

Co-Management Training and Lessons Learned Guide

Establishment of a Collaborative Management system for
Hin Nam No National Protected Area



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ACRONYMS

AFC	Agro-Forestry Consultants
DCMC	District Co-management Committee
DFRM	Department of Forest Resource Management
DONRE	District Office Natural Resources and Environment
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
GPS	Global Positioning System
HNN NPA	Hin Nam No National Protected Area
IUCN	International Union for Conservation of Nature
IP-Consult	Institut für Projektplanung
KfW	Kreditanstalt für Wiederaufbau
LSFP	Lao-Swedish Forestry Programme
MAF	Ministry of Agriculture and Forestry
MoNRE	Ministry of Natural Resources and Environment
NGOs	Non-governmental Organizations
NPA	National Protected Area
NPAs	Non-profit Associations
NR	Natural Resource
NRM	Natural Resource Management
NTFP	Non Timber Forest Products
NUOL	National University of Lao
PM Decree	Prime Minister's Decree
PNKB	Phong Nha-Ke Bang National Park
PONRE	Provincial Office Natural Resources and Environment
VCMC	Village Co-management Committee
VCCMC	Village Cluster Co-management Committee
VFU	Village Forest Unit
WCS	Wildlife Conservation Society

FOREWORD

This 'Training and Lessons Learned Guide' provides guidelines for capacity building of technical staff in the planning and establishment of collaborative management (co-management) for National Protected Areas (also known as National Biodiversity Conservation Areas). It is designed to familiarise users with the planning and establishment of a collaborative management or also called a co-management approach.

The government of the Lao People's Democratic Republic (Lao PDR) has articulated a rural development strategy, contained in the National Growth and Poverty Eradication Strategy, with ambitious anti-poverty targets. The agriculture and forestry components of the rural development approach are community driven and focus on reduction of poverty in the poorest areas and in this case especially the people who are living in and around the national protected areas.

I would like to sincerely thank the Department of Forest Resource Management (DFRM) of the Ministry of Natural Resources and Environment (MoNRE) for their cooperation, in partnership with the Khammouane Province office Natural Resources and Environment (PONRE) and the Bualapha District office Natural Resources and Environment (DONRE), with the implementation of the Hin Nam No National Protected Area (HNN NPA) collaborative management and good governance pilot project. The project commenced in November 2013 and established a model which promotes a collaborative good governance system to protect the biodiversity of the Hin Nam No NPA while promoting priority Non Timber Forest Products (NTFPs) and ecotourism as an incentive for communities to participate in the management of the Hin Nam No NPA.

The collaborative management model enables local communities to identify potential products and develop markets that promote income generation through strengthening the capacity of stakeholders for NTFP marketing and sustainable management of resources. Additionally, the model provides increased income through eco-tourism and creates incentives to local communities to manage natural resources in a more sustainable way. Securing traditional natural resource rights through collaborative management agreements with guardian villages is an important mechanism in reducing the outside pressure on existing natural forest resources.

In summary, good governance has an important role for the performance of the collaborative management of the Hin Nam No NPA and strengthening the capacity of the co-management committees to enable them to manage the current situation of the Hin Nam No area. This 'Training and Lessons Learned Guide' will help field staffs of other protected area in Lao PDR who want to learn how to establish a collaborative management system, including the set-up of co-management committees at different levels.

I believe that this 'Training and Lessons Learned Guide' will play a very important role in the future in terms of the collaborative management of national protected areas in Lao PDR. I therefore hope that this guide will be useful for relevant field staff to apply it in their respective areas.

On behalf of the GIZ Hin Nam No project, I would like to extend my appreciation to MoNRE, PONRE Khammouane, DONRE Bualapha, relevant local authorities, guardian villages and all the project staff who contributed to this successful pilot project. Last but not least, I would like to thank the AFC consultants who were devoted to help the project to establish the collaborative management system for Hin Nam No NPA.

**GIZ Hin Nam No Project Director
Dr. Mirjam De Koning**

BACKGROUND

The Hin Nam No NPA (88,500 ha) is situated in central Laos about 450 km south-east of Vientiane Capital in the Bualapha District, Khammouane Province. In the east the Lao-Vietnamese border separates the protected area from the Phong Nha-Ke Bang (PNKB) National Park in Vietnam. The Hin Nam No and the PNKB form together one of the oldest and largest continuous limestone ecosystems in Asia. The Hin Nam No NPA has a high conservation value and it contains some unique geological and biodiversity features and therefore qualifies to potentially become the first natural World Heritage Site of Lao PDR. Hin Nam No NPA is located in Bualapha District which is one of the poorest districts in Laos, with 93% of all villages classified as poor by the standards of the Lao Government. These include all villages on the fringes of the Hin Nam No NPA.

The Hin Nam No NPA is surrounded by 19 villages with approximately 8,000 inhabitants, largely belonging to ethnic minorities. It is estimated that the population meets 40% of its food needs and its other household requirements through the use of natural resources in and around the protected area. In addition, trade in non-wood products, wildlife and valuable timber make up one of its main sources of income. The poverty level of the population around Hin Nam No NPA and its dependence on natural resources exert pressure on the protected area, which is exacerbated by the demand for valuable non-wood and wood products as well as wild animals, particularly from the neighboring countries. Besides farming there are currently few jobs for the local population. The scenic beauty of the area and the exceptional Xe Bang Fai Cave have created an interest by tour operators to develop the Hin Nam No NPA for eco-tourism. The provincial and district governments share and support this interest and therefore promote the Hin Nam No NPA to become a natural World Heritage Site. The Lao Government acknowledges the need for integrated nature conservation and development approaches through the participation of local people and recognition of their customary rights. However, the necessary concepts, resources and skills on how to do this are still lacking.

Collaborative management approach of Hin Nam No

In 2009, the Department of Forestry (MAF) adopted the first Co-management Plan 2010-2015 for the Hin Nam No NPA. The co-management plan is a strategic plan (5 years) developed through a participatory planning approach in which stakeholders identify common goals and objectives, and all parties share roles, responsibilities and benefits in a transparent process. The development of the Hin Nam No NPA co-management plan was conducted through working in collaboration with many relevant sectors in Bualapha District, Khammouane Province, as well as village cluster heads and villagers living adjacent to Hin Nam No NPA. In addition, individuals who have experience and knowledge in the areas and issues of Hin Nam No NPA contributed to the plan. The process to establish the first co-management plan was facilitated by the International Union for Conservation of Nature (IUCN). The first co-management plan consisted of a descriptive part; a proposal for the composition of co-management; and logistics and administration. It did not yet have annual work plans, budgets, and types of agreements, resource use rights or beneficiation models. The latter were developed in the second Hin Nam No NPA Co-management Plan 2016-2020, supported by the GIZ Hin Nam No project. As stated in the PM Decree on protected areas the management plan should be coherent with the socio-economic plan, national defense & security strategy, forestry strategy and the forest land use plan.

The co-management plan hopes to address the current lack of staffing and finance by the Lao Government by emphasizing the role of local people in the protection of the area. At the beginning of 2013 there was no permanent full-time staff in charge of Hin Nam No NPA. The NPA management is currently implemented by 4 PONRE and 4 DONRE personnel who are also fulfilling other provincial or district administration activities. In addition there are currently 19 volunteers of DONRE who are available for NPA management related activities. It is understood that collaborative management of HNN NPA is a partnership where partners must share roles and responsibilities. The arrangement should be beneficial to all partners, if not the activities won't be sustainable. This process needs time to grow and **cannot be developed in a hurry**. In the process to develop the collaborative system the following steps should be taken:

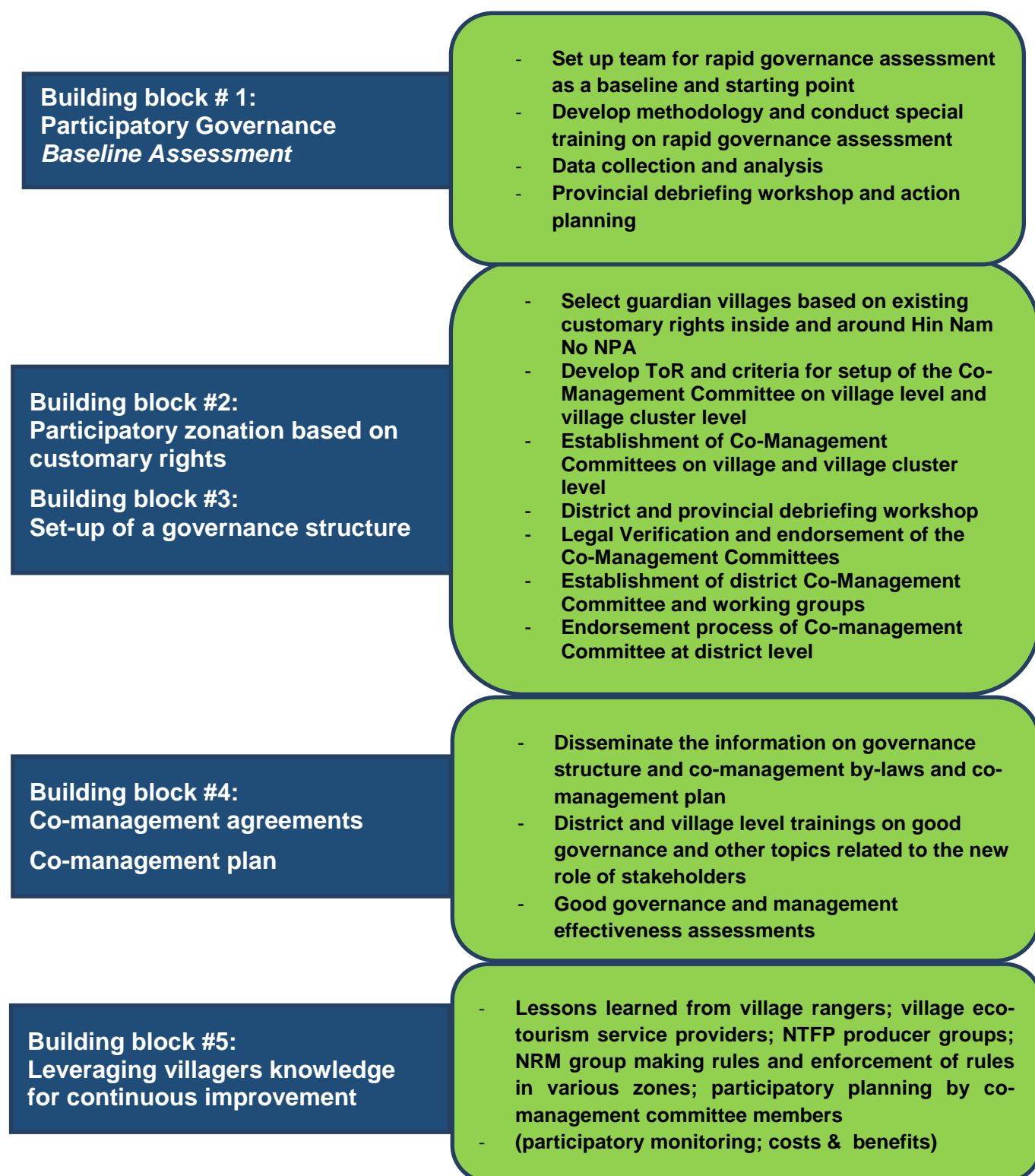
1. Assess the needs for collaborative management amongst all stakeholders
2. Clarify expectations, understanding of collaborative management and responsibilities and rights of all partners involved
3. Begin to build capacity of collaborative management partners
4. Establish collaborative management structures such as co-management committees
5. Revise/update the strategic co-management plan and make it operational
6. Pilot co-management plan and establish collaborative management agreements (for the NPA), conservation agreements (for specific resources or sub-areas of the NPA) and learning by doing

Establish local teams, formalize institutional arrangements and constitute sustainable financing mechanisms are essential to make the collaborative management approach work. The main partners in the collaborative management approach of Hin Nam No NPA are the protected area management authorities (PONRE/DONRE) and the surrounding guardian villages. This is confirmed in the PM Decree on protected areas in which the protected area management authority consisting of MoNRE, PONRE, DONRE, and the Village Forest Unit (VFU) play an important role as they have a direct mandate in managing the NPA. Other government agencies such as the governor's office, tourism office, the agriculture and forestry staff, forest inspection staff, military and other so-called secondary stakeholders also play an important role. The private sector can also be an important secondary stakeholder especially with regard to eco-tourism developments inside the NPA. Universities (NUOL), NGOs (WCS; IUCN) and externally-funded projects (GIZ; IP-Consult; KfW) can assist with the collaborative management approach and play a supporting and advisory role. The stakeholder map of Hin Nam No NPA is illustrated in annex 6 and has been an important tool to understand all relevant stakeholders. At the start of the project the Hin Nam No NPA management staff determined what the priority management activities are to ensure biodiversity conservation and protection of the Hin Nam No NPA. This was done via the development of a conceptual model based on a threat analysis. Furthermore, areas where the local villagers could assist were identified and benefit sharing models were developed over time. Possible incentives/benefits for the local population involved in the collaborative management are:

- The provision of secure customary land-use rights of traditional lands within and around the NPA stipulating the access, use and management rights of guardian villages with regard to the NPA (collaborative management agreements);
- Conservation agreements outlining specific benefit sharing models in more detail for certain resources; activities or geographical areas of the NPA;
- The provision of assistance for livelihood development activities in return for community involvement in the management of the NPA;
- Participation in conservation management to support sustainable NTFP and fish harvesting activities and development in/around the NPA (conservation agreements);
- The development of community based eco-tourism or involvement in eco-tourism developments for which villages receive an equitable share of the economic benefits;
- Remuneration or some other form of tangible benefits to communities or village forestry volunteers for their work on collaborative management (for example performance based payments for work done by village rangers)

It is important to create a direct linkage between roles, responsibilities and rights, benefits to be agreed upon in a co-management agreement (NPA) or conservation agreement (zone; activity; resource). This should also include the link to improved livelihood activities as a potential benefit.

Overview of set-up of collaborative management approach in Hin Nam No



Guidelines for the use of this guide

Why collaborative management?

