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Good Governance Training Field Manual

For Co-management Committees
of Hin Nam No National Protected Area



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This manual is based on the field experience of the Hin Nam No National Protected Area project staff to develop a training manual that promotes good governance with further field testing in 19 guardian villages. Those villages are located around the Hin Nam No National Protected Area (HNN NPA) and have customary rights inside the HNN NPA. The authors wish to thank all members of the HNN NPA Project’s Steering Committee for the financial and technical support, especially Mr. Bouaphan Phanthavong, Deputy Director General of DFRM/MoNRE and Dr. Mirjam de Koning, GIZ HNN Project Director and IP Consult team leader Mr. Joost Foppes.

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Preface

The Hin Nam No project follows a co-management / collaborative governance approach whose overall goal is “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.” Thus, it is a shared governance approach to create direct positive links between biodiversity conservation and development issues. As such, it is a partnership arrangement primarily between government authorities and local communities to share rights, responsibilities and benefits while protecting and managing natural resources and enhancing livelihoods of rural communities. Villagers and the Hin Nam No authorities together conserve the biodiversity, ecosystem services-, tourism- and historic/cultural-values of the Hin Nam No while being paid and recognized for their services. As the villagers are closely connected to the area they have the local knowledge and ideas how to cost-effectively manage tasks outlined in the approved co-management plan (area management; biodiversity monitoring/database; patrolling & law enforcement; outreach; eco-tourism and livelihoods).

In this case, Hin Nam No NPA authorities benefit in areas that lack staff and budget through participation of villagers in establishing natural resource management plans and taking active responsibility for the NPA. To make the co-management / collaborative governance approach work it is important to follow good governance principles:

- Respect for rights and the rule of law (co-management and conservation agreements)
- Promotion of constructive dialogue (participation) to achieve broad consensus in the best interest of the group
- Fair access to information
- Direction and strategic vision
- Benefit sharing (Tourism, Non Timber Forest Product, Rangers, Natural Resources Management Group)
- Accountability in decision making
- Existence of institutions (Hin Nam No NPA District Co-Management Committee (CMC), Village Cluster CMC and Village CMC) with procedures for dispute resolution

Key to success is the identification of stakeholders, including their shared rights and responsibilities, and the definition of clear cooperation, benefit sharing and steering mechanisms. Capacity development is of course crucial for the co-management / collaborative governance approach to be effective and we hope that this Good Governance Training Field Manual will assist the stakeholders in the implementation.

Mirjam de Koning

4 October 2015

Introduction

Purpose of this training manual is to promote good governance to further improve the co-management / collaborative governance system of Hin Nam No National Protected Area (HNN NPA) based on the results of the governance assessment conducted in February 2014 in collaboration with PoNRE, GIZ, IP-Consult and AFC. As part of the overall objective to engage local communities in the co-management / collaborative governance of the HNN NPA, the GIZ project is supporting good governance principles in terms of natural resource management as well as the promotion of eco-tourism and a sustainable use and marketing of non-timber forest products (NTFPs) in and around the HNN NPA. The engagement of local communities in the management of natural resources in the HNN NPA provides incentives such as increased income generation through sustainable management and enhanced marketing of selected natural resources and eco-tourism products. The increased participation and influence in planning, reporting and decision making enhances the capacity of community representatives and make them feel heard and proud. The related development further improves the livelihoods of the villagers and alleviates poverty.

This manual is designed to improve the capacity of the local governance, partner agencies and target groups (village co-management committee boards (VCMC) and village cluster co-management committee boards VCCMC in the Hin Nam No NPA) who want to adopt good governance into practice. It should help them to make their work and procedures more transparent, accountable and equitable in terms of decision-making processes, which will increase the public's trust and appreciation of their daily work.

Good governance is an ideal which is difficult to achieve and there are very few countries, societies or organizations which have even come close to fulfill it in total. However, to ensure sustainable human development, action must be taken to make this ideal work. So far, by building organizational skills, GIZ, IP-Consult and PoNRE have managed to improve local governance capacities to promote good governance in 19 guardian villages in and around HNN NPA. Future efforts will ensure the creation of stronger co-management board committees at 3 different levels: village level, village cluster level and district level, as well as their associations that will be much more successful in their area of work (livelihood, biodiversity, area management and eco-tourism groups, etc...). Moreover, co-management with good practices will impact local authorities' lack of capacities in terms of good governance. Currently co-management is a community-based approach which can be one of the strongest agents in terms of promoting culture of good governance in HNN NPA.

Objectives of this Manual

This manual is designed to meet a number of specific learning objectives. Readers of this manual, after attending the good governance training workshop, should be able to:

- Explain the meaning and value of good governance
- Explain the principles underlying good governance
- Explain the process and some of the tools for applying principles of good governance to the work especially village co-management committee boards (VCMC), village cluster co-management committee boards (VCCMC) and local authorities at district level
- Reflect on the strengths and shortcomings of good governance practices in their own communities

- Identify the institutional bodies in their communities and create sustainable linkages with HNN NPA authorities
- Identify themselves with the good governance principles and recognize the additional value for their livelihood activities etc.



Chapter 1: What is governance (Is it good or bad)? Why is good governance important?

Objectives:

- ✓ To understand the concept of governance (overview of governance)
- ✓ To be able to apply the concept of governance in different areas of society
- ✓ To promote the good governance in HNN NPA

In general the concept of governance is not new and governance is defined as the process of decision-making and the process by which decisions are implemented (or not implemented). Governance describes a set of values, policies, and the institutions by which a society manages its social, political and economic processes through interactions among the government, civil society and private sectors as well as co-management committees at different levels in Boulapha District and especially the HNN NPA.

