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MID-TERM EVALUATION OF LOWERING EMISSIONS IN ASIA'S FORESTS PROGRAM

Evaluation Report

October 2013

This publication was produced at the request of the United States Agency for International Development. It was prepared independently by David Hess, Allen Turner and Raymond Gervais from Social Impact, and Stepi Hakim from Management Systems International.

MID-TERM EVALUATION OF THE LOWERING EMISSIONS IN ASIA'S FORESTS (LEAF) PROGRAM

EVALUATION REPORT

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DISCLAIMER

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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ACRONYMS

AFD	Agence Française de Développement
AFOLU	Agriculture, Forestry and Other Land Use
ALP	Asia LEDS Partnership
AOR	Agreement Officer's Representative
ARBCP	Asian Regional Biodiversity Conservation Program
ARKN-FCC	ASEAN Regional Knowledge Network on Forest and Climate Change
ARLSP	Asia Regional Sustainable Landscapes Program
ASEAN	Association of South East Asian Nations
ASOF	ASEAN Senior Officials on Forestry
ASW	ASEAN Single Window
AWG-C	ASEAN Working Group on Timber Certification
BCC	Basic Climate Change
BDS	Benefits Distribution System
CA	Cooperative Agreement
CBFCM	Community-based Forest and Catchment Management
CBO	Community Based Organization
CCA	Climate Change Alliance
CDCS	Country Development Cooperation Strategy
CI	Conservation International
CIFOR	Center for International Forestry and Research
CLiPAD	Climate Protection through Avoided Deforestation Program
CMM	Carbon Measurement and Monitoring
COP	Conference of Parties
CSO	Civil Society Organization
DAFO	District Agriculture and Forestry Offices, Lao PDR
DFRC	Department of Forest Resources Conservation, Lao PDR
DFRM	Department of Forest Resource Management, Lao PDR
DNP	Department of National Parks, Wildlife and Plant Conservation, Thailand
DOF	Department of Forestry, Ministry of Agriculture and Forestry, Lao PDR
DOFI	Department of Forestry Inspection, Ministry of Agriculture and Forestry, Lao PDR
EPF	Environmental Protection Fund
ESTH	Environment, Science, Technology and Health
EU	European Union
EWMI	East-West Management Institute
FA	Forest Administration

FAO	Food and Agriculture Organization, United Nations
FCA	Forest Carbon Asia
FCPF	Forest Carbon Partnership Facility, World Bank
FCZ	Fisheries conservation zones
FFI	Fauna and Flora International
FGD	Focus Group Discussion
FIPD	Forest Inventory Planning Division, Lao PDR
FLEGT	Forest Law, Enforcement, Governance and Trade
FPIC	Free, prior and informed consent
FRIM	Forest Research Institute Malaysia
FSE	Food Security & Environment, USAID Cambodia
FY	Fiscal Year
GCC	Global Climate Change
GCC-SL	Global Climate Change Sustainable Landscapes
GEC	Global Environment Centre
GEF	Global Environment Facility
GHG	Greenhouse Gas
GIS	Geographic Information System
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit, GmbH (German: German Society for International Cooperation, Ltd.)
GMS	Greater Mekong Subregion
GPS	Global Positioning System
HARVEST	Helping Address Rural Vulnerabilities and Ecosystem Stability
HQ	Headquarter
IFACS	Indonesian Forest and Climate Support
IGES	Institute of Global Environment and Society
INA	Institute of National Affairs, Papua New Guinea
IR	Intermediate Result
ITTO	International Tropical Timber Organization
IUCN	International Union for Conservation of Nature
JICA	Japan International Cooperation Agency
KFW	Kreditanstalt Für Wiederaufbau (German Development Bank)
KII	Key Informant Interview
LEAD	Low Emissions Asian Development
LEAF	Lowering Emissions in Asia's Forests
LEDS	Low Emission Development Strategies
LMI	Lower Mekong Initiative
LUP&CC	Land Use Planning and Climate Change
M&E	Monitoring and Evaluation

MAB	Man and the Biosphere Program
MAF	Ministry of Agriculture and Forestry, Lao PDR
MARD	Ministry of Agriculture and Rural Development, Vietnam
MNRE	Ministry of Natural Resources and Environment
MOE	Ministry of Environment, Cambodia
MONRE	Ministry of Natural Resources and Environment, Lao PDR
MOU	Memorandum of Understanding
MRV	Measurement, Reporting, Verification (carbon emission reductions)
MSI	Management Systems International
MSKM	Maesa-Kogma Man and Biosphere Reserve
NAMA	Nationally Appropriate Mitigation Actions/Approaches
NCB	National Coordinating Body
NGO	Non-Government Organization
NORAD	Norwegian Agency for Development Co-Operation
N-RAP	National REDD Action Plan
NSW	National Single Window
NTFP	Non-Timber Forest Products
OCCD	Office of Climate Change and Development, Papua New Guinea
ONEP	Office of Natural Resources and Environmental Policy and Planning
PA	Protected Area
PAFO	Provincial Agriculture and Forestry Office, Lao PDR
PARO	Protected Area Regional Office, Thailand
PES	Payment for Environmental Services
PFES	Payment for Forest Environmental Services
PMP	Performance Management Plan
PNG	Papua New Guinea
PPC	Provincial People's Committee, Vietnam
PRA	Participatory Rural Assessment
P-RAP	Provincial REDD Action Plan, Vietnam
RAFT	Responsible Asia Forestry and Trade Program
RDCS	Regional Development Cooperation Strategy
RDMA	Regional Development Mission for Asia
RECOFTC	Regional Community Forestry Training Center, Asia and the Pacific
REDD	Reducing Emissions from Deforestation and Forest Degradation
REL	Reference Emission Level
REO	Regional Environment Office, USAID/RDMA, Thailand
RFD	Royal Forest Department of Thailand
RIL	Reduced Impact Logging
R-PP	REDD Readiness Preparation Proposal

RUA	Royal University of Agriculture, Cambodia
RUPP	Royal University of Phnom Penh, Cambodia
SES	Social and Environmental Safeguards
SFB	Supporting Forests and Biodiversity
SI	Social Impact, Inc
SNV	Netherlands Development Organization
SOW	Statement of Work
SPREP	Secretariat of the Pacific Regional Environment Program
SUFORD	Sustainable Forests for Rural Development, Lao PDR
TA	Technical Assistance
TAO	Tambon (Sub-District) Administration Office, Thailand
TFF	Tropical Forest Foundation
TNC	The Nature Conservancy
TOCOR	Task Order Contracting Officer Representative
TWG	Technical Working Group
UN	United Nations
UNDP	United National Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
USFS	United States Forest Service
USG	Unites States Government
VCS	Verified Carbon Standard
VFD	Vietnam Forest and Delta
VNFF	Vietnam National Forest Fund
VNFOREST	Vietnam Forests
VPA	Voluntary Partnership Agreement
WCS	Wildlife Conservation Society
WOCAN	Women Organizing for Change in Agriculture and Natural Resource Management
WWF	World Wildlife Fund

EXECUTIVE SUMMARY

EVALUATION PURPOSE AND EVALUATION QUESTIONS

The purpose of the mid-term performance evaluation of the Lowering Emissions in Asia's Forests (LEAF) program is to examine progress to date, to identify implementation challenges and areas for improvement and to recommend specific opportunities to enhance effectiveness and impact. The United States Agency for International Development (USAID) Regional Development Mission for Asia (RDMA) Regional Environment Office (REO) created and funded LEAF to address climate change in a continuously evolving context of initiatives across the region's countries and landscapes. Hence, this evaluation seeks to advise RDMA on (a) options for LEAF to best achieve its results while contributing to RDMA's emerging Regional Development Cooperation Strategy (RDCS) and in harmony with bilateral Missions and their strategies and programs, and (b) how best to focus future USAID program resources for RDCS results achievement.

The mid-term evaluation statement of work (SOW; see Annex 1) presented three evaluation questions, which were reorganized, with USAID approval, into the following five questions:

Question 1. To what extent are the program's objectives, intermediate results and performance indicator targets being achieved since its inception to date?

Question 2. What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement?

Question 3. What specific opportunities exist to enhance programmatic effectiveness, impact and sustainability at the regional level (in particular in relation to relevant bilateral USAID programming)?

Question 4. What specific opportunities exist to further strengthen the regional cohesive approach of the program?

Question 5. What adjustments, corrective actions and/or areas for improvement are needed to ensure progress towards achieving expected results during the duration of the program?

PROGRAM BACKGROUND

RDMA awarded a five-year $20 million cooperative agreement for the LEAF program in January 2011 to Winrock International (henceforth Winrock), together with SNV—the Netherlands Development Organisation—and Climate Focus. Winrock added The Center for People and Forests (RECOFTC, Regional Community Forestry Training Center) as a partner in October 2012. In December 2012, USAID added an additional $800,000 to include gender integration activities in the program.

LEAF's goal is to strengthen capacities of developing countries in the Asia region to produce meaningful and sustainable reductions in greenhouse gas emissions from the forestry-land use sector, allowing them to benefit from the emerging international REDD+ (Reducing Emissions from Deforestation and Forest Degradation) framework. This goal is to be achieved through four objectives:

- Replicate and scale up innovation through regional platforms and partnerships;
- Establish policy and market incentives for greenhouse gas (GHG) reductions;
- Build and institutionalize technical capacity for economic valuation of forest ecosystem services and monitoring changes in forest carbon stocks; and

- Demonstrate innovation in sustainable land management.

USAID/RDMA designed the LEAF program to achieve the following results:

- National Reducing Emissions from Deforestation and Forest Degradation (REDD+) policy, planning and institutional frameworks at the national, sub-national and/or local levels are being strengthened to support improved and equitable land management in at least four countries;
- At least three million tons per year of GHG emissions reduced or avoided;
- At least one million hectares of forest lands under improved management;
- Replication of best practices, models and methodologies in at least six countries; and
- At least $5 million of domestic and international investment in forest environmental services.

EVALUATION DESIGN, METHODS AND LIMITATIONS

As an evaluation that looks both forward and backward from the mid-point of the LEAF project, the LEAF evaluation used a non-experimental design based on qualitative data and a cross-sectional evaluation process. It looked at multiple subgroups, including women, youth and minority ethnic groups, at one point in time and across six different countries. The main data collection tools were document review, semi-structured key informant interviews (KIIs) and group discussions. Limitations that were overcome included availability of informants, recall and absence of baselines.

FINDINGS AND CONCLUSIONS

Question 1. To What Extent Are the Program's Objectives, Intermediate Results and Performance Indicator Targets Being Achieved Since Its Inception to Date?

Findings

At the regional level, under the **first objective**, LEAF has engaged a network of partners and donors that are addressing policies, laws, regulations and best practices. It has carried out the first of four capacity steps to strengthen three of the four targeted regional platforms.

Under its **second objective**, LEAF has helped advance jurisdictional REDD+ nesting approaches by, for example, helping draft new policy frameworks in Lao PDR and Papua New Guinea (PNG) and supporting a Provincial REDD Action Plan (P-RAP) in Vietnam's Lam Dong province.

Under **its third objective**, LEAF has delivered 25 workshop and training events and helped eight Mekong universities develop four modules of a climate change curriculum. LEAF's monitoring and evaluation (M&E) system has not yet enabled LEAF to track how well the program is supporting the emergence of a critical mass of experts and engaged stakeholders applying new knowledge.

Under **objective four**, LEAF has identified and begun to support sustainable forest management at sites in all countries except Malaysia and Cambodia. LEAF is contributing to long-term institutional and human resource strengthening in Lao PDR, PNG and Vietnam by partnering with organizations with long-term field engagement.

LEAF has faced a lack of progress on a compliance market and the slowdown of the voluntary market for forest carbon credits, but donor funding (e.g., from the World Bank's Forest Carbon Partnership Facility and the Norwegian government) has grown. LEAF's "no regrets" approach has enabled incentives and even funding based on multiple forest management benefits.

Conclusions

LEAF has made progress in achieving important elements of all four objectives, but LEAF's outcome targets for GHG emissions and forest hectares under improved management are overly ambitious and will likely not be met.[1]

The low probability of achievement of LEAF's outcome targets could lead to two credibility issues: (1) LEAF's credibility, especially for components in which targets could be achieved, could logically be questioned and, more significant in the longer term, (2) future comparable programs may face a similar credibility gap. LEAF's experience of progress in Vietnam and limited progress in other countries supports lessons from USAID and donor experience elsewhere that progress on complex issues, such as forest management and climate change, requires consistent and high-quality investment in, and commitment to, institutional and human resource strengthening over the long term.

Question 2. What Factors (Both Internal and External to the Program) Help or Hinder in the Achievement of the Program's Expected Outcomes as Detailed in the Cooperative Agreement?

Findings

The key helping factors in the achievement of LEAF's expected outcomes are related to its collaboration with partners and donors in replicating REDD best practices and promoting the standardization of REDD policy methodologies, particularly Measurement, Reporting, Verification (MRV), Reference Emission Level (REL) and Social and Environmental Safeguards (SES). This progress is due to the interest in and relevance of REDD+ for LEAF's partners.

In LEAF countries, helping factors include the following:

- Vietnam has strong institutions and relatively better trained and more experienced government and other staff working on LEAF issues. Previous USAID and, in particular, RDMA programs have also contributed by laying a positive groundwork for LEAF at the national and sub-national levels.
- Lao PDR has benefited from excellent personnel choices by LEAF through its leadership. They have built highly functioning networks at the national level and extended them out to work at the sub-national level.
- Papua New Guinea showed that the LEAF team has found a high degree of positive political will for advancing climate issues such as forest carbon sequestration, particularly at the provincial level.
- In Malaysia, LEAF has established good working relationships at the national level. LEAF is beginning a partnership with the Global Environment Centre (GEC), which is well positioned to contribute to avoided emissions and to regional engagement on peatlands.

