshops
Develop guidelines of agroforestry in the context of CF and CC	Field Guide: 'Developing agroforestry for climate change resilient landscapes'	Agroforestry guideline: Developing agroforestry for climate change resilient landscapes	Finalization of agroforestry field guide	DONE
Organize the CF Champions Network				
Support CF Regional Forum		People and Forest Forum 2018	People and Forest Forum	DONE
Participate in outreach programs: Participation in COP, Adaptation Forum, World Forestry Congress	Promoting the Role of Natural Regeneration in Large-scale Forest and Landscape Restoration: challenges and opportunity & Consultation to operationalize FLR Asia-Pacific strategy and action plan, Nanning, China 19-21 Jun 2017 6th Meeting of the CSO Forum on Social Forestry in ASEAN 2017 (participated and co-facilitated a session)	CSO Forum, Danang, Vietnam, 24-25 June 2018  3rd Asia-Pacific Rainforest Summit, Yogyakarta, Indonesia 23-25 April 2018  7th meeting of Ad-hoc Steering Committee on Climate Change and Food Security		DONE
Develop action plan to mainstream social forestry in higher and further education programs	Curriculum development consultation meeting with KU FF, Bangkok, Thailand, 22 Aug 2017  Curriculum development consultation meeting with CRRU, Chiang Rai, Thailand, 23 Aug 2017  Regional training on leadership camp for sustainable forests, Chiang Rai, Thailand, 1-6 Oct 2017	Regional learning group workshop with UNHAS and Chiang Rai Rajabhat University on 'Mainstreaming Enterprise/ Entrepreneurship curriculum development in ASEAN forest universities, Bangkok and Kanchanaburi, Thailand, 23-25 Jul 2018  Follow-up Workshops with UNHAS on 'Enhancing livelihood curriculum in forestry universities and extension agencies, Nov, Dec 2018	SF educational review in ASEAN and peer review workshop, 11-13 Nov 2019  Mainstreamed SF in higher education programmes: 1. Entrepreneurship development with UNHAS 2. Agroforestry for Climate Change Resilient Landscapes with UNHAS 3. Enterprise development with CRRU 4. CF Leadership with KUFF	DONE

**Outcome 3****ASFCC TARGET VS. ACTUAL ACTIVITIES, MAR 2017 - FEB 2020 (PHASE 3)**

<b>Outcome 3. Identified strategic issues/topics and AWG-SF supported interventions around these topics conducted and lessons and experiences disseminated for broader implementation and policy development</b>				
<b>Target Activities</b> per Phase 3 Work Plan	<b>Actual Activities</b>			<b>Summary</b>
	<b>2017</b>	<b>2018</b>	<b>2019 (Oct)</b>	
<b>AWG-SF Secretariat</b>				
Support workshop under AFCC Framework	Technical Meeting on ASEAN Multisectoral Framework Guideline, Bogor, Indonesia, 27-28 Apr 2017	AFCC & SDG Tracking Meeting, Jakarta, Indonesia, 16 Nov 2018	8th AFCC Meeting, Bali, 28-29 Mar 2019	DONE
Promote the Best Practices in AMS through Seminar or Learning Exchanges under the umbrella of AFCC	ASEAN+3 10th Leadership Programme on Sustainable Production & Consumption, Yogyakarta, Indonesia, 10-13 Oct 2017  Panen Raya Nusantara (PARARA) with Indonesia DG for Social Forestry, Jakarta, 13-15 October 2017	4th ASEAN Climate Resilience Network Meeting, Bali, Indonesia, 25 Apr 2018	Supported Indonesia ASRF HKm Juru Seberang, 2019  Asia-Pacific Forestry Week, Incheon, South Korea, 17-21 Jun 2019	DONE
<b>CIFOR</b>				
Provide technical support to country partners in analyzing and publishing papers on topics relevant to country-specific social forestry and climate change mitigation and adaptation contexts	Ongoing technical support, monitoring and reviews provided to country partners for writing and publication (see Activity 1)	Ongoing technical support, monitoring and reviews provided to country partners for writing and publication (see Activity 1)	technical support, monitoring and reviews provided to country partners for writing and publication (see Activity 1)	DONE
Support country partners' institutional capacity as boundary organizations linking research to inform policy processes and decision makers through joint publication and knowledge sharing events	Partners in process of consolidating and writing research findings. Funds have been allocated to support partner's participation in regional workshops. Some national/regional events in 2018 have been identified e.g. NUOL International Conference in Laos, the Lao Uplands Conference in Luang Prabang, and Conference on Forestry in Indonesia.	Supported country partner (Dr. Vu Tan Phuong, Vietnamese Academy for Forestry Sciences) to present research findings "Policy learning in PFES/REDD: Lessons for effective agroforestry policies and guidelines" in the agroforestry conference in Da Nang, June 2018  Potential support to country partner in Sabah to present research findings in an international conference on Tropical Forest Science organized by University Malaysia Sabah	Support country partners in Laos and Sabah in analysing and publishing key findings through policy briefs	1 country partner supported in presenting findings in a national event (completed)

## Outcome 3

Produce timely short papers or briefs to address strategic issues or emerging priorities identified from national and regional knowledge sharing events or policy dialogues (Output 2.1), based on the consolidation of existing research findings.	1 policy brief: Cole R, Wong GY, Bong IW. 2017. Implications of the ASEAN Economic Community for trans-boundary agriculture commodities, smallholder farmers and forests. 2017. CIFOR infobrief no. 178.	2 briefs in process, for finalization in 2019		1 policy brief published
Collaborate with ASEAN, AWG-SF and ASFCC partners to identify and define the topic for a regional ASEAN learning document		3 potential topics proposed for targeted 1 regional ASEAN learning document	Contributed to ASEAN events • Contributed to ASFCC annual meeting and conference • Participate in partner events (eg. RECOFTC learning event on SF; ICRAF event on agroforestry in Myanmar	
Contribute to development of cross-sectoral conceptual framework on social forestry, climate change mitigation and adaptation, and food security, led by ASEAN and AWG-SF	Participation in AFCC review meeting, Bogo, 27-28 Apr 2017	Provided continuous inputs during framework development. Framework adopted at 40th AMAF Meeting, Hanoi, Oct 2018		DONE
<b>NTFP- EP</b>				
Collection of CF data and monitoring of targets and presentation to MNWGs	CAM: Community Forestry (CF) Statistics for 2016-2017	CAM: Community Forestry (CF) Statistics for 2018		DONE
Enhancing support to National and Sub-national MNWGs	CAM: CF statistics produced in Khmer and shared with national and provincial CF committees	CAM: CF statistics updated in Khmer and shared with national and provincial CF committees	PHI: Workshop on the development of NTFP ordinance in Palawan	DONE
Activities to strengthen SF working groups in Sabah and Sarawak (workshops, trust fund development, etc.)	MYS: CLAPS in Long jaik, Belaga, Sarawak MYS: supported Penan weavers marketing in NTFP Carnival & Miri Jazz Festival	MYS: supported Penan weavers marketing in Borneo Jazz Festival	Social forestry experiences in Sarawak - research	DONE
Meetings with CCC, NCIP, DENR on national multi-stakeholder working group on SF, TWG on NTFP	see Outcome 1	see Outcome 1	see Outcome 1	DONE

## Outcome 3

Support to national level consultations and workshops on low carbon livelihoods (NTFPs)	see Outcome 1	see Outcome 1	see Outcome 1	DONE
Support to the formation and strengthening of the NCFPCC, PCFPCC & CFN, review of CF guidelines	See Outcome 2	See Outcome 2	See Outcome 2	DONE
National and Sub-national level workshops - support on tenure and access rights	see Outcome 1 & 2 APFC Colombo 2017 INO: Sintang		Social Forestry Conference 2020 in Kota Kinabalu, (February) – with SaSOF, CIFOR	DONE
Capacity Building for CSOs and community members on livelihood themes	<a href="#">EXCEED Women Entrepreneurship training September 2017</a>	EXCEED training in Bago Region Myanmar on “Starting a Communitybased NTFP business: Guaranteed Sustainable and fair.”  EXCEED training in Sarawak on “Community Livelihood Assessment and Product Scanning (CLAPS) – First Steps to Community Based NTFP Enterprise Development”	x	DONE
Forest Food workshops, rehabilitation, technical support, documentation	see Outcome 2	see Outcome 2	see Outcome 1	DONE
Documentation of SF cases from Sabah and Sarawak	Voices of the Forest Issue 32 features Penan of Sarawak regrowing wild foods e.g. sago	MYS: research and documentation on rattan processing and weaving of the Penans in Long Iman, February 2018	Continue with the documentation in the Western Penan Community, Long Jaik, Ulu Belaga. On weaving and other Penan traditions, practices and culture.	DONE
Value chain analysis and policy and program recommendations for peat forest - low carbon livelihoods	INO: sago and nutmeg value chain studies in 4 sites	X	Value chain study validation on sago and nutmeg in Papua and a national meeting on sago and nutmeg	DONE
Documentation of Best Practices (workshop and studies)- CCA and livelihood	CAM: Learning visits to scale-up climate resilient livelihoods, community-based ecotourism	CAM: CBET exchange visit on Chi Phat Community-Based Ecotourism area on March 2018  CAM: Coaching on waypoint and picture harvesting on Changkran Roy CF CBET  CAM: Training workshop on honey beekeeping for CBET representatives	see outcome 1	DONE

## Outcome 3

Regional training on PGS (alternative certification), Fair Trade and NTFPs/organic agriculture management - location Myanmar	PHI: groundwork for piloting Participatory Guarantee System (PGS) for forest honey in Quezon  INO: PGS discussions with Van der sar, a Dutch rattan basket company	PHI: Participatory Guarantee System and Organic standards introduced in Quezon Province and equipped PIGTEPONEN CBNE members with knowledge on the PGS process  INO: PGS rattan certification with Van de Sar	INO: PGS certification has started with european buyer. • Local multi-stakeholder PGS unit has been established in central kalimantan. • Chain of custody monitoring has started. Training of farmers to take place this week and early November • Total of 10 Dayak villages will undergo training increasing capacity of close to 200 farmers • A 2nd PGS process with US company is commencing soon	DONE
CLAPS in the Mekong	<a href="#">MYS: Community Livelihood and Product Scanning (CLAPS) process in Long Jaik, Belaga District, Sarawak</a>	see EXCEED training Sarawak		DONE
NTFP Festival in the Mekong	<a href="#">MYS: NTFP Carnival Sarawak</a> <a href="#">INO: Parara Festival</a>	MYS: Borneo Jazz Festival, May 2018	INO: Panen Raya Nusantara (PARARA) festival 2019; Launching of the PARARA Café (November) & Gallery – support to youth and local chefs	DONE
Meet The Makers - ASEAN Location - Singapore	Meet the Makers Singapore, , dialogue exchange and artisan fair	Meet the Makers Singapore inspired Philippine National Commission for Culture and the Arts (NCCA) to conceptualize a similar platform for the Philippines and this also led to more cross-country governmental exchanges	Meet the Makers Exhibition on Cultural Diversity (November) – in commemoration of Alfred Russel Wallace (British council)	DONE
Support to Mekong Countries on Forest Honey	LAO: community forestry enterprise (CFEs) training (building capacity on forest-based beekeeping)	LAO: 1st national forest honey workshop with The AgroBiodiversity Initiative (TABI) LAO: creation of Lao forest honey network in Xieng khouang province led to 300 improved hives LAO: Lao forest honey meeting, May 2018 LAO: Market Survey on honey		DONE
Upscaling and sharing of PRM and/or ICCA concepts	Capacity building training for NTFP-EP staff and ASEAN NGO partners on ecological and participatory resource monitoring, Indonesia, Nov 26-Dec 1 2017	MYS: UNDP GEF-SGP meeting to develop a common understanding and a national strategy on ICCAs		DONE
Workshops and Lobby activities to build on results of research and documentation on <i>tagal</i> and SF	x	MYS: Active participation as member organization to the Sabah Social Forestry (SaSOF) Network		DONE

## Outcome 3

Data gathering, capacity building, and local development council engagement on livelihood and enterprise development with communities, CSOs and local government	see Outcome 2	see Outcome 2	INO: Forest Harvest Collective Mark (FHCM) in Sumbawa	DONE
Sustainable Livelihood Festivals featuring low carbon livelihoods/ products	Meet the Makers Singapore, nd INO: Parara Festival		PHI: Co-hosting /co-organizing Madhu Duniya 2019	DONE
Replication of mainstreaming and supporting of DRR/CCA options strategy to other provinces, strengthening of current areas	CAM: development of DRR/CCA checklists for community-based enterprise groups' business operation were conducted to mainstream DRR/CCA at community level			DONE
RECOFTC				
Support the CF National Working Group: Organize NCFPCC/KCFPCC Workshop, Organize capacity development workshop for VFWG, Organize CFNWG Workshop on various issues	CAM: Workshop on the establishment of Provincial Community Forestry Programme Coordination Committee (PCFPCC) 2017 Kampong Speu, Cambodia 25-28 April 2017  LAO: Village Forestry Working Group consultation meeting, Vientiane, Lao PDR, 11 Apr & 17 May 2017  LAO Draft forest law revision and the draft Village Forestry strategic plan of Village Forestry Working Group	3 NWGs supported: Cambodia, Lao PDR and Myanmar:  CAM Workshop on the establishment of Provincial Community Forestry Programme Coordination Committee (PCFPCC) 2018 in Cambodia and supported its Secretariat activity  LAO: Supported draft forest law revision and the draft Village Forestry strategic plan of Village Forestry Working Group in Lao PDR and continued with various workshops and meetings  MYA: Provided capacity development for Myanmar CF National Working Group on roadmap of agroforestry development	NWG CAM: Community forest management plan (update national CF statistics and revise CF guideline)  NWG LAO: Draft Forest law revision in supporting to VF and VF strategic plan  NWG MYA: Develop CF Guidelines Capacity development support for CFNWG with implication for CFI revision, National Land Use Policy and Forest rules	DONE
Develop CF Guidelines for Myanmar		Supported Myanmar CF National Working Group on CF guideline development.	Finalization of Myanmar CF guideline	DONE
Develop review customary and statutory tenure arrangements			Drafted paper on review customary and statutory tenure arrangements review in ASEAN	DONE
Develop monitoring tools of CF in the ASEAN region	Social forestry monitoring tool development	Develop monitoring tools of CF in the ASEAN region	Finalization of CF assessment tools	DONE
Develop analytical review of ASFCC beyond phase III			Develop SF beyond 2020	Final Draft

**Outcome 3**

SEARCA				
Continue the ASRF with proposed mechanism and also plan to establish Trust Fund under SEARCA scheme	TOR for ASRF Business Plan prepared and circulated to ASFCC partners; consultant hired (Alain Maulion)	Focus Group Discussion, SEARCA, March 2018 Donors Forum, Manila, 24 May 2018 Meeting with UNIDO Country Manager re GEF7		DONE

## ASFC TARGET OUTPUTS VS. ACTUAL ACHIEVEMENTS

Source: Phase 3 Logical Framework

OUTPUTS PER OUTCOME	OUTPUT INDICATORS	Means of verification	ACHIEVEMENTS AS OF 2017 (updated with data from 2020 Phase 3 Final Operational Reports where available)
<b>OUTCOME 1: COORDINATED SOCIAL FORESTRY FRAMEWORK</b>			
Output 1.1: ASEAN priority policy and strategic issues in social forestry and climate change are commonly identified and assessed, and strategic actions planned and implemented	<p>All ASFN review documents used during ASOF and other selected ASEAN meetings and by other ASEAN bodies</p> <p>Recommendations on linkages between social forestry and climate change measures based on ASFN studies and interventions are integrated into cross-sectoral national and ASEAN policy messages</p>	<p>ASFN policy brief, ASOF/ASEAN reactions (meeting reports), social forestry guidelines and policies</p> <p>Guidelines and policies on adaptation and mitigation measures</p>	<p>Recommendations from AWG-SF Conferences endorsed by ASEAN Senior Officials on Forestry (ASOF)/ ASEAN Ministerial Meeting on Agriculture and Forestry (AMAF) and part of Plan of Action (POA) for the ASEAN Cooperation in Social Forestry (2016-2020) , e.g: Agroforestry Guidelines, Agroforestry roadmap for Cambodia (on-going), AFCC Framework and Roadmap, also the recommendation from CSO Forum, engagement with ASEAN Coordinating Committee on Small Medium Enterprises (ACCSMEs) on NTFP Community Forestry Enterprises (CFEs).</p> <p>In Vietnam, SF included in law and benefit sharing mechanism for PES is improved in Son La province; Myanmar: social forestry and benefit sharing mechanism are being considered for future REDD+ benefit sharing mechanism design, forestry instruction, and capacity development for implementation Laos: Benefit sharing workshop FCPF workshop on REDD+ with gender focus</p> <p>Strategic issues by country partners including REDD+, PES, benefit sharing.</p> <p>In Vietnam, Provisions on AF (and forest definition) are included in law; Myanmar: forestry instruction, and capacity development for implementation</p> <p>Completed study and recommendations on the impact of the ASEAN Economic Community (AEC) on SF; Produced 10 participatory action research (PAR) reports from 3 countries on social forestry, climate change and food security; Developed capacity of 25 junior and mid-level researchers from the Forest Research Institute (FRI), Yezin, Myanmar, 25 participants from University of Hasanuddin, Makassar, Indonesia and 25 researchers from 3 institutions in Thailand to conduct research using participatory methods and provided a coaching workshop for writing research reports.</p>
Output 1.2: Institutional capacities of AWG-SF, focal points and network partners, and key institutions are developed to effectively reach and influence the relevant decision makers and key stakeholders within ASEAN and Member States	<p>Network of SF Champions of at least 5 countries actively advocating SF related in their countries</p> <p>At least 5 Member States undertake initiatives and contributes to SF goals using the ASRF Mechanism their own resources to enhance the capacity and effectiveness of AWG-SF focal points and network partners and key institutions to engage with influential stakeholders and decision makers within and beyond ASEAN</p> <p>Interactions between AWG-SF and AMAF</p>	<p>AWG-SF Focal Points, AWG-SF Secretariat and Network Partners reports</p> <p>Meeting reports, ASOF reports</p>	<p>Built capacity of 8 AMS (Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand and Vietnam) in addressing emerging issues and challenges and articulating policy recommendations on SF through ASRF Grants. Topics at regional level: 1) Community-based forest biomass monitoring; 2) Community forestry as a strategy for adaptation to climate change; 3) Enhancing livelihoods and markets; 4) Improving grassroots equity in forests and climate change context; 5) Strengthening forest tenure systems and governance; 6) Participatory non-timber forest product resource management; 7) Leadership camp for sustainable forest; 8) Writeshop on Enterprise Curriculum Development; Four national trainings: 1) Ensuring grassroots equity in the forest and climate change context (Indonesia); 2) Free Prior and Informed Consent in the context of access and benefit sharing (Malaysia); 3) Enhancing livelihoods and markets (Myanmar); 4) Community forest biomass monitoring (Vietnam); 5) Enterprise curriculum development (Indonesia)</p> <p>The program also provided challenges and articulating policy recommendations on SF, developing NWG SF /CF at national level in Cambodia, Lao, Myanmar, Philippines, Malaysia (Sabah), the capacity building through regional trainings have been applied at national level trainings. In Vietnam, Forest Protection Department at central level has been mandated to be in charge of Community Forest Management (CFM).</p> <p>CIFOR also did trainings on REDD+ benefit sharing mechanisms in Laos at the request of Laos REDD+ office where we included material on SF; also in Myanmar with Forest Research Institute (FRI).</p> <p>Translated training material on 'Transforming forest conflicts' into Myanmar; 'Ensuring grassroots equity in the forest and climate change context' into Bahasa Indonesia</p> <p>Mainstreamed social forestry in to university curriculum with Rajabhat Chiang Rai University (enterprise development) and Kasertsart University (leadership).</p>