There are two aspects of governance. A technical aspect consisting of what and how to do something (or not to do), and a representational aspect that is how decisions are taken and who takes them. The concept of governance can be used in several contexts and can be applied at:

- ✚ International level (UN, ASEAN)
- ✚ National level: (Government, Private sector, Civil society)
- ✚ Local level (Community)
- ✚ Household level (Family)

The government is just one of the actors in governance. Other actors involved in governance vary depending on the level of governance that is under discussion. In rural areas and specifically in Hin Nam No NPA, other actors may include influential developers, associations of rural farmers, cooperatives, NGOs, research institutes such as the National University of Laos, religious leaders, finance institutions, the military, the chief of village or co-management committees etc. At the national level media,

international donors, or multi-national corporations may play a role in decision-making or in influencing the decision-making process.

Since governance is the process of decision-making and the process by which the decisions are implemented, an analysis of governance focuses on the formal and informal actors involved in decision-making and implementing, the decisions made and the formal and informal structures that have been set in place to implement the decisions.

Keep in mind:



➤ All actors other than the government and the military are grouped together as part of “civil society” or the “private Sector.” In some countries, in addition to civil society and the private sector, organized crime syndicates also influence decision-making, particularly in urban areas and at the national level.

➤ Similarly, formal government structures are one structure with which decisions are achieved and implemented. At the national level, informal decision-making structures, such as “kitchen cabinets” or informal advisors may exist. Organized crime syndicates such as the “logging Mafia” may influence decision-making. At national level and in some rural areas, powerful families may influence decision-making. Such, informal decision-making is often the result of corrupt practices or leads to corrupt practices.

The goal is to work towards governance that will have the following characteristics:

Governance is “good” when it ensures that political, social and economic priorities are based on a broader consensus in society, and that the voices of all are heard in decision-making over allocation of resources

Chapter 2: Principles of good governance

Objectives

- ✓ To understand participants perception of the concept of good governance
- ✓ To explain basic principles of good governance
- ✓ To suggest a practical way of incorporating good governance principles in the work of an organization

Good governance has eight major principles:

1. Participatory
2. Follows the rule of law
3. Transparent
4. Responsive

5. Consensus-oriented
6. Equitable and inclusive, benefit sharing
7. Effective and efficient
8. Accountable

It assures that corruption is minimized, the views of minorities and marginalized groups are taken into account and that the voices of the most vulnerable in society are heard in decision-making. It is also responsive to the present and the future of the society.

Participation

Participation by both men and women is a key cornerstone of good governance. Participation could be either direct or through legitimate intermediate institutions or representatives. It is important to point out that representative democracy does not necessarily mean that the concerns of the most vulnerable in society would be taken into consideration in decision making. Participation needs to be ensured and organized. This means freedom of association and expression on the one hand and an organized civil society on the other



hand. Ideally participation means that individuals and/or organizations are involved in decision making and not just informed about decisions already made. Thus participation creates trust among involved stakeholders.

Rule of law

Good governance requires fair legal frameworks that are enforced impartially. It also requires full protection of human rights, particularly those of minorities. Impartial enforcement of laws requires an independent judiciary and an impartial and incorruptible police force.

Transparency

Transparency means that decisions taken and their enforcement are done in a manner that follows rules and regulations. It also means that information is freely available and directly accessible to those who will be affected by such decisions and their enforcement. It also means that enough information is provided and that it is provided in easily understandable forms and media.

Responsiveness

Good governance requires that institutions (e.g. the secretary of the HNN NPA DCMC) and processes try to serve all stakeholders equally within a reasonable timeframe.

Consensus oriented

There are several actors and as many viewpoints in a given society. Good governance requires mediation of the different interests in society to reach a broad consensus on what is in the best interest of the whole community and how this can be achieved. It also requires a broad and long-term perspective on what is needed for sustainable human development and how to achieve the goals of such development. This can only result from an understanding of the historical, cultural and social contexts of a given society or community.

Equity and inclusiveness; benefit sharing

A society's well-being depends on ensuring that all its members feel that they have a stake in it and do not feel excluded from the mainstream of society. This requires that all groups, but particularly the most vulnerable, have opportunities to improve or maintain their well-being.

Benefit sharing is of crucial importance for sustainable development and promotes good governance to further improve the co-management / collaborative governance system of HNN NPA, Boualapha District; Khammouane Province. At the same time benefit sharing is an incentive for local community ambitions to protect their natural resources and strengthen their livelihoods.

Effectiveness and efficiency

Good governance means that processes and institutions produce results that meet the needs of society while it is making the best use of resources at their disposal. The concept of efficiency in the context of good governance also covers the sustainable use of natural resources and the protection of the environment.

Accountability

Accountability is a key requirement of good governance. Not only governmental institutions, but also the private sector and civil society organizations, must be accountable to the public and to their institutional stakeholders. Who is accountable to who varies depending on whether decisions or actions taken are internal or external to an organization or an institution. In general an organization or an institution is accountable to those who will be affected by its decisions or actions. Accountability cannot be enforced without transparency and following the rules of law.

Chapter 3: Dependency

Objectives

- ✓ To recognize 'dependency' as an obstacle to good governance and community development
- ✓ To state some of the causes and consequences of dependency
- ✓ To suggest practical ways of minimizing dependency

Story

One farmer in Sangthong district keeps visiting the Souksala to request assistance from the Souksala medicine. Every time he goes there and he asks for all sorts of assistance, which the Souksala nurse usually responds to without question or caution. He goes there once when, unfortunately for him, the nurse was out of town. The catechist that he met could not fulfill his request for a legitimate reason, but he still went back home disappointed.

Think about the story. Ask yourself: What happened in the story? What was the real problem highlighted? Does something like this happen in your community?

Hints:

Dependency is when someone/a community wholly and solely relies on another individual/group/organization to provide solutions to their problems.

Some common causes of dependency are: lack of skills/initiatives; programs that promote hand-outs; natural & man-made disasters; laziness; ignorance/illiteracy.