[1] No external expert the Evaluation Team interviewed believed that the targets could be achieved in the absence of a compliance carbon credit market.

- In Thailand, various institutions have contributed support to emerging civil society engagement around the REDD Readiness Preparation Proposal (R-PP).

The first overall hindering factor for LEAF Program achievement is that, contrary to when the program was conceived in 2010, there is no apparent progress on an agreement through the United Nations Framework Convention on Climate Change (UNFCCC) that structures and establishes rules and governance at international levels on carbon emissions and sequestration compliance markets. Multiple benefits are also very important and LEAF emphasized them.

The second overall hindering factor to LEAF's success as a regional program is the fact that the REDD+ framework and its MRV, financial mechanisms and safeguards are all designed and carried out by sovereign governments based on their authority over natural resources in their national territory.

There are two important hindering factors for Vietnam. First, although Vietnam is the world's first country program to have advanced to UN-REDD Phase Two, UN-REDD program and Vietnamese government official positions at all levels diverged concerning the structure, objectives and activities anticipated as part of that program, and this constrains LEAF's success in Vietnam. Second, Vietnam's Payment for Forest Environmental Services (PFES) system—the most advanced Payment for Environmental Services (PES) system in the region, and maybe the world—does not include systematic data gathering, analysis or reporting on the changes achieved in improving forest health or on benefits impact. These deficiencies are important to LEAF since Vietnam's PFES system is a major model for payments for performance related to multiple environmental benefits. Flaws in its PFES can be seen as constraints on the rigor and efficacy of any REDD+ activities.

Conclusions

Progress on the evolution of UNFCCC REDD+ compliance markets for forest carbon sequestration has faltered even while voluntary markets and pilot project funding continue. Absence of a compliance market for forest carbon sequestration credits and the growing weakness and lack of progress in establishing voluntary carbon credit purchase demonstration pilot activities will limit the incentive environment for REDD+ in LEAF's remaining time. LEAF can make significant contributions to preparing institutions, technical staff and communities for forest and land management improvements under a "no regrets" rationale.

LEAF's regional knowledge sharing and technical support have proved useful in educating policy makers and strengthening national and sub-national technical capacities. However, greater LEAF efforts are needed to ensure national and sub-national forest governance, inventory and resource-use systems are technically capable of ensuring more sustainable management and lower emissions through increased carbon sequestration.

LEAF has worked with government agencies effectively where it (a) had a strong local partner or a partner that has already developed influence and credibility in engaging with government, or (b) was able to provide meaningful support for one or more of the government's priority activities. Over the longer term, strengthening engagement among civil society, the government and private sector stakeholders appears to be key in building capacity.

USAID's internal issues between regional and bilateral efforts were initially hindering factors in several countries but relationships of shared and mutually supportive objectives and activities between regional and bilateral leadership are now the norm for the completion of the LEAF program.

Question 3: What Specific Opportunities Exist to Enhance Programmatic Effectiveness, Impact and Sustainability at the Regional Level?

Findings

First, to enhance programmatic effectiveness, impact and sustainability at the regional level, LEAF can work with the Association of South East Asian Nations (ASEAN) Regional Knowledge Network on Forest and Climate Change (ARKN-FCC) and Mangroves for the Future (MFF) to move the REDD+ agenda forward and to engage participation from the private sector and civil society organizations. Second, LEAF can engage with the ASEAN Working Group on Timber Certification (AWG-C) to develop a regional reference framework to implement a phased approach to forest certification by 2015. Third, LEAF could engage with the Lower Mekong Initiative's (LMI) event on annual policy dialogue in which LEAF might contribute to addressing gender equity issues in LMI REDD+ and drivers of deforestation and forest degradation. LEAF can invite non-LMI participants, particularly its current partners in Malaysia and PNG, to enhance the impact of actions and further build networks. Fourth, LEAF can increase engagement with the Asia Low Emission Development Strategies (LEDS) Partnership as another network for sharing lessons learned and best practices on LEDS, REDD+ and improved forest management in Asian countries. Fifth, LEAF can extend and adapt its successful coordination with USAID/Vietnam's Vietnam Forest and Delta (VFD) Project to other LEAF partner countries and institutions.

Conclusions

LEAF needs to consider how to focus its current regional engagements with ARKN-FCC and MFF to achieve the most effective information sharing and other objectives. LEAF also would benefit from determining how it might contribute to other broader initiatives such as the ASEAN Single Window (ASW) and the related AWG-C, the LMI, Asia LEDS and the Secretariat of the Pacific Regional Environment Program (SPREP), as well as elements of work on timber certification (Forest Law, Enforcement, Governance and Trade [FLEGT] and the Lacey Act).

Question 4: What Specific Opportunities Exist to Further Strengthen the Regional Cohesive Approach of the Program?

Findings

LEAF's cohesive approach was and continues to be the strengthening of capacities, information flows and sharing of best practices and experience-based information to advance improved forest management. LEAF suffers from the multiple personalities and objectives of any effort managed at a multiple-country level that deals with issues that are decided at the national and sub-national level. Regional cohesiveness is and will continue to be determined by the interest national and sub-national actors have in engaging with their neighbors. LEAF's efforts have produced a strong start with partner institutions in improving the multi-country flow of information, technologies and experience

LEAF could usefully support the advancement of the work plan of ASW. ASW's objective is to accelerate cargo clearance within the context of increased economic integration in ASEAN.

LEAF can further engage with LMI's event on annual policy dialogue to contribute to addressing gender equity in REDD+ and drivers of deforestation and forest degradation within Lower Mekong countries.

LEAF can help the Asia LEDS Partnership develop the Agriculture, Forestry and Other Land Use (AFOLU) component of the partnership. LEAF can engage with Sustainable Landscapes as another network for sharing lessons learned and practices on LEDS, REDD+ and improved forest management in LEAF countries.

LEAF could engage with the SPREP to share experiences in avoiding emissions from deforestation and forest degradation in PNG and in other countries through the SPREP network.

LEAF could engage with the existing FLEGT initiatives and Lacey Act actions in LEAF countries including Cambodia, Lao PDR and Vietnam.

Conclusions

LEAF's site-based experience in applying MRV and SES with stakeholders to counteract drivers of deforestation and forest degradation can help strengthen regional cohesion by (a) strengthening networks for learning exchange and comparative analysis across sites; (b) informing ongoing regional and sub-regional initiatives, e.g., ASEAN Single Window trade standards—and FLEGT initiatives and Lacey Act actions in Cambodia, Lao PDR, PNG and Vietnam—that limit adverse impacts from drivers; (c) providing "evidence" for evidence-based decision making; and (d) informing advocacy, communication and transparency to promote improved forestry governance and address transboundary issues.

Question 5: What Adjustments, Corrective Actions and/or Areas for Improvement Are Needed to Ensure Progress Towards Achieving Expected Results During the Duration of the Program?

Findings

Past investments by USAID, other donors and regional and local actors across the region have developed relationships and created bases of capacity and trust that are serving LEAF well as bases for its REDD+ and related climate change activities.

LEAF and USAID have not fully applied the USG's higher-level influence and convoking authorities in developing more effective entry to and/or building more effective support for Asian networks and platforms to advance reduced emissions through improved forest management.

There is a historic regional and global opportunity for both RDMA's leadership on LEAF and USAID/Vietnam's bilateral leadership on Low Emissions Development to convoke donor dialogue on the differences between UN-REDD and the Vietnamese government on REDD+ Phase Two implementation. Vietnam's experience offers the region lessons to adapt for the integration of incentives to improved forest and ecosystem management.

LEAF's partner universities and those in high-level technical national government positions appreciated access in training events to world-renowned experts on carbon and REDD+ and the sophistication of the tools, but LEAF has not yet facilitated their adaptation to introduce them to non-technical or field-level staff. LEAF has not effectively carried out follow-up communication or support with trainees to assist them in using their training.

Conclusions

Without a site-level diagnostic and analytic document to orient its menu of activities, LEAF risks vague and unsustainable achievements when it could have clear results identified in a succinct framework. Despite the legitimate concerns raised about the diversity of very specific country contexts, the LEAF demonstration sites provide essential perspectives and balance to regional emphases, and in the case of Vietnam, offer regional and global lessons.

The LEAF performance targets of fifteen million tons of carbon sequestered and one million hectares of forest under improved management are unrealistic at the project's mid-point in 2013. LEAF's most valuable **outcomes** are the uptake and application of learning by LEAF's local partners. As a learning and capacity-building program, LEAF's most significant measurements are not of the targets for its

outputs nor its emissions reduction outcomes, but rather of the **capacities of its partners** as they apply new skills, knowledge and understanding to do what LEAF—because of limited local capacity and the pressure to achieve targets—is too often replacing them in doing. LEAF's work to build stakeholder capacity at the site-level, including participatory land use planning, and LEAF's facilitation of learning across sites can help put in place necessary enabling conditions. For example, LEAF can facilitate stakeholder collaboration and help stakeholders formalize institutional arrangements and strengthen their commitment to implementing plans. Building on these fundamentals, LEAF will likely also contribute to higher order results: changes in institutional and individual relationships and behaviors—e.g., strengthening governance and sustainable management—that contribute directly to LEAF's intended outcomes.

USAID and its numerous partners, including LEAF, could play a more effective role in engaging regional actors and in responding to demand among regional and in-country stakeholders across sectors to become engaged in climate change discussions, decisions and plans, thereby moving towards increased investment. LEAF's most important challenge and opportunity at this mid-point is to adapt its tools used at different levels to the range of institutions active at its demonstration sites, including the private sector and other interests that are driving deforestation and forest degradation. LEAF has not effectively carried out follow-up communication or support with trainees to assist them in utilization of their training, particularly regarding complex topics such as gender issues. LEAF has not adapted the generic concepts and tools of carbon measurement to particular situations faced by particular stakeholders. Nor has it developed sufficient direct, iterative engagement with a broad enough range of diverse field situations to generate lessons regarding the principles of best practices and how to adapt these principles to some of the basic contexts of resources, institutions/governance and drivers in Asia.

Recommendations

- LEAF should continue and increase its focus on approaches that advance the multiple benefits and community livelihood improvements of improved forest management at the regional, national and sub-national levels in regard to improved forest management and place less focus on carbon accounting aimed at REDD+ compliance.
- LEAF should help its collaborating partners and associated stakeholders for each of its activities to establish a shared understanding of the issues they face and the direction and pace they wish to go forward towards a shared understanding among stakeholders of forests, drivers and governance, through comprehensive base documents and institutional assessments.
- To maximize sustainability of its results and its partner organizations' abilities to continue attaining them, LEAF should cease to be a "hub" and become a facilitator of emerging networks around specific issues and themes that its collaborations in each country find of highest priority and find ways to demonstrate the investment made.
- LEAF should strengthen the capacities of partners within the region to design and access international technical expertise, to understand and address the priority gender issues at specific sites and to exchange and standardize approaches through activities that give partners increasing direct responsibility for these functions.
- LEAF should support an increased exchange of learning from the most regionally advanced Vietnam REDD+ and PFES, structuring and facilitating engagement with LEAF country partners at multiple levels, including visits both to Vietnam and by Vietnamese partners to other LEAF countries and sites. Such learning exchanges should include contributions to more systematic REDD+ baseline data and standardized tools, through collaboration with other donors and other sustainable landscape programs. This may include joint learning activities with other programs throughout the region addressing those drivers and issues that are prioritized at LEAF's sites.

- LEAF should simplify REDD+ concepts, models and tools for use by the full range of "lay" stakeholders, including translation into local languages by LEAF's partners as they work with local male and female leaders, women, youth and ethnic minorities at each site. Undertaking this work will allow groups typically left out of the information stream greater access to REDD+ knowledge and practice.
- LEAF should coordinate with the United States Government (USG) to initiate engagement with ASW, LMI and the Asia LEDS Partnership. LEAF should focus/limit its engagement with "major counterpart" organizations to those with which it is collaborating directly on a specific priority initiative/theme or at a specific demonstration site.
- LEAF should support curriculum development in universities in rolling out the curriculum development modules for site-based application and testing in all countries to enhance visibility and ownership of the four modules, including a rollout of condensed versions for senior-level decision makers.
- LEAF should provide additional short-term technical assistance (STTA) to provide periodic post-training coaching to LEAF participants that complete the in-country training on Gender Integrated Planning for REDD and to address specific research topics. The STTA could support investigating unintended consequences of increased household incomes such as gender-based violence or other specific concerns like human trafficking.
- LEAF, if requested by Vietnamese authorities, should support efforts to understand and document the ways that PFES participation and benefits differentially involve and affect women and men and how the payments affect household economic, power and social relations, as well as how gender plays a part in resource tenure as well as the results of ecosystem changes in forest management from PFES payments.
- LEAF should invest all needed resources in Vietnam to support P-RAP in Lam Dong and, as possible in other provinces, with capacity building for forestry and gender. If requested, LEAF should support the strengthening of the National REDD Action Plan (N-RAP).
- LEAF should fully support its PNG work in planned collaboration with the Nature Conservancy (TNC) and the provincial government, together with civil society organizations (CSOs) and community based organizations (CBOs), to strengthen and replicate participatory land-use planning and REDD+ activities in Madang Province.
- LEAF should invest all needed resources in Lao PDR to develop its memorandum of understanding (MoU) with the Ministry of Natural Resources and the Environment (MoNRE), if and when requested, and help build its capacities, strengthen forest laws and regulation and REDD+ planning at the jurisdictional level (provinces) and continue field demonstration site activities in Attapeu and Houapanh.
- LEAF should work in Thailand to support multi-stakeholder engagement through the national and site-level steering committees and site-level activities at the Maesa-Kogma Man and Biosphere Reserve (MSKM) Man and the Biosphere Program (MAB) site. LEAF should continue to help in northern Thailand with advice on monitoring and technical capacity building for PFES.
- LEAF should limit its activities in Malaysia to sites where state-level agreements are in place. This includes the Forest Research Institute Malaysia (FRIM) in Pahang State and the peatland restoration activity with GEC in Selangor.
- LEAF activity in Cambodia should be limited to curriculum development and perhaps limited policy support on addressing the drivers that perpetuate inequalities between women and men.