Many people living in poverty depend on natural resources (forest and non-forest) for their livelihoods. Increasing demand for natural resources often leads to over exploitation of the resource base. This leads to increased poverty among the local poor, who are the harvesters, collectors and producers depending on the natural resources around national protected areas. In addition, it addresses the questions: How can poor communities make better use of natural resources in a sustainable way? How can villagers benefit most from the management of their local forest and non-forest resources? The collaborative management approach was developed jointly by AFC and GIZ Hin Nam No as an effective tool to assist communities with customary rights to protect their forest and natural resources.

The role of the facilitator

A facilitator is a person whose objective is to help individuals or groups in achieving their goals. The role of a facilitator is limited to providing proper methods and tools to the people he/she is facilitating in order to make it easier for them to make the right decisions to reach their goals.

The purpose of the guide

The guide aims at teaching field workers or Non-profit Associations (NPAs) in the Lao PDR on how to apply the collaborative management process in a short time through a process of learning by doing. The approach allows individuals of NPAs, university staff or PONRE and DONRE technical staff to develop collaborative management across Lao PDR.

The development process

The guide draws on the AFC-GIZ-PONRE methods and lessons learned reports produced over the implementation period 2013-2016, as well as on the field experiences from conducting a governance assessment and establishing co-management committees at three different levels i.e. village co-management committee (VCMC), village cluster co-management committee (VCCMC) and district co-management committee (DCMC). During this project, all steps of the collaborative management

approach were tested in the field and adapted to the local situation.

Intended audience

The intended audience of this guide are field facilitators who want to work on the establishment of a collaborative management approach including the set-up of co-management committees on different levels.

What is in the guide?

The guide includes three sessions: conduct rapid governance assessment, setup of collaborative management system, capacity building of co-management committees and learning by doing.

How to use the guide?

This guide is best used in a structured environment by facilitators who have experience with participatory processes. It is aimed at learning by doing, so participants should be given opportunities to practice each tool. The guide compliments the AFC-GIZ-PONRE reports, which contain more detailed information for each of the steps.

Session 1: Rapid Governance Assessment

Building block #1: Participatory Governance Baseline Assessment

- Set up team for rapid governance assessment as a baseline and starting point
- Develop methodology and conduct special training on rapid governance assessment
- Data collection and analysis
- Provincial debriefing workshop and action planning

Goals

- Develop a support tool to assist PONRE authorities to comply with good governance principles in dealing with land and natural resource planning and effective collaborative management
- Assess governance situation in five village clusters, Bualapha District, and Khammouane Province (strong & weak point)
- Collect basic information to enable the strategic and action planning on effective collaborative management by decision makers (buy-in).

Outcomes

- Participatory development of a practical and simple governance assessment tool
- PONRE took lead in terms of logistics and field work as well as coordinating with concerned actors
- AFC took lead in terms of the field facilitation and coaching of PONRE technical staff teams
- GIZ supervised the methodology of the governance assessment, prepared lessons learned and provided budget for the field works



Timing: 06 January to 25 March 2014

Methodology

- Desk study of existing document from IUCN-GIZ
- Technical meeting and team meeting
- Develop tool and check-list questionnaires
- Conduct the baseline assessment in five village clusters
- Participatory data analysis (AFC-PONRE-GIZ)
- Debriefing workshop (Visioning, Road Map, Action plan)

Tools

- Past & presence (history line & trend analysis tool)
- Participatory mapping around village-cluster area of Hin Nam No NPA
- Opportunities & challenges (SWOT)
- Planning (Problem Tree analysis & objectives planning)
- M&E



The pilot field governance assessment was conducted at the village cluster level and was organized from the 3-6 Feb 14 / one day per cluster, the district level was organized on 7 February 2014. After successful completion of the field work the team organized the team field debriefing workshop that was organized in Thakhek on 20-21 February 2014.

ACTIVITY 1: SETUP TEAM FOR RAPID GOVERNANCE ASSESSMENT AS A BASELINE AND STARTING POINT

Goal

The team is ready to start the field work, there is a clear plan of action and budgets and responsibilities are allocated.

SESSION 1	Outcomes	At the end of the preparatory phase, the project team should be familiar with the collaborative management process and it will have prepared an overview of the project area and activity plan for the different steps.	Training materials will be prepared and adapted to the local context.
ACTIVITY 1			



Implementation Timing

One or two months are needed but actually the timeframe will depend on the literacy level among communities, the location of project sites, and logistics. However, at village cluster level it should be possible to complete all steps in one week or two weeks.

Process

It is crucial for the team to prepare the planning of the field activities well and that every member of the team and local counterpart organisation is aware of who does what and when, and how much money is needed to carry out the activities. A simple planning table, like the one indicated below, could be made.

STEP

The Preparatory Phase

1

1. Set up a special taskforce of relevant people (PONRE = mandate; AFC = neutral facilitation; GIZ = overview methodology & support) to take up the process, build and identify engagement activities including the development of toolkits and questionnaires to fit with the local context.

STEP

Action Planning

2

1. It is crucial for the team to prepare the planning of the field activities well to ensure that every member of the team and local counterpart organisation are aware of who does what and when, and how much money is needed to carry out the activities.
2. Prepare the action plan and budget for the field work in the table below.

The preparatory phase is crucial as it will determine the implementation of the actual governance assessment process, institutional framework and plan activities. At least two months were spent in Hin Nam No NPA in preparation for the project. It is important to involve district authorities concerned, PONRE, interested partners, and to have local support staff from DONRE that will facilitate work and support target groups with implementation of activities (knowledge of local dialects / gender issues is essential).

TEMPLATE: Action Plan

Activity	Who	When (dd/mm/yyyy)	Support Required	Costs

Current situation

ACTIVITY 2: DEVELOP METHODOLOGY AND CONDUCT TRAINING ON RAPID GOVERNANCE ASSESSMENT FOR HNN NPA

Goal

The main goal is to build the capacity of DONRE and PONRE technical staff in governance assessment; as well as to assist the assessment team to establish a mechanism for the NPA assessment process.

SESSION 1	Outcomes	Assessment toolkits are available to use, such as: interview guidelines for village and village clusters, interview guidelines for district authorities, questionnaires for good governance of protected areas, and problem tree analysis.
ACTIVITY 2		



Implementation Timing

A period of one or two months is required depending on the knowledge and know-how of the team working to develop the methodology. The team should organize a 1-day meeting each month to review the status.

Process

STEP

1

Develop interview guidelines (need example)

1. As a group read through the example interview guidelines (annex 1 & 2) and discuss any questions that you may have.
2. Using the interview guidelines template provided, create an interview guideline for a village cluster.
3. Select one member from your group to read out the interview guidelines to the wider group.
4. Discuss as a group and provide feedback on how the interview guidelines can be improved.

STEP

2

Develop good governance for NPAs questionnaire (need example)

As a group read through the example good governance for NPAs questionnaire (annex 3) and discuss any questions that you may have.

1. Using the questionnaire template provided, create good governance for NPA questionnaire for your village.
2. Select one member from your group to share the questionnaire with the wider group.
3. Discuss as a group and provide feedback on how the interview guidelines can be improved.

STEP

3

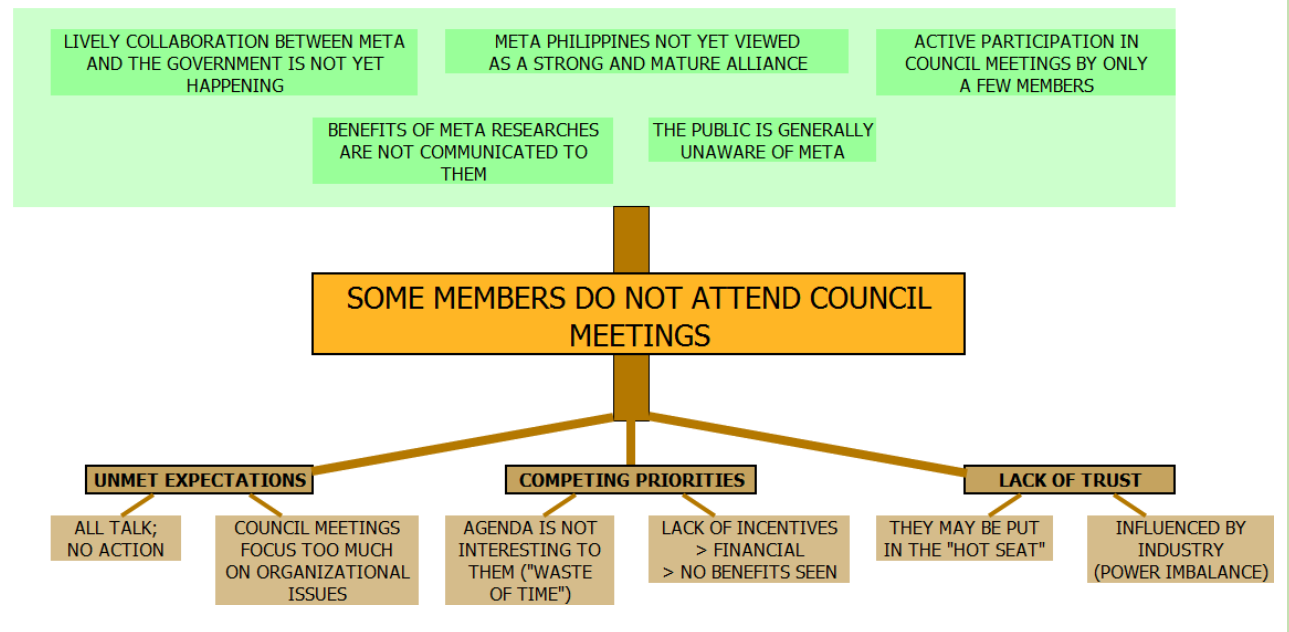
Conduct a Problem Tree Analysis

The problem tree establishes cause and effect to ensure that root problems are identified and then addressed.

1. Working in small teams of 3-5 people identify one or two initial core problems.
2. Identify related problems / constraints.
3. Analyse and identify cause and effect relationships.
4. Check the logic against the sample problem tree below.
5. On a piece of flip chart paper, draw a tree based on the template provided and draft your teams problem tree diagram.

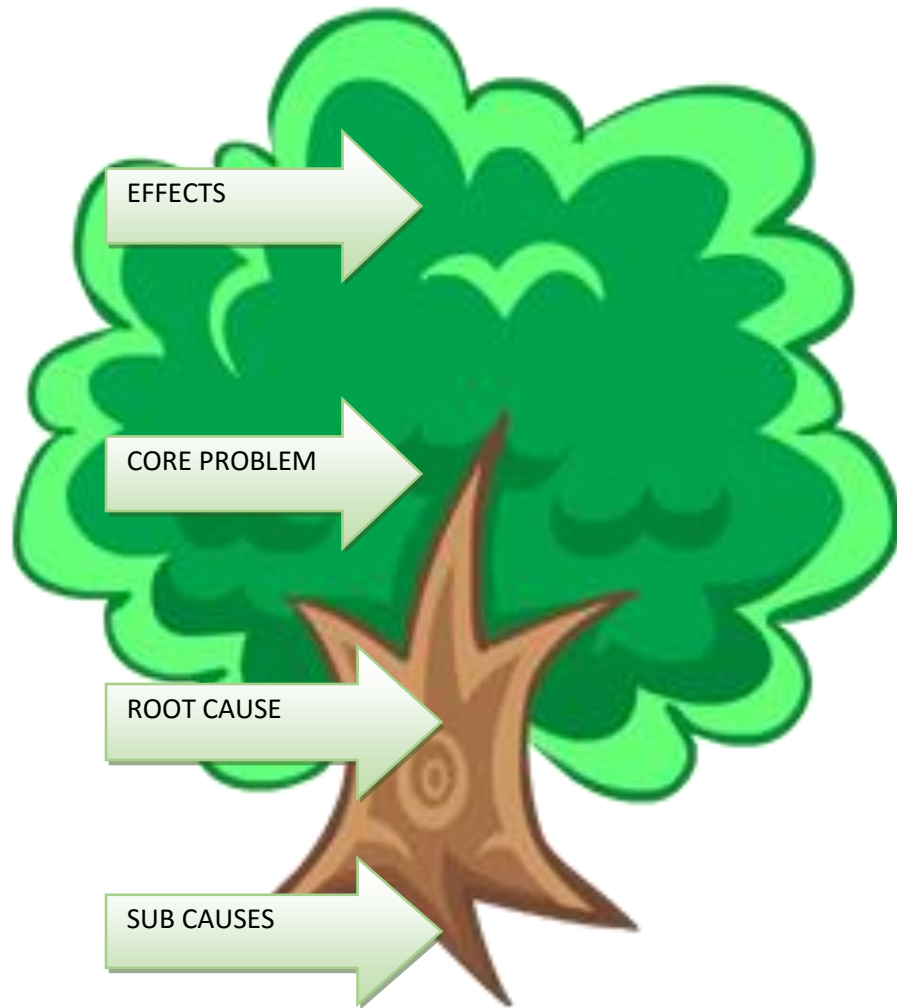
6. Select one member of your team to discuss your problem tree analysis with the wider group and make notes of any recommendations.