**Annex 14 - Target Outputs vs Achievements - final**

OUTPUTS PER OUTCOME	OUTPUT INDICATORS	Means of verification	ACHIEVEMENTS AS OF 2017 (updated with data from 2020 Phase 3 Final Operational Reports where available)
Output 1.3: Adopted recommendations of the AWG-SF are implemented and mainstreamed within ASEAN and AMS by the AWG-SF , and informed other ASEAN Working Groups and other sectoral bodies	<p>Previous AWG-SF policy and strategic recommendations are implemented and monitored by the AWG-SF and the member states</p> <p>Qualitative and quantitative targets of social forestry are included in Member States policies and strategies and regularly monitored.</p>	<p>Reports from the AWG-SF and other relevant working groups and Initiatives on climate change</p> <p>Member Country official Forestry Reports related to social forestry and climate change, AWG-SF Reports.</p> <p>Locally Appropriated Adaptation and Mitigation Actions (LAAMAs), Nationally Appropriated Adaptation and Mitigation Actions (NAAMAs) and NDCs reported and documented.</p>	<p>ASFCC mandated by the Ad-Hoc Steering Committee on Climate Change and Food Security (AHSC CCFS) – then endorsed by AMAF to take a lead on developing ASEAN Multi-sectoral Framework for Climate Change: Agriculture and Forestry towards Food and Nutrition Security and Achievement of SDGs, pathways for the other inputs and links to other sectoral bodies such as Environmental Division, Rural Development and Poverty Eradication, ACCSMES (under ASEAN Socio Cultural Community/ ASCC Pillar) and also other ASEAN Sectoral Working Group on Agricultural Cooperatives. In the Philippines, DENR issued technical bulletins on NTFP and CBFM. NTFP Policy is being revised In Vietnam, Technical Working Group on Agroforestry (TWG-AF) established by Ministry of Agriculture and Rural Development (MARD); Initiatives of AF policy review and proposal development undertaken</p>
Output 1.4. ASEAN and AMS internalise and continue to employ the approaches, mechanisms, developed in the ASFCC.	<p>ASEAN and AMS provide resources for institutionalisation</p> <p>Conceptualisation, initiatives, and program as spin off building upon ASFCC</p>		<p>Gender mainstreaming REDD+ in Lao, RECOFTC got request from Lao's DoF and JICA to run Gender Mainstreaming and Social Safeguard Workshop by using materials developed from ASFCC for provincial level officers in December 2016., NTFP livelihood approaches with Indonesia and Malaysia, Multistakeholders governance SF approaches at national and sub national level (Cambodia, Myanmar, Thailand, Philippines, State level at Malaysia)</p>

Annex 14 - Target Outputs vs Achievements - final

OUTPUTS PER OUTCOME	OUTPUT INDICATORS	Means of verification	ACHIEVEMENTS AS OF 2017 (updated with data from 2020 Phase 3 Final Operational Reports where available)
<b>OUTCOME 2: REGIONAL EXCHANGE</b>			
Output 2.1: AWG-SF Secretariat is fully operational and efficiently managing, facilitating, disseminating knowledge and, consolidating programmatic outputs towards institutionalisation within ASEAN	Continued appreciation of the coordination work and increasing contribution of member states to enable the expanded mandate of the secretariat. Strategically targeted knowledge products and tools (e.g.: knowledge tree, AFCC conceptual framework, etc.) produced and/or coordinated by the Secretariat and used by Member States and ASEAN bodies Institutional arrangement of AWG-SF in place by the end of the program	List of tools and products  Feedback by member states, users and partners  AWG-SF Secretariat operational reports	AWG-SF Secretariat organized the Conferences and Meeting of AWG-SF, as well as ASOF Meeting and international seminars; AHSC CCFS Meeting, that brings the ASFCC Partners together to support those meetings ASFN has been promoted as AWG in 2017 The full institutionalization is in progress, problems mainly in financial term. Policy briefs being produced and disseminated with support from ASFCC partners, SF films being produced and shown at strategic events
Output 2.2: AWG-SF Focal Points and Network Partners take active leadership in the working group and take the lead in knowledge creation and sharing, capacity development and SF implementation.	Consolidation of knowledge management activities and enhance joint implementation of initiatives to address strategic issues in ASEAN and ASEAN member states. Strategically targeted policy guidelines and monitoring tools developed with the coordination of the AWG-SF secretariat and used by member states Increased quality and effectiveness of SPA implementation Establishment of Social Forestry learning and study exchange sites where Member States and partners can work and learn together	AWG-SF secretariat reports to the working group and member states  AWG-SF reports to ASOF and AMAF  Monitoring reports  Achievement of Key Performance Indicators (KPI)	Digital Knowledge Management (Situation room) of SF has been developed in Indonesia (AWG-SF focal point Indonesia), capacity building of 8 AMS through ASRF providing assistance in designing need-based project proposals, capacity development product during WFC, APFC in Colombo, CF Championship and advocacy, in Nanning, agroforestry landscape, FLR, SDGs (APFW), focal point of AWG-SF as a resource person and champions in NTFP based livelihood and Indigenous Community Conservation Areas (ICCAs) Organized two learning group workshops focusing on 1) 'Improving grassroots equity in the forests and climate change context'; Produced an analytical paper on 'Equity in forests and REDD+' which was distributed in the ASFN network and beyond; Produced a discussion paper on 'Community forestry for climate change adaptation' which was distributed in the ASFN network and beyond.

**Annex 14 - Target Outputs vs Achievements - final**

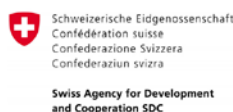
OUTPUTS PER OUTCOME	OUTPUT INDICATORS	Means of verification	ACHIEVEMENTS AS OF 2017 (updated with data from 2020 Phase 3 Final Operational Reports where available)
Output 2.3: AWG-SF exchanges knowledge with other sectors and a broader range of stakeholders within and beyond the ASEAN region is increasingly recognized.	<p>Collaborations with other institutions outside of the region</p> <p>Substantive presence in international forums and meetings to share and represent SF-related issues and experiences. -</p> <p>AWG-SF partnerships with other governments, civil society, private sectors, enterprises and international stakeholders to advance SF-related issues in international platforms.</p>	<p>Reports and follow-up communications (including news blogs and media coverage)</p> <p>AWG-SF reports</p> <p>Stakeholder feedback (surveys, review reports, etc.)</p>	<p>AFoCO, AFCC, ASEAN CRN, FAO Forest Farm Facility, FAO Regional Asia Pacific (RAP), Asia Pacific Forest Commission (APFC), Asia Pacific Adaptation Network (APAN), Asia Pacific Forestry Network APFNet, IUFRO, CSOs Forum with AIPP, Asian Farmers Association, Forest Connect, RRI, ANFOR, African Forest Forum (AFF), MRLG, IIED, Asia-Pacific Forestry Week, Oxford Symposium, USAID Green Mekong Learning Group workshop, World Forestry Congress regional meeting Series of policy brief on agroforestry in several languages (Thai, Cambodia, Vietnam, English, Indonesia and Lao)—series of assessment report are undertaken by RECOFTC such as – Current status of social forestry in climate change mitigation and adaptation in the ASEAN region: Situational Analysis 2016;</p> <p>– Current status of social forestry in climate change mitigation and adaptation in the ASEAN region: Situational Analysis 2020 uploaded to SF Knowledge Tree in mid-2020</p> <p>Civil Society Forum held a workshop in 2020 to discuss their Theory of Change as an expression of next steps of engagement with ASEAN post-ASFCC</p>
<b>OUTCOME 3: LEARNING INTERVENTIONS AND BEST PRACTICES</b>			
Output 3.1: Established Multi-stakeholder National and Regional SF-Working Groups addressing CC adaptation, mitigation and food security issues effectively functioning and linking to other relevant sectoral groups.	Strengthened capacity of national and regional multi-stakeholder social forestry working groups to address SF-issues into climate change and food security agenda.	<p>Technical and event reports from the working groups</p> <p>Sampled surveys, monitoring reports</p>	<p>NDC workshop in Philippines (led by NTFP EP and Forest Management Bureau Department of Environmental and Natural Resources/ FMB DENR), and NDC workshop in Bangkok (FAO RAP, GiZ and ASFCC), NDC documents, promoting REDD+ strategy in SF at country level: Indonesia, Philippines, Cambodia, Myanmar, Lao) Vietnam: identify agroforestry target for NDC Processes related to safeguards in SF submitted to COP (Phase II: NTFP EP and RECOFTC), knowledge sharing workshops at local and national levels in Indonesia and Vietnam (Phase II CIFOR), Supported Myanmar CF National Working Group workshop on research : CF and climate change; Supported the establishment of the Village Forestry Working Group in Lao PDR and continued with various workshops and meetings; Supported the 2nd and the 3rd of NCFPCC Meeting in Cambodia and supported its Secretariat activity.</p>

Annex 14 - Target Outputs vs Achievements - final

OUTPUTS PER OUTCOME	OUTPUT INDICATORS	Means of verification	ACHIEVEMENTS AS OF 2017 (updated with data from 2020 Phase 3 Final Operational Reports where available)
Output 3.2: Thematic issues relating to locally appropriated adaptation and mitigation actions identified through multi-stakeholder processes are investigated, analysed, shared and addressed.	<p>Guidelines, tools, conceptual framework, methods and approaches developed through collaboration between ASEAN, AMS, and ASFCC and used by the AWG-SF and other AWGs, etc.</p> <p>Regional collaboration initiatives in support of the development of NAAMAs and NDCs.</p> <p>Scaling-up potential of experiences compiled and learning interventions supported in at least 5 Member States with the direct involvement of AWG-SF focal points, partners and State agencies, and evaluation of expected benefits for local communities and disadvantaged people</p>	<p>Guidelines, tools, methods and approaches documented and shared.</p> <p>NDCs and reports on the social forestry strategies and action plans of ASEAN Countries</p> <p>Reports, publications on best practices, scientific papers, other documents (documentaries, videos, knowledge products, etc.)</p>	<p>Publication related SF in REDD+ strategies produced by ASFCC Partners- NTFP EP (the model of multistakeholder REDD+ governance replicated from the Philippines to Cambodia- learnings from Code REDD and CC Strategy) The series of involvement in consultation meeting, roadmap and action planning strategy development in Myanmar, in Lao, REDD+ in Cambodia, together with FCPF; REDD country profile assessments with the country focal points in Laos and Myanmar as they develop their REDD national strategies FPIC study in Philippines (Phase 1 and Phase 2) Submitted inputs to the Philippines Safeguard Information System (SIS) process Organized learning exchange (study tour) for ASFN Leaders; Organized learning exchange for Malaysian officials through ASRF; Organized learning exchange for Myanmar Officials through ASRF; Organized learning exchange for core members of the Village Forestry Working Group Lao PDR.</p>
Output 3.3: Mitigation and Adaptation strategies and best practices from social/ community forestry initiatives assessed, developed and integrated into broader, cross sectoral conceptual framework and approaches for wider implementation to inform policy processes within AMS and in the ASEAN region	<p>Investment by AMS in developing adaptive capacities based on lesson from CF initiatives</p>	<p>Independent evaluations of the adaptation/interventions and their potential for wider dissemination and transfer.</p>	<p>The current status of SF in ASEAN Countries (RECOFTC) since Phase 1 (2011), 1st situational analysis (2014), 2nd situational analysis and Current status of social forestry in climate change mitigation and adaptation in the ASEAN region: Situational Analysis 2016; 3rd situational analysis (2020); PES, designing equity and benefit sharing in SF and REDD+ (CIFOR) Bring into broader perspective during APFC 2016 and 2017, APFW 2016 &amp; 2019, annual AWG-SF Conference (people from different sectors attend) Participatory Capacity and Vulnerability Assessment (PCVA) to Climate Risk conducted in Indonesia (West Kalimantan), Philippines (Bukidnon), and Cambodia. In Cambodia, successful in integrating community forestry DRR/CCA plans into the commune investment plans of 2 Districts in Siem Reap</p>

# MAPPING PROJECTS SUPPORTED BY ASRF

**ASEAN Working Group on Social Forestry Strategi Response Fund (ASRF)**  
*ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC)*



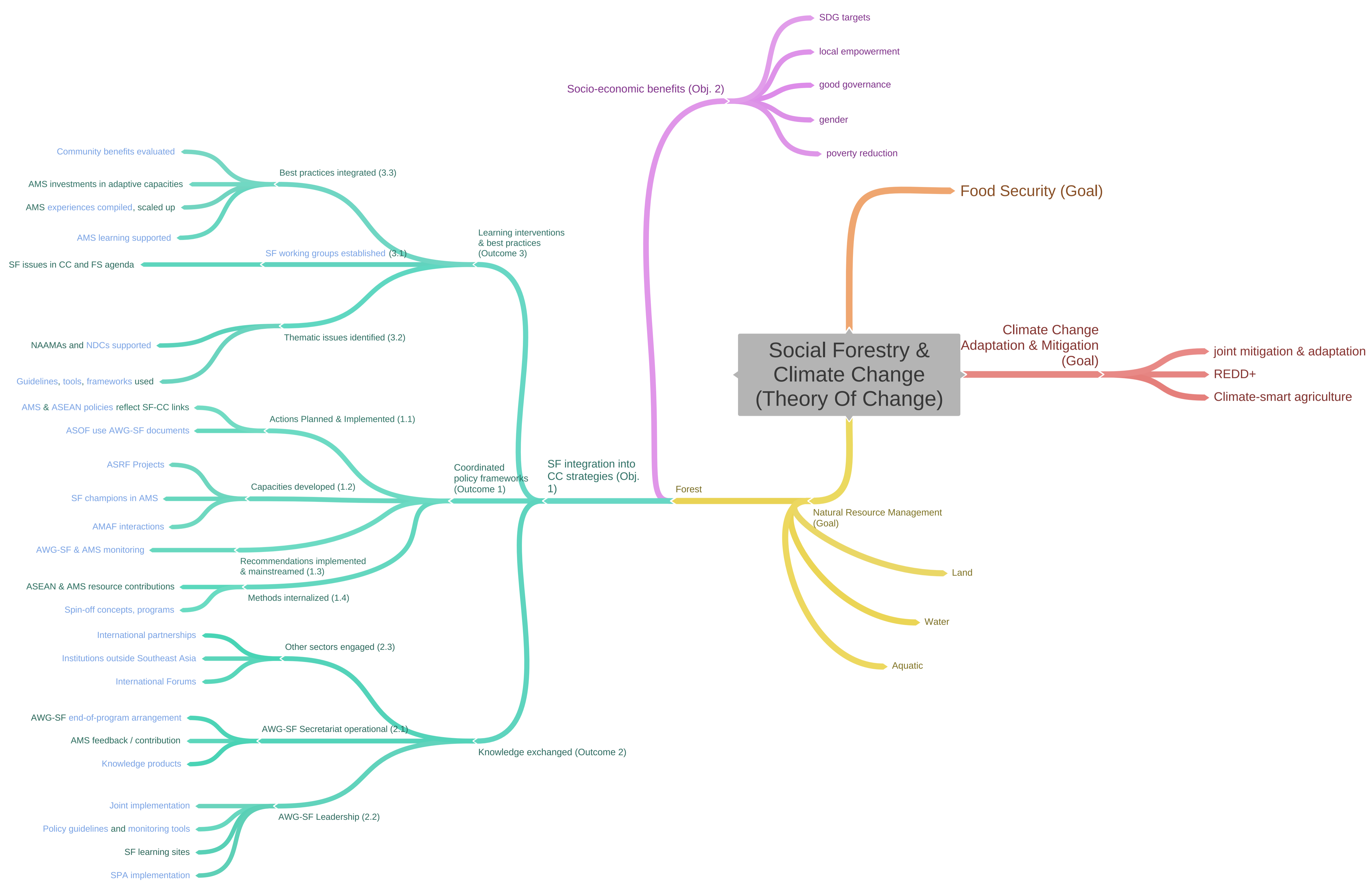
Projects supported include consultations to enhance existing policies, assessment studies to support policy formulation, study tours to areas where best practices in Social Forestry have been proven, and further exploring the potential of non-timber forest products.