I. EVALUATION PURPOSE & EVALUATION QUESTIONS

EVALUATION PURPOSE

The purpose of the mid-term performance evaluation of the LEAF program is to examine the progress of the program to date, to identify implementation challenges and areas for improvement and to recommend specific opportunities to enhance effectiveness and impact. USAID/RDMA/REO created and funded LEAF to address climate change in a continuously evolving context of USAID, donor and other initiatives across the region's range of countries and landscapes and is vitally interested in how well LEAF contributes to reducing GHG emissions and slowing global climate change related to the use and management of Asian forests. Hence, the evaluation seeks to advise RDMA on options to best achieve LEAF program results, to identify LEAF's highest potential roles in contributing to achievement of RDMA's RDCS and harmonize with its partner bilateral Missions and their strategies and projects, and how best to focus and concentrate future USAID program resources for RDCS results achievement.

EVALUATION QUESTIONS

The mid-term evaluation SOW (see Annex 1) presented three questions, which were reorganized for the evaluation, with USAID approval, into the following five questions:

Question 1. To what extent are the program's objectives, intermediate results, and performance indicator targets being achieved since its inception to date?

Question 2. What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement?

Question 3. What specific opportunities exist to enhance programmatic effectiveness, impact, and sustainability at the regional level (in particular in relation to relevant bilateral USAID programming)?

Question 4. What specific opportunities exist to further strengthen the regional cohesive approach of the program?

Question 5. What adjustments, corrective actions, and/or areas for improvement are needed to ensure progress towards achieving expected results during the duration of the program?

II. PROGRAM BACKGROUND

In 2010, USAID/RDMA carried out the Asia Regional REDD Program Planning Assessment, which identified and described the myriad threats Southeast Asia faces from continued deforestation and forest degradation that, among other things, are substantially reducing its carbon stocks. Achieving the region's significant potential in the forestry and land-use sector for cost-effective emissions reductions will require widespread behavior change across public and private organizations, civil society and urban and rural communities through the creation and implementation of policies, laws, regulations and market incentives. In response to development challenges and opportunities identified in the 2010 assessment and in support of the USG GCC Initiative and other USG policy pronouncements, USAID/RDMA created the Asia Regional Sustainable Landscapes Program and awarded a five-year $20 million cooperative agreement on January 20, 2011 to Winrock together with SNV and Climate Focus to carry out the program. Winrock added RECOFTC, Regional Community Forestry Training Center as a formal partner in October 2012. In December 2012, a program expansion was approved with an additional $800,000 to formally include gender integration activities in the program.

Subsequently renamed LEAF, the program has an overall goal of strengthening capacities of developing countries in the Asia region to produce meaningful and sustainable reductions in GHG emissions from the forestry/land-use sector, allowing them to benefit from the emerging international REDD+ framework. This goal is to be achieved through four objectives:

- Replicate and scale up innovation through regional platforms and partnerships;
- Establish policy and market incentives for greenhouse gas reductions;
- Build and institutionalize technical capacity for economic valuation of forest ecosystem services and monitoring changes in forest carbon stocks; and
- Demonstrate innovation in sustainable land management.

LEAF's development hypothesis is that employing a regional learning-by-doing approach working across sub-national, national and regional levels will strengthen developing countries' capacities to reduce GHG emissions from the forestry/land-use sector, providing tangible benefits in terms of climate mitigation, improved forest management and strengthened livelihoods, and allowing developing countries to benefit from the international REDD+ framework. The multi-faceted, learning-by-doing approach aims to directly build local capacities to plan and implement improved forest management and REDD+ programs. Overall, the following results are to be achieved through the five-year timeframe of the LEAF program:

- National REDD+ policy, planning, and institutional frameworks at the national, sub-national, and/or local levels are being strengthened to support improved and equitable land management in at least four countries;
- At least three million tons per year of GHG emissions reduced or avoided;
- At least one million hectares of forest lands under improved management;
- Replication of best practices, models, and methodologies in at least six countries; and
- At least $5 million in domestic and international finances are invested in forest environmental services.

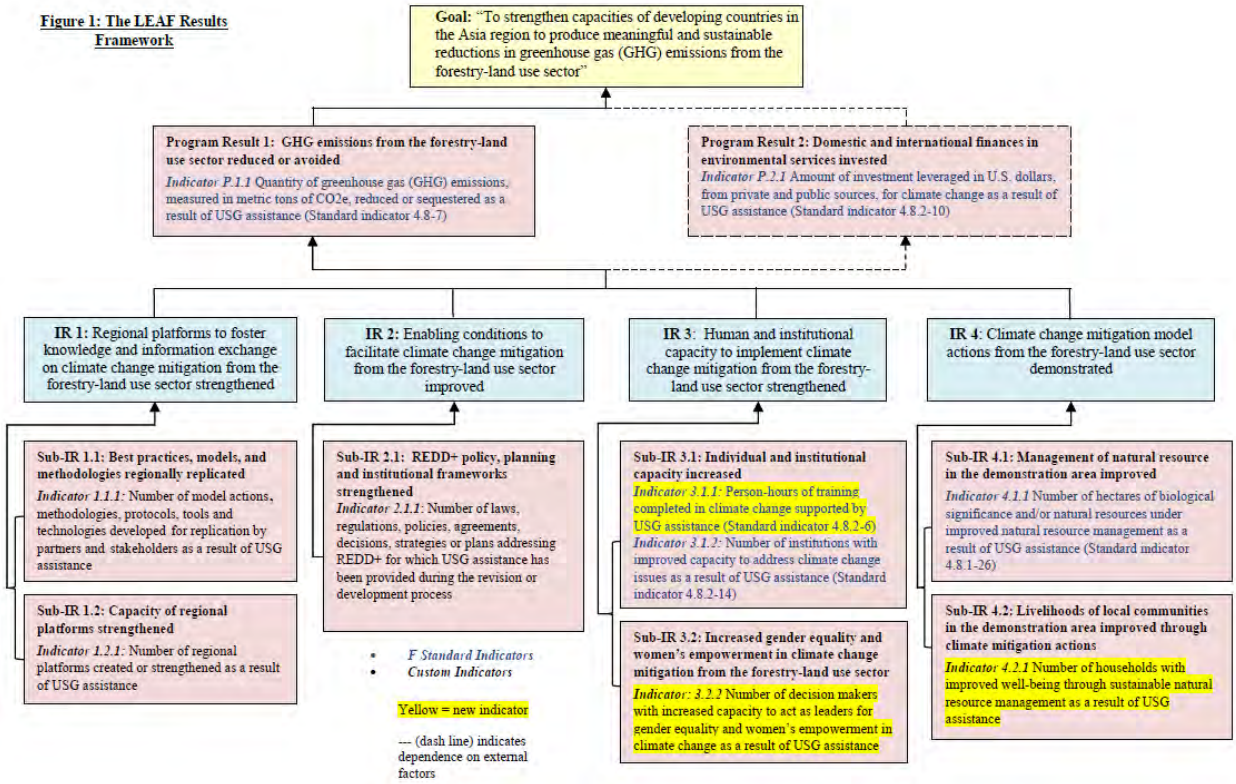

Figure 1: LEAF Results Framework (updated March 2013)

The LEAF program design incorporated all key recommended priority areas identified in the 2010 assessment except those related to investment finance and private sector engagement. The LEAF program's Results Framework was revised at the end of 2012 as part of a revision to the program's Performance Management Plan (PMP), which was approved in March 2013 (see Figure 1).

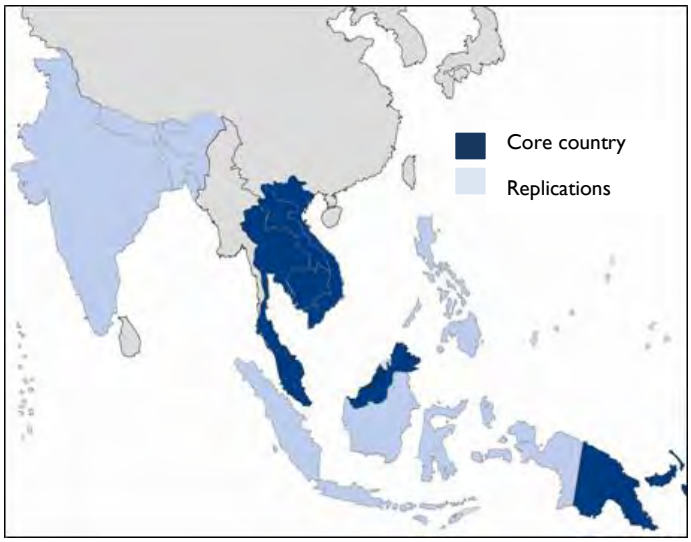

Figure 2: LEAF Core and Replication Countries

LEAF activities are focused primarily in the four Lower Mekong countries (Cambodia, Lao PDR, Thailand and Vietnam) as well as Malaysia and PNG (see Figure 2). Program activities may potentially engage with an additional six countries in the region (Bangladesh, Bhutan, India, Indonesia, Nepal and the Philippines) to share and replicate best practices and innovations. LEAF directs its operations through a regional office that includes all of the project's designated key personnel, who provide guidance to a LEAF country manager, and collaborating partners in each of the six core countries. Only minimal funding for activities is provided to implementing partners beyond Winrock and the three main cooperating sub-agencies.

III. EVALUATION METHODS & LIMITATIONS

EVALUATION DESIGN

The key objectives of the LEAF mid-term evaluation are to assess achievements to date, precisely at mid-point of LEAF implementation, and to recommend actions for the completion of its life cycle. The approach looks both backward to achievements and shortcomings and forward to areas for improving impact, relevance, cohesion and sustainability. The use of qualitative approaches correlated with the focus of the majority of evaluation questions. The most effective design option was therefore a performance evaluation using a non-experimental design, based on qualitative data. The performance evaluation does not require a systematic search for cause and effect relations to impacts, as would an experimental design. It is based on inferential, less rigorous but nevertheless evidence-based findings. Although this design excludes a systematic search for causes and effects of impacts, it does involve inquiries into the evolution of processes and the achievement of some preliminary targets. The SOW called for the identification of implementation challenges, corrective actions needed and/or areas for improvement in order to determine and formulate recommendations for the second half of the program's cycle.[2] All concerns were set out in descriptive or normative evaluation questions.

The cross-sectional evaluation process allows the observation of a program's effects on many sub-groups. This method of evaluation was chosen because the program is implemented in six countries and targeted many types of beneficiaries. It also allows for flexibility to include many different contexts, categories of beneficiaries (including gender), states, degrees and factors of progress in program implementation.

DATA COLLECTION METHODS

In order to cover the six countries in the allocated time, the four-member core team (see Table 1) broke into two sub-teams (A and B), each conducting four weeks of data collection. The core team members were also joined by RDMA staff as well as USAID and United States Forest Service (USFS) experts.

Sub-team A spent all its field time in its three allocated countries while sub-team B returned to Bangkok early to attend the last two days of the Curriculum Development Workshop (August 15–16).

The Evaluation Team employed four types of data collection, with KIIs comprising the majority of data.

[2] Though it may be considered outdated, some manuals on implementation evaluation (also bearing many other names) can highlight some approaches: King, J. A., Lyons-Moris, L. and Fitz-Gibbon, C. T. 1987. How to Assess Program Implementation. Newbury Park: Sage Publications.

Table 1: Allocation and Flow Data Collection	
Sub-Team A	**Sub-Team B**
Thailand → Cambodia → Lao PDR → Vietnam → Thailand • David Hess • Raymond Gervais • Suphasuk Pradubsuk (Lao PDR, Hanoi) • Linda Heath (Hanoi) • Matt Ogonowski (Lam Dong)	*Thailand → Malaysia → PNG → Thailand* • Allen Turner • Stepi Hakim • Linda Heath (Thailand, Malaysia) • Nitasmai Ransaeva (PNG) • Evaluation COR Supattira Rodboontham (PNG)

Document review: The Evaluation Team received and reviewed more than 250 documents related to the LEAF program and activities. The Team assigned document review responsibility according to team member expertise. Annex III presents a full list of all document sources.

Key Informant Interviews: The Team was given a prioritized list of approximately 295 informants selected by RDMA REO and the LEAF program. Informants were added when the Evaluation Team judged them relevant to the scope of the evaluation. The Team then sought to meet those set out as priority informants. A close examination of this list compared to Annex III B shows that if not all priority individuals[3] could be met, given the constraints and the logistical issues of an evaluation in six countries, the vast majority of institutions were covered as well as almost 85 percent of the prioritized list of informants. This coverage can be favorably compared to other such types of evaluations. The Team interviewed a range of informants across the region (see Tables 2 and 3). Table 3 also presents the distribution of male and female informants in each country.

The Team developed specific KII protocols for each group of informants so that questions were tailored to respondents. Evaluators remained flexible with their implementation of the specific protocols and made on-the-spot revisions to them based on the following criteria:

- Time allocated to the interview by the informant;
- His/her level of knowledge and understanding of LEAF;
- Unplanned topics that were deemed important by both interviewer and interviewee; and
- The complexity of sub-questions.