Consequences of dependency are: undermined sustainability and self-reliance; limited progress/development; permanent dependency/non-independence; loss of initiatives; loss of pride and self-dignity; promotes crime/immorality; leads to psychological and emotional stress. Ask yourself if the dependent person is bold enough to ask their sponsor questions on transparency and accountability during meetings or when the need arises.

Dependency can be minimized in the following ways: effective capacity building; empowerment; raising awareness on the ills of dependency; creating livelihood opportunities.

Dependency on external assistance can undermine sustainable development. Communities must practice doing things for themselves since assistance will be removed one day. Therefore trainings and other capacity building opportunities offered to them must be well embraced and taken very seriously by communities themselves.

Chapter 4: Leadership

Define Leadership:

State some of the qualities of a good leader while identifying the different types of leadership (with their corresponding characteristics) and significance of leadership for good governance.

Question: What is leadership? What makes a good leader? How to lead in a good way?

A good leader must be: Respectful, Visionary, Tolerant, Open and Accommodating, Transparent, Responsible in behavior, Consultative, Supportive, Able to delegate, Fair/impartial, Empathetic and Sympathetic, Accept faults, Flexible but firm, Decisive etc...

Your community deserves leaders with these qualities. You need to demand all these attributes from your communities' leaders so they can effectively manage the affairs of your community. However, in real life situations, there exist two different types/kinds of leadership with related unique characteristics:

- ✚ **Autocratic Leadership** is very direct, dominating, impatient, hot-tempered unapproachable, impolite, harsh.
- ✚ **Democratic Leadership** is participatory, consultative, considerate, approachable, responsive, respectful, polite, delegating.

Chapter 5: Community participation and inclusion such as gender

Objectives:

- ✓ To define community participation and inclusion
- ✓ To state why it is important to involve all members of the community in community activities, in order to practice good governance
- ✓ To identify practical ways of improving the equal participation of women, men, youth and the disabled in the work of co-management committee boards

Story

A district authority visits a village and asks to be taken to the chief. At the chief's place, she/he summons a meeting of the entire community and expresses her/his intention to assist them with the construction of a health center (Souksala), which she/he observed is the main community problem. She/he then selects a development committee and assigns tasks to people, giving them a deadline for the accomplishment of their tasks. Having done so, she/he leaves and comes back after one month to check on the progress of activities. To her/his greatest shock and disappointment, nothing has happened.



Think about this story, and try to answer the following questions:

- What is community participation?
- Why is community participation important?
- How can community participation be improved?
- What are the common factors that hinder community participation?

Participation is a process of joint dialogue, sharing and learning about situations to obtain consensus towards action and change. Participation is an active process by which community people influence the direction and implementation of a development project/activity. Participation includes the involvement of people in decision-making processes, implementation, sharing of benefits and costs, and taking part in the project/activity evaluation.

Some of the factors that hinder community participation are: members of the community are not involved at all stages of the activity; socio-cultural conflicts in the community; poor leadership; political interference; ignorance coupled with illiteracy; lack of commitment; stereotypes about women, youth, disabled people.

Think about your community. To what level are women, youths and physically challenged represented in the work of your organization? To what extent do these groups participate in organizational decision-making? How can you involve these groups of people in the activities of your organization? Why is it important to include these groups?

Inclusion is important for practicing good governance in co-management committee because:

- To promote democracy and involvement
- To contribute to good decision-making
- To reinforce accountability and transparency
- To involve and empower beneficiaries
- To create consistent sense of equity among community members
- Law enforcement (stick and carrot policy)

Chapter 6: Planning, budgeting, record and book keeping

Objectives

- ✓ To be able to make a clear plan and budget for development activities
- ✓ To learn how to accurately track all resources that are used
- ✓ To understand the essence of delegation
- ✓ To keep effective books/records on different activities

Planning

The key to success for your organization is preparing a good plan

Preparing a plan is an intensely focused activity that requires honest thinking about a concept, opportunity, keys to success and the people involved

Steps involved in carrying out a plan:

- To prioritize your activities in a scale of preference of what you want to undertake (identify all resources available at community level)
- To set a date and time for the completion of the activity
- To select people to undertake the activity
- To assign responsibilities to the selected people and penalties for defaulters
- To make a budget plan
- To mobilize physical and social resources

Whenever your organization is carrying out a plan it is important to select people for different activities.

- People will know their level of participation
- You will promote inclusion
- There is less risk of dominance by one group
- It will ensure one person is not forced to do all the work and claim ownership
- Organization will have someone that is directly responsible

It is important to assign responsibilities to selected people. In doing so, you will promote one of the most important principles of good governance: accountability. Delegation will help:

- To hold people responsible for the assigned activity
- To make people feel recognized and responsible
- To encourage leadership

Budgeting

Whenever you go on a trip, you fill your bag with the clothes, food, and money you'll need. That's the idea behind the concept of budgeting: planning your trip and ensuring that you'll have enough resources in your bag to make it to your destination. In just the same way, each organization plans its trips, its strategic objectives and prepares for the journey with a budget.

Budgeting is very important in any planning activity. Making budgets helps you to know how much the work costs; it helps in assigning contribution to different people and assures that people are not marginalized; it helps in avoiding overspending; it helps us search for possible sources of income/funding.

A budget can take many different forms.

- A budget can cover a short time span (for example, a newly formed Village Development Committee develops a budget to ensure that it will have enough cash to cover operating expenses for the next month or two)
- A budget can have a long-term perspective (for example, a village development committee makes a multi-year budget for a school, health center and/or drying floor)
- A budget can focus on required resources only (for example what a community wants)
- A budget can account for income as well as expenditure (e.g. a community creates a profit plan based on expected activities it wants to undertake to achieving this plan)

Book Keeping

Bookkeeping is the recording of all monetary transactions or other resources in books (or in memory of people) that can be referred to as and if necessary depending on what you want it for (know their position regarding their balances, debtors, creditors and calculate their profit or loss at the end of a period).