TYPE OF PROJECT	TITLE OF PROJECT	PROPONENT/COUNTRY
<b>Consultations to enhance SF policies</b>		
[1] DENR Central, (Quezon City, PHILIPPINES	Dialogue among DENR Facilitators towards Strengthening Capacity on Community-Based Forest Management	Forest Management Bureau, Department of Environment and Natural Resources (DENR), Philippines
[2] Hanoi, VIETNAM	Review of Community Forestry Implementation to Contribute to the Revision of Law on Forestry in Vietnam	Forestry Economic Research Center (FER EC), Vietnam
[3] Siem Reap and Kampong Thom Provinces, CAMBODIA	Development and Pilot-Testing of a Monitoring and Evaluation Tool for Community Forestry in Siem Reap and Kampong Thom Provinces, Cambodia using Participatory Methods	The Learning Institute, Cambodia
[4] Vientienne , LAO PDR	Enhancing Technical Guidelines on Village Forestry Management Planning through Stakeholder Consultation	Phirasack Sengrath, ASFN Focal Point, Department of Forestry, Lao PDR
[5] Kemukiman, Lampageu, INDONESIA	Development of a Process to Acquire Mukim Forest Recognition: Preparatory Phase	Rumoh Transparansi, Indonesia
[6] Nay Pyi Taw, MYANMAR	Enhancing Community Forest Performance in Myanmar by Reviewing Community Forestry Instructions (1995) through Stakeholders' Consultation Process	Forest Research Institute, Myanmar
[7] Kuala Lumpur, MALAYSIA	Development of a National Roadmap on Social Forestry in Malaysia	Forest Research Institute, Biodiversity and Forestry Management Division, Ministry of Natural Resources & Environment, Malaysia
[8] Jakarta, INDONESIA	Strengthening Multistakeholders' Engagement to Accelerate Social Forestry Department	Directorate of Social Forestry Development, Ministry of Environment and Forestry, Indonesia
[9] Hanoi, VIETNAM	Review and Evaluation of Status of Forest Allocation Policies to Produce Recommendations to Policy Makers	Vietnam
[10] Vientienne , LAO PDR	Improvement of Training Guide on Village Forestry Management Planning (VFMP)	Lao PDR

Conduct of Assessment Studies as inputs to policy-making		
[1] Mt. Simpang Nature Reserve, Cianjur District, West Java, INDONESIA	Linking Forest, Water, and Energy: Assessing Socio-Economic and Environmental Impacts of Forest Management and Micro-hydro Development at the Buffer Zone of a Conservation Area in West Java, Indonesia	Yayasan Pribumi Alam Lestari, Indigenous Nature Conservation Society, Indonesia
[2] Kampot and KG Thom Provinces, CAMBODIA	Assessment of Rights-Based Community Forestry in Kampot and KG Thom Provinces, Cambodia: A Case Study	Mr. Long Ratanakoma, ASFN Focal Point, Department of Forest and Community Forestry, Cambodia
[3] Atimonan, Quezon and Liliw, Laguna, PHILIPPINES	Social Network Analysis of Selected Community-based Forest Management (CBFM) Projects in the Philippines	Dr. Rico Ancog, School of Environmental Science and Management, University of the Philippines Los Baños, Laguna, Philippines
[4] Lang Son, Yen Bai, Son La, Dien Bien, Cao Bang, and Quang Binh Province, VIETNAM	Finding Lessons Learned and Finalizing the Technical Guidelines on the Forest-based Income Generation Models (FIGMs) in Vietnam	Forest Inventory and Planning Institute (FIPI), Ministry of Agriculture and Rural Development, Vietnam
[5] Da Bac District, Hoa Bin Province, VIETNAM	A Study on the Watershed Management Muong Community in Da Bac District, Hoa Binh Province, Vietnam	Forestry Economic Research Center (FEREC, Vietnam
[6] Phnom Prochummit CF, Chang Kranroy CF, Prey Kbal Bei CF, Chheur Teal CF, Rum Say Sork CF, Chrous Svay Prek Thnaot CF, and Veal Kanseng CF, CAMBODIA	Community Forestry in Cambodia – A Review of Community Forestry Contribution to Livelihoods after 25 Years of Development	Mr. Long Ratanakoma, ASFN Focal Point, Department of Forest and Community Forestry, Cambodia
[7] DENR, PHILIPPINES	A Study on the Existing Benefit-Sharing Mechanisms in the Philippines Community-Based Forest Management (CBFM)	Forest Management Bureau, DENR, Philippines
[8] Ulu Tampik Waterfall (UTW), Lentang Forest Reserve, Bentong, Pahang, MALAYSIA	Conservation and Consumption Goods & Nature-based Recreation: A Community-based Ecotourism Project in Malaysia	Dr. Huda, Forest Research Institute of Malaysia
[9] Thandaung Township of Kayin State and Putao Township of Kachin State, MYANMAR	Assessment of Non-timber Forest Products in Mountainous Regions of Myanmar towards Community Forestry Development	Forest Research Institute, Myanmar
[10] Huay Hin Lad Nai (HHLN) of Karen Community, Chiang Rai Province, and Mae Tha (MT) Community, Chiang Mai Province, THAILAND	Assessing the Potential of Non-Timber Forest Products (NTFP) for Value Chain and Community Forestry Enterprises Development in Northern Thailand	Thailand

Capacity Building		
[1] Nay Pyi Taw, MYANMAR	Technical Study Tour on Social Forestry to Enhance Capacity Building through Knowledge Sharing	Forest Research Institute, Myanmar
[2] Kuala Lumpur, MALAYSIA	Technical Study Tour on Social Forestry	RECOFTC and Forestry Department Peninsular Malaysia, Ministry of Natural Resources and the Environment (MNRE), Malaysia
[3] THAILAND	Enhancing Agroforestry Implementation through Study Tour on Agroforestry-based Livelihood	Thailand Royal Forestry Department, Thailand
[4] Battambang Province, CAMBODIA	Strengthening the Community Forestry (CF) Program Coordination Committee at Sub-national to Enhance CF development in Cambodia	Mr. Long Ratanakoma, ASFN Focal Point, Department of Forest and Community Forestry, Cambodia
[5] Lampung Province, INDONESIA	Capacity Assessment for HKm Extension Workers and KPH Forest Guards	Community Forest Forum Lampung Province (Forum Hutan Kemasyarakatan Provinsi Lampung), Indonesia
[6] Juru Seberang Village, Belitung District, INDONESIA	Developing Environmental Education Program for the Mangrove Forest Based-Ecotourism in Juru Seberang Community Forest in Belitung	Indonesia
[7] Vientienne, LAO PDR	Improvement of Training Guide on Village Forestry Management Planning (VFMP)	LaoPDR
[8] Ban Mae Chiang Rai Lum Community Forest, located in Pa Mae Phrik National Forest Reserve, Lampang Province, NORTHERN THAILAND	Assessing Forest Biodiversity and Utilization of Non-Timber Forest Products in Community Forest for Rural Livelihood and Conservation in Thailand	Thailand
Livelihood Enhancement		
[1] Ankor Wat, Siem Reap, CAMBODIA	Resource Trends Assessment And Feasibility Study On Sustainable Harvesting, Rehabilitation And Marketing Of Non-Timber Forest Products (NTFPs) in Siem Reap	Banteay Srei/Department of Forest and Community Forestry, Forestry Administration, Ministry of Agriculture, Forestry and Fisheries, Cambodia
[2] Ulu Tampik Waterfall (UTW), Lentang Forest Reserve, Bentong, Pahang, MALAYSIA	Conservation and Consumption Goods & Nature-based Recreation: A Community-based Ecotourism Project in Malaysia	Dr. Huda, Forest Research Institute of Malaysia
[3] Thandaung Township of Kayin State and Putao Township of Kachin State, MYANMAR	Assessment of Non-timber Forest Products in Mountainous Regions of Myanmar towards Community Forestry Development	Forest Research Institute, Myanmar
[4] Ban Mae Chiang Rai Lum Community Forest, located in Pa Mae Phrik National Forest Reserve, Lampang Province, NORTHERN THAILAND	Assessing Forest Biodiversity and Utilization of Non-Timber Forest Products in Community Forest for Rural Livelihood and Conservation in Thailand	Thailand

[5] Huay Hin Lad Nai (HHLN) of Karen Community, Chiang Rai Province, and Mae Tha (MT) Community, Chiang Mai Province, THAILAND	Assessing the Potential of Non-Timber Forest Products (NTFP) for Value Chain and Community Forestry Enterprises Development in Northern Thailand	Thailand
<b>Participation in Conferences</b>		
COUNTRY	NO. OF GRANTS	GRANTEE
[1] Malaysia	[1] Series of Regional Events in Danang, Vietnam: Civil Society Forum (Dialogue-Seminar): 25 June 2018 Agroforestry Conference: 26 June 2018 AWG-SF Annual Meeting: 27-29 June 2018 <i>Da Nang, Vietnam</i>	Mr. Ricky Alisky Martin SFM Officer, Social Forestry Section, SFM Division, Sabah Forestry Department, Sandakan, Malaysia
[2] Myanmar	[2] Civil Society Forum (Dialogue-Seminar): 25 June 2018 <i>Da Nang, Vietnam</i>  [3] Asia-Pacific Forestry Week 2019: 17-21 June 2019 Incheon, South Korea	Dr. Ei Ei Swe Hlaing Assistant Director Forest Research Institute Forest Department Ministry of Natural Resources and Environmental Conservation, Nay Pyi Taw, Myanmar
[3] Lao PDR	[4] Civil Society Forum (Dialogue-Seminar): 25 June 2018 <i>Da Nang, Vietnam</i>	Mr. Somsack Sysomvang AWG-SF Focal Point and Deputy Director, Village Forestry and NTFP Management Division, Department of Forestry, Lao PDR
[4] Cambodia	[5] Asia-Pacific Forestry Week 2019: 17-21 June 2019 <i>Incheon, South Korea</i>	Mr. Long Ratanakoma AWG-SF Focal Point and Deputy Director Department of Forest and Community Forestry, Forestry Administration, MAFF, Cambodia
[5] Indonesia	[6] Asia-Pacific Forestry Week 2019: 17-21 June 2019 Incheon, South Korea	Dr. Tuti Herawati Deputy Director of Community Forestry, Directorate General of Social Forestry and Environment Partnership, Ministry of Environment and Forestry, Indonesia

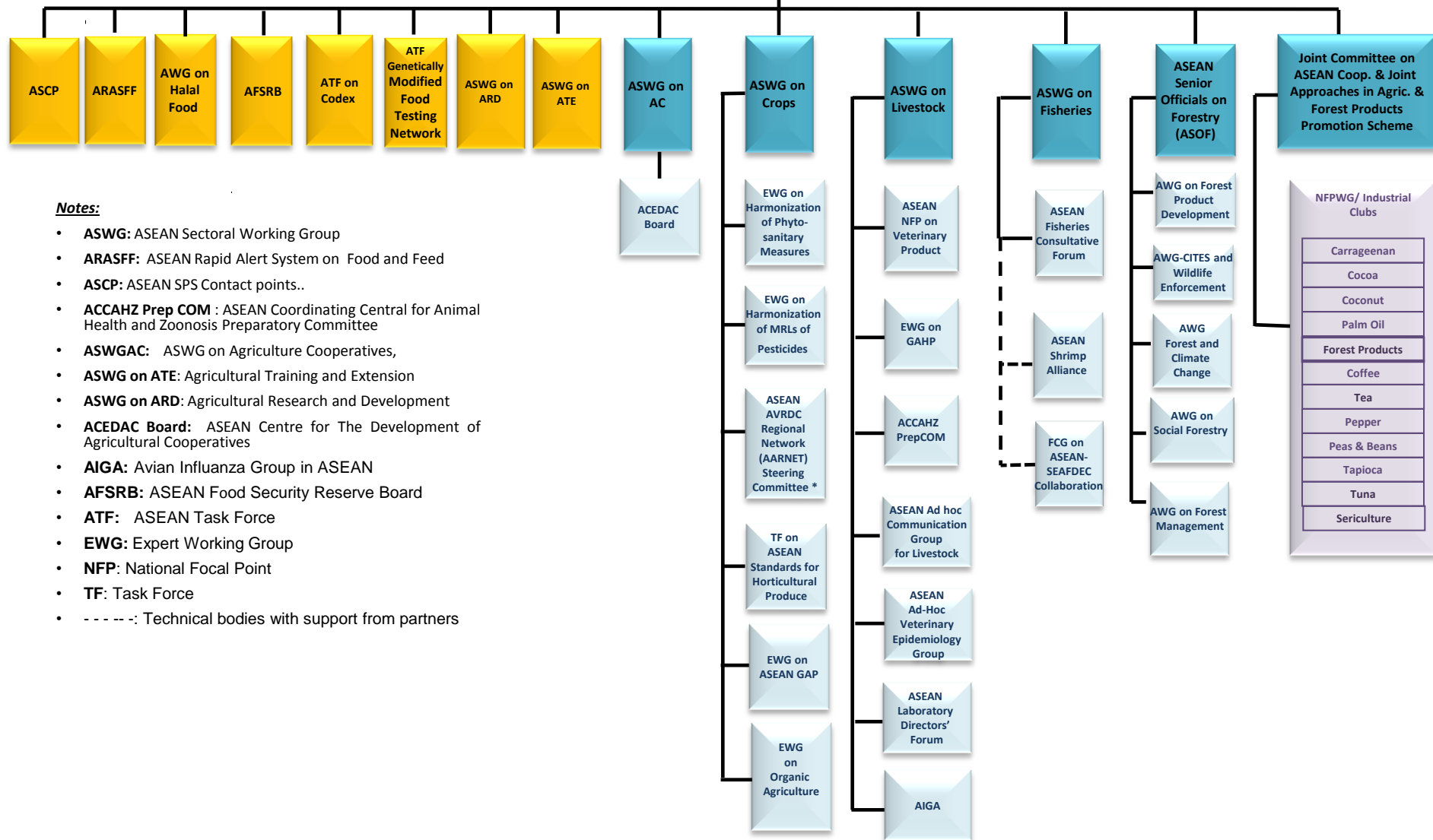


# Structure of ASEAN Cooperation in Food, Agriculture and Forestry

## ASEAN Ministry of Agriculture and Forestry (AMAF)

Final as of 22 November 2016

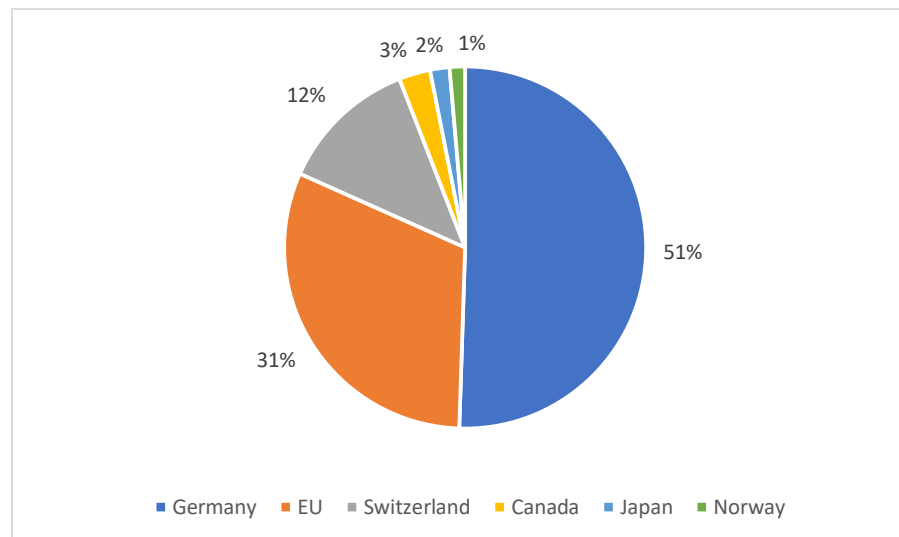
### SOM-AMAF



# ANNEX 18 - ASEAN DONORS MAPPING MATRIX

No.	Country	Program Theme	ASEAN Pillar	Activities	Budget (USD)	Year	Delivery Mechanism
1	Canada	Agriculture	Economic	Grow Asia	3.4	2016-2021	WEF/ASEC
2	EU	Climate Change	Socio-Cultural	Sustainable use of Peatlands and Haze Mitigation in ASEAN (SUPA)	21.5	2018-2021	
3	EU	Biodiversity and Environment	Socio-Cultural	Biodiversity Conservation and Management of Protected Areas in ASEAN (BCAMP)	10.7	2015-2020	
4	EU	Climate Change	Socio-Cultural	Smart Green ASEAN Cities	5.6	2020-	
5	Germany	Biodiversity and Environment	Socio-Cultural	Small Grants Program by the ASEAN Centre for Biodiversity	16.39	2014-2022	KfW financed, ACB implemented
6	Germany	Biodiversity and Environment	Socio-Cultural	KfW Small Grants Program by the ASEAN Centre for Biodiversity Phase II	7.04		BMZ financed, ACB implemented
7	Germany	Agriculture	Socio-Cultural	ASEAN-German Programme on Response to Climate Change: Agriculture, Forestry and Related Sectors (GAP-CC): Sustainable Agrifood Systems in ASEAN (Phase II)	10.47	2015-2019	GIZ
8	Germany	Biodiversity and Environment	Socio-Cultural	Institutional Strengthening of the Biodiversity Sector in ASEAN	2.00	2019-2021	GIZ & ACB
9	Germany	Biodiversity and Environment	Socio-Cultural	Biodiversity based products as Economic Sources for Nature Conservation and Livelihood Development	4.41	2015-2019	GIZ & ACB
10	Germany	Climate Change	Economic	ASEAN-German Energy Programme (AGEP)	3.00	2019-2022	GIZ & ASEAN Centre for Energy
11	Germany	Climate Change	Socio-Cultural	Energy Efficiency and Climate Change Mitigation in the Land Transport Sector in the ASEAN region (Phase II)	3.86	2015-2019	GIZ
12	Germany	Climate Change	Socio-Cultural	Sustainable Mobility for Metropolitan Regions in ASEAN Member States	3.64	2019-2021	GIZ
13	Germany	Biodiversity and Environment	Socio-Cultural	Strengthening Regional Experiences on Sustainable Peatland Management (ASEAN REPEAT)	4.41	2018-2023	GIZ with contribution from EU
14	Germany	Agriculture	Economic	Sustainable agricultural value chains in ASEAN	3.31	2018-2021	
15	Germany	Agriculture	Economic	Climate Smart Land Use in ASEAN (CSLU)	2.76	2018-2020	
16	Japan	Agriculture	Economic	Strengthening Capacity Building in Agriculture Sector in ASEAN Countries (Phase III)	2.10	2017-2020	ASEC with program mgt team
17	Norway	Climate Change	Socio-Cultural	ASEAN Climate Change and Energy	1.67	2018-2021	ASEAN Centre for Energy
18	Switzerland	Agriculture	Economic	ASEAN-Swiss Partnership on Social Forestry and Climate Change	15.04	2011-2019	
Sources: Swiss Embassy in Jakarta, Aug 2020; GIZ, 2020					<b>TOTAL</b>	<b>121.29</b>	