EXAMPLE: Problem Tree Analysis

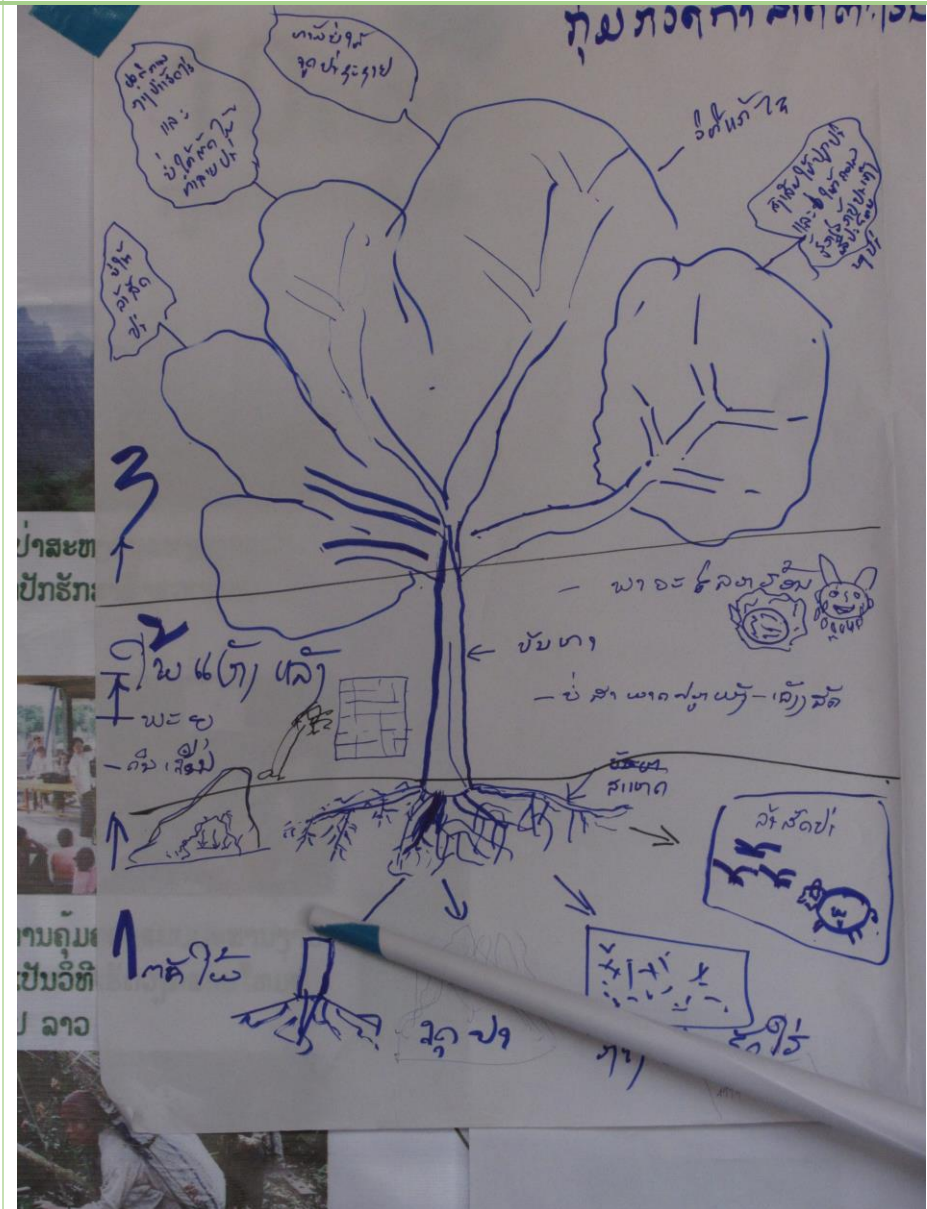


The questionnaires and assessment form is a tool to focus on measuring of impacts of Hin Nam No NPA implementation and governance. And the tool for monitoring of training is done by trainers or through daily feedback during the training sessions, which can be helpful to know how participants feel and to assess what their suggestions are for improvement.

TEMPLATE: Problem Tree Analysis



Example: Problem Tree Hin Nam No



ACTIVITY 3: DATA COLLECTION AND ANALYSIS

Goal

The task of governance assessment is to identify and understand the unique historical and cultural traits, including customary knowledge, practices, institutions and values that nourished conservation in the territories and areas that are now part of the protected areas system. And do they still contribute to conservation? Can this be positively combined with on-going innovations and change? The participants in the assessment will need to retrace the development of the protected area system from the outset. As well as who was involved in developing the system of protected areas as it exists today? Who played in the past, and who plays today, a role in deciding what is or is not included in the system? And the main aim of governance assessment in Hin Nam No NPA was to know more about what the perspectives are for the communities:

- What interests and concerns play a role for the different stakeholders?
- Are the cultural traits and values characteristic of the relevant nation and population highlighted by the recognition of individual sites as protected areas?
- Are their customary institutions, local knowledge and skills, stories, language and local names respected and upheld?
- Are the connections between certain natural features and local identity recognized and supported?
- Is there local pride in being able to conserve some wonders of natural resource for sustainable use?

SESSION 1	Outcomes	Obtain information in terms of challenges, constraints and opportunities for development of sustainable Hin Nam No NPA conservation.	Gather basic information in the villages to support the development of strategic plans
ACTIVITY 3			



Implementation Timing

One month: one week preparation of materials for getting ready for the field work, team meetings and a one day orientation session on how to use questionnaires; two weeks for field data collection for the villages; and three days for field debriefing workshop and report writing.

Process

Identify opportunities and challenges for improving good governance in Hin Nam No and natural resource management, and identify where Hin Nam No is on the governance scale. Consider questions such as: Is Hin Nam No NPA management under full control of the government? Is the management shared between the government and the villagers? Are the villagers in the lead of the Hin Nam No NPA management? Who takes decisions? Are villagers involved in decision making around the Hin Nam No NPA?

STEP Identify a concrete governance related case from your own professional practice

1

1. Identify a concrete governance “challenge” in Natural Resource management that you want to address or a “problem” that needs to be solved to advance good governance in your work. Try to choose an effective collaborative management related challenge which is affecting your work and can be practically addressed through better/good governance processes by you and/or your team.
2. Share your challenge with the group and discuss together.

The key challenge identified is the lack of good governance and no transparency as well as the lack of accountability in terms of managing Hin Nam No NPA. To date a top down policy has been applied and villagers lack the capability to deal with these problems.

STEP 2 Analyze the context of your case

2

1. Provide (historical) information and data needed to understand the case or events contributing to your identified effective collaborative management and NR governance “opportunities” and “challenges”.
2. Identify the environmental, economic, social and political issues involved?
3. What organizational or personal factors have contributed to the “challenge” being faced?
4. What are the formal and informal processes that influence the decision-making processes and interpersonal or organizational behaviour?

In summary, participatory decision-making is very important as well as the support and the commitment of relevant stakeholders. In addition, there are opportunities to improve the family living standards of the poor people around Hin Nam No NPA. However, the lack of a good governance system and an ad-hoc management system present a challenge in achieving this. The key constraint identified was lack of effective law enforcement and the payment of incentives by outsiders to attract local people to destroy natural resources for additional income.

STEP 3 Identify stakeholders and power relations in your case

3

1. Who are the important persons/organizations and what are their perspectives on the effective collaborative management “opportunities” and/or “challenges” to advance Natural Resource Management (NRM) good governance?
2. What are their objectives and interests?
3. How powerful are these people and how do they use their power to influence the decision making process?
4. Who else is involved or likely to be affected by any course of action taken? Do they have different opinions, positions or interpretations on what the course of action should be?
5. Nominate a member of your team to document the outcomes of the discussion in the stakeholder matrix below. Please complete one row per stakeholder.

There is an opportunity for national and local governments to implement the same strategy and vision. However, illegal logging is a challenging issue for the government to resolve, therefore, the problem will increase in the next 10 years as the current law enforcement system is weak.

The interests of the stakeholders relate to threatened species i.e. wood, wildlife and NTFPs.

External as well as internal influences can be very powerful with individuals and institutions using their power to exploit local people and their valuable resources. As a result, the powerful actors have power over the local people.

TEMPLATE: Stakeholder Matrix

Name of Stakeholder	Organization	Effective collaborative management opportunities and challenges?	What are their objectives?	What are their interests?	How powerful are they? (circle one)	How do they influence decisions?
		<p>Opportunities:</p> <p>Challenges:</p>			<p>Minimal Level of Power</p> <p>Medium Level of Power</p> <p>High Level of Power</p>	
		<p>Opportunities:</p> <p>Challenges:</p>			<p>Minimal Level of Power</p> <p>Medium Level of Power</p> <p>High Level of Power</p>	
		<p>Opportunities:</p> <p>Challenges:</p>			<p>Minimal Level of Power</p> <p>Medium Level of Power</p> <p>High Level of Power</p>	

STEP

4

Conclusions and Recommendations

1. As a group formulate conclusions of the analysis of your case, consider: what course of action has (so far) been taken? Decisions made? Or problems resolved
2. Identify future actions to be taken to further improve: consider: What course of NRM good governance and effective collaborative management steps can be taken to improve the situation?
3. Write down the key conclusions and recommendations in the table below.

CONCLUSIONS

What course of action has (so far) been taken? Decisions made? Or problems resolved?

Until recently the villagers are still unsure, the decision-making is done top down and the problems are solved by the officer concerned/decision makers (Kan Teung is Lao word for decision maker).

RECOMMENDATIONS

What course of NRM good governance and effective collaborative management steps can be taken to improve the situation?

Participatory methods, decentralization and identification of certain areas of management by communities themselves and raising awareness of local communities to see the long-term benefit of working together.

5

1. In a small group of three to five people identify where you want to go on the governance scale by answering these questions: Is it fine as it is? Should more responsibility go to the government? Should more responsibility go to the villagers? Do the people have the capacity to do so? How do we measure our progress to reach the vision?
2. Document the answers to these questions in the table below based on a scale of 1 – 10 where 1 = Not at all, 4 = Somehow, 7 = I kind of agree, 10 = Yes, totally agree.

- 1 2 3 4 5 6 7 8 9 10

- 1 2 3 4 5 6 7 8 9 10

- 1 2 3 4 5 6 7 8 9 10

- 1 2 3 4 5 6 7 8 9 10

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Sengchanthavong, S., S. Phommasane, and M. de Koning. 2014. Governance assessment in Hin Nam No National Protected Area, Bualapha District, Khammouane Province, Lao PDR. Thakhek: GIZ.

ACTIVITY 4: DEBRIEFING WORKSHOP AND ACTION PLANNING

Goal

Debriefing of the results of the governance assessment in Hin Nam No as well as engagement of NRM stakeholders in governance visioning and coordinated action planning

After the successful completion of the governance assessment conducted in Hin Nam No NPA from 3-7 February 2014 the governance assessment team organized a debriefing workshop in Thakhek to present the results and outcomes of the five days fact finding field research. Information was collected from the key informants selected as representatives of 22 communities living around Hin Nam No NPA, including additional information from various government officials from Bualapha District. The debriefing workshop in Thakhek was organized for only one day, on 20 February 2014. It was observed that this was enough time to achieve the goal and good outcomes to contribute to the strategic planning. In addition, a guest speaker, Professor Madame Bounmy CHULAJACK, Director of Information Centre from the National Academic of Political and Public Administration (NAPPA) institute from Vientiane Capital, was invited to speak at the workshop about the natural resource governance and good governance principles of the government of Lao PDR. The attendance of Ms. Bounmy Chulajack was very important to sensitize and get buy in from the provincial decision makers.

SESSION 1	Outcomes	Strategic development for human resources, sustainable collaborative management with communities and monitoring and evaluation.	Gain final verification of data, feedback and recommendations to finalize the draft of the governance report.	To present results and outcomes of the governance assessment.
ACTIVITY 4				



Implementation Timing

A total of five days is required for this activity: two days preparation for the debriefing workshops; one day for the workshop; and two days for the workshop report writing.

Process

The debriefing workshop was divided into three sessions. The first session in the morning took place after the official opening ceremony by Mr. Sinnasone Sengchanthavong, Deputy Director of PONRE presenting the results of the Hin Nam No NPA governance assessment conducted from 3-7 February 2014. After this presentation the National Academic of Political and Public Administration (NAPPA) shared its experiences on principles of good governance followed by a brief presentation by Dr. Mirjam de Koning on best practices on collaborative management in South Africa. The afternoon session focused on group discussions to identify and discuss the key bottlenecks for improved governance of Hin Nam No NPA and to develop the strategic plan for future interventions by following community based-solutions.

STEP

Prepare the debriefing workshop agenda

1

1. Individually read the example debriefing workshop agenda below
2. Consider what your debriefing workshop agenda needs to cover and document in the agenda template provided
3. Discuss the importance of inviting a speaker to the workshop e.g. from NAPPA

EXAMPLE: debriefing workshop agenda

Time	Item(s)	Facilitator(s)	Tool (s)
Day 1: Thursday, 20 February			
8:00-8:30	Registration	PONRE	Registration Form
8:30-8:45	Opening Ceremony	Sinnasone	Speech
8:45-8:50	Workshop Objectives, Flow & Expected Outcomes	Mrs. Mirjam and Mr. Souvanpheng	Presentation
8:50-9:30	Getting to Know Each Other	Souvanpheng Phommasane	Self-introductions (name, position and organization)
9:30-9:45	Coffee/Tea Break		
Knowledge, Understanding & Sharing the results of HNN on governance assessments session			
9:45-10:30	Presents the results and outcomes of the governance assessment Hin Nam No from 2-7 February 2014	Mr. Sinnasone (Deputy- Director of PONRE)	Presentation; Q&A
10:30-10:45	Open floor for Q&A	Souvanpheng	Q&A (participants)
10:45-11:15	Good governance system and NR governance	Professor, Madame Bounmy Chounlajack, Director of Information Centre of NAPPA	Presentation; Q&A
11:15-11:30	Open floor for Q&A	Madam Bounmy Chounlajack	Q&A
11:30-11:45	Lessons learned from other countries on co-management system	Mrs. Mirjam, GIZ team leader	Presentation; Q&A
11:45-12:00	Open floor for Q&A	Mrs. Mirjam	Presentation; Q&A
12:00 -13:00	Lunch		
13:00-14:20	Decentralization: The NRM Regulatory Hierarchy for Local Government	Souvanpheng	Presentation; Q&A
14:20-14:35	Coffee/Tea Break		
14:35-15:00	Exercise 1: NR Governance and good Visioning	Sinnasone & Mirjam & Souvanpheng	Divided group discussion
15:00-15:20	Presents results of group discussions	Representatives of the sub-group discussions	Flipchart papers
15:20-15:50	Exercise 2: Strategic Directions: Preparation for Hin Nam No Action Planning	Sinnasone & Mirjam Souvanpheng & Participants	Exercise; Discussion
15:50-16:10	Presents results of group discussions	Representatives of the sub-group discussions	Flipchart papers
16:10-16:30	Summaries and closing ceremony by PONRE	Sinnasone, Deputy-director of PONRE	Speech
17:00	Wrap-up	Sinnasone	

TEMPLATE: debriefing workshop agenda

Time	Item(s)	Facilitator(s)	Tool (s)

STEP

2

Organizing Group Discussions

The afternoon session of the debriefing workshop focused on group discussions to identify and discuss the key bottlenecks for improved governance of Hin Nam No NPA

1. In a small group of 3 – 5 people review Exercise 1: NR Governance and good visions below, ask the facilitator any questions that you may have relating to the exercise.
2. Nominate a member of the team to document the result on flip chart paper.
3. In your groups, complete exercise 1.
4. Nominate a member of your team to present the results of your group discussion.