The numbers in Tables 2 and 3 are logically linked to the importance of Bangkok in LEAF's management and the length of the presence in sites. In Lao PDR, site visits combined with village meetings increased the number of informants, though most were not interviewed individually, as was also the case with silent participants in interviews. In Vietnam the non-LEAF program site visit was prevented for administrative reasons: at the last minute the Provincial People's Committee (PPC) made a decision that could not be mitigated or countered. Therefore all informants were interviewed in Lam Dong Province

[3] Individuals may have moved or been absent at the time of some shorter Evaluation Team visits.

Table 2: Number of Informants by Type and Country

Type of Informant	Cambodia	Lao PDR	Malaysia	PNG	Thailand	USA	Vietnam	TOTAL
Country Administration[4]	0	14	7	10	11	0	16	**58**
Embassy Staff	0	1	1	3	0	0	0	**5**
LEAF	1	2	1	2	18	0	4	**28**
Partner	9	7	3	15	21	11	7	**73**
Researcher	4	2	7	3	8	3	10	**37**
USAID	3	1	0	2	11	6	5	**28**
Village Informant	0	16	0	2	3	0	0	**21**
Total	**17**	**43**	**19**	**37**	**72**	**20**	**42**	**252**
Percentage of Total	**7%**	**17%**	**8%**	**15%**	**29%**	**8%**	**17%**	

(Dalat) through two processes: a collective presentation during an entry meeting and individually in the days that followed.

Table 3: Number of Informants by Country of Origin or of Interview and by Gender

Country	Female	Male	Total	Percentage
Cambodia	4	13	**17**	**7%**
Lao PDR	7	36	**43**	**17%**
Malaysia	6	13	**19**	**8%**
Papua New Guinea	10	27	**37**	**15%**
Thailand	27	45	**72**	**29%**
USA	11	9	**20**	**8%**
Vietnam	6	36	**42**	**17%**
Grand Total	**71**	**179**	**250**	**100%**
Percentage	**28%**	**72%**		

[4] No country administrators or decision makers could be met in Cambodia due to strict directives from the embassy in light of upcoming elections.

Focus Group Discussions: FGDs had been identified in the inception report as a source of information; however, field conditions again dictated adaptations. The first adaptive factor was the slow LEAF program deployment—and therefore weak implementation—in sites, which meant that most villagers and other groups were not aware of many aspects of LEAF interventions. In most cases the Evaluation Team chose to transform the FGD into a group meeting, more informal but able to gather "stories" about past environmental interventions or perceptions of main issues relating to forests[5] with some information on LEAF. An FGD was organized with participants at the curriculum development workshop in Bangkok.

Short Survey: While not originally envisioned in the SOW, when questions arose about changes in participation in the curriculum development component,[6] a short survey (see Annex II) was submitted to participants in this component's workshop to complement the planned and implemented FGD. The implementation[7] of this survey was delayed with consequences.

The survey was administered to all remaining participants, and comprised questions about:

- Identification (with gender and affiliation as core elements);
- Association with LEAF;
- Role in the curriculum development activity and questions on relevance of the component; and
- Assessment of satisfaction.

Table 4 presents the gender and country distribution of the survey respondents.

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[5] In Hat Vudomxay village (Lao PDR) villagers talked about a previous intervention by GEF/UNDP and compared it to LEAF. They further eloquently described climatic changes over the last 40 years and how they had affected their livelihoods.

[6] During an interview in Vientiane one participant indicated that the university had decided to change its participant and send someone to the workshop with only 2–3 months of association with the curriculum development network. Once the survey was processed, results indicated strong stability in participants as only 4 of 25 surveyed participants had less than three months of collaboration with LEAF.

[7] LEAF organizers had agreed to present the questionnaire to *all participants* at the *beginning* of the workshop. For reasons beyond the Evaluation Team's control, sub-team B handed out the questionnaires during the last day of the workshop so that only 33 participants could be included. Of these, 27 were true participants, two of which did not complete the questionnaire, thus rendering them unusable.

Table 4: Number of Participants[8] in the Curriculum Development Survey by Country and Gender

Country	Female	Male	Total
Cambodia	3	2	**5**
Lao PDR	1	1	**2**
Malaysia	2	3	**5**
Papua New Guinea	0	1	**1**
Thailand	4	2	**6**
Vietnam	1	5	**6**
Grand Total	**11**	**14**	**25**
Percentage	**44%**	**56%**	

DATA ANALYSIS

As most information gathered came from KIIs, the analytical process was quite straightforward. Interviews were conducted by two or three team members in the vast majority of cases and two sets of notes were prepared. Each interview was assigned to one team member for a first transcription and then validated through comparison with the second set of notes. A final version was produced with validated exchanges.

When both sub-teams were together, a similar process, albeit not identical, occurred; its objective was not one of validation but of isolating findings applicable to more than one country and therefore addressing global regional issues from LEAF's experience or specific contexts.

The documents for review were collected before and during field visits. Documents were processed and discussed in order to add to the set of key themes and issues identified during the inception phase.

These findings were set in tables for each evaluation question and objective as the Team prepared the out-briefing presentation. First, sub-teams consolidated the most important findings, then, in a second step, the core team consolidated and defined answers to questions and themes.

All 33 questionnaires from the unplanned short survey were processed but only 25 were kept. Furthermore, the most significant variables were set in tables and used as needed in the analytic portion of the report.

[8] A total of 33 questionnaires were received; two questionnaires were incomplete and six questionnaires came from LEAF or partner personnel. The latter were considered in conflict of interest with respect to the questions related to participant satisfaction. All questionnaires were processed but only 25 were used.

LIMITATIONS AND RISKS

The Team identified the following potential risks for the evaluation:

- **Availability of informants**: As is often the case, the evaluation was exposed to a risk of informant availability. Both USAID (by alerting the Team to potential limitations, e.g., in the Thailand Department of Natural Parks [DNP] counterpart's availability) and LEAF (by helping contact local informants at field sites) were very helpful in enabling the Evaluation Team to manage this risk effectively. In a majority of cases, informants made themselves available for interviews as demonstrated by the numbers of informants in Table 2 and Annex IIIB. The Evaluation Team sought to speak with informants at all levels of experience, but primarily with individuals in decision-making positions and in control of important knowledge for the evaluation process. The Lam Dong Province authorities in Vietnam refused access to the identified non-LEAF site for administrative reasons while in Malaysia, the Sabah State Forest Department did not make itself available, as described in more detail below. Some interviews were planned as KIIs but became group meetings with one informant and many silent attendants. The presence of silent informants did not influence or diminish the quality of the information gathered. In cases where unplanned informants were brought into the discussion, their presence enhanced the depth of the information and insights obtained.
- **Recall**: The risk of informants not being able to recall relevant information did not materialize. This is because most association with LEAF is fairly recent.

In addition to risks, the following limitations were identified:

- The **absence of baselines** (IR 1, partially 3, and 4) rendered some analyses difficult. Most institutional baseline assessments—but for one—have not been completed so that an assessment of the state of institutions and their need for support and reinforcement could not be performed as planned.
- LEAF has had little **visibility** in countries such as Malaysia and PNG, as its activities were planned to begin after those of the Mekong countries and, to date, have been limited mainly to short-term workshops and participation in working groups. Hence, perceptions of the program and its importance were often narrow and thus required more in-depth interviewing approaches.

The Evaluation Team was systematically faced with the challenge of determining if "national" experiences, and therefore informants' accounts, applied to the regional program level, keeping in mind that the Team was separated for a good part of the field visits period (Annex IV: Data Collection Schedule). Analysis conducted after field visits brought the Team to an agreement on the generalizability of cross-national findings.

IV. FINDINGS, CONCLUSIONS & RECOMMENDATIONS

PROGRESS AND ACHIEVEMENT ON OBJECTIVES, INTERMEDIATE RESULTS AND TARGETS

Evaluation Question 1: *To what extent are the program's objectives, intermediate results and performance indicator targets being achieved since its inception to date?*

Findings

LEAF is a far-reaching and comprehensive regional program with multiple levels of results, as witnessed in its Results Framework. From regional networking to monitoring of improvements in households' well-being, the program has aimed to achieve ambitious results. The slow progress imposed by long and arduous registrations and approvals from government ministries and other levels of official authorities in most LEAF countries has impeded achievement of the targets. Other hindering factors are discussed in Section IV Hindering Factors.

Though this rate of progress may be a combination of external requirements and internal human resource management problems during LEAF's first months of implementation,[9] LEAF was nevertheless working on foundations created by other USAID programs, including several with Winrock as lead implementing partner.

In accordance with its first objective, through regional and country networks, LEAF has carried out 3 of 13 regional events in collaboration with regional platform partners. While regional events have helped deliver best practices, models and methodologies almost as targeted, LEAF's performance management system tracks only delivery, not uptake or replication.[10] As implementation at field sites has, except in Vietnam, not yet or only just begun, LEAF has not yet been able to assess its tools in use and adapt them accordingly for effective scale-up. The Evaluation Team observed only limited initial progress in transfer of best practices, methods and methodologies in REDD+ technical areas, socio-economic surveys and sub-national action plans. LEAF supported ARKN-FCC to develop a draft ASEAN joint submission for COP-18, Doha, Qatar 2012 (through a workshop in October 2012 in Jakarta).[11] At the regional level,

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[9] It is important to note that LEAF senior regional cooperative agreement staff turned over all key positions in the program's first years of implementation: Chief of Party and Forestry Advisor had new staff in the first year, the policy advisor changed in the middle of Y2 and Deputy Chief of Party at the beginning of Y3.

[10] LEAF's Performance Management Plan notes that "a model action, methodology, protocol, tool or technology is counted towards this indicator when it has been developed or adapted…[and] delivered to at least one regional platform…The indicator will not track the number of times the models have been replicated…"

[11] See: Association of South East Asian Nations (ASEAN). 2012. Terms of Reference. The 6th Meeting of ASEAN Regional Knowledge Network on Forest and Climate Change (ARKN-FCC). Jakarta, 30-31 October. Jakarta: ASEAN; Broadhead, J. 2012. Drivers of Change in Southeast Asian Forestry. Jakarta: ASEAN; Ganz, D. J. 2012. The 6th Meeting of Asian Regional Knowledge Network on Forest and Climate Change (ARKN-FCC). Overview of LEAF and ARKN-FCC. Bangkok: Winrock International, LEAF; USAID-Asia.

thus far, LEAF's collaborating partners have tended to carry out discrete activities of limited scope such as this COP paper, instead of an integrated regional program of adaptive learning and exchange. An integrated program would provide increased coherence and direction to replace the one-off nature of actions noted to date.

In its most advanced and promising component, LEAF has engaged a network of partners and donors that are addressing policies, laws, regulations and best practices. At the regional level, LEAF supports a work plan with ARKN-FCC. It has carried out the first of four capacity steps with three of the four regional platforms for strengthening. Forest Carbon Asia has an assessment and strengthening plan.

Six of LEAF's 13 regional events were carried out in collaboration with other international partners: the Food and Agriculture Organization (FAO), the U.S. Department of Agriculture (USDA) Forest Service, and/or two USAID-funded projects—the global Forest Carbon, Markets and Communities (FCMC) project and the RDMA's Low Emissions Asian Development (LEAD) project. During its first 2.5 years, LEAF's limited options were to engage with government and with other donor agencies and initiatives as its main collaborating partners and, for curriculum development, with universities. At demonstration sites, LEAF is engaging with both government agencies and non-government organizations (NGOs), as well as USAID bilateral Mission projects—most notably with the VFD Project and Supporting Forests and Biodiversity (SFB) in Cambodia.

LEAF engaged the private sector in limited ways. LEAF activities have focused on policy, regulatory and technical issues without sufficient consideration of the potential engagements and roles of the region's private investors. LEAF has involved private companies in limited ways in discussions on leveraging funding in Malaysia and Thailand. It has also invited New Chip Xeng (Honda) Co. Ltd in Lao PDR to present their feasibility study in national C accounting workshop. It worked with the Vietnamese government in policy development on carbon regulation, benefits distribution and carbon markets related to establishing its forest development funding mechanisms with attention to future private investment. Despite these initial actions, LEAF has not developed a comprehensive approach to supporting private investment in improved forest management for carbon sequestration, specifically by looking at incentive structures for private sector collaboration in REDD+ implementation.[12]

LEAF's first two annual work plans describe a regional platform as a "key launching pad for replication and scaling up innovation, for leveraging resources, and for coordinating actions" and (as also noted in the revised Performance Management Plan [PMP]) "fundamental to the sustainability" of program results. LEAF also noted the importance of a wide range of other strategic and collaborative partners in carrying out its regional approach. The 25 "major counterpart organizations" listed in its most recent (tenth) quarterly report include the eight universities from the Lower Mekong countries that are collaborating on curriculum development, seven international donors (UN-REDD, Deutsche Gesellschaft für Internationale Zusammenarbeit [GIZ], Kreditanstalt für Wiederaufbau [KfW], Japan International Cooperation Agency [JICA], AusAID, FAO and Asian Development Bank [ADB]), the USDA Forest Service, international research and development centers (the Center for International Forestry and Research [CIFOR], the International Tropical Timber Organization [ITTO], the Institute of Global Environment and Society [IGES] and Women Organizing for Change in Agriculture and Natural

[12] In LEAF's Tenth Quarterly Report, Annex C, LEAF Field Activities. Mid-Term Assessment of Progress, numerous partners in multiple sectors are presented in all sites in all six countries. However, potential private sector partners are identified only for the site in Thailand (tourism operators) and the sites in Vietnam (consulting firms).