Germany	51%
EU	31%
Switzerland	12%
Canada	3%
Japan	2%
Norway	1%
	100%



## SWISS SCOPING OF LAND USE DEVELOPMENT ACTORS IN ASEAN

HIGHLIGHTS .....	2
DEVELOPMENT PARTNERS.....	3
Norway .....	3
Germany .....	5
Sweden .....	8
Japan.....	10
Republic of Korea (ROK) .....	13
China.....	15
Canada .....	16
United States.....	17
MULTILATERAL PARTNERS.....	19
UN-REDD .....	19
FAO-RAP .....	19
GEF.....	20
GCF .....	20
World Bank – FCPF Carbon Fund.....	21
ADB – Forest Investment Program.....	22
EU-FLEGT.....	23
ITTO .....	25

## HIGHLIGHTS

Parameters	Germany	Sweden	Norway	Japan	Republic of Korea
ODA spending 2018	\$23.8 billion (0.60% of GNI) (2 <sup>nd</sup> top donor)	\$5.848 billion (1.04% of GNI) (6 <sup>th</sup> top donor)	\$4.3 billion (0.94% of GNI) (10 <sup>th</sup> top donor)	\$14.16 billion (0.29% of GNI) (4 <sup>th</sup> top donor)	\$2.358 billion (0.15% of GNI) (15 <sup>th</sup> top donor)
ODA 2020	\$27.7 billion	\$5.996 billion	\$4.8 billion	\$15.73 billion	\$2.87 billion
Strategy Document	<a href="#">Reformkonzept BMZ 2030</a> (in German)	<a href="#">Aid Policy Framework 2016; Strategy for Sweden's regional development cooperation in Asia Pacific 2016-2021; Environmental Sustainability Strategy 2018-2022</a>	na	Development Cooperation Charter upd. 2015; <a href="#">Japan-ASEAN Dialogue on Environmental Cooperation</a> ; ASEAN Outlook on Indo-Pacific 2019	Framework Act on International Development Cooperation upd. 2018; 2 <sup>nd</sup> Strategic Plan for International Development Cooperation (2016-2020)
Development Priorities 2020	displacement and migration (\$596M) <b>climate change (\$1.8B to GCF)</b> <b>agriculture and food security (\$1.8B)</b>  (BMZ 2017- 2021)	human rights, democracy, rule of law; gender equity; <b>environment and climate change</b> ; peace & security; inclusive economic development; migration & development; health equity; education research	humanitarian assistance (\$678M); <b>climate change, environment, oceans (\$639M)</b> ; education (\$417M; health; private-sector development, agriculture and renewable development	health, infrastructure, <b>climate change</b> , ocean plastic waste, digital economies, and aging societies	transport, education, health, <b>agriculture and fisheries</b> , industry & energy
Climate Change	<ul style="list-style-type: none"> <li>• IKI (€390M/yr)</li> <li>• ASEAN-REPEAT (€4M, 2018-2023)</li> <li>• GCF (\$1.8B, 2020-2023)</li> </ul>	<ul style="list-style-type: none"> <li>• SEK 6.5M (2018-2022)</li> </ul>	<ul style="list-style-type: none"> <li>• NICFI (\$369/yr. to reduce deforestation)</li> <li>• GCF (\$98M/yr., 2020-2023)</li> <li>• UNEP (\$24M, 2019)</li> </ul>	<a href="#">ASEAN-Japan Climate Action Agenda 2018</a>	AFOCO Strategic Plan 2019-2023

Source: [Donor Tracker website](#); Development partner websites; key informants

## BILATERAL DEVELOPMENT PARTNERS

### NORWAY

Sources: Donor Tracker, <https://donortracker.org/country/norway/>; *Norad* & *NICFI* websites; key informant interview

#### Funding Trends

Norway is the tenth-largest donor country, spending US\$4.3 billion on official development assistance (ODA) in 2018. The government's 2020 ODA budget stands at US\$4.8 billion (NOK39.2 billion), the largest ODA budget to date.

Norway the third-largest donor in proportion to the size of its economy. In 2018, ODA stood at 0.94% of Norway's gross national income (GNI). There is a cross-party consensus to maintain ODA at around 1% of GNI, but in 2018, this target was not met due to Norway's economic performance, which was better than estimated in the budget.

#### Strategic Priorities

The Sustainable Development Goals (SDGs) are very important for the government, and are the basis of its development policy. To engage effectively with the Norwegian government, it is thus important to frame suggestions within the SDG framework.

In an action plan from 2019, the government spells out five sectoral priorities: 1) education 2) health, 3) private-sector development, agriculture and renewable development, 4) climate change, the environment and the oceans, and 5) humanitarian assistance.

The government identifies four cross-cutting issues for its development policy: 1) human rights, 2) women's rights and gender equality, 3) climate change and the environment, and 4) the fight against corruption. Among these, gender equality is a top focus.

Norad Strategy beyond 2020 could not yet be found online.

#### Norway International Climate and Forest Initiative (NICFI)

The Norwegian government's commitment to climate change, the environment, and oceans is reflected in its substantial funding for the issue. One of its largest programs is the Norwegian International Climate and Forest Initiative (NICFI), under which it has pledged up to NOK3.0 billion (US\$369 million) per year to reduce deforestation. Norway is also a strong supporter of multilateral organizations for climate. The country increased its support to the United Nations' Environment Program (UNEP) in 2019, to NOK360 million (US\$44 million). In February 2020, the government announced a doubling of its annual contribution to the Green Climate Fund (GCF) between 2020 and 2023, reaching NOK800 million (US\$98 million) per year. The government has also allocated NOK517 million to it in 2020 (US\$64 million) to promote sustainable oceans and support measures to combat marine litter.

NICFI is under Climate Change and Environment, one of eight thematic areas. The other seven themes are: democracy and good governance, education, energy, global health, higher education and research, macroeconomics and public administration, and oil for development.

Other programs/priorities under the Climate Change and Environment thematic area: (i) fish for development; (ii) fisheries; (iii) food security; (iv) climate proofing; (iv) adaptation; (v) mitigation; and, (vi) Oslo Tropical Forest Forum: REDD+ Exchange.

NICFI is managed by the Norwegian Ministry of Climate and Environment (KLD). Support goes to a complex portfolio consisting of both bilateral agreements with large forest countries, large multinational organizations and civil society.

Norad manages significant parts of the NICFI funds (up to NOK 3 billion pledged) on behalf of the Ministry of Climate and Environment. Norad conducts guidance and quality assurance for the ministry and for embassies involved in the initiative. Norad also has a special responsibility for monitoring the developmental effects of the investment. Norad is responsible for the initiative's grant scheme for civil society.

### ASEAN presence

Norway is an ASEAN Sectoral Dialogue partner with the ASEAN Secretariat as its focal point. The 4th Meeting of the ASEAN-Norway Joint Sectoral Cooperation Committee was held last May 2019. Norway supports activities of the ASEAN Intergovernmental Commission on Human Rights.

Indonesia is one of NICFI's 8 focus countries. Other ASEAN countries supported are Vietnam and Myanmar. Funds are meant to support all three phases of REDD+.

The NICFI and NORAD websites are not that updated, latest information are only from 2016. There had been bilateral financing for REDD+ readiness in Indonesia and Vietnam. Recent information is about financing civil society projects covering 2016-2020. Grant recipients with presence in ASEAN are: WWF-Norway, Tenure Facility, Climate Advisers Trust, Ceres, Forest Peoples' Programme, AMAN and RRI (all in Indonesia), Forest Trends (Myanmar, Vietnam).

### Outlook

Norway's commitment to spend 1% of its GNI on development cooperation means that the increases in ODA volume are closely linked to Norway's economic growth.

In 2020, Norwegian ODA management was reformed to increase transparency and bring a clearer division of labor between different stakeholders. Norad, the Norwegian Agency Development Cooperation, was strengthened, with increased funding and extended remit.

Thematic priorities are likely to remain unchanged for the rest of the current government's term. In power since 2013, Prime Minister Erna Solberg will continue to head a coalition composed of her Conservative Party, joined by the Liberal Party and the Christian Democratic Party in 2018 and 2019. The next election is set to be held in 2021.

Indicative ministerial budget ceiling is set in March; budget details are determined from April to August.

### Policy Update Feb 2020

The Norwegian Agency for Development Cooperation (Norad) is merging the Department for Civil Society with the Department for Private Sector Development in order to enable the agency to view various grant programs more holistically. The merge is a part of the wider organizational reform of Norwegian official development assistance which came into effect on February 1, 2020.

In the spring of 2020, Norad will announce a call for strategic partnerships on business development and hopes to encourage cooperation between private sector and civil society actors. Norad, with its newly appointed Director-General Bård Vegar Solhjell, has identified the need for continued growth across the African continent and will, therefore, be focusing efforts on job creation there. Norad is urging Norwegian businesses to enter partnerships with local businesses in various African countries to join in on the efforts.

## GERMANY

Sources: [Donor Tracker](#); [IKI website](#); GIZ shared documents

### Funding Trends

Germany is the second-largest donor country, spending US\$23.8 billion (current prices) on official development assistance (ODA) in 2019. This corresponds to 0.60% of its gross national income (GNI), making it sixth-largest donor relative to the size of its economy.

Total ODA is expected to rise, due to Germany's global COVID-response. In June 2020, the German coalition government announced additional ODA-funds worth €3.0 billion (US\$3.5 billion) between 2020 and 2021, to be spent on global health measures, humanitarian assistance, and overall development cooperation.

German government has a strong preference for bilateral funding. In 2018, bilateral funding stood at 78% of total ODA (DAC average: 59%). This includes earmarked funding to multilateral organizations (13%), which is reported as bilateral ODA. Germany's preference for bilateral funding is driven by its two large government-owned implementing agencies, GIZ and the KfW Development Bank.

Germany channels only small shares of its bilateral ODA through non-governmental organizations (NGOs) (7%, DAC average: 18%) and through multilateral organizations (17%, DAC average: 23%). Only 22% of Germany's ODA is channeled multilaterally; however, earmarked funding to multilaterals has increased.

### Strategic Priorities

Germany frames its development policy under an overarching narrative of "fighting the root causes of displacement", with a focus on the Middle-East and North Africa (MENA).

Thematically, Germany's development policy is expected to maintain its focus on migration, forced displacement, food security, and climate protection. It is also likely going to continue targeting Africa and the MENA region.

The Federal Ministry for Economic Cooperation and Development (BMZ) sets development priorities. BMZ has been led by Development Minister Gerd Müller (CSU) since 2013. BMZ is organized across six directorates-general. The regional subdivisions allocate Germany's bilateral development assistance according to BMZ's strategy and priorities. Sectoral subdivisions formulate Germany's sector strategies, interface with multilateral development institutions, and advise on bilateral programs.

Programming of bilateral funding to partner countries is guided by regional strategies, which are developed by BMZ's regional divisions. Country strategies — developed for all priority countries — reflect the regional strategies and are created by country desk officers in cooperation with embassies, Germany's state-owned development agency (GIZ), and its state-owned development bank (KfW). GIZ and KfW operate under the political supervision of BMZ. Both play key roles in policy development, priority setting, and implementation. Bilateral cooperation with countries that are not classified as priority partners is based solely on the applicable regional strategy.

GIZ plans and executes Germany's technical cooperation with partner countries. GIZ also provides consulting services to BMZ's sectoral divisions through its 'sector initiatives' ('Sektorvorhaben'). KfW Development Bank leads on Germany's bilateral financial cooperation with partner countries. It receives funding from BMZ and raises own funds on capital markets using KfW's own resources.

## International Climate Initiative (IKI)

Since 2008 to 2019, IKI approved more than 730 climate and biodiversity projects with a total funding volume of EUR 3.9 billion in more than 60 countries.

Climate & Energy Themes: (i) Climate protection, climate adaptation; (ii) Renewable energy, energy efficiency; (iii) Sustainable urban development.

Partner countries are supported with IKI funding to help them implement and ambitiously develop their nationally determined contributions (NDCs) anchored in the Paris Agreement. The NDCs include measures to adapt to the impacts of climate change and increase resilience to its unavoidable impacts.

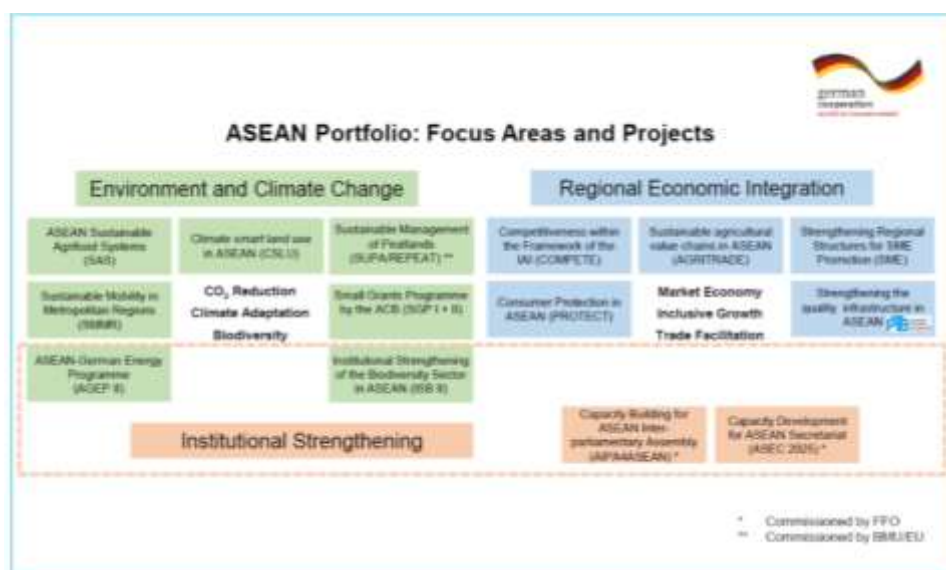
In the field of biodiversity, IKI supports partner countries in achieving the goals of the CBD to counteract the dramatic global loss of natural resources. The activities of IKI also contribute to the implementation of the 2030 Agenda for the United Nations' 17 Sustainable Development Goals (SDGs).

In the mitigation context, IKI supports partner countries in the development and implementation of innovative instruments to reduce their greenhouse gas emissions. The conceptual focus is on policy advice, capacity building and suitable training measures as well as technology cooperation. The goal is a transformation towards a sustainable and low-emission economy and supply structure.

The Nationally Determined Contributions (NDCs), in which the contracting states to the Paris Agreement formulate their reduction targets, are of great relevance for this purpose. In addition, Low Carbon Development Strategies (LCDS), National Appropriate Mitigation Actions (NAMAs), and Measurement, Reporting and Verification (MRV) systems, as well as mitigation activities, are being developed. Numerous projects continue to pursue the goal of mobilizing additional public and private capital for climate change. IKI projects focus on the increasingly important regional level in their implementation. By the end of 2017, more than 300 projects had been approved in the area of mitigation. These include so-called lighthouse projects, which are characterized by particularly high visibility in the partner countries and the international climate dialogue.

## ASEAN Presence

Germany is an ASEAN Development Partner and the ASEAN Secretariat serves as its focal point.



Source: GLZ, 2019

The ASEAN-German Development Portfolio has 14 regional projects with budgets ranging between EUR 1 and 18.6 million. Most have a three-year duration and are ending 2021. Germany has hundreds of personnel based in Jakarta and Philippines, mostly national staff. The ASEAN portfolio has around 40 staff.

Current direct partnership with ASEAN is through the € 4M grant for **ASEAN-REPEAT** - Strengthening Regional Experiences on Sustainable Peatland Management running from June 2018 to Jan 2023. Implementing partners include ASEAN, Ministry of Environment (KLHK) – Indonesia and Ministry of Natural Resources and Environment (NRE) – Malaysia, the pilot countries. The aim is to promote and scale up successful approaches in sustainable peatland management and contribute to implementing the ASEAN Peatland Management Strategy. EC approved € 14.6M to co-finance implementation of national strategies and action plans.

IKI Projects cover 9 of 10 ASEAN countries. Indonesia is the top individual country recipient, along with India and China. As of Sep 2020, on-going projects in AMS per map in the online [IKI database](#):

- Indonesia: 14 bilateral projects; 39 transnational projects
- Vietnam: 5 bilateral projects; 33 transnational projects
- Philippines: 7 bilateral projects; 21 transnational projects
- Thailand: 22 bilateral projects; 1 transnational projects
- Malaysia: 8 transnational projects
- Laos: 5 transnational projects
- Cambodia: 5 transnational projects
- Myanmar: 3 transnational projects
- Singapore: 1 transnational projects

Three projects report interface with ASEAN, one with WWF-Germany and two with ACB:

- Taking Deforestation out of Banks Portfolios in Emerging Markets implemented by WWF-Germany in Indonesia, Malaysia, Myanmar (Burma), Philippines, Thailand
- 2 projects with ASEAN Centre for Biodiversity (ACB)
  - Thematic Trust Fund – Capacity Development for IPBES via BES-Net and the Sub-Global Assessment (SGA) Network, € 4.5M from 01/2016 till 12/2020
  - Blue Solutions - Implementing the CBD Strategic Plan in the field of marine and coastal biodiversity, € 11.5M from 01/2013 till 9/2021

GIZ's Hanna Reuter is currently collaborating with the ASEAN Working Group on Climate Change (AWG-CC) under the ASEC Environment Division in the design of an ASEAN- German Climate Programme covering three years (Jul 2021 - Jun 2024) and a projected budget of EUR 3 million. The programme will focus on NDC implementation, climate change mainstreaming through private sector cooperation, and climate finance.

## Outlook

Germany is assuming the Presidency of the EU Council in the second half of 2020. Apart from focusing on the COVID-19 pandemic, Germany's priorities are going to be: 1) climate protection, 2) digitalization, and 3) global responsibility (predominantly around cooperation with Africa and China). The Federal Ministry for Economic Cooperation and Development (BMZ) plans to make fair and sustainable supply chains a key priority during Germany's EU Council Presidency.