EXERCISE 1: NR Governance and good visions

As a group read through the 3 examples of NR Governance and good visions for Hin Nam No NPA below and discuss any questions that you may have.

In the Hin Nam No co-management plan 2016-2020 there are three goals mentioned that are outlined below. Are these goals formulated as a vision? How could these goals contribute to a clear and overall vision for the Hin Nam No? Please try to formulate a clear vision for the Hin Nam No NPA and/or for your own area.

The overall goals of Hin Nam No National Protected Area are:

1. **“The Hin Nam No authorities and the villagers together conserve the biodiversity-, ecosystem services-, tourism- and historic/cultural values of the Hin Nam No NPA while being paid and recognised for their services.”**
2. **The Hin Nam No National Protected Area follows a collaborative management approach with an overall goal “to jointly with guardian villages and other stakeholders protect, enhance and manage the Hin Nam No National Protected Area and its resources in a sustainable manner.”**
3. **Furthermore, Hin Nam No NPA is considered to have outstanding values of international significance – its limestone landscapes and biological diversity. Therefore this co-management plan contributes to the nomination process for Hin Nam No NPA to become designated as a National Park following IUCN categories, an ASEAN Heritage Park and to qualify to become the first natural World Heritage Site in Lao PDR.**

STEP

3

Strategic Planning

Develop the strategic plans for future interventions by following community based-solutions

1. In a small group of 3 – 5 people review Exercise 2: Strategic directions: preparation for Hin Nam No action planning below, ask the facilitator any questions that you may have relating to the exercise.
2. Nominate a member of the team to document the result on flip chart paper.
3. In your groups, complete exercise 2.
4. Nominate a member of your team to present the results of your group discussion.

EXERCISE 2: Strategic Directions: Preparation for Hin Nam No Action Planning

In the good governance assessment in Hin Nam No the following key findings were identified which led to the proposed action plan and interventions:

Outcome governance assessment (February 2014)	Proposed intervention and progress so far (February 2016)
No clear delegation of decision making or implementation authority to guardian villages	Hin Nam No management unit identified tasks to be delegated to villagers
Governance system is ad hoc and top down with lack of systematic benefit sharing	Develop participatory reporting/planning system on village (19), village cluster (5) and NPA level
Lack of skills and capacity; lack of involvement by women	Capacity development plan and recruitment of five female Lao Government volunteers
Zonation Hin Nam No into manageable units per guardian village unclear	Participatory zonation, trail mapping, in 19 priority guardian villages
Local rules exist but ignored by outsiders	Establish rules for the different zones and disseminate the information broadly
Willingness of guardian villages/village rangers to be involved in Hin Nam No management	Monthly participatory biodiversity monitoring and patrolling system established
Unclear, slow and ineffective law enforcement system	Some delegation of law enforcement to villagers to ensure a more rapid and effective response

Please identify in your group what the three main issues are around the governance of your area and what actions could be taken to improve these issues.

Session 2: Set up of Co-management-Committee

Building block #2:

Participatory zonation based on customary rights

Building block #3:

Set-up of a governance structure

- Select guardian villages based on existing customary rights inside and around Hin Nam No NPA
- Develop ToR and criteria for setup of the Co-Management Committee on village level and village cluster level
- Establishment of Co-Management Committees on village and village cluster level
- District and provincial debriefing workshop
- Legal Verification and endorsement of the Co-Management Committees
- District Workshop to establishment of district Co-Management Committee and working groups
- Endorsement process of Co-management Committees at district level

Goals

- Identification of the guardian villages to promote good governance and collaborative management
- Promote participatory mapping of the protected area and its story through participation and creating a common understanding
- Set-up and promote the collaborative governance structure

Outcomes

- Creating trust with the communities
- Establishing a common understanding about the area
- Bottom up planning, reporting and decision-making (equitable and inclusive)
- Building of local knowledge



Timing: 6-12 months

Methodology

- Participatory zonation
- Democratic set-up of co-management committees

Tools

- Trail mapping
- Participatory mapping
- Democratic voting



ACTIVITY 5: SELECT GUARDIAN VILLAGES BASED ON CUSTOMARY RIGHTS INSIDE THE HIN NAM NO NPA

Goal

The main goal is to identify the villages to promote good governance and co-management systems based on their customary rights.

SESSION 2	Outcomes	Build trust and a common understanding with the local communities	Understanding how to setup the village ranger's roles and responsibilities based on customary rights.	Knowledge of GPS data collection tools to record observation data.
ACTIVITY 5				



Implementation Timing

A period of 1-6 months is required for this activity depending on the chosen methodology and time and resources that are available.

Process

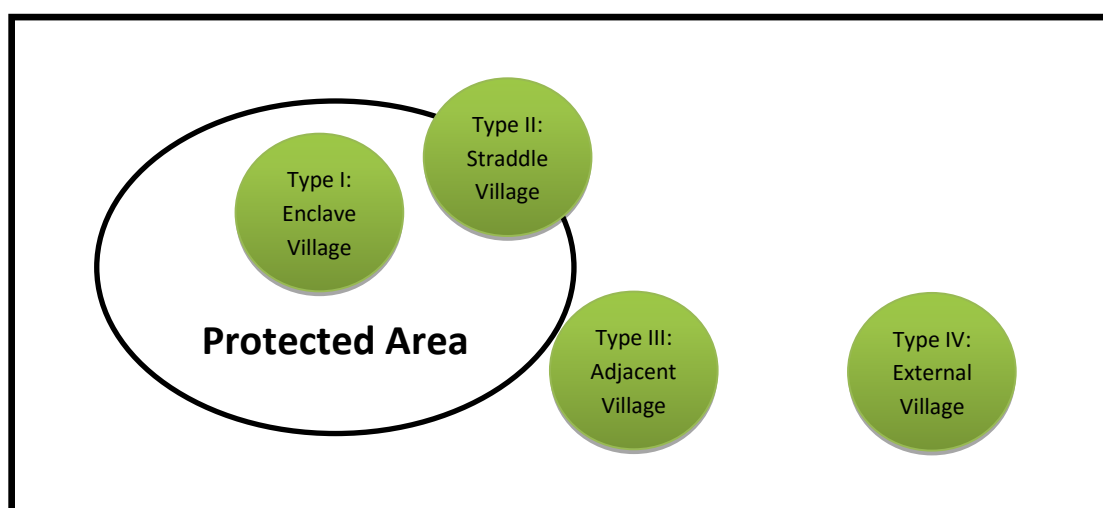
STEP

Guardian Village Selection

1

1. In a small group of 3-5 people, analyze the guardian village selection (image) and create criteria.
2. Read the case studies on how this process was done in Hin Nam No NPA.
3. Based on the selection criteria and the case studies discuss in your group how you would implement it in the field.
4. Share any questions or observations with a wider group.

In Laos there are four types of guardian villages:



A guardian village is actively involved in the protection of the protected area based on their customary rights.

In Hin Nam No NPA there are no Type I villages and there are 18 villages that are Type II but the land they have inside the Hin Nam No is all conservation forest and there is no agricultural village land or village production forest inside the Hin Nam No.

Case study on trail mapping and participatory zonation in Hin Nam No NPA:

The Lao law requires zonation inside National Protected Areas to identify Total Protected Zones (TPZ) for protection of biodiversity and to regulate limited access and use to Controlled Use Zones (CUZ) which prescribe the traditional village lands. Participatory zonation based on local knowledge and existing customary rights is an essential tool for local communities to engage in collaborative management. The Hin Nam No protected area authorities started the participatory zonation process in 2014 based on the agreed interventions coming out of the governance assessment. In order to divide the work between the 19 villages surrounding the Hin Nam No it was necessary to clarify which area should be monitored and used by which village and boundaries were determined by the 19 guardian villages based on used trails and customary rights of villages. Trail mapping and data collection on important features, biodiversity and threats was done by village rangers and led to a common understanding of the area. Based on the trail maps produced, villagers were asked to define areas they need for collecting Non Timber Forest Products (NTFPs), aquatic products, and others. The villagers were also asked to define areas which are inaccessible and areas that should be left alone to protect wildlife.

Based on the proposal by the guardian villages the Hin Nam No management authorities have geographically divided the Hin Nam No into areas to be managed by 18 of the 19 guardian villages within the five village clusters. 18 guardian villages are located outside of the Hin Nam No but some of their village lands fall partially within the Hin Nam No. One village that was thought to be a guardian village doesn't have any land inside Hin Nam No. The process of participatory mapping of trails and the subsequent selection of key trails for regular monitoring led to a clear agreement on which area should be monitored by which village. This led to a *de-facto* delineation of village areas of responsibility within the Hin Nam No. In total, 75,911 ha (86 per cent) were proposed by the villagers as TPZ and 12,625 ha (14 per cent) as CUZ (de Koning & Dobbelssteijn, 2015: 'Participatory zonation, management and monitoring of Hin Nam No National Protected Area in Laos'. XIV World Forestry Congress, Durban, South Africa, 7-11 September 2015).

STEP

Trail Mapping 1: village boundaries

2

1. In a small group of 3-5 people, create steps to work on participatory mapping to find out village boundaries.
2. Read the table below on history and culture and review the validity of the guiding questions.
3. Based on your work discuss in your group how you would implement it in the field. Which guiding questions should be added taking into account the local Lao circumstances.
4. Share any questions or observations with a wider group.

History and culture	Does the concept and practice of a protected area as applied in the country of reference reflect the socio-cultural traits and values of the peoples and communities most directly concerned? Are there unresolved issues and grievances about the establishment of the protected area or the design of boundaries and zones? Are there untapped opportunities?	Participatory mapping of protected area and its history. Let the villagers in the cluster meeting explain/draw how they remember the area before it was declared a NPA and let them draw how it is now and how they perceive the boundaries. Ask guiding questions when people are explaining the history of the protected area
Guiding Questions: <ul style="list-style-type: none"> • When was the protected area established? By whom? • Who took part in the process and positively contributed to it? Who opposed it? • Did some rightsholders or stakeholders take the lead? Did others feel "left out"? • What existed before the protected area was established? • Who was then in charge of deciding about natural resources? • Was there some form of continuity when the protected area was established? • Who were the "winners" and "losers"? • How did the situation evolve? What does remain of what was in place before the protected area? • Are the village boundaries within the protected area known to all? • Who has the best knowledge on the protected area and the boundaries? 		

- What are the village boundaries from one point to the next with the local names for natural features?
-

* Based on: Borrini-Feyerabend, G., N. Dudley, N. Jaeger, T. Lassen, B. Broome, N.P, A. Phillips, and T. Sandwith. 2013. *Governance of protected areas: from understanding to action*. Gland: IUCN.

STEP

3

Trail Mapping 2: village area zonation

1. In a small group of 3-5 people, create steps and guiding question to facilitate participatory mapping to find out the boundary between CUZ and TPZ based on villagers knowledge and resource needs.
2. Read the table below on 'Management units' and check what the differences are with step 2.
3. Based on your work and the case studies discuss in your group how you would implement it in the field.
4. Based on all 3 steps, assess which villages have priority to be guardian village
5. Share any questions or observations with a wider group.

Management units	Are there management units or zones—within the protected area or related to it in the larger landscape/seascape—closely associated with one or more rights holders or stakeholders? Have such rights holders or stakeholders the capacity and willingness to contribute to governing such units and supporting their conservation?	An input is needed on the zonation (de jure) as per the management plan and explain difference between total protected zone and controlled use zone. Ask the villagers to draw the different use zones as they know them (de facto). Ask villagers about their role/rights in these zones.
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* Based on: Borrini-Feyerabend, G., N. Dudley, N. Jaeger, T. Lassen, B. Broome, N.P, A. Phillips, and T. Sandwith. 2013. *Governance of protected areas: from understanding to action*. Gland: IUCN.

ACTIVITY 6: DEVELOP ToR AND CRITERIA FOR SETUP OF CO-MANAGEMENT COMMITTEE

Goal

To develop professional guidelines for co-management field facilitators to ensure everyone is operating to the same level of standards and knows exactly how to setup Co-management Committees at different levels.

SESSION 2	Outcomes	The 7 steps required to establish a Co-management Committee are documented	The standard criteria to establish a Co-management committee at VCMC and VCCMC levels are agreed.
ACTIVITY 6			



Implementation Timing

A period of two weeks is required to develop the ToR and criteria, including the field work schedule.