It is necessary to keep book on all monetary transactions. It is important because:

- Bookkeeping helps the organization being more transparent & accountable
- It helps to build up organizational credibility
- It will serve as a reference tool
- It will make reporting very easy
- To help you easily track revenue and expenditure
- To help with planning
- To guide along expenditure

Therefore it is advisable to keep proper documentation on all monetary transactions done by the organization, and it's important to present a report to the entire community to know what is going on, preferably on a monthly basis. It would be better for other stakeholders to also have on the spot checks without prior notice to ensure transparency and accountability. Keep in mind that bookkeeping is just one way of keeping community records. As a member of CBO, there are some specific ways that one needs to keep records, to be able to show members, the community and donors what your group has been doing. Some community records that can be kept are: minutes of meeting, a visitor log book, activity plans, financial reports, monthly reports and correspondence.

Basic sample formats for keeping records on monetary transactions

Cash Ledger (Receipts)

Date	No	Item Description (Details)	Amount Received
12/10/14	01	Offence and fines	Le 1,000,000 kip
16/10/14	01	Fine illegal logging	Le 40,000,000 kip
12/11/14	02	Fines from defaulters traders	Le 40,000,000 kip
20/11/14	01	Project contribution	Le 2,500,000 kip
Prepared by: Date:		Signature:	Total: 83,500,000 kip

Cash Ledger (Expenses)

Date	No	Item Description (Details)	Amount Disbursed
12/10/14	01	Paid to VCCMC	Le 50,000 kip
16/10/14	01	Paid to field work and information reporting	Le 600,000 kip
12/10/14	02	Paid to Village Development Fund	Le 100,000 kip
20/11/14	01	Paid to HNN NPA conservation and protecting forest fund	Le 100,000 kip
Prepared by: Date:		Signature:	Total: 850,000 kip

General Cash Ledger (Receipts, Expenses and Balance)

Date	Item Description (details)	Amount Received (Receipts)	Amount Received (Name and signature)	Amount Disbursed (Expenses)	Amount Disburses (Name and signature)	Balance
Total balance from last month						0 kip
12/10/14	Offence and fines	Le 1,000,000 kip				Le 1,000,000 kip
16/10/14	Fine illegal logging	Le 40,000,000 kip				Le 41,000,000 kip
12/10/14	Paid to VCCMC			Le 50,000 kip		Le 40,950,000 kip
16/10/14	Paid to field work and information reporting			Le 600,000 kip		Le 40,350,000 kip
12/10/14	Paid to Village Development Fund			Le 100,000 kip		Le 40,250,000 kip
12/11/14	Fines from defaulters traders	Le 40,000,000 kip				Le 80,250,000 kip
20/11/14	Project contribution	Le 2,400,000 kip				Le82,650,000 kip
20/11/14	Paid to HNN NPA conservation and protecting forest fund			Le 100,000 kip		Le 82,550,000 kip
Prepared: Date:		Signature:			Total:	

Chapter 7: By-Laws

Objectives

- ✓ To understand the concept and functions of by-laws
- ✓ To explore ways to facilitate crafting of by-laws which will comply with principles of good governance

By-Laws are internal documents, a set of rules that enables each organization to conduct its affairs.

It is important that by-laws are written clearly and in a language that is easily understood by all involved stakeholders. This document is frequently necessary for the registration of a VCMC or VCCMC with internal public authorities. Moreover, by-laws imply honest, transparent, accountable, responsive, participative and people-friendly administrative policies and actions of an organization.

The Basic Concepts/Principles of By-Laws:

Article 1: Preamble	What is a by-law about? What will it contain?
Article 2: Name, acronym and Logo	What is the name? What is its official acronym? If available, how does its logo design look like?
Article 3: Sphere of activities	What activities will the VCMC & VCCMC undertake? What will be its spheres (or categories) of activities?
Article 4: Location and Duration	Where is the registered office of the VCMC & VCCMC located? What is its postal address? How long will the VCMC & VCCMC be set up for, is it for a limited period only, or is it unlimited?
Article 5: Aims, Visions and Mission	What are the aims of HNN NPA? Have goals and objectives been developed? What is its vision statement? What will be the mission of the HNN NPA, and who will be its target beneficiaries?
MEMBERSHIP	
Article 6: Membership	Does the VCMC & VCCMC have members? What is the membership structure of the VCMC & VCCMC?
Article 7: Qualification	What are the qualifications of the VCMC & VCCMC members? Why are such qualifications needed?
Article 8: Admission	How will members be invited and admitted to the VCMC & VCCMC? What is the procedure?
Article 9: Duties and function	What will be the expectations and duties/responsibilities of the VCMC & VCCMC members?
RESPONSIBILITY	
Article 10: Consensus Building	How will consensus building be achieved among the members? How will decisions be taken on VCMC & VCCMC activities? What are the procedures?
Article 11: Resignation	What is the procedure for a member to resign from the VCMC & VCCMC membership? Who should it be addressed to and how is it accepted and processed?
Article 12: Expulsion or Suspension	Under what circumstances can a member be expelled or suspended from the VCMC & VCCMC? Who will take the decision, and how will it be implemented? What process of redress will be available to the member?
ORGANIZATION	
Article 13: Organizational Structure	What is the organizational structure of the VCMC & VCCMC? What will be the position of the staff members responsible for different aspects of the VCMC & VCCMC programs?
GENERAL ASSEMBLY	
Article 14: Procedures	Will the VCMC & VCCMC have the general assembly? Why is it needed? Who can participate in the general assembly? Is there a proxy policy? How will the proceedings be reported to the general public?
Article 15: Scope	What is the scope of the general assembly? What will be the duties and responsibilities of the general assembly?
Article 16: Decision-making	How will the general assembly make decisions? How to and who can present proposals for decision-making and what is the procedure/process for taking decisions?
Article 17: Quorum	What will be the minimum quorum needed to call for a general assembly for the proceedings to take place and for decisions to be taken?