The government's coalition treaty (2017 to 2021) lists the following development priorities: 1) fair trade, 2) Marshall Plan with Africa, 3) gender equality and education, 4) social and health systems, 5)

poverty eradication, 6) climate change mitigation and adaptation, and 7) fighting the root causes of flight and migration. Building on those, the Federal Ministry for Economic Cooperation and Development (BMZ) highlighted its three priority areas for the current legislative term (2017 to 2021): 1) displacement and migration, 2) climate change, and 3) agriculture and food security.

### Policy Update May 2020

In May 2020, Development Minister Gerd Müller presented a new strategy for German development cooperation which significantly reduces the number of Germany's bilateral partner countries. The 'Reformkonzept BMZ 2030' strategy represents the most fundamental reform in 12 years. With the new strategy, Germany will reduce its partnerships from around 85 to 60 countries. Future bilateral development cooperation will be concentrated on fewer countries that are willing to implement targeted reforms regarding good governance, human rights protection, and fighting corruption. For partners where BMZ bilateral cooperation will be terminated, funding will be intensified via multilateral and civil society channels. Amongst the strategy's key focus areas are agriculture, food security, and climate protection. In addition to core areas, BMZ plans to work on ten 'initiative themes', which will receive special attention for selected periods of time, depending on needs. They include global health, pandemic preparedness and One Health, family planning, and digitalization.

## SWEDEN

Sources: <https://donortracker.org/country/sweden>; <https://www.sida.se/English/>

### Funding trends

Sweden is the largest donor in proportion to the size of its economy. In 2018, the country spent 1.04% of its gross national income (GNI) on official development assistance (ODA). In absolute terms, Sweden is the sixth-largest donor country, spending US\$5.8 billion on ODA in 2018. Since 1975, Sweden has exceeded the United Nations' (UN) 0.7% target for the ratio of ODA-to-GNI. Since 2008, it has maintained its long-term commitment to spending 1% of its GNI on ODA. ODA levels are estimated to reach SEK50.7 billion in 2019 and SEK52.1 billion in 2020. This is an overall increase compared to 2018, when the ODA budget stood at SEK50.0 billion.

Sweden is the highest per-capita contributor to the Green Climate Fund and to the Global Environment Facility.

### Strategic priorities

Sweden's 2016 Aid Policy Framework is aligned with the Sustainable Development Goals (SDGs). It outlines eight focus areas: 1) human rights, democracy, and the rule of law, 2) gender equality, 3) the environment and climate change, 4) peace and security, 5) inclusive economic development, 6) migration and development, 7) health equity, and 8) education and research.

Gender equality and women's empowerment are central to Swedish foreign and development policy. Sweden was the first country to implement a Feminist Foreign Policy, starting in 2014.

Sustainable use of natural resources, marine resources, environment, and climate change are other key priorities. These feature in many new country strategies and their prioritization is reflected in Sweden's multilateral engagement.

### Climate Change and Environment

[2018-2022 Strategy Environmental Sustainability](#) has three goals: (i) Climate-resilient sustainable development; (ii) Environmentally sustainable development and sustainable use of natural

resources; (iii) Sustainable oceans and water resources. SEK 6.5 million was allotted to implement the strategy.

*Climate-resilient sustainable development* is focused on: (i) Preventing climate change and reducing emissions of greenhouse gases and air pollutants; (ii) Reduced vulnerability for people living in poverty and increased resilience to handle climate change and natural disasters; (iii) Sustainable energy systems based on renewable energy.

*Environmentally sustainable development and sustainable use of natural resources:* (i) Stronger protection and restoration, and sustainable management and use of land-based ecosystems, biodiversity and species, natural resources, including agriculture and forestry, and ecosystem services; (ii) Increased access to sustainable renewable energy at an affordable price for people living in poverty; (iii) Environmentally sustainable cities and communities; (iv) Greater access to basic services and housing in urban areas for people living in poverty; (v) Sustainable production and consumption patterns, including preventive chemical controls and waste management.

### ASEAN Presence

Ambassador of Sweden to ASEAN, Marina Berg, assumed her post in Feb 2019. In July 2019, six AMS Ambassadors to Sweden came together as the [ASEAN Committee in Stockholm \(ACS\)](#) and met the Swedish Minister for Foreign Trade to strengthen trade and investment flows, realizing that there are 600 Swedish companies operating in the region. Sweden is not on the list of [ASEAN's External Relations Coordination](#).

Sweden's presence in ASEAN countries is guided by the [Strategy for Sweden's regional development cooperation in Asia and the Pacific 2016-2021](#). Within Southeast Asia, focus countries are Cambodia and Myanmar.

Sida published a [Directory of Development Cooperation Initiatives in Asia-Pacific](#) which shows that Sida works by a variety of actors, such as: non-profit organizations that operate in multiple countries (International Union for Conservation of Nature, Forum-Asia, Asia Pacific Forum of Human Rights Institutions), UN organizations and the Asian Development Bank, Swedish organizations (the Stockholm Environment Institute, the Raoul Wallenberg Institute) and regional academic institutions. Examples of regional cooperation projects within SEA are:

- Mekong region [Core Environment Programme](#) with the Asian Development Bank, focused on better integration of environmental aspects in regional decision-making and development plans, management of biodiversity through rural development efforts, strategies for climate change and resilience and strengthen institutions for environmental sustainability.
- [Mangroves for the Future \(MFF\)](#) with IUCN
- ASEAN CSR Network, an accredited ASEAN entity that promotes responsible business conduct to promote a sustainable, equitable and inclusive ASEAN Community.
- ASEAN Parliamentarians for Human Rights to strengthen human rights and democracy regionally

According to Kriangkrai Thitimakorn, Senior Programme Officer for Environment and Climate Change, the Sida regional office in Bangkok is awaiting government instructions to start the process to update their regional strategy.

### Outlook

Following the general elections in September 2018, negotiations to form a government succeeded in January 2019. Social Democrats continue to lead a minority coalition with the Green Party and are

now supported by the Center and the Liberal Parties. Defining issues of the previous government, including the feminist foreign policy and the fight against climate change, will continue to be prioritized. All parties except the Sweden Democrats (far-right) and the Moderates (center-right) support the 1% GNI-to-ODA commitment.

Given their minority mandate, the government (Social Democrats and Green Party) is under pressure from the Center and Liberal parties, whose support it relies on. Democratic governance and human rights are central issues for the opposition parties. As a result, both topics are high on the government's development agenda and accordingly, may see increased funding.

## JAPAN

*Sources: Donor Tracker website, JAIF website, key informant interviews*

### Funding Trends

In 2019, Japan was the thirteenth-largest DAC donor relative to its gross national income (GNI), spending 0.29% of its GNI on ODA. Total ODA was US\$15.5 billion in 2019 (current prices), making it the fourth-largest donor country in OECD-DAC and the largest donor in Asia. Japan's ODA in 2019 was 7% higher than in 2018 (increasing from US\$14.2 billion to US\$15.2 billion, in constant 2018 prices).

Japan disburses large amounts of its ODA as highly concessional loans, 60% in 2018 which is nearly seven times greater than the DAC average of 9%. Most of Japan's ODA is channeled bilaterally (77% in 2018), well above the 59% average among OECD-DAC members in the same year.

Japan allocates the largest share of its bilateral ODA to infrastructure projects (35%, \$4.6 billion), then to the energy sector (14%, US\$1.9 billion) followed by multi-sector activities (9%, US\$1.2 billion), and water and sanitation projects (8%; US\$1.1 billion). In 2018, Asian countries received 57% of Japan's bilateral ODA overall, with Vietnam included in the top Asian recipients.

Even with its current emphasis on bilateral spending, Japan is the fifth-largest donor to multilateral organizations (US\$4.0 billion in core contributions in 2018). Moreover, this share is increasing, with 23% of gross ODA channeled through core contributions to multilaterals in 2018, compared to 18% in 2017.

Current projections and budget trends suggest Japan's total ODA is expected to grow between 2019 and 2020 by 3%. This is largely on trend with the budgets of previous years. Based on these figures, Japan's total ODA in 2020 is expected to reach approximately US\$15.7 billion, though these projections may change due to impact of the COVID-19 crisis on GNI.

### Strategic Priorities

Japan's long-term development objectives are defined in its Development Cooperation Charter, last updated in 2015. They include a strong focus on involving the Japanese private sector in development cooperation, particularly in Asia, to support sustainable and inclusive economic development in developing countries and to promote the national interests of Japan. Key priorities:

- [Free and Open Indo-Pacific](#): Supporting economic development in Africa and Asia and connectivity between these two regions;
- Global health: Expanding universal health coverage and investing more in managing infectious diseases through Gavi and the Global Fund; and

- Infrastructure: Enabling strong and sustainable growth through funding (primarily loans) for core infrastructure projects such as transportation, energy, and natural resource development.

### Climate change and environment

Japan's signature foreign policy initiatives often allude to sustainability, however they fall short of singling out the environment – particularly, climate change – as a primary area of concern. Official Japanese documents describing Tokyo's vision of a Free and Open Indo-Pacific (FOIP) emphasize the importance of rules and norms protecting “international public goods” and maintaining “economic prosperity” and “peace and stability.” As a public good indispensable to the region's long-term prosperity and stability, a clean and safe environment should fall within the natural confines of this framework. Instead, to date, the FOIP's commitments to freedom of navigation and trade appear to have taken precedence due to China's maritime grey-zone activities and other efforts to encroach on regional sea lanes of communication and commerce. (Source: [The Diplomat, 6 Nov 2019](#))

Recent actions by the Japanese Government strongly suggest that it has no intention in the foreseeable future of revising its “Highly Insufficient” 2016 Paris Agreement (NDC) target to a more ambitious one. The Japanese government declined the request to co-lead with Chile on the mitigation strategy workstream for the UN Climate Summit in September 2019. Nonetheless, Japan is the top contributor to the [Green Climate Fund](#) as of July 2020.

Japan has been a major funder of coal-fired power plants overseas, alongside China and South Korea. While Japan's public finance institutions haven't changed their stance on coal, the private sector is showing signs of change. An increasing number of financial companies and major trade corporations have announced at least a partial divestment from coal power.

Asian Development Bank (ADB) is one of Japan's primary vehicles for promoting sustainability. Through the ADB – where Japan is a top shareholder and Japanese officials consistently hold leadership positions – Tokyo helped raise nearly \$30 billion in climate financing for innovative technologies and projects supporting green growth between 2011 and 2018. Per the ADB's “Strategy 2030” released in 2018, the bank committed an additional \$80 billion over 12 years to mitigating climate change and disaster risk across the Asia-Pacific.

The government-affiliated Japan Bank of International Cooperation (JBIC) and Japan International Cooperation Agency (JICA) have been the other main executors of Tokyo's global push for sustainable development and capacity-building. Since 2010, JBIC has invested hundreds of billions of yen in high-tech “GREEN” projects addressing energy inefficiency and greenhouse gas emissions. JICA, meanwhile, contributes significant funding and technical expertise supporting environmental management, renewable energy, water conservation, and disaster reduction.

Japan has also used environmental issues to foster bilateral cooperation. For example, in 2015, amid political setbacks over historical issues, Japan, China, and South Korea participated in trilateral discussions regarding a five-year environmental action plan tackling climate change, air pollution, and chemical and other hazardous waste exposure. Japan has also used the climate issue-basket to strengthen cooperation with other like-minded governments, including the ASEAN member-nations, India, and the EU.

### ASEAN Presence

In 2007, Japan launched a recurring [Japan-ASEAN Dialogue on Environmental Cooperation](#), which paved the way for subsequent climate-focused bilateral mechanisms with Indonesia, Singapore, and

Vietnam. Japan has also spearheaded issue-specific summitry in Asia, including fora aimed at managing urban development, promoting sustainable transportation, controlling acid rainfall, and preserving migratory waterbird flyways in the Pacific and Indian oceans.

In 2018, Japan announced the launch of the [ASEAN-Japan Climate Change Action Agenda](#), as well as cooperative actions on marine plastic litter.

At the Japan-ASEAN Summit Meeting in Nov 2019, Prime Minister Shinzo Abe laid out Japan's plans to expand support for ASEAN countries in three areas: quality infrastructure development, green investment, and improving financial access and support for women. Foreign Minister Toshimitsu Motegi expanded upon these priorities in a foreign policy speech in December 2019, and announced that Japan aims to mobilize US\$3.0 billion in public and private funding in support of these priorities in the region, including US\$1.2 billion in overseas loans and investment by the Japan International Cooperation Agency (JICA) in ASEAN countries.

[ASEAN's "Outlook on the Indo-Pacific"](#) report in June identifies the UN Sustainable Development Goals (SDGs) as a "priority area of cooperation," underscoring the paramount focus Southeast Asia assigns to its environment-related alignment with Japan.

The [Japan-ASEAN Integration Fund \(JAIF\)](#) is managed by the ASEC Financial Management Division and monitored by a management team of 11 staff, half of whom are Japanese nationals. The JAIF Management Team helps AMS develop proposals and budgets and monitor implementation of ASEAN Member States (AMS).

JMT supports any project coming from AMS, then Japan does the screening. Average JAIF funding is \$200k with duration up to two years, which on average can support 3 workshops in one project. (\$1M funding is already considered large which JICA can absorb.) Japan can provide inputs in two stages in Project Management Cycle. First is when concept note is shared with Japan when concept may be declined. Second is during implementation when Japan can provide suggestions (e.g. inviting a Japanese resource person to a workshop). Projects are diverse, including SMEs, organic farming...

As JMT is based in the ASEAN Secretariat compound, the team gets to communicate with ASEC Divisions on a daily basis, even though they do not get to engage in meetings of ASEAN bodies. JMT also has 'attachment officers' who are young diplomats learning about regional cooperation and protocols. Many of them are assigned in Mekong countries, and some are serving in ASEC spread across the three pillars. Some alumni have become ambassadors to ASEAN, New York, Geneva.

For climate Change and environment support, ASEAN has 2 funding options – via JICA or JMT. If they want technical support, they can go to JICA. Japan also supports climate change through the environment sector body.

JAIF supports ACB almost annually. One project focused on taxonomy for nearly a decade. ASEAN Heritage Parks is the second project from ACB that Japan supported with around \$300k to support meetings, trainings and one-off projects.

Japan is a member of ASEAN Plus Three alongside Republic of Korea and PR China. Agriculture ministers of these three countries meet every year. These meetings include discussions on [ASEAN Plus Three Cooperation in Food, Agriculture and Forestry \(2016-2025\)](#) and also what other countries are doing to avoid duplication. Strategic Thrust 4 is on climate change mitigation and adaptation.

## Outlook

Japan's priorities for its 2019 G20 presidency included health, infrastructure, climate change, ocean plastic waste, digital economies, and aging societies. Japan's G20 Aichi-Nagoya Foreign Ministers' Meeting had three themes: free trade and global governance, Sustainable Development Goals (SDGs), and African development. Japan's focus on Asia is expected to continue due to the country's strong economic, diplomatic, and geographic ties to the region.

## REPUBLIC OF KOREA (ROK)

*Sources: Donor Tracker website; AFOCO website; informant interview*

### Funding Trends

South Korea is the 15th-largest donor country, spending US\$2.5 billion on ODA in 2019, corresponding to 0.15% of its gross national income (GNI) making South Korea the 25th-largest donor in proportion to the size of its economy.

South Korea focuses on regional neighbors. Eleven of South Korea's 24 priority countries are in Asia. Most of its ODA is channeled bilaterally. Based on OECD data, 63% or US\$1.6 billion was disbursed bilaterally in 2018, compared to OECD DAC average of 45%. A further 12% or US\$314 million was disbursed as earmarked funding to multilaterals. Loans and equity investments accounted for 41% of South Korea's bilateral ODA in 2018, more than four times the DAC average of 9%.

South Korea channels most of its bilateral grants and loans through its own implementing agencies (80% went through the public sector in 2018), mainly the Korea International Cooperation Agency (KOICA) and the Korean Export-Import Bank (Korea Eximbank).

### Strategic Priorities

South Korea's second Strategic Plan for International Development Cooperation for 2016-2020 prioritizes economic infrastructure, environmental policy, alignment with the Sustainable Development Goals (SDG), girls' health and education, and agricultural development. It also places a strong focus on transparency, accountability, and sustainability.

In 2018, South Korea committed US\$182 million of its bilateral allocable ODA to projects which targeted action against climate change as a principal objective, down from \$267 million in 2016.

According to the 2020 International Development Cooperation Implementation Plan, South Korea will focus its ODA spending in 2020 on five key sectors: transport, education, health, agriculture and fisheries, and industry and energy. The 2020 implementation plan calls for greater synergies between loans and grants, stronger partnership with civil society and international organizations, and increased investment in priority sectors, including humanitarian assistance.

### ASEAN Presence

Government has committed to doubling its ODA to member states of the Association of Southeast Asian Nations (ASEAN) by 2022 (compared to 2017 levels).

In 2012, the [ASEAN-ROK Partnership Fund](#) was set up with initial contribution from ROK government, which financed ASEAN-ROK Forest Cooperation (AFOCO) from 2012-2016. AFOCO subsequently expanded to other Asian countries to become Asian Forest Cooperation Organization (AFOCO).

## AFOCO

Since its establishment in 2012 as ASEAN-ROK forest cooperation, AFOCO has supported ASEAN Member States through 11 projects worth \$23.87 million. Five of these projects will run to 2025. Three of these ongoing projects are bilateral. Another 5 projects involving AMS are in the pipeline.