Resource Management [WOCAN]) and TNC. The remaining four are LEAF's "platform" partners, which include two largely virtual knowledge-sharing platforms (the REDD Desk and Forest Carbon Asia) and two networks, ARKN-FCC and MFF, that actively seek to engage regional stakeholders. While all four platform partners meet criteria that have evolved in LEAF's approved annual work plans, only ARKN-FCC and MFF fit the definition of a regional organization as one with a strong presence of **regionally based** stakeholders. LEAF's third annual work plan set forth "regional platform support and partner collaboration" as one of its four main "modes" for regional information exchange and learning. The other three modes are being carried out by LEAF directly, with some collaboration as described above: applying international technical expertise, supporting the exchange and standardization of approaches and functioning as a regional hub of expertise.

Under its second objective, LEAF has been very active nationally in its focus countries:

- Lao PDR: LEAF has contributed to the drafting process of the new land policy law and its new forest regulatory framework, and LEAF has helped advance the adoption of a jurisdictional REDD+ nesting approach for the country.
- Papua New Guinea: LEAF helped the Office of Climate Change and Development (OCCD) prepare the draft National Climate Change Policy, including some stakeholder consultation at the national level. The draft policy has been sent to the PNG Cabinet.
- Vietnam: LEAF is working to advance the REDD+ institutional framework strategies and plans through its support of the Lam Dong Provincial REDD Action Plan (P-RAP). In fact, three donor organization technical experts from SNV and UN-REDD thought that the N-RAP was too vague and lacked guidance for provincial-level interventions. According to these Vietnam-based international experts, the provincial experience and learning did not feed into the N-RAP. LEAF's support of the P-RAP was considered to have demonstrated the program's potential capacity to guide other provinces as well as the revision of the national plan.

In advancing achievement of LEAF's third objective, the curriculum development component has developed four climate change modules with eight Mekong universities. These have potential for adaptation and replication in other countries. Two countries (Malaysia and PNG) joined very recently. Workshops sought to enhance capacities in highly technical sectors: MRV of carbon emission reductions[13]; and land-use planning in the context of climate change.[14]

It would have been virtually impossible to locate and survey participants in training sessions implemented by LEAF in its six target countries with such a tight schedule. A proxy approach was to survey participants in the curriculum development component at a LEAF workshop in August, as this can be viewed as a means of knowledge and expertise transfer at the regional level with support from trainers in LEAF's network. The results of the short survey, used at LEAF's August 2013 Curriculum Development Workshop, indicated a high level of appreciation for the technical quality of LEAF's training events to date. Details are provided in Table 5.

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[13] Although workshops did not specifically target MRV as the main topic.

[14] Saah, D., Barber, J., Ngoc, T. L., Stephen, P., Phuong, C. P., Thant, N. P., Lam, H. B. N. and Cao, T. A. 2013. Land Use Planning and Climate Change. Case Study: How Can Land Use Planning in Lam Dong Province Account for Climate Change Mitigation Opportunities? Draft Copy. Dalat: DARD and Dalat U.

Table 5: Evaluation of Satisfaction and Overall Assessment of LEAF's Contribution to Curriculum Development[15]

To what extent are you satisfied with the LEAF curriculum development process as a whole?	
Very Satisfied	8
Satisfied	16
Somewhat Satisfied	1
TOTAL	**25**
To what extent are you satisfied with the support you received?	
Very Satisfied	7
Satisfied	17
Somewhat Satisfied	1
TOTAL	**25**
How would you rate the level of participation in this LEAF process?	
Very Participatory	9
Participatory	16
TOTAL	**25**
How would you rate LEAF's contribution to curriculum development?	
Somewhat Low	3
High	17
Very High	5
TOTAL	**25**

[15] Source: Survey done by Evaluation Team at the end of the August 2013 Curriculum Development Workshop. Note: not all possible categories are presented; null value categories were excluded.

Levels of satisfaction and recognition of LEAF's role were high in the surveyed participants surveyed. During meetings with university staff, the quality and relevance of national interventions and regional exchanges were noted with emphasis placed on LEAF's lack of systematic follow-up after training was provided. Since many of the academics also participated in the more focused training sessions, the Evaluation Team thought it important to note it.[16] Follow-up was desired in the form of access to more information and support to further participant networking, especially at the regional level.

Table 6 presents the training events and workshops that LEAF has organized to date.[17] This summary presentation indicates major emphases on capacity building and knowledge dissemination, with one important flaw: LEAF admitted not being able to quickly correlate individuals with the training it organized regarding key questions, i.e., how many training events one individual had attended, which individuals had been presented with multiple tools, or whether women trainees were more or less able to apply knowledge than their male counterparts. This would admittedly have required that LEAF go beyond the standard USAID indicator, which is an organizational comparative tool of some value for USAID but does not serve LEAF's purpose as it attempts to fully meet IR 3.1[18] or 3.2.

Table 6: LEAF Training Events and Workshops

Event Type	Number of LEAF Organized Events
Training on Climate Change	5
Introduction REDD+ and Awareness	5
Forest Planning/Land-Use Planning/Forest Mapping	5
Forest Monitoring/Forest Inventory	3
Forest Policy/Governance	2
Carbon Measurement	2
Reduced Impact Logging (RIL)	1
Safeguards	1
Study Tour (on PES)	1
Person-Hours Trained: 14,468.25	

LEAF's revised PMP notes that the decision to change the indicator from number of people to number of person-hours was to "reflect the time dimension" and to "avoid potential problems of counting the same person multiple times." The choice of a comparative but imprecise indicator (person-hours of training) and LEAF's efforts to adhere to it mean that the expected results are poorly understood and

16 This comment was also voiced during the meeting in Attapeu, Lao PDR (See Annex IV schedule) by all provincial and district staff who had participated in training sessions.
17 Source: LEAF monitoring system: List of "Achievements counted under the indicators": Indicator 3.1.1: Trainings and personal communication, Chanin Chiumkanokchai, LEAF Monitoring and Evaluation Specialist.
18 *Individual* and institutional capacity increased.

impacts are not well documented on institutional strengthening in areas such as carbon measurement and the REDD+ framework. While the recently approved (March 2013) PMP calls for follow-up with a sample of those trained "to assess the overall outcome of LEAF's capacity building efforts and how new skills and knowledge are applied," LEAF's M&E system as presently in place, based on USAID's set of indicators, does not allow the Team to document and track how the program is supporting the emergence of a critical mass of experts in each targeted country. It provides no information from following up on whether and how training participants are applying their new knowledge. No information is available on gender differences on any of those questions.

The titles, frequency and person-hours indicate that many important learning opportunities have been provided. In discussions with the Evaluation Team, past participants in all six countries underlined the technical breadth and depth of LEAF workshops. However, when a group of 10 past participants in Attapeu, Lao PDR[19] were asked what they remembered or had used from those technical training events, all but two replied that little had been used in their work and all 10 participants replied that the level of complexity was too great and beyond their reach or that of their colleagues in district-level technical offices.[20] In Vietnam, where participants tend to have more experience, this shortcoming was not reported as frequently.

Findings from KIIs indicated the following:

- **Cambodia:** In comments on LEAF's effectiveness in institutional and individual capacity building through training events, organizational leaders reported that training events were overly technical in their subject matter and approaches. Other institutions and projects were deemed by these informants as more likely to meet Cambodia's capacity building and gender equality advancement needs in forest management and climate change as commented on by representatives of the NGO sector.
- **Lao PDR:** The weak and unstable institutional context in the sector points to one lesson: MoNRE's capacity needs, at the national, provincial and district levels, require assessment and coordinated actions with other donors for this relatively new institution to successfully assume its greatly increased responsibilities to lead in REDD+ implementation and forest management.
- **Vietnam:** There were significant achievements in advancing LEAF's forest management and climate change objectives through development of the Lam Dong Provincial REDD+ Action Plan and other actions. The Evaluation Team was provided with a detailed briefing on LEAF's participation and planned inputs to the Lam Dong P-RAP and was impressed by the degree and quality of the LEAF contribution to the process. Additionally, LEAF is providing support to strengthen technical capacities required to implement the plan when it is approved. There is still a clearly expressed high demand for increased and focused support from all levels of LEAF's Vietnamese government partners.

Discussions with foreign and national informants in all LEAF countries revealed a consensus that it is very unlikely for LEAF to achieve its targets for GHG emissions and forest hectares under improved management within the next 2.5 years (under Objective 4).

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[19] See mission schedule July 31.
[20] Similar statements were made in Vietnam, August 12 and 13.

In implementing Objective 4, LEAF has identified demonstration sites in all countries, except Cambodia where the bilateral SFB program and other organizations will implement similar interventions. In Malaysia, the regional authorities in LEAF's proposed target demonstration site in Sabah have not shown sufficient interest to advance government approvals. In the Winrock-led team's mid-term self-assessment, baseline household surveys were reported and details were provided on the LEAF implementing partners being supported.[21]

Quantitative targets for emissions and hectares under improved management will likely not be met and those for improved livelihoods will be difficult to meet on the basis of LEAF's work in demonstration sites. The Evaluation Team finds that progress in all demonstration sites, except Lam Dong in Vietnam, has been slow and incentives will not be in place to produce these results. The Evaluation Team believes that the difficulties in meeting the major quantitative targets are related to the long time, significant funding and sustainability challenges that must be dealt with comprehensively to produce long-term and actually permanent land-use changes under REDD+. In that mid-term self-assessment, the LEAF management team estimated it will meet and even exceed the number of households with improved well-being. However, the Evaluation Team noted that concerns were expressed both by implementing partners[22] and village households in Lao PDR[23] and Thailand that livelihood activities have not yet materialized at this mid-point phase in program implementation.

At each of the field sites visited, the global challenge of carbon emission reduction is interwoven with, and relevant to, a range of local issues. LEAF has begun to develop an understanding of the dynamic relationships among drivers, local communities and outside interests on the particular landscapes they have selected. LEAF has carried out household surveys and deforestation estimates in Lao PDR and Vietnam and assembled secondary documents related to each site. While it has not yet prepared an integrated study of the particular situation at each site, LEAF has begun to facilitate site-based multi-stakeholder engagement to identify and prioritize landscape values and key management issues. Annex VI shows the drivers at specific sites that may be addressed to improve sustainable land management through application of LEAF's innovations in methods and tools and as linked with policy and market incentives. Annex V summarizes the status of stakeholder working groups, key themes and tools and the analyses carried out to date.

LEAF's field experiences and dynamics will dictate the success or failure of achieving progress on Objective 4. Findings at the country level depict a variety of situations:

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[21] See: Lowering Emissions in Asia's Forests (LEAF) and USAID. 2013. Tenth Quarterly Report: Annex C: LEAF Field Activities. Mid-Term Assessment of Progress. Bangkok: LEAF.

[22] In the July 26 meeting with SNV, staff were preoccupied that livelihood-focused activities had not yet met LEAF beneficiaries' expectations. In a July 29 interview the Department of Forest's Forest Inventory Planning Division (DOF-FIPD) R+ and LEAF country coordinator wished for a more proactive support to livelihood activities.

[23] In group meetings held July 31 and August 1, villagers in Vudomxay compared LEAF to past programs implemented by UNDP/Global Environment Fund (GEF) and those in Ban Tangao compared LEAF to a Basic Climate Change (BCC) project. They made clear that they expected more in terms of livelihood support. Indeed they were only echoing what they had said during FGD in LEAF's own baseline study of July 2013: LAO PDR. Ministry of Agriculture and Forestry Department of Forestry. 2013. Socio-Economic Baseline Survey. LAO PDR. Vientiane: USAID and LEAF, p. 25: "The other main intervention [beyond land and forest use planning] would be to promote alternatives activities to shifting cultivation and agricultural land expansion which will contribute to the livelihood improvement as well. These activities would be implemented along with land and forest use planning."

- **Cambodia:** No achievements were noted in Cambodia to date as USAID support to field activities is implemented through a robust technical and well-funded bilateral program. Earlier difficulties between RDMA and the U.S. Embassy and USAID/Cambodia have since been resolved so that coordination is now quite positive and limited LEAF activities could be useful.
- **Lao PDR:** Technical trainings on REL, MRV and geographic information systems (GIS), as well as socio-economic surveys, have been carried out in addition to awareness raising in both field areas.
- **Malaysia:** The field site for Sabah has not yet begun since no formal MoU with the State Government of Sabah has been issued.
- **Thailand:** LEAF has not begun field activities at three MAB biosphere sites and its support to the development of Maesa-Kogma Man and Biosphere Reserve (MSKM) Management Plan was curtailed due to government delays on setting up the steering committee. However, at the MAB biosphere site in Chiang Mai province, LEAF has collaborated in a launch workshop at the provincial level, carried out a Participatory Rural Assessment (PRA) at one village at one site, developed relationships with a range of local leaders and facilitated dialog among some of them and carried out field work for a gender assessment and an institutional assessment.
- **PNG:** LEAF's selection of TNC as primary in-country collaborating partner provided it with a strong base of stakeholder engagement through the confidence and trust that TNC has developed over an 18-year period in Madang Province. In Madang Province and the Almami Local Level Government (LLG), LEAF has collaborated in a launch workshop at the provincial level, organized collaboration of an introductory workshop at the LLG level (three districts) and introduced itself to some local leaders at a participatory mapping workshop carried out by a local group with whom it is beginning to collaborate. No field activity has been started.
- **Vietnam:** Initial REDD+ planning has been supported in Lam Dong including a socio-economic survey, awareness raising and technical REDD+ training. In Nghe Anh Province, LEAF has made progress in developing an alternative livelihoods program focused on improved cookstoves and community-based forest management.

Conclusions

LEAF has made progress in achieving important elements of all four objectives. LEAF's design implies a large number of "moving parts" and concomitant transaction costs across countries, sectors and levels of political, administrative and socio-economic organization. LEAF's extensive engagement with 25 "major counterpart organizations" adds to the burden of these many moving parts. LEAF has been able to concentrate attention, thus far, by focusing "technically" on a fairly narrow range of tools, seeking to spread them broadly across a range of potential stakeholder institutions. As LEAF continues working in demonstration sites, the challenge LEAF faces is to translate these tools for use at different levels to a range of local-level institutions, which will increasingly become its major counterparts. An important challenge will be the vertical links between levels to inform national decision-making frameworks. LEAF needs to continue and deepen the grounding of its tools, including gender methods, in applied practice at particular sites with these national and sub-national partners. LEAF's focus on drivers of deforestation

and forest degradation provides an important potential means of engaging the private sector in REDD+ at the regional and national levels.