BOARD/EXECUTIVE MEMBERS	
Article 18: composition	How many members will the board contain? What will be their positions?
Article 19: eligibility	Who will be eligible to become a member of the VCMC & VCCMC board?
Article 20: Selection and Appointment	How will potential individuals be identified and selected to the CBO's board? How will the appointment be decided and implemented?
Article 21: Term of office	How long will a member's term of office be on the VCMC & VCCMC board?
Article 22: Duties and functions of the board	What will be the duties and functions of the board? What is the VCMC & VCCMC expectation of a board member?
Article 23: Decision-making	How will decisions be made in board meetings? What is the procedure and quorum for a decision to be accepted and implemented?
Article 24: Meetings	What is the usual agenda for a board meeting? Who will call it and how will the proceedings be handled?
Article 25: Quorum	What will be the minimum quorum to call a board meeting for the proceedings to take place and for decisions to be taken?
Article 26: Removal	Under what circumstances can a board member be removed (either expelled or suspended) from the VCMC & VCCMC board? What is the procedure?

SUPPORTING COMMITTEE	
Article 27: Running	What committees will be set up to support the functioning of the VCMC & VCCMC? (e.g. Funding, media, strategy/policy/project development etc.)
Article 28: Aims and Responsibilities	Why will these committees be set up? What will be their main aims and responsibilities?
Article 29: Election and Term of office	How will the committees be set up? What is the procedure for the election/selection of committee members? What will be their terms of office?
Article 30: Duties and Responsibilities	What function will the members of the committee perform? What will their duties and responsibilities be? Who will decide the duties and responsibilities, and how can they be modified?
AUDITOR	
Article 31: Audit	Will the administration and finance of the VCMC & VCCMC be audited? What is the procedure of the audit? How will findings of the audit be implemented?
RESOURCES	
Article 32: Sources and uses	What is the nature of (financial) resource needs of the VCMC & VCCMC? What will be primary sources of such resource (including private/personal sources)?
Article 33: Initial Capital and Assets	What will be the initial capital needs of the VCMC & VCCMC? What kind of assets (financial and non-financial) will be needed to start the VCMC & VCCMC?
Article 34: Fund Raising	What policy will be put in place by the Hin Nam No NPA DCMC for fund raising? What purposes will it be used for, and who will be responsible?
OTHER CLAUSES	
Article 35: Liability	What are the applicable liabilities for the VCMC & VCCMC? Under what circumstances are these liabilities applied? What procedures are in place to activate these liabilities, and who is responsible for them?
Article 36: Financial year	What is the duration, and starting month, of the VCMC & VCCMC fiscal/financial year?
Article 37: Applicable law and Court	Under what applicable law and court the VCMC & VCCMC is constituted? How will disputes and other legal matters be handled?
Article 38: Dissolution	Under what circumstances the VCMC & VCCMC can/will be dissolved? What is the procedure for dissolution? Who will be responsible for dissolving the VCMC & VCCMC?

Chapter 8 Advocacy

Objectives

- ✓ To understand advocacy
- ✓ To identify how advocacy skills can be used to promote good governance
- ✓ To identify steps VCMC & VCCMC should take to advocate on behalf of their communities

Your VCMC & VCCMC has an opportunity to present different ideas about the project that could be done in their communities, e.g. agriculture, tourism, infrastructure for visitors, water, well-being, etc. on a daily basis. However, different stakeholders will support the project depending on the quality of a project, but also on how ideas are presented.

Advocacy is the deliberate process of influencing those who make decisions

In the case of VCMC & VCCMC, their advocacy role is to make a case on behalf of their communities to the Hin Nam No NPA District Co-Management Committee Board, District Councils, Chiefdom Councils, Paramount Chiefs, GIZ-IP, etc. Advocacy is never a confrontational activity. There are many strategies that can be adopted to get a message across. This means that before you start with advocating, you must develop a strategy which is clear about who you are trying to influence and why, and what result you are aiming for.



“ADVOCACY BASIC” scheme is a tool that can help you to prepare your advocacy strategy:

Gather information:

- Thinking of the key institutions and people that are involved in decision making. How do they work? Brainstorm with participants.
- To identify decision makers influencing your community (Chief of village, President of Lao Women’s Union, President of VCMC & VCCMC, Village Lao Front for National Construction and Party Secretary of Kum Ban Pattana). Example: influence decision-makers that they agree on HNN NPA becoming a UNESCO World Heritage Site and understand the precondition that we cannot develop certain industries.
- Who can help you influence those decision makers? How can you support to make decisions?
- Which formal and informal channels can you use to address your needs and on which occasions (VCMC & VCCMC) (example: so far we did both relationship building and developing content to convince the district governor to endorse the co-management by laws)
- To gather information about your issue. Talking to community members about development needs, get their ideas and opinions.

Some criteria to consider when gathering information about possible projects/activities:

- The number of people who will benefit from the project/activity.
- Livelihood for success (is it a realistic project/activity?).
- Prioritize possible projects/activities.

Be focused:

- To identify what area you really want to advocate. If you try to advocate for too much, you may spread yourself too thin. For example, there could be many needs in your community, but you may find that you have a lot of success if you advocate for one need that is the burning issue in your community.
- You should also have a focused goal which states what you want to change, who will make that change, for how much and when.

Building relationships:

You need to develop relationships with your community and with local stakeholders. Meeting your councilor, Paramount Chief, members of Ward Committee, members of Chiefdom Council, talking to the community, especially about the feedback and progress that you have made. You also need to decide who will be involved from your own CBO in advocating for your goal. A small team may be more appropriate than the whole CBO. Thinking of the skills that would be useful, like reading and writing, the ability to speak well to people and to people higher up and understanding of the issue, etc.