Process

STEP

Co-Management Committee Selection

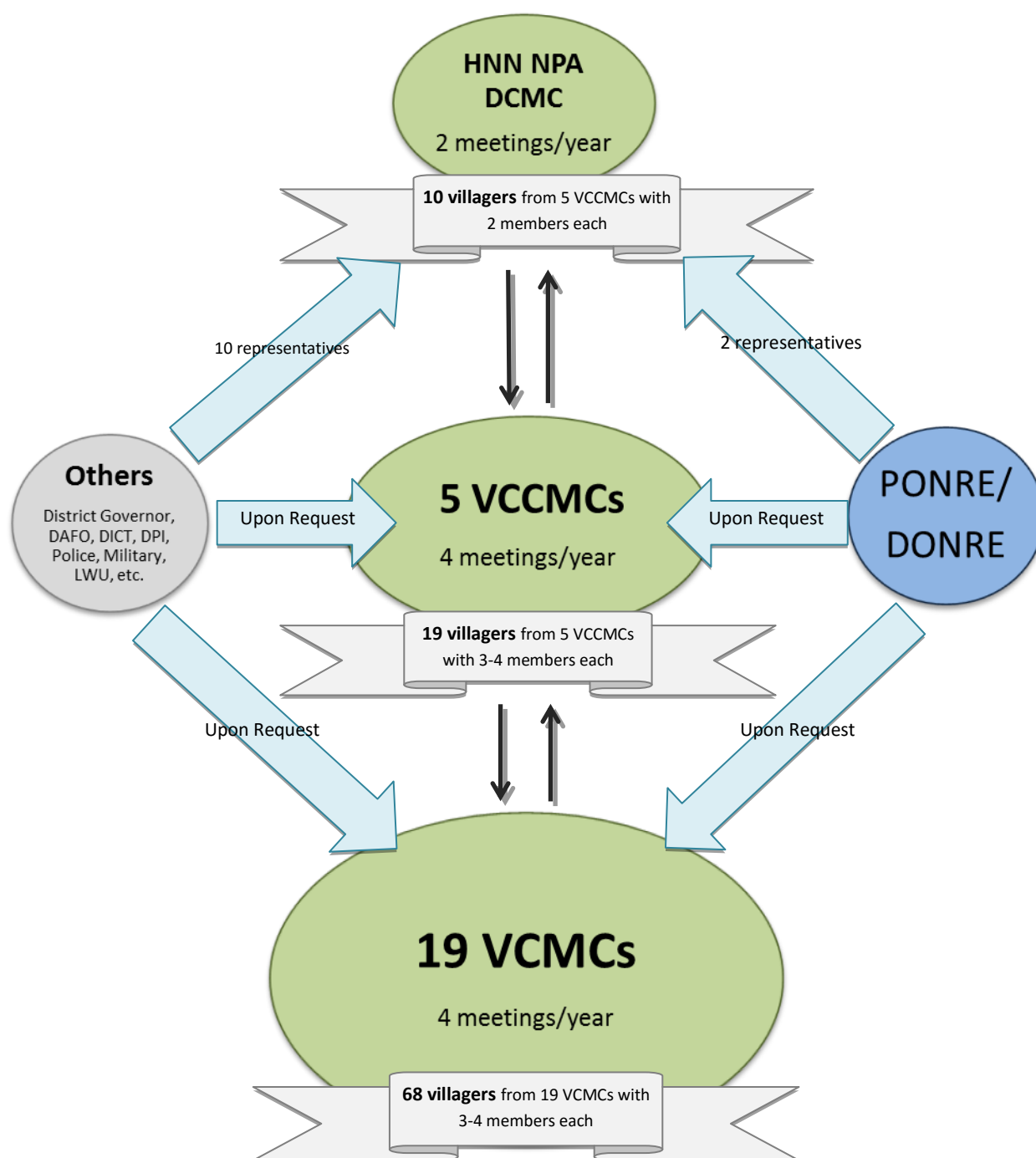
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1. In a small group of 3-5 people, nominate a member of your group to read aloud the co-management committee selection criteria below.
2. Based on the selection criteria discuss in your group how you would implement it in the field.
3. Share any questions or observations with the wider group.

PONRE is the lead organization and AFC-GIZ supported technical expertise and organized the technical meetings at PONRE's office to finalize the selection criteria on who should participate in the co-management committees: include criteria such as existing skills/knowledge; interest and motivation; and ensure participation by women and the various ethnic groups.

- Select 4-5 representatives per village:
 - At least 2 females per village
 - At least 1 village cluster ranger
 - At least 1 village representative (deputy head of village; Lao Women Union)
 - At least 1 representative of NTFP/ecotourism group or forest resource users
- Must have time to join in meetings and trainings
- Must be involved and know about the work in the Hin Nam No NPA
- Select from 4-5 representatives per village about 3-4 representatives to participate in village cluster co-management committee.
- Select from village cluster co-management committee 1-2 representatives to participate in bi-annual Hin Nam No NPA District Co-Management Committee

10 villagers are involved in **strategic management** of HNN NPA



213 villagers are involved in **operational management** of HNN NPA.

68 co-management committee members / 110 village rangers / 35 service group members

ACTIVITY 7: ESTABLISHMENT OF CO-MANAGEMENT COMMITTEES AT VILLAGE AND VILLAGE CLUSTER LEVEL

Goal

To ensure the protection of biodiversity and natural areas, including the forest, plants and wildlife in Hin Nam No NPA through community ownership for research, biodiversity protection, and cultural and tourism purposes. To achieve this, forest resources need to be managed in a sustainable way with effective law enforcement.

SESSION 2	Outcomes	Successfully setup VCMC and VCCMC around the Hin Nam No NPA, including co-management by-law.	Enable bottom up decision making that is equitable and inclusive and based on customary rights.	Build the local capacity of the villagers.
ACTIVITY 7				



Implementation Timing

A period of 6 months is required to implement this activity (set up co-management committee at village & village cluster level, district workshop, provincial workshop and district endorsement of co-management by-law).

Process

There are two key implementation activities required to establish the Co-management Committees:

1. Pilot the establishment of the Co-management Committee in two village clusters, a total of 9 villages in Nongping and Ba Dou (18-25/5/2014); and
2. Continuation of the establishment of Co-management Committees in three additional village clusters in Kum Nong Mar, Kum Kayou and Kum Langkang, totaling 10 villages (22-29/12/2014).

STEP

1

Make an appointment with the village administration

1. Make an appointment with the village administration i.e. chief of the village (Nai ban) or deputy-chief of Nai Ban; 1 representative from village rangers; 1 representative from Village Lao Women Union; 1 representative from NTFP/tourism; 1 representative of village security; and 1 representative of Village Lao Front for National Construction (Neo Hom Ban).

STEP

2

Team introduction

1. Introduce the team and objectives of working in their village
2. Inform them about the process to establish the Village Co-management Committee.

STEP

3

Co-management Committee awareness raising

1. Raise initial awareness about the establishment of the village Co-management Committee.
2. Share proposal from the governance assessment to establish VCMC and VCCMC with them and present potential advantages and long-term benefits of working together with the protected area authorities but ALSO the risks and challenges.

STEP

4

Expression of interest

1. At the end of the initial awareness meeting ask for volunteers to become a VCMC candidate based on the presented selection criteria.

STEP

5

Briefing session with interested parties (VCMC, village members and selection board) and hold elections

1. With the group of people who are interested, provide brief introduction presentations by each voluntary candidate to provide the others with an understanding of the reason behind their candidacy. As part of this step encourage women and members of ethnic groups to become members of the committee.
2. Hold democratic elections by secret voting. 4-5 candidates out of the volunteers who score the most points during the voting process become the members of the VCMC.

STEP

6

Formulation of regulatory and governance structures

1. Jointly formulate regulations and governance structures of the elected VCMC
2. Assist the Committee in drafting (simple) co-management regulations to manage the committee.

STEP

7

Photo sessions

1. Take photos of the new Co-management Committee for record purposes.

Based on the results of the governance assessment held from the 3-7 Feb and 20 Feb 14, Bualapha District, Khammouane Province and in reference to the technical workshop which was organized on 9 April 2014 at PONRE's Office it was concluded that most participants agreed on the establishment of the Co-management Committees at the two pilot clusters Kum Ban Nongping and Kum Ban Dou with a total of 9 guardian villages as the first priority. As a next step capacity building will be provided to these established Co-management Committees during the remainder of 2014. In the next dry season additional priority guardian villages of the cluster Kum Nong Mar, Kum Kayou and Kum Ban Langkang will be added and additional Co-management Committees will be established.

- a. From 18-25/5/2014: The team successfully completed the establishment of the village and village clusters Co-management Committees in the first phase. The process to establish the co-management committees such as the election and voting was done participatory, transparent, accountable, consensus-oriented, equitable and in an inclusive manner. The local authorities were very happy with this approach. The Village Co-management Committees in 9 villages were made up of 32 people (including 4 women). The 2 Village Cluster Co-management Committees were made up of 8 people (including 1 woman) and are representatives from the respective VCMCs nominated to be on the Village Cluster Co-management Committees.
- b. From 22-29 December 2014: The establishment of the Co-management Committee continued in the remaining 3 village clusters namely Kum Nong Mar, Kum Kayou and Kum Langkang and covered 10 villages (the village cluster of Langkang only has 2 villages which have land inside Hin Nam No). In total 10 villages selected a VCMC with 36 people in total (including 1 woman) and selected 3 VCCMC with 11 persons (including 1 woman).

This process continued in 10 villages following the same process as piloted in the first 9 villages. The facilitation team continued with the same people, which made the work more efficient. Moreover, the co-management by-law established in the first 9 villages was used to raise awareness about some important issues related to the benefits for the communities and committees. As a result, some villages requested the concerned authorities to amend the article related to the emergency case and accident during official working hours in case they need medical assistance. This is an important issue to be worked out in the near future.



Democratic voting



Selected candidates

ACTIVITY 8: ORGANIZE DISTRICT AND PROVINCIAL LEVEL MULTI-STAKEHOLDERS WORKSHOP

Goal

Organize multi-stakeholder workshop to debrief about the results and outcomes of the setup of the Co-management Committees and co-management agreements and to come to a standard co-management by-law agreed upon by all parties.

The main objective of the multi-stakeholders workshop is to finalize the co-management by-law of the Village and Village Cluster Co-management Committees, Hin Nam No NPA, Bualapha District, Khammouane Province:

- To review the VCMC & VCCMC co-management by-law;
- To unanimously agree on certain issues, for example: ordinary yearly workshop, offences and fines, fees and insurance system of VCMC & VCCMC, and standard agenda for meetings;
- Give opportunities for the new members of three village clusters to exchange ideas and share lessons learned on the establishment of Co-management Committees; and
- Develop yearly action plans using participatory tools.

SESSION 2	Outcomes	Reach agreement on common final draft of the co-management by-law to develop a common understanding.	Have the required skills to develop a standard agenda for the Co-management meetings.	Development of the annual action plan standard template, including training requirements.
ACTIVITY 8				



Implementation Timing

One day workshop

Process

STEP

Prepare the multi-stakeholder workshop

1

1. Individually read the example workshop agenda below
2. Consider what your workshop agenda needs to cover and document in the agenda template provided, including timings for each item.

The provincial multi-stakeholders workshop was also done in the same way as the district level workshop. The provincial workshop was very important because the participants had to discuss and explore together and agree on the provincial level in terms of who will be suitable to endorse the co-management by-law of VCMC and VCCMC. At the end of workshop it was determined that the right person to sign and endorse the VCMC, VCCMC, as well as the co-management by-law is the District Governor. The Provincial Governor suggested that the co-management by-law will be endorsed and signed by the District Governor as Bualapha District is “Three-Build or Sam Sang” of Khammaoune Province and the Hin Nam No NPA is located entirely in one district.

EXAMPLE: Multi-Stakeholder Workshop Agenda

Meeting objective: The main objective of multi-stakeholders workshop is to finalize the co-management by-law of co-management committees, HNN NPA, Bualapha District, Khammouane Province such detail below are:

- To review the VCMC & VCCMC co-management by-law
- To unanimously agree on certain issues for example: ordinary yearly workshop, offences and fines, fees and insurance system of VCMC & VCCMC, standard agenda
- Give opportunities for the new members of three village clusters to exchange ideas and lessons learned on the establishment of co-management committees
- Participatory develop a yearly action plan including upcoming trainings

Time	Item(s)	Facilitator(s)	Tool (s)
	Opening ceremony		
	Self-introduction of all participants such as: name, position, organization or village		
	Introduce workshop's objectives, agenda, outcomes and workshop flows		
	Present the key results of the establishment of the co-management committees at 2 different levels		
	All participants are invited to group photos before coffee-break		
	Advantages and disadvantages of different options for the co-management by-law gathered from the various VCMC & VCCMC		
	All participants revise or re-check the draft of the VCMC & VCCMC co-management by- laws with comments and feedbacks		
	Discussions, Q&A and open floor to participants comments and feedback to the VCMC & VCCMC co-management by-law		
	Final draft of the VCMC & VCCMC co-management by-law		
	Participatory develop VCMC & VCCMC yearly action plan and agree on upcoming trainings		
	Closing ceremony		

ACTIVITY 9: LEGAL VERIFICATION AND ENDORSEMENT OF CO-MANAGEMENT COMMITTEES AND CO-MANAGEMENT BY-LAW

Goal

The main goal is to verify the Co-management Committee Selection Process and to collect recommendations from the community relating to the co-management by-law to ensure that the broader community is comfortable with the proposed co-management by-law.

SESSION 2	Outcomes		
ACTIVITY 9		Gain the required skills to successfully organize a village workshop.	Have the required skills to build trust with the community to gain buy-in on the co-management by-law. Be able to facilitate final recommendations and feedback from the community.



Implementation Timing

A period of two weeks is required at the working level in the villages

Process

STEP

1

Develop ToR and submit to District Governor for approval

1. Legally verify the co-management by-law by the relevant departments at District and Provincial level to ensure that the document is in line with all relevant legislation and within legal possibilities.
2. Propose a team to go to all guardian villages to explain the final co-management by-law to all villagers. Ideally this is the same team that was involved in the set-up of the co-management committees and the drafting of the co-management by-law. Observers from the District Governor's office can join to see if the process was done in a transparent way and including all guardian villagers.
3. Get approval from the District Governor for the proposed ToR for the team to do this activity.

STEP

2

Budget and activity planning

1. List all the guardian villages that should be visited. Prepare enough copies of the final draft of the co-management by-law.
2. Make a time plan when the villages will be visited.
3. Make a budget and get approval to visit all villages in a period of two weeks.

STEP

3

Organize village meetings

1. Send official letter to make appointment with the selected villages.
2. Prepare the meeting (consider objectives, the flow of the meeting and expected outcomes).

4

Report writing

1. Have a clear record of all participants in the village by having an attendance register attached to the report. In the attendance register people should state if they are male or female so it can be assessed if there was an equal participation by men and women.
2. Based on the attendance register it can be analysed how many people attended the meeting.
3. In the report it must be explained how the co-management by-law was explained to all villagers. It must be clearly reported on how many people agreed with the proposal and how many people disagreed with the proposal or if people raised any concerns or had recommendations.
4. The report must have a conclusion and recommendation part to indicate to the District Governor if the co-management by-law can be endorsed or not.