Based on discussions with a broad cross section of LEAF partners, other donors and LEAF country actors, as well as the major change in LEAF context of no progress on a compliance carbon credit market (see Hindering Factors in Section IV), the Evaluation Team found that LEAF's quantitative targets for emissions reductions and hectares under improved management to be overly ambitious.[24] Two conclusions arise from the low probability for their achievement.[25] The first is that the credibility of the LEAF program, especially for those components in which targets could be achieved, could logically be questioned. The Evaluation Team believes that the credibility of the program must be based more on what it can offer on the regional, national and sub-national levels in regard to improved forest management and less on carbon accounting aimed at REDD+ compliance. USAID's Sustainable Landscapes approaches mainly advance the multiple benefits of improved land use, including forest management, biodiversity conservation, water availability and quality and scenic beauty. Those approaches are valid and can lead to greater carbon sequestration or lower emissions. The second more long-term issue is that future comparable programs may also be confronted by a similar credibility gap if they do not focus on multiple benefits beyond carbon sequestration or lower emissions. While the reasons for inclusion of the LEAF quantitative targets are understood, these targets merit reconsideration and recalibration. LEAF could be much more focused on improving the supply side of multiple benefits of improved forest management which also coincides with REDD+ progress. There are other ways to structure and achieve forest protection and climate change mitigation, such as performance payments not based on carbon, but rather on the promotion of alternative livelihoods activities (e.g., non-timber forest product [NTFP] harvesting), advancement of protected area management and incorporating forest protection into development (e.g., ecotourism, agroforestry).

LEAF's technical guidance (for example, under Objective 1, the "model actions, methodologies, protocols, tools and technologies," and Objective 3), has been limited to the "technical" and generic analysis. With the exception of Vietnam, that has not been down-scaled to the sub-national level or to each specific demonstration site. The Evaluation Team concludes that the technical emphases in LEAF's training have been on carbon accounting and multiple benefits of improved forest management have been under-emphasized. LEAF's analysis and technical guidance for "institutional" areas, such as policy and markets (the enabling environment and drivers), have also been comparatively weaker.

LEAF's analytic, capacity-building and related supporting technical guidance for implementation at demonstration sites has not involved local demonstration site staff and partners to the degree necessary to build capacity and ownership and to exchange lessons across sites. The exception was the progress in advancing forest planning for REDD+ at the sub-national (provincial) level in Lam Dong Province in Vietnam. Progress is due largely to Vietnam's previous advances, built on USAID and other donor programs, and to the country's relatively strong human resources, technical institutions and robust decision-making processes. LEAF effectively took advantage of what they inherited in this province and sagaciously chose excellent Vietnamese country leadership, strengthened technical capacities and fostered networks of cooperation and collaboration. LEAF's experience of progress in Vietnam and

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[24] *No* external expert the Evaluation Team interviewed believed that the targets could be achieved in the absence of a compliance carbon credit market.

[25] Feedback on the evaluation draft noted that "other issues such as limited counterpart capacity, complex government procedural processes, limited staff resourcing per country are all factors" that make targets difficult to achieve.

limited progress in other countries supports lessons from USAID and donor experience elsewhere that progress on complex issues, such as forest management and climate change, requires long-term institutional and human resource strengthening through consistent high-quality investment committed over long periods. In this regard, LEAF's greatest value lies not as much in the numbers as in the narrative—not in the indicator targets per se, but in the lessons its partners are learning as they seek results across LEAF's various forest, driver and governance landscapes and jurisdictions. With respect to LEAF's learning-by-doing approach, the recently revised PMP's most useful products are not the numbers it reports but the comparative tracking and learning processes it describes but which, for the most part, are not yet reported.

HELPING AND HINDERING FACTORS

Evaluation Question 2: *What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement?*

Findings: Helping Factors

Helping factors at the regional level are related to LEAF collaboration with partners in replicating REDD best practices and promoting the standardization of REDD policies methodologies, particularly MRV, REL, SES. The progress here is due to the interest in and relevance of REDD+ for LEAF's partners. There is a large set of institutions and individuals highly interested and engaged in climate change, forest management and economic development related to improved forest community livelihoods. Additionally positive are the many international and bilateral donors and technical partners active in advancing many of the elements of LEAF's objectives. Finally, the fact that LEAF shares strategic and programmatic objectives with several large USAID bilateral projects helps to expand opportunities for LEAF success.

1. Vietnam

In the Lam Dong Province demonstration site, the Evaluation Team found that the staff in the Lam Dong Province District Agriculture and Rural Development Office are technically qualified and have varying levels of experience. There is a public sector consulting company of forestry experts that is participating and contributing effectively to LEAF's work. Excellent partners are also available from Dalat University, including staff involved in LEAF's climate change curriculum efforts. The engagement of the high-quality stakeholders in the P-RAP work, LEAF trainings, workshops and other activities improves LEAF's relevance and results on the ground in Lam Dong and lays the foundation for greater sustainability of forest management improvements and REDD+ implementation. The Team noted the participation of a very qualified senior woman official who is in charge of forest protection in the province.

Previous USG (USAID), international and government progress in all enabling conditions laid a positive foundation for LEAF achievements. Asian Regional Biodiversity Conservation Program

(ARBCP) was critical in providing training, technical assistance and other support that resulted, among other things, in the development and promulgation of Decree 99, which structured the implementation of the PFES system.[26] LEAF was able to build directly on those achievements to advance training and then apply it, through technical and organizational assistance, to work on forest inventory and land-use

[26] Numerous informants including high-level Vietnam government officials acknowledged the USAID contributions to this decree and the implementation progress of the PFES system.

planning leading to the drafting of the action plan for the P-RAP. The P-RAP is on schedule to meet the timeline called for by the Vietnamese government by end of 2014, and LEAF received credit from all key stakeholders for its major contributions to that progress.

National and Lam Dong Province officials commented on the effectiveness of LEAF's coordination with them, other donors, civil society and communities. The LEAF country manager, in particular, was recognized for her effective networking skills and her outreach and communication achievements. LEAF's main achievements in support of provincial level forest data collection and analyses and the focus on REDD+ action planning in Lam Dong Province and Nghe Anh as well as livelihood support activities in Nghe Anh Province all benefit from LEAF's strength in collaboration and networking.

The positive relationship between USAID Vietnam's VFD project leadership and LEAF's regional and country teams is another major helping factor supporting LEAF's progress at the national and provincial levels. The VFD project has considerably greater funding available and the two programs are actively collaborating to create and expand harmonized programs that expand and deepen the synergies in their activities and results achievement.

2. Lao PDR

The lengthy official processes and weaknesses in the skills and experience of stakeholders and partners were mitigated to a great extent by LEAF's very effective leadership in Lao PDR. The LEAF project implementation leadership coordinates effectively with government, donors, civil society and communities. Even in the face of personnel turnover in Attapeu Province, leadership managed to maintain lines of communication and successfully deliver technical training, data collection and reporting for the socio-economic surveys and planning assistance that advanced the LEAF work agenda in Attapeu and Huapanh Provinces.

3. Papua New Guinea

The Evaluation Team confirmed the LEAF team's June 2011 finding that a high degree of positive political will exists in PNG for advancing climate issues such as forest carbon sequestration, particularly at the provincial level. All of those interviewed at the provincial and community levels expressed interest in climate change, forest management and carbon mitigation education. At the national level, the OCCD observed that it had greatly strengthened its credibility with stakeholders. The director stated that its initial situation as an organization without a clear mandate helped make this possible, as this forced it to listen to other stakeholders. The director stated that "we don't have an implementing role. We use our coordination role to try to understand the other agencies, and the different sectors," where they have things common in and how they work together. The OCCD leads three active stakeholder working groups related to climate change: Low-Carbon Growth, Adaptation and REDD+. The latter includes sub-working groups for Forestry (led by the Forest Authority), Agriculture and MRV. LEAF is also represented in the OCCD REDD+ Technical Working Group. Among other helping factors noted by interviewees were that LEAF has recently provided timely policy support to the OCCD, that it has an in-country office and is "readily available for us to interact," and it is aligned with TNC, through which it will be building on and "scaling up 15 years of presence" in Madang Province.

4. Malaysia

Despite the difficulties faced in working with Sabah, LEAF has established good working relationships at the national level. One of those interviewed noted that, at the national level, LEAF being welcomed in Malaysia is "rare" and that the Ministry has "not always been so keen on working with other USG-funded projects…they need to be comfortable with the foreign counterpart."

LEAF is beginning a partnership with the GEC, which is well positioned to contribute to avoided emissions and to regional engagement on peatlands. GEC has been working closely with ASEAN to support the ASEAN Peatland Initiative since 2003, and is beginning to engage the private sector. GEC is the NGO implementer for the Global Environment Facility (GEF) and the International Fund for Agricultural Development (IFAD)-funded initiative, which seeks to demonstrate, implement and scale up sustainable management and rehabilitation of peatland forests in Southeast Asia.

5. Thailand

Various institutions have contributed support to emerging civil society engagement around the REDD Readiness Preparation Proposal (R-PP). With Swiss Agency for Development and Cooperation (SDC) funding, LEAF partner RECOFTC played a reportedly key facilitative role in helping stakeholders understand each other and helping some CSOs see that REDD+ is not a mechanism that should or even can be avoided, but rather one that community stakeholders need to understand. The Protected Area Regional Office 16 of the DNP in Chiang Mai identified the importance of LEAF's support in engaging with communities, including providing seed money for community priorities, such as equipment for fire management, and inclusion of local leaders on a PES study tour "to give local people a vision of PES."

Findings: Hindering Factors

Regional Findings

1. The Nature and Status of REDD+

The first overall hindering factor for LEAF program achievement is that, contrary to when the program was conceived in 2010, progress has slowed greatly[27] toward an agreement through the UNFCCC that will structure and establish rules and governance at the international level on carbon emissions and sequestration compliance markets. Prospects for positive resolution are presently not promising. The lack of this fundamental building block for REDD+ implementation is very important for LEAF's implementation since it is imbedded in the larger UNFCCC context. Forest carbon sequestration and payments to maintain forest carbon stocks remain fundamental for REDD+ and the changes in forest and land management that are advocated and emphasized in the LEAF program. There are donor funds available to support regional initiatives, but they are not the same as a functioning market. The fundamental significance of multiple benefits to improved forest management has become even more important in the absence of UNFCCC progress.

There are myriad implications but one clear need is for all involved in REDD+ to avoid creating any further expectations of forest carbon credit payments as a mass market that is right around the corner. The Evaluation Team did not find that LEAF had advanced such expectations. Nonetheless, LEAF needs to deal with the great likelihood that it will not meet its GHG emissions reductions or forest hectares under improved management targets. However, it can make significant contributions to preparing institutions, technical staff and communities for forest and land management improvements that can lead to forest carbon sequestration.

[27] Progress was made in Copenhagen, Cancun and Durban, but there has always been skepticism about REDD for technical, economic and political reasons. Moreover, some stakeholders have quite actively worked to block REDD.

The Evaluation Team noted that RDMA, LEAF and others working on REDD+ advocate a "no regrets" framework whereby various benefits related to watershed management, biodiversity conservation and economic opportunities such as non-timber forest products (NTFP) and, as of FY 2013, sustainable agriculture and agro-forestry are valid for promoting improved forest management. Progress can likely be made in improved forest management utilizing that framework of multiple benefits. Nonetheless, forest carbon sequestration and payments remain fundamental for REDD+ and the changes in forest and land management that are advocated and emphasized in the LEAF program.[28] They are fundamental because economic incentives are critical to sustaining forest management and land-use changes. USAID Washington and RDMA experts noted to the Evaluation Team that the issue of permanence of carbon sequestration is the Achilles' heel of REDD+. Ongoing economic incentives in the form of payments for forest carbon credits would be an important foundation for sustaining forest carbon sequestration.

Another regional level hindering factor identified by the Evaluation Team is that REDD+ is structured and controlled within national and sub-national authorities. This fact is based on national sovereignty over natural resources and land-use planning, tenure and related issues such as infrastructure planning. Faced with this reality, informants reported that, in the first year of LEAF implementation, difficulties were experienced in defining areas of responsibility in several countries. This included dialogue and collaboration on national and sub-national laws and policies on natural resources and climate change.

The REDD+ framework and its MRV, financial mechanisms and safeguards are designed and carried out by countries and their governments in line with their own policies and laws (i.e., not regional) as they are sovereign state issues. Any demonstration or pilot activities must be designed, implemented, managed, reported and verified within the national and sub-national contexts of individual nations. Any training or instruction on REDD+ must take into account national and sub-national rules and institutions. At the same time, regional contributions are important in such areas as creating and supporting a regional pool of expertise, mobilizing resources, building partnerships and enhancing policy implementation by capacity building.[29]

RDMA's programs, including those managed by REO, primarily produce results at the regional level. LEAF is such a program and the Evaluation Team found progress and challenges in the regional platform level (more on this below). Regional knowledge, lessons and capacity can be generated from the constellation of activities in different contexts. Working in a diversity of landscapes seems appropriate given the range of contexts. The dual focus on the regional and bilateral levels in LEAF's design and implementation to date and the national nature of REDD+ mean that LEAF has at times chosen to function, in important ways, as a bilateral program in non-presence countries or an adjunct to bilateral USAID Mission programs in full Mission countries. In the case of Vietnam, LEAF was active prior to the formation of the full bilateral Mission and its environmental program and provided critical inputs to the VFD Project with which it now effectively collaborates.