Be focused:

A respected body will have more influence over decision-making processes. A Community based organization can establish credibility by:

- Keeping your demands/speaking moderate.
- Rather than attacking stakeholders in your community, employ variety of non-confrontational advocacy strategies.
- Bringing together all different groups across their community and hearing all views.
- Understanding its role in community.
- Fulfilling their role, being dedicated to your beneficiaries, promote accountability and transparency by meeting at least once a month, keeping record of the meeting, making it public, providing feedback/information to the community and stakeholders, making your financial record open to the public⁷.

Identify steps:

What are the steps that you as a team can make to put forward your case? Who will you approach? How? What question will you ask?

Chapter 9: Decentralization

Objectives

- ✓ To identify and understand functions of VCMC and VCCMC
- ✓ To explore ways to influence VCMC & VCCMC Committee Boards to comply with principles of good governance
- ✓ To identify ways to constructively cooperate with VCMC & VCCMC Committee Boards

Thinking of a person carrying a large basket balanced on her/his head (with the “Kata”). Then imagine a lot of fruits loaded into the basket. That person will be struggling under the weight and that means centralization. Now think of a few people coming up and giving help to that person by offering to carry part of the fruits. That is sharing of the burden, which means decentralization.

This situation is like the situation in which more power and authority is transferred for 'Freetown' to their community boards in the real life.

With **centralization** power and authority is concentrated in 'Freetown'. The heads of government departments at district and provincial level are the extension of the central government. They do not have power and authority to act independently without consulting the central government office in 'Freetown'. Citizens may hardly participate in decision-making processes, and there is usually little consultation on issues that affect their lives.

Problems associated with centralized power often include:

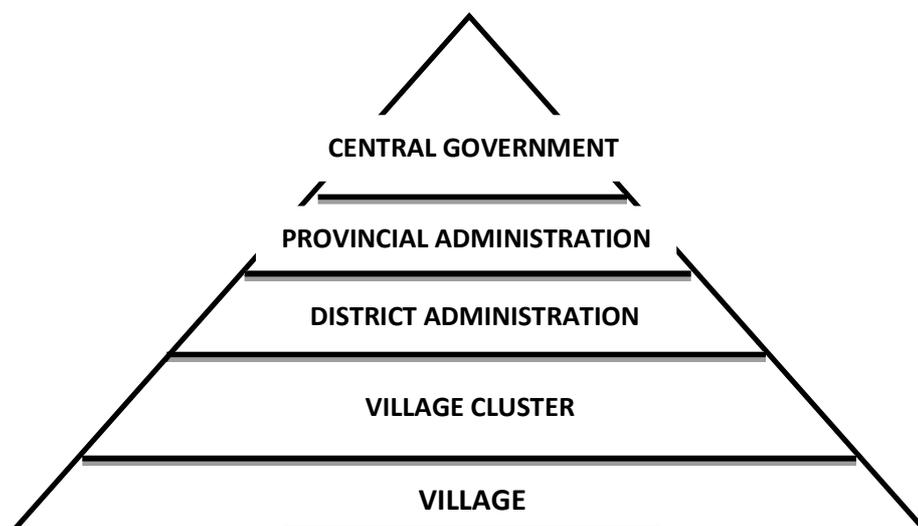
- Poor service delivery (corruption and mismanagement, marginalization)
- lack of transparency (e.g. not knowing what happens with tax money)
- lack of accountability (e.g. not knowing who is accountable when resources are mismanaged or services are not provided)
- Lack of participation (e.g. people are not involved in decision-making about development in their communities)

With **decentralization** the local government transfers responsibilities and functions to District/town Councils and VCMC & VCCMC Committee Boards that are democratically elected, and to the Chiefdom Administration. They are democratic institutions and structures that exercise authority or carry out government functions at the local level for managing HNN NPA. In the Local Government Act 2004, the central government has given authority and responsibilities to local councils to take decisions and manage activities. Local councils are accountable to local people as well as to the central government.

Advantages associated with decentralized power include:

- To improve efficiency of resource allocation
- To foster accountability and reduce corruption
- To facilitate cost recovery through mobilization of resources
- To manage resources controlled by local communities
- To increase local participation in governance and decision-making
- To increase mobilization of the local resources
- To increase individual identification and understanding of the project activities

Structure of the local government in Lao PDR



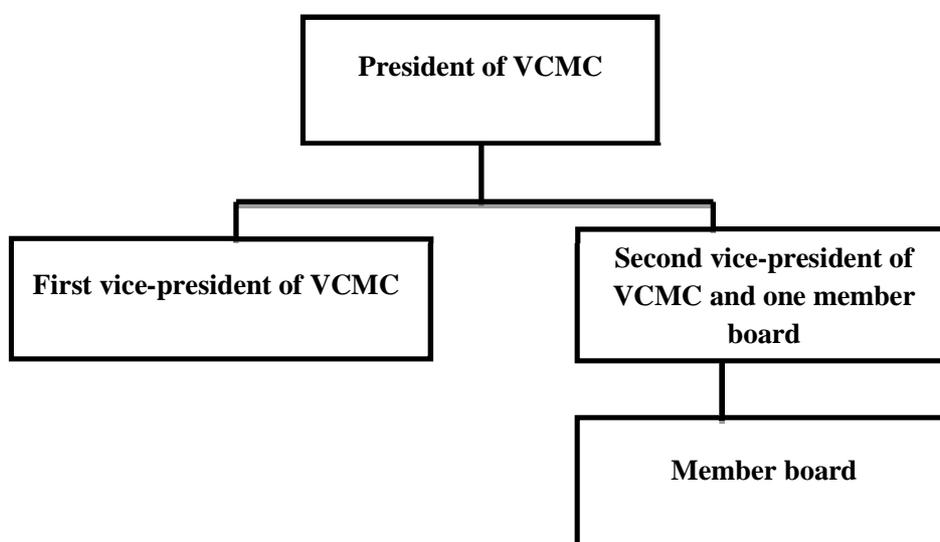
Chapter 10: Village Co-management Committee and Village Cluster Co-management Committee boards