Projects	Duration	AMS	Amount (USD)
Establishment of Forest Genetics Center for Restoration of Major Timber Species in Cambodia	2016-2025	Cambodia	1,500,000
Rehabilitation and Development of Mangrove Forest Ecosystem in Thai Binh Province, Viet Nam	2016-2025	Vietnam	1,500,000
Establishment of AFOCO Regional Education and Training Center (RETC) in Myanmar	2016-2025	Myanmar	Nd
Village-based Forest Rehabilitation in Lao PDR	2016-2025	Lao PDR	1,500,000
Domestication of Endangered, Endemic & Threatened Plant Species in Disturbed Terrestrial Ecosystems in Malaysia & Thailand	2016-2022	Malaysia (lead); Thailand	1,200,000
Capacity Building on Enhancing Resilience to Forest Fire & Local Livelihood in CLMV countries	2020-	Cambodia, Lao PDR, Myanmar, Vietnam	
Registration of Small-Scale Private Forest Plantations	2020-	Cambodia	
Integrated Pest and Disease Management in Teak Plantations in Bago Region, Myanmar	2020-	Myanmar	
Model Forest for Livelihood Improvement of Forest Dependent Communities through Development of Community-based Enterprise & Forest Conservation	2020-	Myanmar	
Promotion of Vertical Integration in Wood Processing through People's Organizations in CBFM Areas	2020-	Philippines	
Improving Pinus caribaea Morelet for Plantation on Degraded Land in Viet Nam's Northern Mountainous Region	2020-	Vietnam	

## Outlook

Government pledged to increase ODA to 0.2% of GNI by 2020, however, it is not clear this will be achieved based on current trends. Government has committed to spending 0.3% of GNI on ODA by 2030. It seeks to diversify its activities by promoting public-private partnerships such as the Global Corporate Social Responsibility Program, which encourages the involvement of the South Korean private sector in development cooperation. Despite some debate within government about the risks of creating high levels of debt in partner countries through loans, the government intends to maintain a stable, high share of loans.

The government is developing its third Strategic Plan for International Development Cooperation (2021-2025). Publication is expected in late 2020. The new strategy will likely focus on achieving the SDGs and increasing the volume and effectiveness of South Korea's ODA, including provisions to improve synergies between ODA projects implemented by different agencies.

According to the 2021 International Development Cooperation Implementation Plan, priority sectors in 2021 will be the same as 2020, except for the addition of humanitarian assistance in the place of industry and energy.

Korea's International Cooperation Agency (KOICA) has established a committee to develop a New KOICA 2030 Transformation Plan. The committee is expected to make recommendations on KOICA's future strategic direction including defining KOICA's objectives and strategy to achieve the Sustainable Development Goals (SDGs) through ODA.

## PR CHINA

Source: [AidData](#) website; [UNEP](#); ASEAN and [APFNET](#) websites; key informant interview

China is considered a non-DAC donor as it operates outside the OECD's Development Assistance Committee (DAC). Estimates of AidData that tracks underreported financial flows place Chinese official finance was at \$354.3 billion between 2000-2014. Cambodia is the top ten recipients of ODA flows, having received \$3 billion. Laos is in the top ten recipients of other official flows (non-concessional) with \$11 billion. China has strong focus on infrastructure, with projects across energy, transportation and communications.

### Belt & Road Initiative

The Belt & Road (B&R) Initiative, a development strategy proposed by Chinese President Xi Jinping focuses on connectivity and cooperation. The land-based "Silk Road Economic Belt" and the ocean-going "Maritime Silk Road" will affect 4.4 billion people in over 115 countries. The aim is to strengthen infrastructure both on the westward land route from China through Central Asia and on the southerly maritime routes from China through Southeast Asia and on to South Asia, Africa, and Europe. The B&R initiative underlines China's push to take a larger role in the global economy, and the desire to coordinate manufacturing capacity with other countries. China says it will invest US\$4 trillion in B&R countries around the world, although it has not stated a timeframe for that investment.

The Chinese government places a strong emphasis on directing the Maritime Silk Road towards the Association of South East Asian Nations (ASEAN), through injecting Chinese capital and technological investment into ports, transport routes, and other infrastructure to allow for better facilitation of trade and investment within ASEAN. The 2019 Belt and Road Forum which took place in Beijing in April 2019 was attended by nine of the ten AMS Heads of State (Indonesia was represented by Vice President Jusuf Kalla). In Nov 2019, ASEAN and China issued a Joint Statement on [Synergizing the Master Plan on ASEAN Connectivity \(MPAC\) 2025 and the Belt and Road Initiative \(BRI\)](#).

With any such large-scale development comes significant environmental challenges. In addition to the immediate biophysical impacts, if Belt and Road investments lock countries into unsustainable infrastructure, technology, and resource extraction, this will create long-lasting negative environmental consequences. UNEP launched the Belt and Road Initiative International Green Development Coalition (BRIGC or The Coalition) during the 2nd Second Belt and Road Forum for International Cooperation to address growing concerns in B&R countries.

The [ASEAN-China Environmental Cooperation](#) Action Plan (2016-2020) was adopted by the Chinese Ministry of Environmental Protection and the ASEAN Ministers of Environment to focus on 9 priority areas: (a) Policy Dialogue and Exchange; (b) Environmental Data and Information Management; (c) Environmental Impact Assessment; (d) Biodiversity and Ecological Conservation; (e) Environmental Industry and Technology for Green Development; (f) Environmentally Sustainable Cities; (g)

Environmental Education and Public Awareness; (h) Institutional and Human Capability Building; (i) Joint research. Plan implementation is coordinated by the ASEC ENV Division, and progress is reported to the ASEAN Plus Three Environment Ministers Meeting. Climate action is not a strong focus of the cooperation, taken up only through policy dialogues in the context of sustainable cities.

## AIIB

The Asian Infrastructure Investment Bank (AIIB) is a Beijing-based multilateral development bank that aims to improve economic and social outcomes in Asia. The bank started operations in 2016 and currently has 103 members as well as 21 prospective members from around the world. China contributed around 30% of AIIB's \$100 billion capital, and holds 26% of votes. Eight infrastructure loans of 4 ASEAN Member States (Indonesia, Laos, Myanmar, Philippines) have been approved between 2016 and 2019.

In 2019, AIIB launched the [Asia Climate Bond Portfolio](#), a \$500 million fixed income portfolio to develop the climate bond market in AIIB members by identifying, analyzing and selecting 'climate champions' — issuers that are contributing to achievement of ambitions under the UNFCCC Paris agreement. Selection of climate champions will be based on the [Climate Change Assessment Framework](#) developed in partnership with Amundi to unlock climate aligned capital markets.

## APFNET

The Asia-Pacific Network for Sustainable Forest Management and Rehabilitation (APFNet) is a Beijing-based non-profit international organization dedicated to advancing sustainable forest management and rehabilitation in the Asia-Pacific region. APFNET emerged from the adoption of a proposal from China during the 15<sup>th</sup> APEC Leaders Meeting in Australia in 2007. The organization's framework document was jointly developed by China, Australia and the United States.

Although APFNET does not have direct engagement with ASEAN bodies, ASEAN countries are in its priorities. At project level, it has around 15 projects in ASEAN – 5 Cambodia, 2 Lao, 2 Myanmar, 2 Vietnam, 2 Bangkok, 2 Indonesia, 2 Malaysia. Some have already concluded and some ongoing. Most focused on forest restoration combined with community engagement to promote SFM at policy level in cooperation with FAO-RAP.

Policy dialogue entails promoting forest restoration, through communication or technology, information exchange e.g. facilitate the FPN - Forest Partnership Network. At the start, APFNET conducted minister level meetings in the region, including with ASEAN Member States.

Capacity building includes a scholarship program, thematic trainings for forestry officials, young scientists, and practitioners. APFNET puts great importance in cooperating with other organizations e.g. FAO-RAP, ITTO, RECOFTC to promote SFM and forest restoration.

## CANADA

Source: [Overview of ASEAN-Canada Dialogue Relations](#), Apr 2020; IMFN website

Canada, as an ASEAN Dialogue Partner, is party to a Joint Declaration on [ASEAN-Canada Enhanced Partnership](#) with a Plan of Action for implementation from 2016-2020. Actions related to land use include:

- Supporting and enhancing cooperation in implementing the ASEAN Integrated Food Security (AIFS) Framework, the Strategic Plan of Action on Food Security in the ASEAN Region (SPA-FS) 2015-2020, and the Comprehensive Framework for Action of the High Level Taskforce on World Security Crisis.

- Exploring the possibility to support the implementation of the “ASEAN MultiSectoral Framework on Climate Change: Agriculture, Fisheries and Forestry towards Food Security (AFCC)
- Exchanging knowledge and experience as well as technology transfer on sustainable agriculture and forest management practices, including but not limited to, economic diversification, climate change, and governance;
- Enhancing cooperation on research and development on food, agriculture, forestry and fisheries, including technical assistance and support
- Supporting implementation of the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) Work Programme and the work of the ASEAN Coordinating Centre for Humanitarian Assistance on disaster management (AHA Centre)
- Supporting the work of the ASEAN Centre for Biodiversity (ACB)
- Support implementation of ASEAN Minerals Cooperation Action Plan (AMCAP) 2016-2020
- Stepping up cooperation for Micro, Small and Medium Enterprises through the Canada-Organisation for Economic Cooperation and Development (OECD) Project on ASEAN MSMEs (COPAS) amounting to CAD 11.9 million to enable MSME development in ASEAN.

Progress in implementing the Plan of Action is reported at the annual ASEAN Post Ministerial Conference (PMC+1) to the Joint Coordination Committee (JCC) and the ASEAN-Canada Dialogue.

#### RMFN-Asia

[Regional Model Forest Network—Asia \(RMFN-Asia\)](#) is a regional initiative that brings people together to help them sustainably manage their landscapes. The network currently consists of stakeholders from 10 Model Forests - landscapes that represent a range of values and issues in a geographic area encompassing forests, agricultural land, rivers and lakes, towns and cities, protected areas and other landscape features. These sites adhere to Model Forest approach comprising six principles – (i) partnership, (ii) landscape, (iii) commitment to sustainability, (iv) governance, (v) program of activities, (vi) knowledge sharing, capacity building, networking. The principles are based on flexible landscape and ecosystem management that combines the social, environmental and economic needs of local communities with the long-term sustainability of large landscapes. Five ASEAN countries host three of these 10 Model Forests (Philippines, Thailand, Indonesia, Cambodia, Vietnam).

RMFN-Asia is supported by the [International Model Forest Network](#) established in 1995 with secretariat based in Canada. With a Chair based at the Royal Forest Department in Thailand, RMFN-Asia developed its [Strategic Plan 2020-2024](#) identifying poverty alleviation, livelihoods and food security, forest restoration and biodiversity conservation, water security, landscape governance, climate change and gender equity and equality as priority focal areas.

#### United States

Source: [Overview Of ASEAN-United States Dialogue Relations](#), Nov 2019; [USAID](#) website

US was among the first Dialogue Partners to appoint its dedicated Ambassador to ASEAN and establish a Mission to ASEAN in 2010, as part of acceding to the Treaty of Amity and Cooperation in Southeast Asia (TAC).

The Plan of Action to implement the [ASEAN-U.S. Strategic Partnership 2016-2020](#) is mainly focused on trade, information and communication technology, and political security. It discusses support for SMEs, youth, and disaster management in the context of enhance economic competitiveness. There

is no mention of climate, environment or sustainable development. The [33rd U.S.-ASEAN Dialogue](#) in Aug 2020, focused on advancing ASEAN-US Strategic Partnership in securing a free and open Indo-Pacific region.

US implements through its US Agency for International Development (USAID). USAID is currently supporting the ASEAN-USAID Partnership for Regional Optimization with the Political-Security and Socio-Cultural Communities ([PROSPECT](#)) from 2018-2023, which builds on its predecessor project, ASEAN-U.S. PROGRESS. The project supports ASEAN to address transnational challenges, promote transparent and effective governance, and to elevate the rights and opportunities for women and other vulnerable groups. PROSPECT is based in Jakarta, near the ASEAN Secretariat. Other than this regional project, USAID engagement is generally at the bilateral level with AMS.

USAID finally has a [Policy on Promoting the Rights of Indigenous Peoples](#), launched in August 2020.

USAID has 14 multi-country projects within Southeast Asia, 9 of which focus on environment, particularly the Mekong region (4 projects).

#### Environment

1. SERVIR-Mekong
2. USAID Mekong Safeguards
3. Smart Infrastructure for the Mekong
4. USAID Clean Power Asia
5. USAID Wildlife Asia
6. USAID Green Invest Asia
7. Partnerships for Enhanced Engagement in Research
8. USAID/RDMA Asia EDGE - Enhancing Development and Growth through Energy
9. U.S.-Asia Gas Partnership

#### Economic Growth and Vulnerable Populations

1. USAID Asia Counter Trafficking in Persons
2. USAID Thailand Counter Trafficking in Persons
3. Gender Equality and Female Empowerment
4. Engaging Youth as Partners
5. Engaging Regional Institutions

The [Project on Engaging Regional Institutions](#) under the theme Economic Growth and Vulnerable Populations provided opportunity for US to engage with the following ASEAN bodies and platforms: (i) ASEAN Secretariat on Sustainable Aquaculture and Fisheries; (ii) ASEAN Convention on Trafficking in Persons. (iii) ASEAN Working Group on the Convention on International Trade in Endangered Species of Wild Fauna and Flora and Wildlife Enforcement; (iv) ASEAN Inter-Parliamentary Assembly. (v) ASEAN Center for Energy; (vi) ASEAN Banking Association; (vii) newly-created ASEAN Coordinating Center for Animal Health and Zoonoses; (viii) ASEAN Sectoral Working Group on Livestock.

## MULTILATERAL PARTNERS

### UN-REDD

*Source: UN-REDD website; informant interview*

FAO, UNEP, UNDP are the collaborating UN agencies of the UN-REDD Programme, financed through a multi-party trust fund currently at \$280 million. A number of donors contributed to the Programme during its first phase (2008-2015), with the Government of Norway providing a significant portion of the funds. Other donors included the governments of the European Commission, Denmark, Japan, Luxembourg and Spain. The Government of Switzerland joined in 2016 with a contribution to the second phase (2016-2020).

UN-REDD Phase 2 will be extended for one year, to give time for the design of its third phase covering five years. The earlier phases invested a lot in REDD+ strategy and capacity development, including for monitoring, verification and reporting (MRV). Current focus is working with provincial governments and stakeholders to manage climate investments coming in over the long term.

Norway is using UN-REDD to channel specific investments e.g. Mekong countries where UN-REDD is developing implementable national forest certification standards, regional dialogues to ensure consistency and compatibility within the region, and using ASOF as an ASQCC (ASEAN quality and standards). Norway also provided \$1M for incorporation of mangroves in REDD+ strategy. This will allow UN-REDD to intensify MRV for mangroves, to help reach contribution to reduced emissions and also implement existing revised guidelines for district forest management planning where mangroves are at risk. Japan also has similar investment in UN-REDD for particular areas.

Phase 3 will likely focus on helping countries connect with climate finance such as GCF as well as with private companies looking to invest in forest-based climate results, such as Shell, Unilever, and Disney. Investors are looking for countries with relative political stability. Shell is already investing in Sarawak and Palawan.

UN-REDD sees that GCF has a big role in ensuring macro policies are in line with implementation to change practices on the ground. For example, a GCF 7-year project in Nepal worth \$30million involves a landscape approach with 85% national execution - small river basins and ecosystem restoration plans to change the way government institutions plan their investments in rural development, agriculture, forest and land use. Investments will be in measures that reduce erosion & siltation, soil stabilization, improving forest management. UN-REDD will manage \$5.5 million of this budget.

### FAO-RAP

*Source: FAO website; informant interview*

The Food and Agriculture Organization of the United Nations Regional Office in Asia-Pacific (FAO-RAP) as a whole has a work plan with ASEAN, covering a huge list of themes far beyond forestry, including food security, agroforestry, disaster management, collaboration with Grow Asia on responsible investments. A ministerial meeting is being planned subsequent to a preparatory dialogue among AMS on covid-19 and its impacts, to ensure that agriculture is part of planning for response and recovery.

FAP-RAP Natural Resources and Environment Section has helped to enhance the visibility of ASEAN in the region's forestry sector, through making the AWG-SF one of the Stream Leaders that co-

organized the 3<sup>rd</sup> and 4<sup>th</sup> Asia-Pacific Forestry Week in 2016 (Philippines) and 2019 (South Korea). This also provided AWG-SF and ASFCC partners opportunity to practice and learn lessons in multi-stakeholder collaboration.

FAO-RAP's recent activity with AWG-SF is the Technical Cooperation Programme (TCP) wherein FAO is providing \$367,000 to help advance the ASEAN agroforestry guidelines from Nov 2019 to Mar 2021, in collaboration with ICRAF. Country activities in Myanmar, Laos, Cambodia are to set up structures and institutional mechanisms to promote agroforestry – with forestry people, agriculture people and other units in government, plus capacity building at national level. ASEAN regional component is to create exchange agroforestry mechanism knowledge hub at ASEC.

The FAO-RAP is in the process of developing a 10-year strategic plan that aligns with the Decade of Action (2020-2030) focusing on landscapes and livelihoods through two thematic clusters: (i) restoration and (ii) value chains.

APFW improved the visibility and engagement of ASEAN in multi-stakeholder platforms

## GEF

*Source: informant interview*

The Global Environment Fund (GEF) is in its 7<sup>th</sup> cycle. GEF realizes that socio-economic landscapes do not stand as islands, so the Food Systems, Land Use and Restoration Impact Program (FOLUR) is a global program that gets together multiple sectors, ministries, and looks at ecosystem flows across the landscape.

In Asia, FOLUR is awaiting approval of GEF Secretariat under the 7th cycle. FAO-RAP is talking with World Bank about designing a \$1M-\$3M regional mechanism and knowledge management system under FOLUR that links to the global program.

There are two other GEF funding windows for AMS. First is for GEF Star projects, but most funds are already allocated in the region. The second is the GEF Capacity Building Initiative for Transparency (CBIT), a program consisting of 8-9 projects of \$1M each including integrated land management in Thailand, Cambodia, Vietnam.

Another window for AMS is the World Bank Green Finance which looks at water accounting systems to advise infrastructure projects.

## GCF

*Source: [GCF website](#); informant interviews*

Green Climate Fund (GCF) is a fund established within the framework of the UNFCCC as an operating entity of the Financial Mechanism to assist developing countries in adaptation and mitigation practices to counter climate change. The GCF is based in Incheon, South Korea.

GCF projects focus on mitigation (e.g. energy generation and access, energy efficiency, transport, buildings, cities, industries and appliances, land use/forestry, and institutional and regulatory systems); adaptation (e.g. enhancing livelihoods, health and well-being and food and water security, infrastructure and built environment, ecosystems and ecosystem services, climate information/ early warning systems, and awareness strengthening and climate risk reduction), and cross-cutting issues.