This activity was done by a special task force of the Bualapha administration as the District Governor wanted to legally verify the co-management by-law and see if all the guardian villagers agree before the endorsement of the co-management by-law. This activity was conducted from 8-19 January 2015 in Bualapha District. In total 933 participants (256 women) attended the meeting. In total there are about 8,000 inhabitants in the 19 villages including children.

The co-management by-law was agreed upon by all stakeholders within the 19 guardian villages because the co-management agreement is drafted by the villagers themselves. The co-management by-law will be enforced for the Hin Nam No NPA management in the future. Most villagers need the co-management by-law to be endorsed by the District Governor as soon as possible in order to officially authorize them to fulfill their task on law enforcement in terms of Hin Nam No NPA management.

The village authorities proposed that the decision makers should disseminate the co-management by-law in the villages along the Vietnamese border. In addition, the chief of village from Kouankhayom, Nong Ping and Yavaed would like the related stakeholders to work on demarcation for the Hin Nam No NPA management to be clear on the responsible areas for biodiversity monitoring and patrolling.

ACTIVITY 10: DISTRICT WORKSHOP TO ESTABLISHMENT OF DISTRICT CO-MANAGEMENT COMMITTEE AND TECHNICAL WORKING GROUPS

Goal

The main goal is to brainstorm on the processes and approach to establish the DCMC and gain agreement to move forward with the establishment of the DCMC. In addition technical working groups are established under the DCMC to advise the DCMC and to come up with the co-management plan on what needs to be done.

SESSION 2	Outcomes	Gain agreement of roles and responsibilities for the DCMC and participation of VCCMC members	Obtain agreement of the DCMC endorsement process
ACTIVITY 10			



Implementation Timing

1 ½ day workshop

Process

STEP

1

Gain agreement in terms of DCMC and Working Group selection criteria

1. Have a clear understanding about the role and functioning of the Hin Nam No NPA District Co-Management Committee and its working groups. The Hin Nam No NPA DCMC has a strategic overview function with regard to the Hin Nam No NPA such as the approval of the 5 year co-management plan and annual plans. The interdisciplinary thematic working groups provide the necessary inputs to the co-management plan on what needs to be done and propose strategies to the DCMC for approval such as the tourism strategy for Hin Nam No.
2. Based on the roles and functions of the DCMC and the working groups decide on the selection criteria of the membership. It was agreed that the DCMC should have all relevant stakeholders of the District that are directly involved in the work of the Hin Nam No NPA such as the tourism department; the policy; etc. The membership of the working groups should be the people that have the technical expertise on certain topics. In the DCMC there are 1-2 representatives from each VCCMC and relevant villagers are also involved in the technical working group meetings to get their inputs.

STEP

2

Organize district stakeholder workshops

1. Ensure that the right participants are invited to the meeting to decide on the set-up of the DCMC, including the VCCMC representatives
2. Ensure that the workshop is chaired by either the District Governor or the vice Governor.

STEP

3

Develop ToR and action plan for DCMC and secretary of DCMC

1. Develop the ToR and action plan of the DCMC by involving the high authority officials who are used to develop such kind of legal documents.
2. Develop the ToR and action plan of the secretary of the DCMC by involving high authority officials who are used to develop such kind of legal documents.

STEP**4****Agree DCMC Endorsement Process**

1. Legal verification of the draft ToR for the DCMC and secretary of DCMC
2. Official approval of the DCMC and its ToR by the District Governor. Official approval by the vice District Governor, who is the chair of the DCMC, for the secretary of the DCMC.

The consultation workshop for the establishment of the Hin Nam No NPA District Co-management Committee (DCMC) was organized in a meeting room in the Hin Nam No NPA office, Bualapha district, Khammouane province. The workshop was conducted over 1 ½ days from 7-8 May 2015.

Members of the workshop were divided into four sub-groups to brainstorm about the processes and methodology for the establishment of the DCMC and to gain a better alignment to the establishment, selection and voting processes of the VCMC and VCCMC's. It was decided that the DCMC is established via an automatic nomination of representatives from different departments which did not include a voting process due to this district high ranking people maybe annual reshuffle duty so that the workshop agreement to identified office instead of person as members of DCMC. The nominations were then submitted to the District Governor for endorsement.

The DCMC does not have an office. However they have a secretary that operates on behalf of the DCMC. The secretary prepares all tasks for DCMC approval and decision-making in DCMC meetings. Consequently, the workshop outcome was an agreement to establish a DCMC and a secretary at the same time.

All participants agreed that the Vice-District Governor should be the chairman of the DCMC. Secondly, agreement was made on the nomination of 11 offices and VCCMC representatives (5 village clusters) to be part of the DCMC. The proposed 11 offices to the District Governor for endorsement as chairman of the DCMC are listed below:

1. District Office Natural Resource and Environment
2. District Agriculture and Forestry Office
3. District Lao Women's Union
4. District Defense Office
5. District Police Office
6. District Planning and Investment
7. District Rural Development Office
8. District Information, Tourism and Culture Office
9. District Governor's Office
10. District Home Affairs Office
11. District Propaganda and Training Office and
12. All representatives of the 5 village cluster Co-management Committees

In summary, for the DCMC's secretary unit the workshop agreed that DONRE and DAFO would perform the role as permanent secretary for the DCMC. The main tasks of the secretary are related to the preparation of documents, establishment of budgets, development of work plans and meeting agendas to obtain the DCMC approval in bi-annual DCMC meetings.

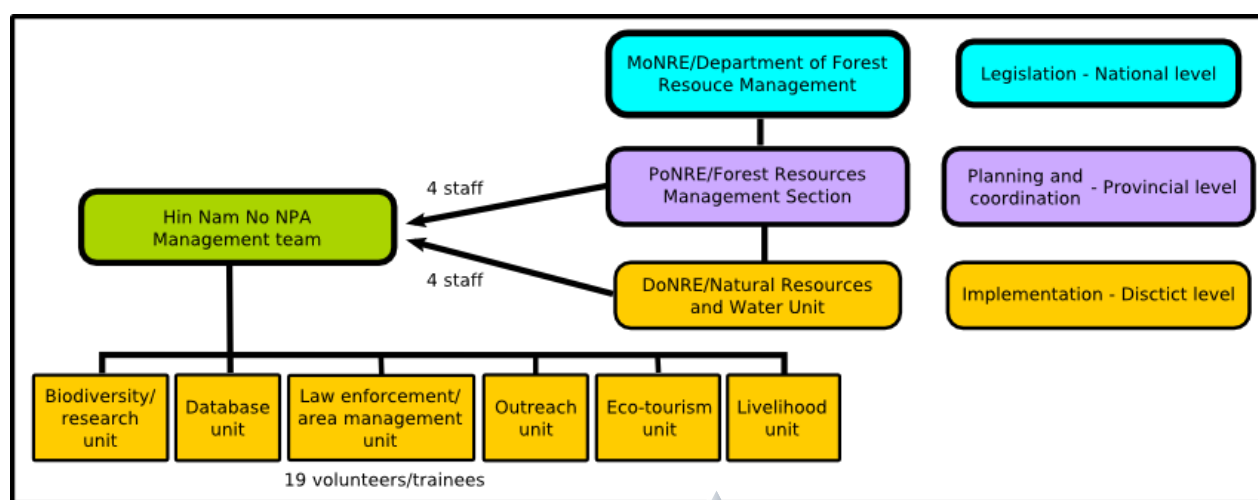
Additionally, the workshop agreed that the DCMC and secretary unit will continue to develop the co-management plan (with the help of 5 thematic multi-stakeholder working groups established under the DCMC), co-management by-law, and the rights and functions of the DCMC. The establishment of a management structure for the Hin Nam No NPA was an important starting point of the whole process, even before the governance assessment was done. By learning what tasks have to be done by the six different technical units it became clear that this cannot be done by the government staff only. For effective management of the Hin Nam No NPA the assistance of the communities is vital and the need for collaborative management is understood by PoNRE, DoNRE and local authorities. The link between the NPA management structure and the collaborative management structure is illustrated in the figure below.

The thematic working groups under the DCMC more or less coincide with the technical units of the management structure and the heads of the units coordinate the functioning of the working groups. The DCMC ensures the steering and operation of the co-management/governance structure of the Hin Nam No NPA between the District, Village Cluster and Village level (DCMC – VCCMC – VCMC). The DCMC is responsible for strategic decision making with regard to the Hin Nam No NPA and will mobilize the active support of relevant government departments, other relevant stakeholders at the local community and local people in the management, protection and development of the Hin Nam No NPA in line with its agreed vision and objectives. Furthermore, it was agreed that the DCMC will arrange a special meeting once a year in which a broader stakeholder group will be invited such as DFRM / MoNRE; Provincial Governor's office; Cluster heads; development partners; etc. to be informed on the developments of the Hin Nam No NPA and to provide their advice and inputs.

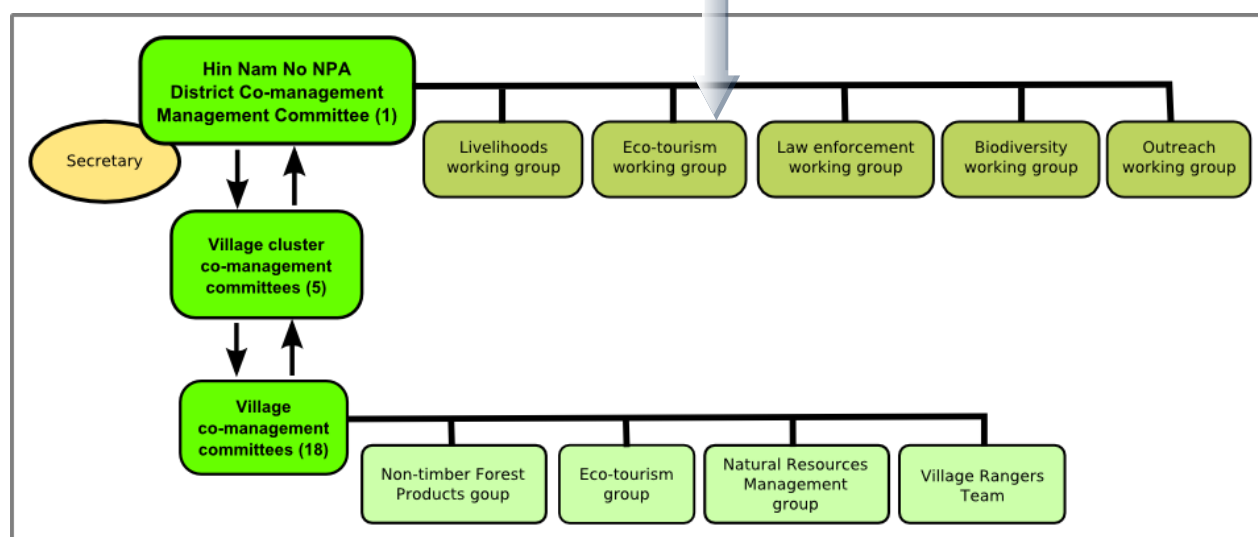
EXAMPLE: Summary score results for nominated offices

No	Office Name	4 scores has 8 offices	3 scores has 4 offices	2 scores has 4 offices	1 score has 1 office
1	DONRE	✓			
2	DAFO	✓			
3	District Rural Development Office	✓			
4	District Planning and Investment Office	✓			
5	District Lao Women's Union	✓			
6	District Defense Office	✓			
7	District Security Office	✓			
8	District Information, Tourism and Culture Office	✓			
9	District Governor's Office		✓		
10	District Home Affairs Office		✓		
11	District Propaganda and Training Office		✓		
12	VCCMC		✓		
13	Private sector			✓	
14	District Court Office			✓	
15	District Justice			✓	
16	District Lao Front for National Construction			✓	
17	District Youth Office				✓

HIN NAM NO NPA MANAGEMENT STRUCTURE



HIN NAM NO NPA COLLABORATIVE MANAGEMENT STRUCTURE



ACTIVITY 11: EXECUTION OF DCMC ENDORSEMENT PROCESS

Goal

The main goal is to gain endorsement of the District Co-management Committee and co-management by-law and to broadly disseminate the information to all relevant stakeholders. A similar process was followed for the endorsement of the strategic Hin Nam No co-management plan 2016-2020. The preparation of this plan followed its own process of about 9 months and the endorsement process was about 3 months.

SESSION 2	Outcomes	Endorsement of VCMC, VCCMC and DCMC by-law from the District Governor and broad dissemination of by-law.	Effective Hin Nam No NPA co-management by-law in place.
ACTIVITY 11			



Implementation Timing

A period of 1 – 3 months is required, including preparation documents

Process

STEP

Gain agreement for endorsement process

1

1. Organize district workshop for recommendations and feedback
2. Organize provincial workshop to finalise the feedback and recommendations process
3. Prepare documentation for approval

The main aims of the co-management by-law on Hin Nam No National Protected Area protection focus on:

1. Regulation, principle and measurements for the use and management of natural resources such as forest, land use, wildlife and aquatic animal and NTFPs and identifying the roles and responsibilities of local people to sustain the Hin Nam No NPA.
2. Encouragement and empowerment of local people who are connected to the forest, natural resources, wildlife and aquatic to demonstrate ownership in the management, protection and rehabilitation of the Hin Nam No NPA to increase the natural resources in the area for sustainable use. To raise the awareness of local people to be responsible with regard to the management of the Hin Nam No NPA. In addition, to ensure that existing natural resources for each village in the area for which they are responsible remain intact with regard to biodiversity, eco-systems and natural resources which are of national, regional and global importance.
3. The endorsement of the rights and responsibilities of the local people on traditional natural resource use in line with regulations.
4. The dissemination of the Hin Nam No NPA co-management by-law to all stakeholders while protecting the environment and developing the livelihood of local people.