Objectives

- ✓ To identify and understand functions of VCMC & VCCMC
- ✓ To explore ways to influence the VCMC & VCCMC to comply with principles of good governance
- ✓ To identify the ways to constructively cooperate with the HNN NPA District Co-Management Committee
- ✓ To understand the roles and responsibilities of the Committees
- ✓ Having a clear idea on how my participation influences the work and decisions of the committees
- ✓ How can I profit from participating and why should I participate? (either by electing someone or being the representative from my village or cluster)

Composition of the Village Co-management Committee Boards

The Village Co-management Committee must establish a Committee board for every village around HNN NPA in each of the five Village Clusters. The VCMC committee will consist of one president and two vice-president councilors as the chairpersons of the committee. In addition, at public meetings at least once a year the residents elect 3-4 members of the board committee and at least 1 must be a woman. The Committee board members do not receive any remuneration or allowance. But they will get a share from offence and fine defaults in the future.



Remark: all member boards of VCMC & VCCMC were selected via-a voting process and in total there were 7 steps:

The 7 steps to establish the VCMC & VCCMC

Step 1: Making an appointment with the village administration such as: 2-3 persons. Nai ban or deputy-chief of Nai Ban); 1 person representative from ranger, 1 person representative from Village Lao Women

Union; 1 person representative from NTFP/tourism; 1 person representative of village security and 1 person representative of Village Lao Front National Construction (Nael Home Ban).

Step 2: Introduction of the team and objectives of working in their village as well as informing them about the process to establish the Village Co-management Committee.

Step 3: Initial awareness raising about village co-management committee establishment (sharing analysis above and assess how a board could address challenges). Sharing analysis with them and presenting potential advantages and long-term benefit of working together but ALSO risks and challenges.

Step 4: Call of interest

At the end of the initial awareness meeting preferably someone raises their hand to voluntarily become a VCMC candidate, further interested to become a Village Co-management Committee member.

Step 5: Initial village co-management committee list, membership & election board of the committee.

With the group of people who are interested brief introduction presentations are held to understand the reason behind their candidacy. Women and ethnic groups are encouraged to apply too!

Step 6: Jointly formulate regulations and governance structures of the VCMC as well as assisting the Board in drafting (simple) regulations to manage the committee board.

Step 7: The photos sessions of the new co-management committee boards to recognise them.



Function of the Co-management Committee Board

Main Objectives of Setting up VCMC & VCCMC

To ensure the existing natural resources, the aquatic wildlife, the biodiversity and the overall environment of the HNN-NPA are managed with the interest to protect, restore and expands the existing flora and fauna species for sustainable use. Encourage the local people and stakeholders to be involved to actively protect the forest, forest land, wildlife, aquatic, biodiversity and environment in the area of their responsibility based on customary rights and in line with the Lao Government Policy, the Governance, context of forestry law, wildlife and aquatic law and National Protected Area Management Regulations.

Rights and Duty of VCMC & VCCMC

Rights:

- The VCCMC has the right to propose to conduct the discussion meeting on co-management at village cluster level.
- The VCCMC has the right to attend the technical workshop, trainings that are provided by the Project or district authority and they can provide inputs.
- The VCCMC has the right to cooperate with HNN NPA staff to arrest the violator and fine him/her based on the regulation by-law and send the violator to district level.
- The VCCMC has the right to terminate illegal activities such as NTFP collections, wildlife and aquatic hunting and land clearance for agricultural cultivation purposes.

Duty:

- To assist the district authority on management and monitoring of all the activities related to HNN NPA.
- To disseminate the documents, agreements, regulations on HNN NPA management to villagers in the area for which they are responsible.
- To protect the forest fires.
- To protect against the invaders inside the area for which they are responsible.
- To protect the sustainable natural resource, forest resource, land, wildlife and aquatic species.
- To inspect and arrest the external and internal people who enter to the HNN NPA without permission or do illegal activities.
- To summarize and report to the district authority (Normal and Abnormal)
- To cooperate and facilitate the implementation of activities related to HNN NPA management.

Right and Duty of VCMC

Right:

- The VCMC has the right to propose to conduct the discussion meeting on co-management at village level.
- The VCMC has the right to attend the technical workshop, trainings that are provided by the Project or district authority and they are able to provide inputs.
- The VCMC has the right to cooperate with VCCMC and HNN NPA staff to arrest the violator and fine him/her based on the regulation by-law and send the violator to district level due to be judged based on the Law.
- The VCMC has the right to terminate illegal NTFP collections, wildlife and aquatic hunting and land clearance for agricultural cultivation as it is prohibited in the co-management regulation by-law. They have the full rights to report all activity happening at village level to the VCCMC at village cluster within 24 hours.

Duty

- To be a think-tank and assist the chief of village as well as VCCMC on NPA management and monitoring all the activities that are related to HNN NPA.
- To disseminate the documents, agreements, regulations on HNN NPA management to villagers in the village they are responsible for, as well as awareness raising on its content to the villagers.
- To protect the forest fires.
- To protect against the invaders inside the area for which they are responsible.
- To protect the natural resources, forest resources, land, wildlife and aquatic species for sustainable use.
- To inspect against illegal access of the external and internal people who enter to the HNN NPA without permission or do illegal activities.
- To summarize and report the co-management progress to VCCMC & Hin Nam No NPA DCMC 4 times per year (March, June, September and December) extraordinary (based on the real situation).
- To cooperate and facilitate the implementation of activities related to HNN NPA management.

Role and obligations of Committee Board and their members:

- To collect the views, opinions and proposals of women and men and present to the Hin Nam No NPA District Co-management Committee (DCMC)
- To report to his or her electorate the general decisions of the Hin Nam No NPA District Co-Management Committee and the actions taken to solve problems raised by residents of the area.