GCF REDD+ funding is being mobilized to implement strategies that involve activities to promote sustainable forest management. The potential money through REDD+ should have support for anything to reduce emissions, including fire management.

#### ASEAN Countries with GCF projects

AMS	NDA (Ministry)	No. Projects	Total GCF Financing	No. Readiness Activities	Readiness Support (USD million)	
			(USD million)		Approved	Disbursed
Brunei	none	-	0	-	-	-
<a href="#">Cambodia</a>	Environment	1	40	6	1.000	0.772
<a href="#">Indonesia</a>	Finance	3	212.9	2	2.000	1.200
<a href="#">Lao PDR</a>	NR & Env	2	28.0	7	3.000	1.600
<a href="#">Malaysia</a>	Env & Water	-	-	2	1.000	0.592
<a href="#">Myanmar</a>	Env & Forest	-	-	5	5.000	3.000
<a href="#">Philippines</a>	CC Comm.	1	10.0	3	2.000	0.314
<a href="#">Singapore</a>	CC Sec.	0	0	0	0	0
<a href="#">Thailand</a>	NR & Env	-	-	6	5.000	1.100
<a href="#">Vietnam</a>	Planning & Investment	3	146.0	2	2.000	0.270
<b>Total as of Sep 2020</b>		<b>10</b>	<b>436.9</b>	<b>33</b>	<b>21.000</b>	<b>8.848</b>

SECO, working with GCF, see much increased interest in regional approaches. Even GCF is transitioning from a phase of country support towards moving to scale, but there is dead gate in implementation due to covid.

GCF Readiness Fund is supportive of a multi-country approach but focal points are hard to reach and National Designated Authorities are hard to influence in giving up their readiness allocation.

## World Bank – FCPF Carbon Fund

Sources: [FCPF website](#); informant interviews

The Forest Carbon Partnership Facility (FCPF) is a global partnership of governments, businesses, civil society, and Indigenous Peoples focused on reducing emissions from deforestation and forest degradation, forest carbon stock conservation, the sustainable management of forests, and the enhancement of forest carbon stocks in developing countries, activities commonly referred to as REDD+.

FCPF works with 47 developing countries across Africa, Asia, and Latin America and the Caribbean, along with 17 donors that have made contributions and commitments totaling \$1.3 billion, one of the biggest funding windows for REDD+. SECO contributes \$10M to FCPF, representing 10% of Swiss commitment.

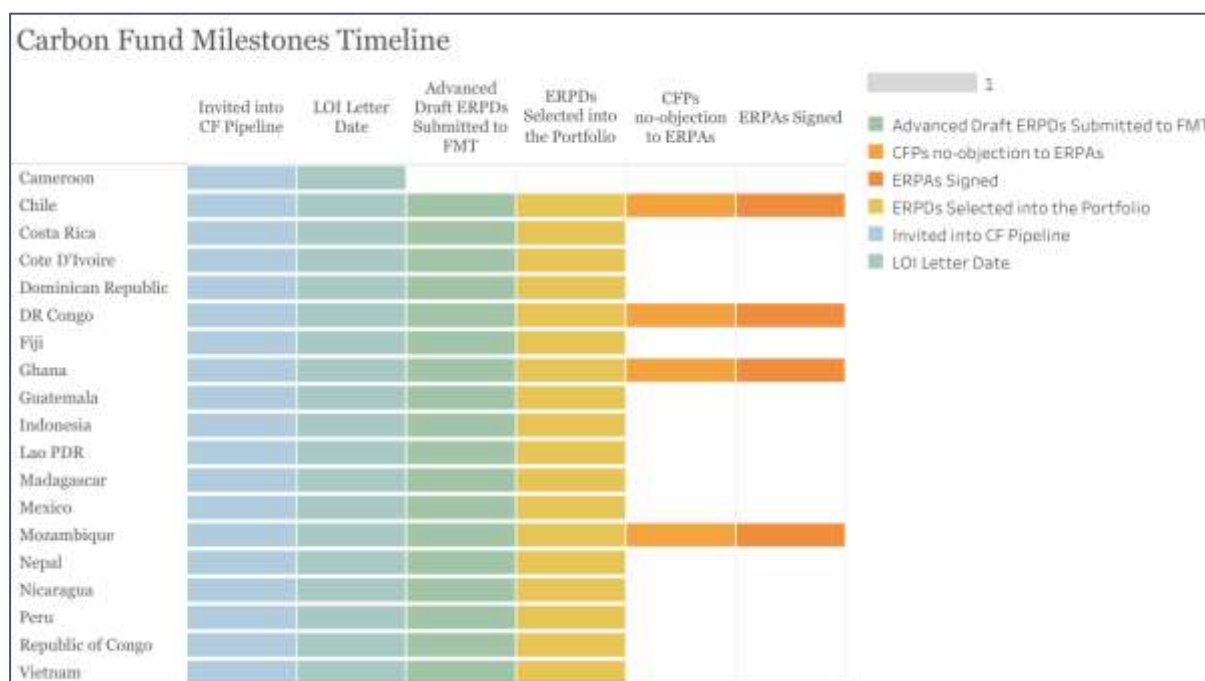
The FCPF supports REDD+ efforts through its Readiness and Carbon Funds.

The Carbon Fund is set up to pilot incentive payments for REDD+ efforts in developing countries. FCPF participant countries that have made significant progress in their REDD+ readiness endeavors

may be selected to participate in the Carbon Fund. The Carbon Fund remunerates participant countries in accordance with negotiated contracts for verifiable emission reductions (ERs).

Countries are nearing signing of ERPAs - Emission Reduction Purchase Agreements. Payments will take place this year after long time of negotiations and development of ER plans.

ASEAN countries participating in FPCF are Indonesia, Lao PDR, and Vietnam. All three countries are at a stage where their Emission Reduction Program Documents (ERPD) have been selected into the portfolio. They still have two more steps to go before they can receive payments.



Source: <https://www.forestcarbonpartnership.org/carbon-fund-dashboard> accessed 18 Sep 2020. Data as of Mar 2020.

## ADB – Forest Investment Program

Sources: Websites of [ADB](#), [Climate Investment Funds](#), [Green Climate Fund](#)

ADB works in many areas to address climate change. Each regional department has a regular staff occupying the position of Climate Change Specialist. The Southeast Asia Regional Department (SERD) works with ASEAN Member States. The Sustainable Development and Climate Change Department provides further technical support to regional departments, and represents ADB in Rio Conventions.

ADB's main focus and expertise on climate change are in: clean energy, sustainable transport and urban development, land use and forests for carbon sequestration, climate resilient development, as well as strengthening related policies, governance and institutions.

ADB is one of five multilateral development banks managing the [Climate Investment Funds \(CIF\)](#), an \$8 billion fund established in 2008 with contributions from [14 donor countries](#) in support of scaling up mitigation and adaptation action, currently in 72 developing and middle-income countries. UK, US and Japan are the top three contributors.

The CIF has four funding windows: (i) Clean Technology Fund; (ii) Forest Investment Program; (iii) Pilot Program for Climate Resilience; (iv) Renewable Energy in Low-Income Countries. ADB is

managing projects in six ASEAN countries ([Cambodia](#), [Indonesia](#), [Lao PDR](#), [Philippines](#), [Thailand](#), [Vietnam](#)). Most projects in these countries are under the Clean Technology Fund. World Bank and International Finance Corporation (IFC) are also implementing distinct projects in these countries.

Under the CIF [Forest Investment Program](#), ADB is implementing projects with landscape approaches in two ASEAN countries - Indonesia and Lao PDR.

- Indonesia: [Community-Focused Investments to Address Deforestation and Forest Degradation](#) (2016-2022). This \$17 million project will promote inclusive growth and environmental sustainability by investing in community-focused REDD+ activities (e.g., community-based land use planning, community-led forest monitoring and forest fire management, community-assisted forest regeneration and maintenance, community-based eco-tourism) in selected districts and/or forest management units (FMUs) to address deforestation drivers such as illegal logging, forest conversion to agriculture, and uncontrolled fires. The project is being implemented in West Kalimantan aiming to reach 17 villages in 2 Districts (Kapuas Hulu and Sintang), and strengthen capacity of district and provincial governments, provide policy support to harmonize sub-national policies for carbon stock enhancement with national policies, and establish non-monetary incentives, safeguard systems and equitable and gender-responsive benefit sharing arrangements.
- Lao PDR: [Protecting Forests for Sustainable Ecosystem Services](#) also started in 2016, provides \$12.84 million co-financing for the Greater Mekong Subregion (GMS) Biodiversity Conservation Corridors (BCC) Project also implemented by ADB. Target outputs are: (a) institutions and communities strengthened for biodiversity corridor management and ready to implement REDD+; (b) biodiversity corridors restored, ecosystem services protected, maintained and REDD+ ready; (c) livelihoods improved and small-scale infrastructure support provided in target villages. Within the BCC project framework, the AF activities will be implemented in 21 new villages in Phouvong district of Attapeu province and Dakcheung district of Sekong province.

## EU-FLEGT

*Sources: Websites of [European Commission](#), [European Forest Institute \(EFI\)](#), informant interview*

The European Union Forest Law Enforcement, Governance and Trade Action Plan (or EU FLEGT Action Plan) is a European Union initiative adopted to address illegal logging and the social, economic and environmental harm it causes. The [EU Timber Regulation](#) that moves this plan is being implemented in 24 of 28 EU Member States. In 2005, the FLEGT Regulation empowered the European Commission to negotiate bilateral trade deals called Voluntary Partnership Agreements with timber-exporting countries. Under a VPA, the partner country agrees to export only legal timber products to the EU, while the EU agrees to give verified legal ('FLEGT-licensed') timber products automatic access to the EU market. VPAs are also intended to strengthen forest governance in timber-exporting countries by improving transparency, accountability and stakeholder participation. The core of each VPA is the description of a timber legality assurance system the partner country will implement to verify the legality of timber products and issue verified legal products with a FLEGT license.

The European Forest Institute coordinates the EU-FLEGT Facility. In Asia, all except China are ASEAN Member States (Indonesia, Laos, Malaysia, Thailand, Vietnam, Myanmar).

VPA is already being implemented in [Indonesia](#). This is the only functioning VPA, it is a national system. FLEGT licensing started in 2016. Lots of community plantations are being certified. When it comes to natural forest, much more difficult because harvest is not the same, also not quite productive as a plantation so not worth certifying. Lots more potential to support CF in Indonesia but there are different systems and islands.

[Vietnam](#) is moving towards FLEGT licensing. Few more years to go for VPA negotiations, but in terms of CF i.e. community plantations or farmer groups, it is not so clear what Vietnam intends to do. Teams on both sides are changing and there are issues hampering the process.

[Malaysia](#) does not have a VPA, negotiations stalled in 2014. Sarawak Peninsula and Sabah have developed their own timber legality system. Some were developed during the VPA negotiations but were not completed, then different entities continued developing though not recognized by EU. Not sure if there are CF included in the entities.

[Laos](#) is progressing slowly, they have a legality definition of which #4 is village forestry. There is an issue on definition for village forest timber because first government wants village timber for subsistence, but now warming towards village timber for production. There is renewed interest in village use forestry so village timber is being put on the negotiation table.

[Thailand](#) - FAO is supporting RECOFTC to discuss timber production in public land. They have different types of agreements in Thai names. Villages have been given access to public land to plant trees, but hard for people to harvest anything. So in VPA negotiation, they want to identify whether they can harvest. Like in Laos, public land management system is being put on table, for people to put legal timber from public land. Natural forest is off limits in Thailand. Plantation and rubber might be able to produce legal timber from public areas. System is not so clear cut like in Indonesia.

[Myanmar](#) – VPA system was dropped but supporting SOPs for legal timber production from CF areas, to be a source of legal timber. While CF is not part of the VPA process and not supported by VPA negotiations, it is growing in support from the Forest Department. Forest department can now recognize CF groups outside of gazette land that are under Forest Dept and into virgin public lands under Ministry of Agriculture that are being converted.

The following countries are not part of EU-FLEGT Facility. Even if there are no VPA negotiations happening in these countries, the FAO FLEGT program that works in partnership with EFI in Asia is supporting these countries in FLEG related matters.

Cambodia – No VPA negotiation but FAO supports Forest Administration to develop the legal framework for timber harvesting in CF. Hoping to harvest in 2021. DG is in favor of this but when we submitted to ministry and cabinet, they say no commercial harvesting from CF until 2022, though they are still allowing pilots to go ahead.

Philippines – No VPA negotiation. Seven of 8 Industrial Forest Management Agreements (IFMA) are not interested in renewing their license. FAO is trying to support the renewal of CBFMA. A lot are expiring and for them to be renewed, they would need to get a certificate of Free Prior Informed Consent (FPIC) from indigenous communities in the area. FPIC is challenging for CBFMA people's organizations as it is expensive to organize with the National Commission of Indigenous Peoples, and they do not have revenues. FAO is working in the CARAGA region.

FAO is 'surfing the VPA wave' because it is about timber sources and creating clarity of legality. If we put community timber on the list, we are pushing government to allow this to happen. It is a good instrument to trigger harvesting for communities. Even when there is no VPA, sometimes it also

works for SF because it is always on the agenda like Myanmar, Cambodia, Philippines. It works because stakeholders are always asking for it. Still, EU is also pushing to have VPA as well.

## ITTO

Sources: [ITTO website](#), informant interview

The [ITTO Strategic Plan](#) (2013-2018) has been extended twice (through 2019 due to lack of funds to develop a new one, and through this year because of COVID). The next one will be developed later in 2020 and probably approved next year if COVID allows. Funding to do it was received at end of 2019 but it is hard to recruit consultants and convene necessary panel, a lot more of the work needed than for previous Action Plans, as process will probably have to be done remotely/virtually. There is a complicating factor that the ITTA 2006 first period in force expires in Dec 2021. It can be extended for another 8 years or so and probably will be, but if they decide to start renegotiation anytime soon a new Action Plan could be superseded by a new ITTA.

The key thrusts of ITTO these days is to try and establish “Legal and Sustainable Supply Chains”. Germany provided a couple million euros for ITTO to work with Chinese companies on this. This is really a continuation of what ITTO has been doing since its inception, trying to promote the trade of tropical timber from sustainable sources, and build capacity to deliver on that.

ITTO also has significant work programs on: independent monitoring of FLEGT licensed (or supposedly soon to be licensed) timber into the EU; management of CITES listed tree species; FLR in the tropics; ongoing work on stats/transparency.

Projects under the ITTO Biennial Work Program:

- on-going regional project to improve teak management in Mekong countries and promote markets for resulting products (funded by Germany).
- activity to look at incentives for SFM in the tropics (Cambodia, Malaysia, Thailand and Vietnam in Asia); this is ending soon.

ITTO does not have any direct engagement with ASEAN (thru ASEAN working groups or other bodies), even though given the overlap in membership (all but Brunei, Laos and Singapore are ITTO members), one would think there would be more engagement than has actually been the case. ITTO provided input to one meeting organized by the ASEAN Regional Knowledge Network on FLEG around 2005, but no interactions after that. There is an impression that the principle of “non-interference” in the affairs of other countries is pretty strong in ASEAN, so that probably precludes against any formal tie ups with multi-lateral outfits like ITTO for any activities that would have a chance of having meaningful impacts.

[ITTO project search portal](#) contains eight operational projects with 4 ASEAN countries, and 6 projects pending finance. ITTO Expert Panel will review these (virtually) by end of August. Some projects aim to relate to social forestry or landscape management.

AMS	Operational	Pending Agreement	Pending Finance
Brunei	Non-member		
Cambodia	<a href="#">1</a>	0	<a href="#">1</a>
Indonesia	4	0	3
Lao PDR	Non-member		
Malaysia	0	0	0
Myanmar	1	0	1
Philippines	1	0	1
Singapore	Non-member		
Thailand	0	0	0
Vietnam	1	0	0
<b>Total</b>	<b>8</b>		<b>6</b>

### ITTO Operational Projects in ASEAN Member States

1. CAM: Sustainable Forest Management Through REDD+ Mechanisms In Kampong Thom Province, Cambodia (\$485k)
2. INO: Capacity Building On [Forest And Land Fire Management](#) In Indonesia
3. INO: Developing Supply Capacity Of Wood-Based Biomass Energy Through Improved Enabling Conditions And Efficient [Utilization Of Degraded Forest Lands Involving Local Communities](#) In North Sumatra Province Of Indonesia
4. INO: Accelerating The Restoration Of Cibodas Biosphere Reserve (Cbr) Functions Through Proper [Management Of Landscapes](#) Involving Local Stakeholders
5. INO: Initiating The Conservation Of Cempaka Tree Species (Elmerrillia Spp) Through [Plantation Development With Local Community](#) Participation In North Sulawesi, Indonesia
6. MYA: Capacity Building for Strengthening Transboundary Biodiversity Conservation of the Taninthayi Range In Myanmar (\$154k)
7. PHI: Development And Testing Of [National Forest Stock Monitoring System](#) (FSMS) With Improved Governance Capabilities At All Levels Of The Forest Administration (\$788k)
8. VIE: Increasing Efficiency Of Acacia Plantation And [Timber Processing Industry](#) In Vietnam (\$146k)

### ITTO Projects Pending Finance in ASEAN Member States

1. CAM: Enhancing Capacity Of Local Communities And Forest Administration To Effectively Implement [Community Forestry Programme](#) (CFP) In Kratie And Monduliri Provinces Of Cambodia (\$596k)
2. INO: Developing Gender Sensitive, [Community-Based Bamboo Industry Development](#) To Support Sustainable Bamboo Resource Management And Conservation In Lake Toba Catchment Area (LTCA) Of The North Sumatra Province Of Indonesia (\$603k)
3. INO: Exploring Innovative And Appropriate [Tenure Conflicts Resolution](#) Model On State Forest For Strengthening Forest Management Unit (Kesatuan Pengelolaan Hutan/KPH) In Implementing Sustainable Forest Management (\$1.67 million)
4. INO: Enhancing The Implementation Of [Landscape Management](#) Of Giam Siak Kecil-Bukit Batu Biosphere Reserve (GSK-BR) In Riau Province Of Sumatra Island, Indonesia (\$843k)
5. MYA: Capacity Building for Strengthening [Transboundary Biodiversity Conservation](#) of the Taninthayi Range In Myanmar Stage 2, \$1.38 million