The Evaluation Team finds that the reality of REDD+ as structured and controlled within national and sub-national authorities exacerbated the tensions of RDMA's REO acting at the regional and bilateral levels. This reality has created constraints for LEAF's progress and, while great progress has been made,

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[28] REDD+ is but one scheme being designed to provide incentives to developing countries that can demonstrate this, but is not the only reason countries would want to improve forest management and enhance forest cover (i.e., many countries have national targets for forest cover they want to meet, with or without REDD+).
[29] http://dephut.net/files/A%20Glance%20at%20ARKN-FCC.pdf.

vigilance to maintain the focus on what is appropriate at the regional versus the national level will continue to be important for the remaining time in the program. Initially counterproductive USAID regional-bilateral dynamics are now essentially positive, but previous difficulties contributed to a slow start-up of LEAF activities in Cambodia.

In Lao PDR, LEAF had more institutional space to work at the sub-national level, where it has made progress on initial field-level activities as well as offered national and sub-national policy advice and training. In Vietnam, LEAF launched activities prior to the development of USAID Vietnam's new environmental program and it contributed importantly to the design of that program. Further, in Vietnam, LEAF built on previously implemented and highly effective RDMA-managed programs that had made major progress on forest management and payment for ecosystem services at the national and provincial levels. When, in 2011 and 2102, USAID/Vietnam designed and launched its environmental portfolio, LEAF successfully coordinated its results and activities with the Mission's projects, particularly the VFD Project. Synergies have been identified and plans made that should lead to complementary support and achievements of the two programs.

2. USAID's Internal Dynamics

This hindering factor is closely related to the previous factor but focused on USAID's internal relationships and assignment of authorities and responsibilities between RDMA and REO and USAID Missions or U.S. Embassies. The example of Cambodia was highlighted above. In PNG, LEAF and U.S. Embassy informants reported that relations of the LEAF Project with the USAID Mission and U.S. Embassy appear to be smoothly structured and positive. In the countries with no or limited USAID presence, Lao PDR and Malaysia, RDMA/REO has now worked out mutually satisfactory approaches for USAID decision making and information sharing between RDMA and the U.S. Missions that include LEAF program activities. In Thailand, LEAF is engaging with relevant institutions to enable it to achieve results that will advance program objectives. Vietnam's situation was introduced in the previous section. LEAF and its primary Mission partners in the VFD project built on the complementarities of these regional and bilateral objectives and programs. The major potential benefits of Vietnam's emerging global and regional REDD+ and PES leadership could be a focus for LEAF and VFD program collaboration. Leadership in RDMA REO and USAID/Vietnam could usefully engage to resolve critical policy dialogue needs (discussed below).

Country Findings

1. Vietnam

There are two important hindering factors for Vietnam, LEAF's most critical country partner in the view of the Evaluation Team. The first is that Vietnam is the most advanced LEAF program country relative to REDD+ as the world's first country program under UN-REDD Phase Two.[30] There is a difference between the UN-REDD program and Vietnamese government official positions at all levels concerning the structure, objectives and activities anticipated as part of that program. The Evaluation Team found a critical need and opening for USAID and USG policy dialogue leadership to play an important role in resolving this constraint to Vietnam's success. LEAF and the RDMA/REO have a vital role in working with USAID/Vietnam and its VFD Project in working on policy dialogue on this issue. USAID provided

[30] http://www.dtinews.vn/en/news/021/30315/un-launches-redd-phase-2-in-vietnam.html.

critical technical advice in the design and launch of Vietnam's REDD+ progress and its PFES system and is well positioned to support the brokering of a potential agreement to enable Vietnam to proceed with and to better succeed in implementing its UN-REDD Phase Two Program.

UN-REDD reported to the Evaluation Team that the program was not intended to include payment for forest carbon sequestration that would reach beneficiaries such as forest owners and the communities and households who lease or otherwise contract for access to forest resources. All Vietnamese authorities with whom the Evaluation Team met expressed clear expectations that UN-REDD Phase Two would include a major component and funding to implement direct forest carbon payments to those beneficiaries as part of the PFES system. Indeed, the USAID-supported decrees creating the PFES system include direct reference to adding carbon payments. There are major funding sources that are intended to be made available from the Norwegian government and the World Bank that could support payments as well as technical assistance to implement UN-REDD Phase Two. The apparent current differences could actually work to synergistically bring improved forest management and forest carbon assessment and monitoring as well provide payments and technology transfer to improve forest-dependent community livelihoods. The payments could be based on multiple benefits but the Vietnamese expect carbon credits to be one of those remunerated benefits.

The second hindering factor is related to Vietnam's PFES system. It is an extremely important initiative in improved forest management for Southeast Asia and globally, and is directly related to lowering emissions and carbon sequestration in forests. Design and initial rollout of Vietnam's PFES system was comprehensively supported in Lam Dong and other provinces by USAID/RDMA. Vietnam's PFES is one of the world's first large-scale systems and is now being implemented in 27 provinces with payment in the amount of $85 million. In 2012, about 60 percent of the conservation and protection forests (333,500 hectares) in Lam Dong Province were included in the PFES system and $7.5 million was disbursed to over 16,000 households.

Despite all of its progress, the PFES system, even in Lam Dong (Vietnam's longest-standing and largest provincial PFES implementer as measured by hectares covered, funding and beneficiaries), lacks effective forest management improvement and household impact monitoring. Simply put, the PFES system does not include systematic data and information gathering, analysis or reporting on the changes achieved in improving forest health in any scientific or technical parameter (e.g., water quality,[31] water availability, species diversity, forest cover, fire controls or deforestation decrease), nor does it include any systematic data and information gathering, analysis or reporting on the impact on or distribution among beneficiaries of its payments. The ways that PFES differentially provides women and men benefits and how the payments affect household economic and social relations, as well as how gender roles and social norms play a part in resource tenure, are also areas that are not currently examined in data collection about PFES implementation.

The gaps in systematic and scientific data gathering, analyses and reporting are important because Vietnam's PFES system is the most advanced PES system in the region—and maybe the world. According to all Vietnamese informants for the evaluation, PFES is intended to expand to include carbon sequestration payments as REDD+ is implemented in their country.

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[31] The Evaluation Team found that $150,000 of water quality monitoring equipment was installed by Winrock under a previous USAID project in one Lam Dong Province PFES watershed as the only attempt at scientific monitoring. The equipment lasted less than one year before breaking down and being removed due to lack of maintenance and parts.

The Evaluation Team concludes that this deficiency is important to LEAF since the PFES system is a major model for payments for performance related to multiple environmental benefits. Significant flaws in PFES can be seen as constraints on the rigor and efficacy of any REDD+ activities that would be part of that system or modeled on it. Vietnam's experiences, particularly with REDD+ and PFES institutional and policy development and implementation, offer important information to disseminate as lessons learned to other LEAF countries at the regional level. The PFES achievements, particularly with its Benefit Distribution System (BDS) in Lam Dong, have global and regional implications for REDD+ implementation.

The Evaluation Team heard from foreign and Vietnamese informants and found in a draft USAID-supported evaluation of the system, that PFES is an apparently successful wealth transfer mechanism as it transfers payments from a large number of hydropower electricity customers to Vietnamese government forest management boards, and through them to forest owners and the communities and households that contract with them for forest use.[32] The study also detailed how gender influences have played a part in resource allocation for the PFES-supported communities and households who utilize the forests through leases, contracts and other arrangements with the forest owners. To repeat, impacts on forest management and on income distribution and livelihoods and how gender is reflected are not known. Forest control/management boards, constituted by forest officials and community representatives, perform limited and poorly understood functions in tracking illegal logging and forest fire incidents (the leakage effects of displaced logging in other countries must be included in understanding actions in Vietnam's forests). The national and regional gaps in systematic and scientific data gathering, analyses and reporting are important due to the size of the Vietnamese PFES system, which makes it a potential model for adaptation and replication. It has evolved and adapted its structure rapidly without building the monitoring capacities noted here; the Evaluation Team believes that the efficient policy decision-making structures in Vietnam simply got ahead of the monitoring needs in order to get the program up and running in its collection and payment processes. If requested by Vietnamese authorities, USAID Vietnam's VFD project and RDMA's LEAF program could consider working with Vietnamese technical and managerial staff to support an urgently needed effort at monitoring forest and beneficiary impacts under PFES, starting in Lam Dong Province. VFD and LEAF are encouraged to examine other PFES and PES evaluation tracking systems as they consider these efforts in Lam Dong or elsewhere in Vietnam.

2. Cambodia

The most critical hindering factor for LEAF either in relation to its first years of implementation or the remaining years is that the other multiple donor and NGO-supported initiatives, particularly USAID/Cambodia's SFB project, constrain the niche for LEAF program contributions. It can best continue to complement those efforts with training and focused technical assistance.

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[32] Thuy, P. T., Bennett, K., Phuong, V. T., Brunner, J., Dung, L. N. and Tien, N. D. 2013. Payment for Forest Environmental Services in Vietnam: From Policies to Practice. CIFOR.

3. Lao PDR

According to LEAF country managers, reassignment of LEAF supervision and partnership to the relatively new MoNRE is potentially a hindering factor for the program's progress in results achievement. LEAF only recently completed the lengthy registration process with the Ministry of Agriculture and Forestry (MAF) and is still continuing its related capacity building there. Drafting and negotiation for an MoU will reportedly require between three and nine months. According to multiple donor and Lao informants, MoNRE does not have as much technical capacity as MAF, where LEAF devoted major efforts to build that Ministry's Department of Forest's technical capacities. Transfer of limited personnel to the new ministry may obviate the training needs to a small degree. It will be a significant challenge for LEAF to work with MoNRE and its donor partners to determine how to continue work on national and sub-national REDD+ related policies, legislation and regulation and with MoNRE offices in the provinces, districts and communities of LEAF's demonstration pilot areas. While LEAF has some experience working with MoNRE in the provinces, as well as with the Department of Forests, the program will need to continue to work with both related to their shared mandate for forest management (DOF on production forests and MoNRE on protection/conservation forests).

4. Malaysia

LEAF worked with MoNRE and its donor partners to determine how the LEAF program could help develop forest information from Sabah and Sarawak that would conform to that available for the peninsular states (for which MoNRE has 40 years of forest change data). Despite LEAF's ongoing discussions and a pending MoU with the Sabah Forest Department, no one was able to meet with the Evaluation Team, even though the directors of both Sabah and Sarawak forest departments had been invited to the all-morning meeting with the Evaluation Team chaired by the Deputy Secretary General of MoNRE and were at the Ministry in Kuala Lumpur during the Team's visit. The lack of interest of Sabah State in cooperating with LEAF is a significant hindrance to working in Sabah, but will not affect LEAF's other proposed activities in Pahang and Selangor States.

5. Papua New Guinea

USG representatives urged caution with respect to engagement with the PNG Forest Administration (FA), given the FA's performance and lack of transparency. LEAF's June 2011 assessment of the status of REDD+ in PNG noted that "poor leadership and a lack of bigger picture planning have stifled national policy development on climate change and have created conflict within and between departments for mandate of the issues, and these factors have in turn scared away all the potential major donors from investment in this field." The OCCD noted that LEAF has not specified the dollar value of the support it provides, which makes it difficult to justify its requests for counterpart contributions from the Government of PNG.

6. Thailand

The Thai government's expectation of direct funding from LEAF hindered planning and implementation of LEAF activities. The designated lead agency, the Department of National Parks, Wildlife and Plant Conservation (DNP) explained that, while it appreciated LEAF's technical assistance, it was accustomed to receiving grants or at least some financial support from donor partners to advance mutually agreed objectives. The DNP also noted that formal authorization and the establishment of national and site-based steering committees required for LEAF implementation is also complicated because the four sites that the government designated are managed by two departments in one ministry and another department in another ministry. The DNP suggested that a future program such as LEAF should expect a delay of "at least one year" before endorsement. Nonetheless, some of those interviewed pointed out that increased civil society engagement, local stakeholder interest and the proposals to set up three of

the four site steering committees are indications that the DNP is prepared to collaborate more supportively.

Conclusions: Helping and Hindering Factors

The LEAF project was designed when the UNFCCC and REDD+ discussions and negotiations held significantly more promise of rapid progress in international discussions. The full effects of political and economic events and trends in many countries combined to slow anticipated advances in negotiations. Due to reasons far beyond the LEAF program, that progress has not occurred as expected. There is currently no progress on the evolution of UNFCCC REDD+ compliance markets for forest carbon sequestration even while voluntary markets and pilot project funding continue. There are many other important rationales for supporting forest carbon sequestration, improved forest management and related forest community livelihood improvements under "no regrets" approaches and multiple benefits delivery.

The Evaluation Team heard of no successful voluntary market-funded REDD or REDD+ project in the region.[33] Utilization of a "no regrets" rationale or approach to promoting improved forest management makes sense under the LEAF program. However, absence of a compliance market for forest carbon sequestration credits and the growing weakness and lack of progress in establishing voluntary carbon credit purchase demonstration pilot activities will certainly limit the incentive environment for REDD+ in the remaining time for LEAF. There are myriad implications but one clear need is to avoid creating any further expectations of forest carbon credit payments as a mass market that is right around the corner, something assiduously avoided by LEAF but not avoided by many promoters of forest carbon "deals," often called "carbon cowboys." Due to lack of progress on markets and to delayed implementation, LEAF will certainly not meet its expected GHG emissions reductions or forest hectares under improved management targets through the demonstration activities that it supports. LEAF can make significant contributions to preparing institutions, technical staff and communities for forest and land management improvements that can lead to forest carbon sequestration, but it is doubtful that forest carbon market payments will be significant. Funds-based payments generated from various donor sources can "prime the pump" with limited initial funding such as in Vietnam, but, in the view of the Evaluation Team, forest carbon projects will need on-going sources of market-based funding to attain permanent improved forest management and carbon sequestration.