- To maintain close contact with the electorate area and consult them on issues to be discussed
- Voice of the people & standard agenda is helping to focus the meetings and for planning and reporting

Chapter 11: Hin Nam No NPA District Co-management Committee and Secretary function

Hin Nam No NPA District Co-management Committee

- To provide both technical support and information to the District with regard to the broader Hin Nam No NPA area, which is the National Protected Area and the 19 surrounding guardian villages, to enable them to take informed decisions in local level development planning processes.

Oversight of Development Activities

- To monitor all development activities in the broader Hin Nam No NPA area.
- To link various project activities with appropriate Line Ministries.
- To ensure efficient utilization of inputs received from development partners.

Community Mobilization

- To mobilize broader Hin Nam No NPA area members to actively participate in development activities.
- Sensitization of all 19 guardian villages
- To ensure sustainability of the Hin Nam No NPA
- To take part in communal and development activities
- To promote community ownership

It is very important for your Hin Nam No NPA DCMC Secretary to strengthen linkages with the Co-management committee board. There are many different ways this can be done:

- Hin Nam No NPA DCMC Secretary can invite traditional and elected VCMC or VCCMC representatives to take an active role in disseminating information on their work. A wealth of social events that exists could be transformed into platform for dialogue with local administration and other stakeholders, including seed fairs, graduation ceremonies, and the opening of new projects.
- Hin Nam No NPA DCMC Secretary can take a more proactive role in implementing the development initiatives of the local authority (such as mobilizing members for voluntary work).
- In order to promote transparency, Hin Nam No NPA DCMC Secretary should send open invitations to local representatives for meetings, developing and sharing their own action plans with local leaders, and conducting joint, monitoring activities with local governments. Hin Nam No NPA DCMC Secretary should make reports public and periodically share them with local authorities.

Objectives

- ✓ To identify and understand functions of the Hin Nam No NPA DCMC and Secretary
- ✓ To explore ways to influence Hin Nam No NPA DCMC to comply with principles of good governance
- ✓ To identify ways to constructively cooperate with the Hin Nam No NPA DCMC

Obligation of the Hin Nam No NPA District Co-management Committee

VCCMC and VCMC should meet quarterly based on the regulation by laws of co-management committee boards. They are responsible for the work related to the broader Hin Nam No NPA area. The Hin Nam No NPA DCMC should provide information such as meeting minutes, HNN NPA 5 years master development plan and transparent financial accounts in public places (all of which have function to ensure good governance practices). Hin Nam No NPA DCMC Secretary or members may sometimes attend VCCMC Committee Meetings. Hin Nam No NPA DCMC and VCCMC meetings are opened to anyone, people can come as observers. Hin Nam No NPA DCMC and VCCMC meetings need to be protocolled to allow observers to raise points through their community representatives.

Rights and Functions of the Hin Nam No NPA District Co-management Committee Board

Rights:

- To improve, allocate the functions of co-management committees at village and cluster levels and village rangers;
- To organize the workshop in order to approve the annual work plan, six monthly plan on Development and Protection in HNN-NPA;
- To approve the result of survey, demarcation, sub-zoning and regulations regarding the HNN-NPA. (Total Protected Zone and Controlled Use Zone);
- To supervise problem solving, follow-up on violation of the laws, regulations related to HNN-NPA management;
- To give inputs regarding extension of HNN-NPA;
- To integrate the committee in the structure of Natural World Heritage Site and ASEAN Heritage Park;
- To exchange information, lessons learned regarding the HNN-NPA management and protection with Phong-Nga-Ke-Bang National Park, Vietnam and others;
- To participate in the research process and present consessions for approval to conduct the eco-tourism activities and development projects in the state land inside the HNN-NPA;
- To endorse the activities related to management and biodiversity conservation inside HNN-NPA based on proposals of Village and Village Cluster Co-Management Committees (VCMC & VCCMC);
- To issue the agreements, decision, notice, recommendations regarding HNN-NPA management for VCCMC & VCMC;
- To coordinate the involved individuals or organisations with regard to problems or conflicts on natural resources that occur in the HNN-NPA;
- To consider and propose to the District Governor, Provincial Governor, Provincial Office of Natural Resource and Environment, Ministry of Natural Resource and Environment in order to implement the polices to recognise outstanding performance of individuals or organizations.
- To attend the meeting at national and international levels related to the work of HNN-NPA based on proposal of involved stakeholders.

Fuctions:

- To supervise, monitor and evaluate the implementation progress of HNN-NPA implemented by VCMC & VCCMC;
- To encourage and support the capacity building for the secretary of DCMC and technical staffs at district level;

- To support the VCMC & VCCMC and villagers in the target villages;
- To supervise or attend or be a chair and take inputs for meeting on development and revision of 5 year c0-management plan, annual work plan, a quaterly plan and legal registrations;
- To raise the awareness on conservation and sustainable HNN-NPA managment to communities;
- To consider the Environmental-Social Impact Assessment Reports by projects that will be implemented in HNN-NPA and attend the workshop on results of research by national and international institutions.
- To consider and accept the reports related to technical cooperation and budget based on a three monthly, six monthly and annual bases.



Rights and Functions of the Secretary of Hin Nam No NPA District Co-management Committee Board

Rights

- To coordinate and exchange information with all related stakeholders at district and provincial levels;
- To present and report the problems regarding the HNN-NPA management to DCMC and provincial level to take into account;
- To be a host to organize the 3 monthly meeting, 6 monthly and annual meeting of DCMC;
- To attend the technical workshop organized by technical units.

Functions

- To assist the DCMC and coordinate all the stakeholders at village, village cluster, district and provincial levels;
- To collect the information and reports from VCCMC & VCMC and technical units to be presented and report to the DCMC and high level supervision (Khantheuang);
- To prepare the documentations for approval of workshops organized by DCMC;
- To collect the minutes of meetings held by DCMC and develop the quarterly report, 6 monthly report and annual report;
- To act when other tasks are assigned by the DCMC.

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.

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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.

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