Session 3: Capacity Building Co-management Committees

Building block #4:
Co-management agreements
Co-management plan

- Disseminate the information on the governance structure and co-management by-law and co-management plan
- District and village level trainings on good governance and other topics related to the new role of stakeholders
- Good governance and management effectiveness assessments

Goals

- To encourage and empower guardian villages and district officials to implement the collaborative management system effectively

Outcomes

- Improved leadership skills and better understanding of good governance
- Improved technical skills
- Stakeholders know what is in the co-management by-law and who is responsible
- Stakeholders know what is in the co-management plan and what should be done by when



Timing: 3 years

Methodology

- Good governance training
- Leadership training
- Capacity needs assessment with regard to technical skills needed for effective protected area management
- Development of a comprehensive capacity development plan
- Annual management effectiveness and good governance assessments

Tools

- Participatory tools such as team building exercises; participatory monitoring; SWOT; etc.

Facilitation tools



ACTIVITY 12: Good Governance Training to VCMC, VCCMC, DCMC and DCMC secretary

Goal

The training manual is designed to meet a number of specific learning objectives: to strengthen and build the capacity of the Co-management Committees at three different levels: VCMC & VCCMC and DCMC and secretary of DCMC; to understand the concept of governance (overview of governance); to be able to apply the concepts of governance in different areas of society; and to promote good governance in Hin Nam No NPA.

SESSION 3	Outcomes	Have the skills to be able to organize Good Governance Training Courses to improve the capacity of local government, partner agencies and target groups	Develop a greater understanding of good governance to assist all levels of Co-management Committees to adopt good governance practices	Ability to work with the Co-management Committees to make their work and operational procedures more transparent, accountable and equitable in terms of decision-making processes
ACTIVITY 12				



Implementation Timing

Five days are required per training course as per the course outline below

Course Outline

STEP

1

Good Governance (2 Days)

1. Leader and leadership
2. Co-management rights, function and mandate (collaborative governance of Hin Nam No National Protected Area) which relate to participatory monitoring and leadership development
3. Project management
4. Basic knowledge of SWOT analysis

STEP

2

Gender Basics (1 Day)

1. History of gender development in Laos
2. Basic gender and gender balance
3. Gender related to Hin Nam No NPA
4. Basic knowledge of accounting (book keeping)

STEP

3

Hin Nam No NPA Co-management By-law (2 Day)

1. NPA laws and forestry
2. Basic principles of investigation
3. Technique in terms of proof of punishments
4. Basics of multi-stakeholder planning and collaboration

The training evaluations were conducted pre and post training by using a form (annex 4 & 5). The main aim of this exercise is to evaluate the level of understanding of the participants to all the topics that were covered as part of the course.

ACTIVITY 13: Good governance and management effectiveness assessments

Goal

The main goal is to assess the effectiveness of management and good governance in the Hin Nam No HPA to ensure that the co-management approach is meeting the expectations of all stakeholders and to ensure that the approach contributes to increased effectiveness of the management of Hin Nam No NPA.

SESSION 3	Outcomes		
ACTIVITY 13		Increased awareness of the outcomes of project activities that have been done in the past	Ability to identify and implement continuous activities for improvement for decision makers through a participatory assessment process
			The ability to measure results compared to a baseline and annually monitor the level of good governance and management effectiveness in the Hin Nam No NPA



Implementation Timing

At least two hours are required for each assessment.

Process

The Hin Nam No NPA assessments on good governance were organized in three different groups; 1) community groups, 2) technical staff group and 3) district authorities group. The management effectiveness assessment is conducted in three different groups as well; 1) PoNRE staff working on Hin Nam No, 2) DoNRE staff working on Hin Nam No, 3) project advisors working on Hin Nam No. For the management effectiveness the team uses another two hours to come to consensus for a final score.

For the good governance assessment this is too cumbersome due to the amount of stakeholders involved and normally an average score is calculated. For the good governance assessment a standard questionnaire was developed by GIZ Hin Nam No which has been applied consistently to all assessment groups (annex 3). For the management effectiveness assessment an interview questionnaire developed by the ASEAN Centre for Biodiversity is used.

Annex 3 contains the interview questionnaire for the annual good governance assessment.

Session 4: Lessons Learned

Building block #5:

Leveraging villagers knowledge for continuous improvement

- **Lessons learned from village rangers; village eco-tourism service providers; NTFP producer groups; NRM group making rules and enforcement of rules in various zones; participatory planning by co-management committee members**
- **(participatory monitoring; costs & benefits)**

- ❖ The establishment of a management structure for the Hin Nam No NPA was an important starting point of the process even before the governance assessment was done. By learning what tasks have to be done by the six different technical units it became clear that this cannot be done by the government staff only. For effective management of the Hin Nam No NPA the assistance of the communities is vital and the need for collaborative management is understood by PoNRE, DoNRE and local authorities (this is illustrated in the figure under activity 10).
- ❖ During the first meeting with the local communities, clearly explain the objectives, vision, mission and long-term benefits of working together for protecting Hin Nam No NPA. It is important that villagers understand that the project will help them to develop their own action plan.
- ❖ Spend the necessary time in the preparation of the field activities and familiarise yourself with the Collaborative management approach.
- ❖ Ensure there is sufficient budget and time available before planning all activities. A governance assessment costs around 7,000 – 10,000 US\$.
- ❖ The set-up of VCMC and collaborative management agreements cost about 1,000 US\$ per village.
- ❖ It is important that the procedures of budget delivery are simple and fast.
- ❖ Establishing agreements with other projects that can for example support livelihoods activities is very important.
- ❖ It is vital that enough time is spent on the identification of the roles, responsibilities, functions, rights and duties of co-management Committee members, and the drafting of the co-management by-law.
- ❖ Stakeholder meetings are important for generating discussion, debate, negotiation and feedback on the drafted co-management by-law.
- ❖ It is important to conduct a baseline survey before the project commences any implementation activities, this can then be used to measure progress and improvements as a result of the interventions.
- ❖ Public-Private-Partnerships and involvement of the private sector (tourism, NTFPs) is also importance for the collaborative management system to succeed.

Annexes

Annex 1: Interview guidelines village cluster

Name	
Type of business	
Location/district/Kum ban	
Position	
Phone number	
Email	
When was the NPA established? By whom?	
How was the NPA established? Who took part? Who supported? Who opposed? Do villagers know the boundaries of the NPA and do villagers know if there are certain zones within the NPA?	
Who took the lead in establishing the NPA? Who was not involved?	
What existed in the area before the NPA? How was the livelihood of local people?	
Who decided about natural resource use before the NPA existed? Who decides now?	
What stayed the same after the NPA was established? What changed? Have livelihoods improved or not?	
Until now, who has got the most benefit from the NPA? Who has had the most negative impact?	
Have all involved parties followed the rules? If not, who not and what has happened?	
How are rules changed? Who has the power to change rules?	
When there are problems with regards to the NPA, who can local people turn to for help? How are problems solved?	
Is knowledge about the NPA known by all?	
Who is involved in the management of the NPA?	
Are there co-management systems/meetings/structures in place representing various stakeholders?	
What are the benefits for participation in the NPA management?	
Which NPA management tasks are delegated to local people?	
Is there an overall strategic vision for the HNN NPA by all stakeholders?	
Have the people responsible to manage the NPA the necessary capacities?	
How is information shared with line agencies, villages? Is all information available?	
Is there a conflict resolution mechanism in place?	
Is there a mechanism to enforce NPA rules and to punish people who disobey the rules? If yes, is this done in a transparent way? Is data collected around this?	
Is there a legal framework (rule of law)?	
Does the HNN NPA respect the livelihoods and legal/customary rights of local people?	
Are benefit-sharing mechanisms in place to distribute the costs and benefits fairly?	

Annex 2: Interview guidelines for government representatives (district)

Name	
Department	
Location/district	

Position	
Phone number	
Email	

Enabling environment

Do you provide extension services to.....?	
Are there other support services available at province/district level? What services? To who? [for villagers, businesses, traders....]	
Have you received extension services with regards to HNN protected area?	
What are the key constraints in term of effective co-management?	
Are there other financial resources available for actors? Which ones?	
Is the HNN NPA integrated into the DSEDP and/or other plans of the District?	
Is there an exchange between NPAs in the Province?	
Are there sufficient resources allocated to manage the HNN NPA effectively?	
Is the HNN NPA making efficient use of its resources? Is it financially sustainable?	
Is there a NPA management monitoring system in place?	
Are there processes by which threats, opportunities and risks to the HNN NPA are managed?	
Is there room for institutional learning?	
10. Are there clear responsibilities of decision makers?	

Rules and regulations

Are there any restrictions with regards to HNN?	
Do villagers have legal access to resources? Can you describe? Is there forest/land allocation? Where and in how many villages?	
What policies concerning NTFP are issued at province level/district level/village level? How are they communicated and enforced?	
Are there government interventions (at province and district level) in production, processing and marketing? (interventions can be: quota, not sure what you mean)	
What is the effect of this intervention? Can you describe?	
Comments and recommendations	

Annex 3: Questionnaire For Good Governance Of Protected Areas

The assessment covers 2 elements: legislation and Hin Nam No level. Please cross (x) the most appropriate answer. Thank you.

LEGISLATION

- Do written rules and regulations for Protected Areas exist and are they accessible to the public?
 - ☐ Written rules and regulations exist and are accessible to the public
 - ☐ Written rules and regulations exist but are only limited accessible to the public
 - ☐ Written rules and regulations exist but are not accessible to the public
 - ☐ Written rules and regulations don't exist
- Are there clauses and measures in Protected Area legislation and rules that specifically refer to the rights of villagers?
 - ☐ There are several clauses and measures in Protected Area legislation and rules that specifically refer to the rights of villagers
 - ☐ There are only 1-2 specific clauses and measures in Protected Area legislation referring to the rights of villagers
 - ☐ There are some general clauses and measures in Protected Area legislation referring to the rights of villagers

- ☐ There are no clauses and measures in Protected Area legislation referring to the rights of villagers
3. To which degree allows the Protected Area system/legislation to decentralize, delegate or devolve decisions as capacities increase at lower levels?
 - ☐ There are clear opportunities and examples to decentralize, delegate or devolve decisions to the lower levels
 - ☐ There are opportunities to decentralize, delegate or devolve decisions to the lower levels but no concrete examples yet
 - ☐ There are limited opportunities to decentralize, delegate or devolve decisions to the lower levels and not concrete examples yet
 - ☐ There are no opportunities and examples to decentralize, delegate or devolve decisions to the lower levels
 4. Are there clauses and measures in Protected Areas legislation and rules that specifically refer to cultural diversity, gender equity, age-equity and non-discrimination?
 - ☐ There are several clauses and measures in Protected Area legislation and rules that specifically refer to diversity, gender equity, age-equity and non-discrimination
 - ☐ There are 1-2 specific clauses and measures in Protected Area legislation and rules that specifically refer to diversity, gender equity, age-equity and non-discrimination
 - ☐ There are some general clauses and measures in Protected Area legislation referring to diversity, gender equity, age-equity and non-discrimination
 - ☐ There are no clauses and measures in Protected Area legislation referring to diversity, gender equity, age-equity and non-discrimination
 5. Do legal frameworks establishing clear roles, rights and responsibilities of different actors in decision-making processes regarding Protected Areas exist?
 - ☐ There is a legal framework establishing clearly the roles, rights and responsibilities of different actors in decision making processes regarding Protected Areas
 - ☐ There is general reference in the legal framework about roles, rights and responsibilities of different actors in decision making processes regarding Protected Areas
 - ☐ There is an insufficient legal framework establishing roles, rights and responsibilities of different actors in decision making processes regarding Protected Areas
 - ☐ There is no legal basis recognizing roles, rights and responsibilities of different actors in decision making processes regarding Protected Areas
 6. Does a regulatory framework of defining property, access and use rights to natural resources within Protected Areas exist and is it being implemented?
 - ☐ A regulatory framework of defining property, access and use rights to natural resources within Protected Areas exist and is being implemented
 - ☐ A regulatory framework of defining property, access and use rights to natural resources within Protected Areas exist but is only partially implemented
 - ☐ A regulatory framework of defining property, access and use rights to natural resources within Protected Areas exist but is not being implemented
 - ☐ No regulatory framework of defining property, access and use rights to natural resources within Protected Areas exist
 7. To which extents do rights-/stakeholders impacted by the Protected Area, receive fair compensation (e.g. specific resource use; quota; permits; access and land use agreements)?
 - ☐ Rights/stakeholders impacted by the Protected Area receive full fair compensation
 - ☐ Rights/stakeholders impacted by the Protected Area receive sufficient compensation
 - ☐ Rights/stakeholders impacted by the Protected Area receive insufficient compensation
 - ☐ Rights/stakeholders impacted by the Protected Area receive no compensation