6. PHI: Enhancing Socio-Economic Development And Environmental Protection Through Comprehensive [Bamboo And Rattan Programme in ASEAN Member Countries](#), \$146k

## Others

Plan of Action to Implement the Joint Declaration on Comprehensive [Partnership between ASEAN and the United Nations](#) (2016-2020)

ASEAN-UN Joint Strategic Plan of Action on [Disaster Management](#) (2016-2020)

## Annex 20 – ASEAN Member States First NDC Adaptation and Mitigation Priorities in Agriculture

Country	Metric	Financial Conditionality	Adaptation measures related to agriculture, food security and nutrition			
			Agriculture and Food Systems			
			Sub Sector	Land Use	Management Activity	Description
Brunei Darussalam	Non-quantified	Unconditional	NA	NA	NA	Perform hydrogeological synthesis and assessment of water resources in difficult or vulnerable areas
Brunei Darussalam	Non-quantified	Unconditional	NA	NA	NA	Development and optimization of water resource allocation, implementation of strict water management regulations and utilization of unconventional water resources such as recycling of used water and harvesting rain water and flood water
Brunei Darussalam	Non-quantified	Unconditional	NA	NA	NA	National Water Security Plan to employ water storage and rainwater harvesting, water conservation practices, efficient irrigation, and other water efficient technologies.
Brunei Darussalam	Non-quantified	Unconditional	NA	NA	NA	Transferring water from water-abundant regions to water-deficient areas
Cambodia	Non-quantified	Combined	Aquaculture	NA	Aquaculture management	Promote aquaculture production systems and practices that are adaptive to climate change
Cambodia	Non-quantified	Combined	General agriculture	Agricultural land	CSA	NA
Cambodia	Non-quantified	Combined	Crops	Cropland	Plant management	Develop crop varieties suitable to Agro-Ecological Zones (AEZ) and resilient to climate change
Cambodia	Non-quantified	Combined	General agriculture	Agricultural land	Integrated water management	Develop and rehabilitate the flood protection dykes for agricultural and urban development
Cambodia	Non-quantified	Combined	Water	Cropland	Irrigation and drainage	Developing climate-proof tertiary-community irrigation to enhance the yields from agricultural production of paddy fields

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Country	Metric	Financial Conditionality	Adaptation measures related to agriculture, food security and nutrition			
			Agriculture and Food Systems			
			Sub Sector	Land Use	Management Activity	Description
Indonesia	Non-quantified	Combined	Forestry	Forest land	Reducing deforestation and forest conservation	Reduction of deforestation and forest degradation
Indonesia	Non-quantified	Combined	General agriculture	Agricultural land	Sustainable agriculture practices/approach	NA
Indonesia	Non-quantified	Combined	General agriculture	Agricultural land	Sustainable agriculture practices/approach	Sustainable agriculture and plantations
Indonesia	Non-quantified	Combined	Forestry	Forest land	Reducing deforestation and forest conservation	Reduction of deforestation and forest degradation
Indonesia	Non-quantified	Combined	General agriculture	Agricultural land	Bioenergy production	Utilization of degraded land for renewable energy
Malaysia	Non-quantified	Combined	Water	Agricultural land	Water availability and access	Expand the water supply network and treatment capacity infrastructure and increase the efficiency of water supply services
Malaysia	Non-quantified	Combined	General agriculture	Agricultural land	Sustainable agriculture practices/approach	Expand implementation of good agricultural practices
Malaysia	Non-quantified	Combined	NA	NA	Irrigation and drainage	New granary areas and adequate and efficient irrigation and drainage infrastructure will be developed to increase the production of rice
Myanmar	Non-quantified	Combined	Crops	Cropland	Plant management	legume crops diversification
Myanmar	Non-quantified	Combined	Integrated systems	Agricultural land	Agroforestry	NA
Myanmar	Non-quantified	Combined	General agriculture	Agricultural land	Irrigation and drainage	irrigation control

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Country	Metric	Financial Conditionality	Adaptation measures related to agriculture, food security and nutrition			
			Agriculture and Food Systems			
			Sub Sector	Land Use	Management Activity	Description
Myanmar	Non-quantified	Combined	General agriculture	Agricultural land	Nutrient and on-farm soil management	soil quality control
Myanmar	Non-quantified	Combined	Livestock	Grassland	Feeding practices	Improved feed management
Myanmar	Non-quantified	Combined	Livestock	Grassland	Animal breeding and husbandry	Provision of training to minimize livestock disease
Lao People's Democratic Republic	Non-quantified	Combined	General agriculture	Agricultural land	Sustainable agriculture practices/approach	Improve appropriate resilient agricultural farming system practices and technologies to address climate change impacts
Lao People's Democratic Republic	Non-quantified	Combined	Crops	Cropland	Plant management	climate resilient crops especially in the risk, flood and drought areas; short rotation cropping
Lao People's Democratic Republic	Non-quantified	Combined	Crops	Cropland	Plant management	Promote two seasons rice cultivation in flood area by adaptive and short rotation rice varieties
Lao People's Democratic Republic	Non-quantified	Combined	Livestock	Grassland	Animal breeding and husbandry	Animal diversification for resilience especially in the risk, flood and drought areas.
Lao People's Democratic Republic	Non-quantified	Combined	Livestock	NA	Feeding practices	long term feed storage improvement
Lao People's Democratic Republic	Non-quantified	Combined	Water	Agricultural land	Irrigation and drainage	Construct / rehabilitate dykes and enhance river bank protection and irrigation systems to increase climate resilience.

## Annex 20 – ASEAN Member States First NDC Adaptation and Mitigation Priorities in Agriculture

Country	Metric	Financial Conditionality	Adaptation measures related to agriculture, food security and nutrition			
			Agriculture and Food Systems			
			Sub Sector	Land Use	Management Activity	Description
Lao People's Democratic Republic	Non-quantified	Combined	Water	Agricultural land	Water storage and harvesting	Design and build multi-purposes dam and reservoirs to ensure sufficient water supply in drought prone areas and seasons
Thailand	Non-quantified	Combined	General agriculture	Agricultural land	Sustainable agriculture practices/approach	Promote sustainable agriculture and Good Agricultural Practice (GAP)
Viet Nam	Non-quantified	Combined	General agriculture	Agricultural land	Land management and restoration	Ensure food security through protecting, sustainably maintaining and managing agricultural land
Viet Nam	Non-quantified	Combined	Crops	Cropland	General crop management	restructuring of crops; create new climate change resilient varieties; complete the disease control and prevention system
Viet Nam	Non-quantified	Combined	Livestock	Grassland	General livestock management	restructuring of livestock; create new climate change resilient varieties; complete the disease control and prevention system

Source: Information culled from database used in: Crumpler, K., Dasgupta, S., Federici, S., Meybeck, M., Bloise, M., Slivinska, V., Salvatore, M., Damen, B., Von Loeben, S., Wolf, J. and Bernoux, M. 2020. **Regional analysis of the nationally determined contributions in Asia – Gaps and opportunities in the agriculture and land use sectors. Environment and Natural Resources Management** Working Paper No. 78. Rome, FAO. <https://doi.org/10.4060/ca7264en>; Data drawn from AMS Submissions to the Interim NDC Registry as of August 2020 - <https://www4.unfccc.int/sites/ndcstaging/Pages/Home.aspx>

## Annex 20 – ASEAN Member States First NDC Adaptation and Mitigation Priorities in Agriculture

Country	Mitigation Policies and Measures				Quantified policy and measures			Conditional ity
	Land Use sub sector	Management Activity	Description of Actions	Metric	Counterfactual values	Unit	2030 Target	Finance
Cambodia	Cropland	Rice management	Intermittent drainage in rainy season can reduce GHG emissions by 25%	Non-GHG quantified	0	percent	-25	Combined
Cambodia	Cropland	Nutrient management	Switch to sulphur fertilizer instead of urea for rice cultivation (15 percent GHG reduction compared to 2000)	GHG absolute	0	kt CO <sub>2</sub> eq	-2474	Combined
Cambodia	Cropland	Nutrient management	Use of compost/bioslurry instead of manure under rice cultivation (20% reduction compared to 2000)	GHG absolute	0	kt CO <sub>2</sub> eq	-4195	Combined
Cambodia	Livestock	Manure management	Small-scale biogas and composting (85% reduction compared to 2000)	GHG absolute	0	kt CO <sub>2</sub> eq	-1168	Combined
Cambodia	Cropland	Plant management	Fodder production	Non-GHG non- quantified	NA	NA	NA	Combined
Cambodia	Cropland	General cropland management	Cropland management	Non-GHG non- quantified	NA	NA	NA	Combined
Cambodia	Cropland	Nutrient management	Organic input agriculture and bio-slurry	Non-GHG non- quantified	NA	NA	NA	Combined
Cambodia	Integrated systems	Agroforestry	Agroforestry	GHG absolute	0	tC/ha/y r	-1.5	Combined
Cambodia	Livestock	Manure management	Large-scale biogas production (85% reduction compared to 2000)		0	kt CO <sub>2</sub> eq	-767	
Cambodia	Cropland	Nutrient management	Organic input agriculture and bio slurry, crop management	Non-GHG non- quantified	NA	NA	NA	Combined
Indonesia	Cropland	Nutrient management	Development and application of organic fertilizer and bio-pesticides	GHG absolute	NA	NA	NA	

## Annex 20 – ASEAN Member States First NDC Adaptation and Mitigation Priorities in Agriculture

Country	Mitigation Policies and Measures				Quantified policy and measures			Conditional ity
	Land Use sub sector	Management Activity	Description of Actions	Metric	Counterfactual values	Unit	2030 Target	Finance
Indonesia	Other	Fisheries management	Improve agriculture and fisheries productivity	Non-GHG non- quantified	NA	NA	NA	Unconditio nal
Indonesia	Cropland	Plant management	Use low-emission crops up to 926,000 hectares in 2030	Non-GHG quantified	0	ha	926000	Combined
Indonesia	Livestock	Manure management	Manure management for biogas Up to 0.06% of the total cattle in 2030	Non-GHG quantified	0	percent cattle	0.06	Unconditio nal
Indonesia	Livestock	Feeding	Feed supplement for cattle Up to 2.5% of the cattle population in 2030	Non-GHG quantified	0	percent cattle	2.5	Unconditio nal
Indonesia	Cropland	Rice management	Introduce low methane emitting rice varieties	Non-GHG non- quantified	NA	NA	NA	
Indonesia	Agricultural land	Fire management	Develop a Fire Early Warning System to reduce the risk of fire during drought years extreme	Non-GHG non- quantified	NA	NA	NA	
Indonesia	Agricultural land	Fire management	Implement no-burning technology for land clearing and land preparation	Non-GHG non- quantified	NA	NA	NA	
Indonesia	Agricultural land	Sustainable water use and management	Implementation of water efficiency is up to 820,000 hectares in 2030	Non-GHG quantified	0	ha	820000	Unconditio nal
Lao People's Democratic Republic	Bioenergy from agriculture	Liquid biofuel production	increase the share of biofuels to meet 10% of the demand for transport fuels by 2025.	Non-GHG quantified	0	percent	10	Combined
Malaysia	Cropland	Nutrient management	Promote nitrogenous fertiliser management	Non-GHG non- quantified	NA	NA	NA	
Malaysia	Cropland	Rice management	Promote irrigated rice water management	Non-GHG non- quantified	NA	NA	NA	

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Country	Mitigation Policies and Measures				Quantified policy and measures			Conditional ity
	Land Use sub sector	Management Activity	Description of Actions	Metric	Counterfactual values	Unit	2030 Target	Finance
Malaysia	Livestock	Manure management	Manure management	Non-GHG non- quantified	NA	NA	NA	
Myanmar	Cropland	Rice management	combustion of agricultural residues and growing rice in paddy fields.	Non-GHG non- quantified	NA	NA	NA	Combined
Myanmar	Cropland	Nutrient management	use of organic fertilisers and biochar	Non-GHG non- quantified	NA	NA	NA	Combined
Thailand	Cropland	Fire management	Reduce crop residue burning on land	Non-GHG quantified	0	ha	-20000	
Thailand	Cropland	Fire management	Reduce agricultural land where open burning is done	Non-GHG quantified	0	ha	-24000	
Thailand	Integrated systems	Agroforestry	Increase areas for permanent trees	Non-GHG quantified	0	ha	72000	
Viet Nam	Agricultural land	Sustainable agriculture practice/ approach	Reduce GHG emissions through the development of sustainable agriculture (farming, livestock, fisheries and animal feed and food processing)	Non-GHG non- quantified	NA	NA	NA	Combined
Viet Nam	Agricultural land	Sustainable agriculture practice/ approach	Research and apply production processes and economic technologies that efficiently use seedlings, feed, agricultural materials, soil, water, and other inputs and reduce GHG emissions from agricultural production	Non-GHG non- quantified	NA	NA	NA	Combined
Viet Nam	Agricultural land	Sustainable agriculture practice/ approach	Widely replicate technologies that treat and reuse by-products and waste from agricultural production to produce animal feed, mushrooms, materials for industries, biogas, and organic fertilizer	Non-GHG non- quantified	NA	NA	NA	Combined

Source: Information culled from database used in: Crumpler, K., et. al. 2020. **Regional analysis of the nationally determined contributions in Asia – Gaps and opportunities in the agriculture and land use sectors.** Environment and Natural Resources Management Working Paper No. 78. Rome, FAO.

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## ABBREVIATIONS

ACB	ASEAN Centre for Biodiversity
ADB	Asian Development Bank
AEC	ASEAN Economic Community
AFCC	ASEAN Multi-Sectoral Framework on Climate Change: Agriculture, Fisheries and Forestry Towards Food Security
AFoCO	Asian Forestry Cooperation Organization
AIFS	ASEAN Integrated Food Security Framework
AMAF	ASEAN Ministers on Agriculture and Forestry
AMME	ASEAN Ministerial Meeting on Environment
AMS	ASEAN Member States
APFNet	Asia-Pacific Network for Sustainable Forest Management and Rehabilitation
APTCS	ASEAN Plus Three Cooperation Strategy on Food, Agriculture and Forestry
ASCC	ASEAN Socio-Cultural Community
ASEAN	Association of Southeast Asian Nations
ASEC	ASEAN Secretariat
ASFCC	ASEAN–Swiss Partnership on Social Forestry and Climate Change
ASFN	ASEAN Social Forestry Network
ASOEN	ASEAN Senior Officials on Environment
ASOF	ASEAN Senior Officials on Forestry
ASRF	ASEAN Working Group on Social Forestry Strategic Response Fund
AWG-CC	ASEAN Working Group on Climate Change
AWG-FCC	ASEAN Working Group on Forests and Climate Change
AWG-SF	ASEAN Working Group on Social Forestry
CBD	Convention on Biological Diversity
CBFM	Community-Based Forest Management
CBIT	GEF Capacity Building Initiative for Transparency
CGIAR	Consultative Group on International Agricultural Research
CHF	Swiss franc
CIF	World Bank Climate Investment Fund
CIFOR	Center for International Forestry Research
CSO	civil society organization
COVID-19	coronavirus disease 2019
DA	Department of Agriculture (Philippines)
DAR	Department of Agrarian Reform (Philippines)
DENR	Department of Environment and Natural Resources (Philippines)
DILG	Department of Interior and Local Government (Philippines)
ENVD	ASEAN Environment Division
EU	European Union
FAFD	ASEAN Food, Agriculture and Forestry Division
FAO	Food and Agriculture Organization of the United Nations
FAO-RAP	FAO Regional Office for Asia and the Pacific
FGD	focus group discussions
FIP	World Bank Forest Investment Program
FLEGT	Forest Law Enforcement Governance and Trade
FPIC	Free, Prior and Informed Consent
GAP-CC	ASEAN-German Programme on Response to Climate Change: Agriculture, Forestry and Related Sectors
GCF	Green Climate Fund
GEF	Global Environment Facility
GPCCE	SDC Global Programme on Climate Change and Environment
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (German International Cooperation)
ICRAF	World Agroforestry
IFAD	International Fund for Agricultural Development

IGES	Institute for Global Environmental Strategies
IKI	German International Climate Initiative
ITTO	International Tropical Timber Organization
IUCN	International Union for Conservation of Nature
JICA	Japanese International Cooperation Agency
LAO PDR	Lao People's Democratic Republic
LDN	Land Degradation Neutrality
LUCF	Land Use Change and Forestry
LULUCF	Land Use, Land Use Change and Forestry
M&E	Monitoring and Evaluation
MEL	Monitoring, Evaluation and Learning
MRV	monitoring, reporting and verification
MSFCC	Multi-Sectoral Framework on Climate Change: Agriculture and Forestry Towards Food and Nutrition Security and Achievement of the SDGs
MSMEs	micro, small and medium-sized enterprises
MtCO <sub>2</sub>	million tonnes carbon dioxide
MtCO <sub>2</sub> e	million tonnes carbon dioxide equivalent
NAP	National Adaptation Plan
NBSAPs	National Biodiversity Strategies and Action Plans
NDC	Nationally Determined Contributions
NGO	non-governmental organization
NICFI	Norway's International Climate and Forest Initiative
Norad	Norwegian Agency for Development Cooperation
NTFP	Non-Timber Forest Products
NTFP-EP	Non-Timber Forest Products – Exchange Programme
PES	payment for ecosystem services
PoA	Plan of Action
RECOFTC	The Center for People and Forests
REDD+	Reducing Emissions from Deforestation and Forest Degradation, plus sustainable management of forests, conservation and enhancement of forest carbon stocks
SDC	Swiss Agency for Development and Cooperation
SDG	Sustainable Development Goals
SEAFDEC	Southeast Asian Fisheries Development Center
SEARCA	Southeast Asian Regional Center for Graduate Study and Research in Agriculture
Sida	Swedish International Development Cooperation Agency
SMEs	small and medium-sized enterprises
SPA	Strategic Plan of Action
SPA-FAF	Strategic Plan of Action for Food, Agriculture and Forestry in ASEAN
STAR	GEF System for Transparent Allocation of Resources
TCP	Technical Cooperation Programme of FAO
UNCCD	UN Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNFF	United Nations Forum on Forests
UN-REDD	United Nations Programme on Reducing Emissions from Deforestation & Forest Degradation
VPA	Voluntary Partnership Agreement
WG	Working Group
WRI	World Resources Institute