HNN

8. Is the full range of information on the performance of the Hin Nam No Protected Area provided by the management authority accessible to all rights-/stakeholders?
 - ☐ The amount and variety of information on the performance of the Hin Nam No Protected Area is accessible to all rights/stakeholders
 - ☐ The amount and variety of information on the performance of the Hin Nam No Protected Area is accessible to most rights/stakeholders
 - ☐ The amount and variety of information on the performance of the Hin Nam No Protected Areas is accessible to some rights/stakeholders
 - ☐ The amount and variety of information on the performance of the Hin Nam No Protected Area is

insufficiently accessible to rights/stakeholders

9. What is the level of awareness and knowledge of Hin Nam No Protected Area by rights-/stakeholders?
 - ☐ The rights-/stakeholders have full awareness and knowledge of Hin Nam No Protected Area
 - ☐ The rights-/stakeholders have sufficient awareness and knowledge of Hin Nam No Protected Area
 - ☐ The rights-/stakeholders have insufficient awareness and knowledge of Hin Nam No Protected Area
 - ☐ The rights-/stakeholders have no awareness and knowledge of Hin Nam No Protected Area
10. How many stakeholder groups are represented in the Hin Nam No District Co-management Committee (DCMC) structure?
 - ☐ All relevant stakeholders are regularly represented in the Hin Nam No District Co-management Committee (DCMC) structure
 - ☐ Some relevant stakeholders are represented in the Hin Nam No District Co-management Committee (DCMC) structure
 - ☐ Only some community members are represented in the Hin Nam No District Co-management Committee (DCMC) structure
 - ☐ There are no community members represented in the Hin Nam No District Co-management Committee (DCMC) structure
11. Which mechanisms for gathering protected area information and feedback directly from the rights/stakeholders exist and are used, and, in particular, from grassroots and vulnerable groups?
 - ☐ Regular and structured feedback from the villages is given and used in Hin Nam No management decisions
 - ☐ Ad hoc feedback from the villages is given and used in Hin Nam No management decisions
 - ☐ Scattered feedback from some villagers is given and sometimes used in Hin Nam No management decisions.
 - ☐ No feedback from villages is given or used in Hin Nam No management decisions
12. To what extent do rights/stakeholders participate in the reporting of technical information and plans regarding Hin Nam No Protected Area
 - ☐ All relevant rights/stakeholders participate regularly in the reporting of technical information and plans regarding Hin Nam No Protected Area
 - ☐ Some rights/stakeholders participate regularly in the reporting of technical information and plans regarding Hin Nam No Protected Area
 - ☐ Some rights/stakeholders participate ad hoc in the reporting of technical information and plans regarding Hin Nam No Protected Area
 - ☐ Only the Hin Nam No management authority of the Lao government participates in the reporting of technical information and plans regarding Hin Nam No Protected Area
13. To which extent are local villagers included in capacity building (technical trainings, use of equipment; study tours; etc.)?
 - ☐ Villagers are always included in capacity building
 - ☐ Villagers are most of the time included in capacity building
 - ☐ Villagers are sometimes included in capacity building
 - ☐ Villagers are not included in capacity building
14. Are local knowledge and skills respected and used by the Hin Nam No management structure
 - ☐ Local knowledge and skills are respected and regularly used by the Hin Nam No management structure
 - ☐ Local knowledge and skills are sometimes used by the Hin Nam No management structure
 - ☐ Local knowledge and skills are insufficiently respected and used by the Hin Nam No management structure
 - ☐ Local knowledge and skills are not respected or used by the Hin Nam No management structure
15. What is the origin of technical proposals discussed at the annual Hin Nam No District Co-Management Meeting (proportion of technical proposals originating from the villagers themselves)?
 - ☐ Most technical proposals discussed at the Hin Nam No management meetings come from the villagers
 - ☐ Some technical proposals discussed at the Hin Nam No management meetings come from the villagers
 - ☐ Few technical proposals discussed at the Hin Nam No management meetings come from the villagers
 - ☐ No technical proposals discussed at the Hin Nam No management meetings come from villagers
16. How many Hin Nam No management meetings are held in locations that favor local participation?
 - ☐ All Hin Nam No management meetings are held at village or village cluster level
 - ☐ Most Hin Nam No management meetings are held at village or village cluster level
 - ☐ Few Hin Nam No management meetings are held at village or village cluster level
 - ☐ No Hin Nam No management meetings are held at village or village cluster level
17. Do local rights/stakeholders play an active and meaningful role in Hin Nam No operations on the ground such as monitoring; patrolling; eco-tourism; outreach?

- ☐ Local rights/stakeholders are involved in all Hin Nam No management activities
 - ☐ Local rights/stakeholders are involved in most Hin Nam No management activities
 - ☐ Local rights/stakeholders are involved in few Hin Nam No management activities
 - ☐ Local rights/stakeholders are not involved in Hin Nam No management activities
18. Are special activities organized to empower vulnerable groups of rights holders in Hin Nam No Protected Area such as ethnic minorities, youth, and woman-headed households?
- ☐ Special activities are organized for these groups which give them an advantage
 - ☐ Special activities are organized for these groups but they don't have an advantage compared to others
 - ☐ No special activities are organized for these groups
 - ☐ No, these groups are discriminated
19. Are villagers, women, youth, vulnerable groups equally represented in the Hin Nam No management structures?
- ☐ These people are over-represented
 - ☐ These people are equally represented
 - ☐ These people are not equally represented
 - ☐ These people are not represented
20. Are the goal and objectives for the Hin Nam No Protected Area broadly agreed by all rights/stakeholders?
- ☐ The goal and objectives for the Hin Nam No Protected /area are broadly agreed by all
 - ☐ The goal for the Hin Nam No Protected area is broadly agreed but the objectives not
 - ☐ The goal and objectives of the Hin Nam No Protected Area are only known by a few
 - ☐ There is no goal and objectives for the Hin Nam No Protected Area
21. Do joint initiatives between the Hin Nam NoCo-management Committee and other organisations and actors at local, national and international levels (e.g. Transboundary; planning department; private sector; forestry; mining; tourism; fisheries; etc.) exist?
- ☐ Many joint activities exist on various levels
 - ☐ Some joint activities exist
 - ☐ No joint activities exist but there is communication with other stakeholders
 - ☐ No joint activities or communication with other stakeholders exist
22. Do performance-based promotion mechanisms (e.g. social and financial rewards) exist such as best ranger of the month or bonuses upon performance?
- ☐ Both social and financial rewards exist for good performance which is monitored regularly
 - ☐ Some social or financial rewards exist for good performance
 - ☐ Few social or financial rewards exist for good performance
 - ☐ No social or financial rewards exist for good performance
23. What are the trends in threats to the Hin Nam No Protected Area?
- ☐ The trends in poaching, illegal logging and encroachment are decreasing in all areas
 - ☐ The trends in poaching, illegal logging and encroachment are decreasing in some areas
 - ☐ The trends in poaching, illegal logging and encroachment are remaining the same
 - ☐ The trends in poaching, illegal logging and encroachment are increasing
24. Does the tenure/livelihood change regarding land, water, and natural resources within and in the surrounding of the Hin Nam No Protected Area?
- ☐ The tenure/livelihood situation around the Hin Nam No Protected Area is improving through more sustainable land and forest management
 - ☐ The tenure/livelihood situation around the Hin Nam No Protected Area remains the same
 - ☐ The tenure/livelihood situation around the Hin Nam No Protected Area is getting more difficult and is slowly changing
 - ☐ The tenure/livelihood situation around the Hin Nam No Protected area is changing drastically as the situation for the people is getting more difficult
25. Is there a strategic vision for the Hin Nam No Protected Area coherently translated into clear conservation objectives?
- ☐ Yes
 - ☐ Partially
 - ☐ Limited
 - ☐ No
26. How big do you think the difference is between the law and rules and the actual implementation and reality on the ground?
- ☐ Laws and rules are put into practice 100%
 - ☐ Laws and rules are put into practice most of the time
 - ☐ Laws and rules are only be applied sometimes and to some people

- ☐ Laws and rules are only seldom applied
27. Economic benefit: Is the Hin Nam No protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?
- ☐ There is a major flow of economic benefits to local communities from activities associated with the national park
 - ☐ There is some flow of economic benefits to local communities
 - ☐ Potential economic benefits are recognized and plans to realize these are being developed
 - ☐ The national park does not deliver any economic benefits to local communities

Annex 4: Pre-evaluation Good Governance Training Evaluation Form

“Topic Good governance (HNN NPA)”

1. Sex: ☐ Male ☐ Female 2. Age: _____ 3. Organization: _____

4. Current occupation: _____

5. In the past, had you ever been participated good governance training (HNN NPA)?

☐ Yes ☐ No

If yes, what topics did you trains?

6. Do you think what are related between natural resources and good governance?

7. What do you expect from this training course?

8. Recommendations and you're requested from this training course:

Thank You

Annex 5: Post-evaluation Good Governance Training Evaluation Form

“Topic GG governance training (HNN NPA)”

1. Sex: ☐ Male, ☐ Female 2. Age: _____ 3. Organization: _____

General training atmosphere

2. Training venue: ☐ Good ☐ Faire ☐ Improve

Comments: _____

3. Training atmosphere: ☐ Good ☐ Faire ☐ Improve

Comments: _____

4. Facilitation equipments: ☐ Good ☐ Faire ☐ Improve

Comments: _____

5. Coffee break: ☐ Good ☐ Faire ☐ Improve

Comments: _____

Training sessions

6. The content of lessons: ☐ Good ☐ Faire ☐ Improve

Comments: _____

7. Trainers explanation: ☐ Good ☐ Faire ☐ Improve

Comments: _____

8. Do you clearly understand the lessons? ☐ Good ☐ Faire ☐ Improve?

Comments: _____

9. Could apply the lesson learned to your daily task? ☐ Yes ☐ No

Comments: _____

10. Which topic do you fully understand?

1. Topic: _____

2. Topic: _____

3. Topic: _____

11. What topic do you need trainers to repeat again?

1. Topic: _____

2. Topic: _____

3. Topic: _____

12. What topic do you think that it is useful?

1. Topic: _____

2. Topic: _____

3. Topic: _____

13. What topic do you think it is not useful?

1. Topic: _____

2. Topic: _____

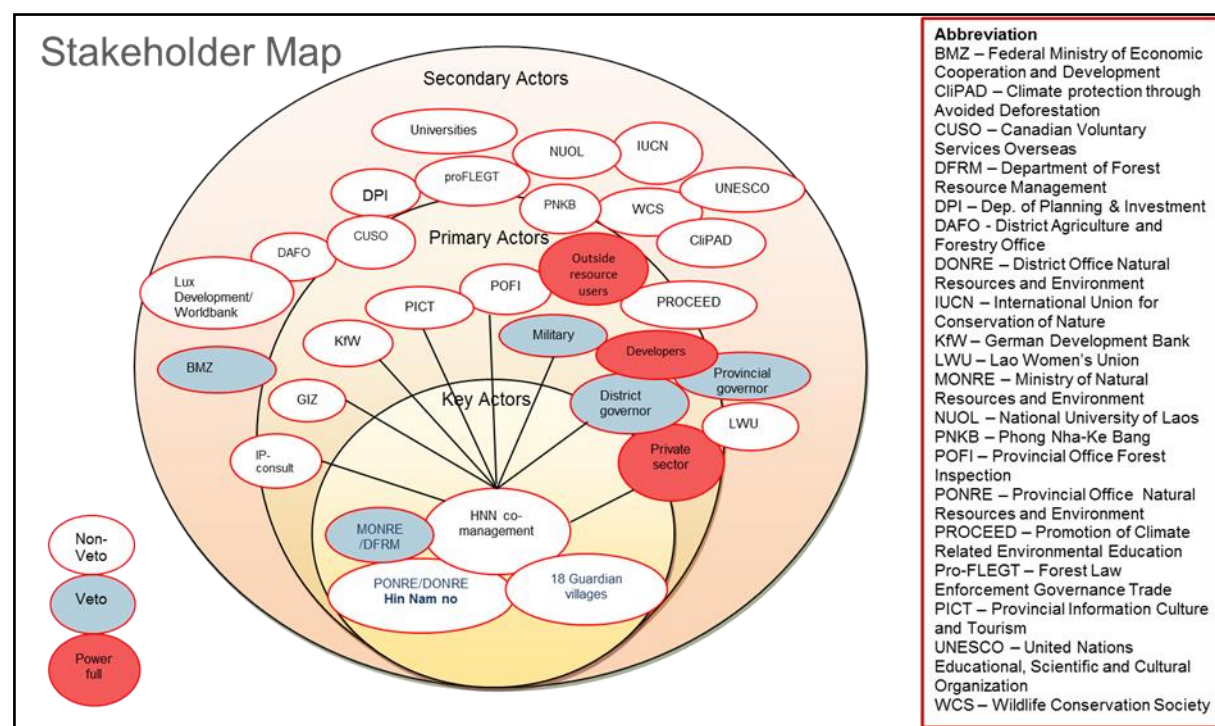
3. Topic: _____

14. Next training what do you want to improve?

15. Recommendations:

Thank you

Annex 6: Hin Nam No stakeholder map



About GIZ Laos

The Lao People's Democratic Republic is experiencing rapid economic growth but still is among the least developed countries. The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, as part of the Lao-German Development Cooperation, is supporting the Lao Government in reaching its ambitious development goal to raise its standing by 2020. GIZ is a German federal enterprise that is implementing projects primarily on behalf of the German Government. It offers demand-driven, tailor-made and effective services for sustainable development.

GIZ has been active in Laos since 1993 and is currently running numerous projects in two main priority areas: supporting rural development and sustainable economic cooperation. Moreover, we participate in regional programmes, for example with the Mekong River Commission.

More than 250 staff members bring our projects to life. GIZ has been operating in Laos primarily on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ), but also implement projects on behalf of the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB). We work closely together with German KfW and cooperate with a number of other development partners in Laos, including the Swiss Agency for Development and Cooperation (SDC), Australian Aid and MMG/Lane Xang Minerals Ltd.

Please visit our website www.giz.de/laos for further information on GIZ's work in Laos and worldwide.

About AFC

Agro-Forestry and Development Consultant (AFC) was established as a local NGO in Vientiane, Laos 2011 and officially changed its status to consulting firm in mid-2013. AFC works primarily in the agricultural, forestry and rural development sectors. Our main goal is to build the capacity of disadvantaged people in rural areas. We believe in helping people use their own strengths and capacities to lift themselves out of poverty. We are ready to contribute and devote our knowledge and energy to support the improvement of the livelihoods of the multi-ethnic Lao people and especially support women to have a sustainable income and better livelihood while protecting the environment.

Vision: Lao human capital develops to its full capacity and keeps on growing

Mission:

- (1) To assist public, private and civil society organizations in achieving their development goals in the areas of human resource capacity
- (2) To become a hub of agricultural and forestry information source and practices in Laos
- (3) To build a professional human resource base in Laos by enhancing skills necessary for proficiency, productivity and good governance
- (4) To enhance leadership and good governance for public, private and civil society organizations
- (5) To partner with public, private and civil society organizations in projects related to NTFPs, WASH, Gender, Good Governance and Capacity Development

Activities & Tools

- NTFP and Agricultural Products Value Chain Analysis and Development
- Good Governance in Natural Resource Management
- Gender and Climate Change Adaptation
- Community Basic Marketing Training
- Leadership and Organization Leaders Development
- NTFPs Inventory and Market Development
- Community Farmer and/or Business Group Formation
- Teamwork, Team Building and Team Management
- Project Technical Assistance and Management
- Water, Sanitation and Hygiene
- Entrepreneurship and Enterprise Development
- Project monitoring and evaluation

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'Integrated Nature Conservation & Sustainable Resource Management
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P.O. Box 9233, Vientiane, Lao PDR

T +856-20-59973025

E mirjam.dekoning@giz.de

I www.giz.de/laos

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