Another major change in LEAF's design context is that REDD+, as developed in its initial implementation, has proved to be based on national-level decision making since land and forests are each sovereign nations' exclusively controlled resources. Rulemaking through policies, laws and regulations is not regional in scope but national. That said, LEAF's regional knowledge sharing and technical support have proved useful in educating policy makers and strengthening national and sub-national technical capacities both in broadening perspectives (e.g., a study tour to Lam Dong to see PFES in action) and in deepening understanding of how to apply tools (e.g., through training in neighboring countries).

However, LEAF's field-focused efforts (involving national, sub-national and local levels) must be comprehensive and self-sustaining to ensure that national and sub-national forest governance, inventory

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[33] The Cambodia Oddar Meanchey project is currently the most advanced demonstration project but action is currently suspended due to uncertainty of government approvals and of carbon credit finance.

and resource use systems are technically capable of ensuring more sustainable management and lower emissions through increased carbon sequestration. Among LEAF's primary countries, the evaluation found the greatest progress by far in establishing REDD+ as a reality in Vietnam at the national level and in Vietnam's Lam Dong Province at the sub-national level. Vietnamese advances call for continued and, as needed, expanded LEAF and other support in order to succeed and achieve durable and real improvements in forest management and forest carbon sequestration. It is very likely that Vietnam's successes can soon be shared and adapted across the region and, indeed, the globe. Of course each country has a different context that determines the options for and constraints on improved forest management. That said, effort should certainly continue to ensure that success in Vietnam is achieved because it may create a snowball effect. Lao PDR, PNG are other LEAF countries that indicate potential advances can be made in the time remaining for the program.

LEAF has tended to work hand-in-hand with government. In several countries this has led LEAF to respond tactically rather than strategically when selecting opportunities on which to focus. LEAF has been able to work with government agencies more effectively, e.g., on approaches for the improved stakeholder engagement needed to "strengthen" a government institution, where LEAF has had either (a) a strong local partner or a partner that has already developed influence and credibility in engaging with government or (b) has been able to provide meaningful support for one or more of the government's priority activities. Over the longer term, strengthening engagement among civil society, the government and private sector stakeholders appears to be key in building capacity.

USAID's internal issues between regional and bilateral efforts were hindering factors in several countries. They have been resolved positively and relationships of shared and mutually supportive objectives and activities are the norm for the completion of the LEAF program.

OPPORTUNITIES TO ENHANCE EFFECTIVENESS, IMPACT AND SUSTAINABILITY AT THE REGIONAL LEVEL

Evaluation Question 3: *What specific opportunities exist to enhance programmatic effectiveness, impact and sustainability at the regional level (in particular in relation to relevant bilateral USAID programming)?*

Findings

ASEAN Regional Knowledge Network on Forest and Climate Change (ARKN-FCC)

ARKN-FCC is a regional platform network established based on the decisions of the Eleventh Meeting of the ASEAN Senior Officials on Forestry (ASOF), held in Kuala Lumpur, Malaysia from July 31–August 1, 2008. The network aims to support ASEAN decision making and implementation processes by providing inputs based on policy-oriented research results, outcomes and policy analysis on forests and climate change. It is also intended to support the ASEAN member states for better understanding and learning from each other's approaches in the implementation of forests and climate change activities and good practices. The network operation is under ASOF guidance. In other words, the administration process for event approval, for example, will take time because it has to go to member states of ASEAN.

LEAF selected ARKN-FCC as LEAF's regional platform partner to disseminate lessons learned on forest and climate change activities including research outputs from LEAF countries to the decision makers in ASEAN. If ARKN-FCC opens to greater participation, even in observer status, of civil society and private sector, then LEAF's effectiveness, impact and sustainability could be enhanced. As an intergovernmental organizational network at the regional level, ARKN-FCC provides a platform for non-official stakeholders and the broader research community to enhance forests and climate change policy processes in ASEAN,[34] an explicit opening for such engagement. In a recent ASEAN report on developing incentives for sustainable management of peatland forests (prepared with the assistance of LEAF's partner GEC), the ASEAN Secretariat's Head of Environment Division highlights its grounding in "site-level and community-based" needs, through a "participatory process" that began with a working group and drew on partners from various sectors.[35]

LEAF engaged with ARKN-FCC by proposing to support ARKN-FCC's 2013–2015 work plan. Specifically, LEAF expected that common guidelines on reduced impact logging and MRV could be shared at the regional level through ARKN-FCC meetings or events. LEAF also wanted to support policy work on decision-making tools on drivers, risk/threat assessment and cost-benefit analysis. Further, LEAF proposed to support an ARKN-FCC study tour on carbon markets in New Zealand. These activities are stated in the ARKN-FCC work plan for 2013–2015.

In terms of LEAF's contribution to the ARKN-FCC events or meetings to date, LEAF provided funding for the Sixth ARKN-FCC meeting held in Jakarta, Indonesia, on October 30–31, 2012. One of the results of the workshop was a confirmation of LEAF support for ARKN-FCC's 2013–2015 work plan. ARKN-FCC did not invite private sector representatives to the meeting. CSOs and donor organizations were only represented by TNC and GIZ. While recognizing the importance of governments in making and enforcing policies and ARKN-FCC's potential to influence such policies, the Evaluation Team questions whether LEAF's support for ARKN-FCC policy work can effectively address the drivers of deforestation without private sector participation since private sector actors have been critical to exploitation of natural resources in Southeast Asian countries. LEAF priority countries may have lessons to learn from Indonesia, which has seen progress in policy in part through its engagement with private industry in such fora as the Tropical Forest Alliance 2020 and the Round Table on Sustainable Palm Oil.

As a part of LEAF support for ARKN-FCC, LEAF facilitated the network's first meeting on addressing drivers of deforestation and degradation held in Bangkok on April 9–10, 2013. This workshop resulted in a draft decision support tool framework for addressing those drivers. ARKN-FCC sent the draft to its members for further discussion. LEAF also facilitated the second workshop for the drivers of deforestation and degradation held in Jakarta on August 28–29, 2013. The workshop aimed to discuss the decision tool of the drivers. Even if LEAF failed to convince ARKN-FCC to invite representatives of private companies as observers or participants (or even presenters) at its second workshop, the Evaluation Team finds that it would be difficult to argue against LEAF inviting representatives of private companies to review and comment on this tool, given the insight they could provide on how policy

[34] Article 3.5 of the ASEAN Regional Knowledge Network on Forests and Climate Change. 2009. Terms of Reference. Bangkok: ARKN-FCC.

[35] Macmillan, D.C. 2013. Development of Financing and Incentive Options for Sustainable Management of Peatland Forests in Southeast Asia. ASEAN Peatlands Forest Project and Sustainable Management of Peatland Forests Project. ASEAN Secretariat and Global Environment Centre.

might affect the incentive environment for land-use practices affecting forest conversion. It is expected that the final version of the tool will be presented at COP 19 in Warsaw in November 2013.

The Evaluation Team understands that bureaucratic procedure inside the ASEAN secretariat is a recurring cause of delayed approvals. In Malaysia, officials noted that ASEAN is a "challenging" body to work through and that one needs to find a balance of official and unofficial ways to move a program forward. As a regional project, LEAF has no access to higher levels of the ASEAN Secretariat to facilitate implementation when it encounters delays in implementing its support to the ARKN-FCC work plan.

During the field data collection for the evaluation, the Team was not able to contact the coordinator of the ARKN-FCC. The Team also could not meet the Thailand focal points for ARKN-FCC as they were attending the most recent Climate Change Convention meeting in Bonn.

One of the participants at LEAF's workshop on drivers at the ARKN-FCC noted that, at home, the "private sector is an area where we have been struggling. We have partnerships with NGOs, other government agencies, and with donors, but nothing on the private sector side…we need an interface person or entity—almost a neutral person—that can close the gap and between us…we don't have the capacity to accept the risks—whether it's even going to work or whether the interests are so far apart that we can't come up with anything that's viable." The participant suggested that LEAF might help with "engagement and information sharing…or advice…or analysis on how we can work with the private sector—e.g., what it costs. If it's not direct [engagement], then some form of analysis."

Mangroves for the Future (MFF)

Through its regional and national coordinating bodies, MFF offers a strong network for generating lessons and sharing knowledge. MFF is an international partnership initiative co-chaired by the International Union for Conservation of Nature (IUCN) and United Nations Development Programme (UNDP) to promote investments in coastal ecosystems that support sustainable development. MFF has chosen mangroves as its flagship ecosystem and it builds on a history of coastal management efforts before and after the 2004 Indian Ocean tsunami. MFF members consist of Bangladesh, India, Indonesia, Maldives, Seychelles, Sri Lanka, Thailand, Pakistan and Vietnam. Cambodia will be the tenth country to join MFF in October 2013. LEAF also has activities in some of MFF's country members (Cambodia, Thailand and Vietnam).

Each MFF country member has a national coordinator and communications focal point. The national coordinators liaise between the MFF Regional Secretariat and the National Coordinating Body (NCB). The national communications focal points provide support to effectively deliver the overall MFF communications objectives and are responsible for all in-country MFF communications. The MFF's management strategy is based on specific national and regional needs for long-term sustainable management of coastal ecosystems. This includes climate change mitigation that is relevant with LEAF's activities on the terrestrial lands.

Since each country member of MFF has a well-established coordinating body or steering committee that consists of representatives from government, CSOs, universities and the private sector, LEAF might use that national body to enhance LEAF's network within the country. LEAF also might consider and learn how MFF has been successful in convincing the member country to invest 25 percent of country project fund as an in-kind contribution to project implementation in the country.

The MoU between LEAF and MFF was signed in December 2012. In it, LEAF agrees to provide technical assistance to the MFF Regional Initiative implemented by FAO on Income for Coastal Communities for Mangrove Protection in Thailand, Vietnam and Pakistan. LEAF also agrees to provide technical assistance to MFF on an as-needed basis to review project proposals that have a focus on carbon market

incentives. However, work under this MoU has not started because the agreement between FAO and the IUCN is not yet signed.

Site-Based Learning and Networks

In several countries, the Evaluation Team came across informal learning networks at national, sub-national and even international levels. In Papua New Guinea, for example, the Institute for National Affairs organizes periodic discussions among relevant stakeholders, and even organized a lunchtime discussion with one of the Evaluation Team members on his hands-on experience with forest and timber certification in Indonesia, which more than 20 people attended on extremely short notice. Group discussions in Thailand at both community and provincial levels included spirited exchanges around principles and practices and, as discussed in the following section, LEAF's curriculum development activity offers practical lessons for strengthening learning networks. Site-based activities in Vietnam offer the most lessons to date from direct experience on the ground. Other USAID sustainable landscape projects could be important partners in such networks (See Annex VII).

As a prime location of site-based learning, dissemination of Vietnam's REDD+ and PFES experience could enhance effectiveness, impact and sustainability at the regional level. Vietnam is one of nine UN-REDD program pilot countries. It was the first country to start the UN-REDD program, officially launched in Hanoi on September 17, 2009. The first phase was funded by the Government of Norway and executed by the Ministry of Agriculture and Rural Development (MARD). Lam Dong Province was selected as the pilot site.

Phase One of the Program was completed in October 2012 and a funding agreement for a Phase Two was signed with Norway in December 2012. Phase Two is aimed at reducing emissions in six provinces, working with provincial, district and commune authorities, local communities and the private sector. UN-REDD Phase Two was launched officially in Vietnam on July 29, 2013 and is the first such program in the world.

Vietnam is the most advanced LEAF program country and indeed is the global country leader on REDD+ implementation. The Vietnamese government established both a Cross-Ministerial REDD+ Steering Committee and a National REDD+ Office in the Ministry of Agriculture and Rural Development to lead on REDD+ in January 2011. The committee aimed to coordinate between and among ministries to develop policies related to carbon sequestration schemes and to develop the national REDD+ program. The government also has developed the National REDD+ Network, which consists of government agencies, NGOs, research institutions and the United Nations, with significant participation from other donors such as USAID, JICA, GIZ and others. Under this network, six sub-technical working groups (STWG) were established including those on MRV, Governance, SES, BDS, Finance and Private Sector. The National REDD+ Office coordinates and leads the Vietnam N-RAP, which features a Benefit Distribution System that is aligned with Decree 99 on Payment for Forest Ecosystem Services. The N-RAP was signed by the Prime Minister on June 27, 2012. The MRV framework document developed through the National REDD Network has been endorsed by the National REDD+ Office. The differences between UN-REDD and the Vietnamese Government and the constraints and opportunities they create are noted above. The Evaluation Team noted the excellent collaboration and synergy between USAID/Vietnam's VFD project and the LEAF program.

The PFES system is intended to improve forest quality and quantity, increase the economic contribution of the forestry sector to the national economy, reduce the state's financial burden from investment in forest protection and management and improve social well-being. PFES includes payments for watershed protection through improved forest management, scenic beauty preservation and other services involving protection of sources of biodiversity. In relation to PFES development in Vietnam, as of 2012, there are 27 provinces where the government has initiated plans and/or implemented activities of the

Forest Protection and Development Fund. In 2012, total PFES revenue was about $85 million. Payments generated from electricity service customers of hydropower plants generated nearly 98 percent of the funding with revenue from water company service customers around 2 percent and from tourism service providers only 0.1 percent of total revenue. However, the disbursement of the fund to services suppliers is low, with overall disbursement of 46 percent of total collected funds. In 2012, PFES in Lam Dong Province generated roughly $7.5 million in revenue. It now covers about 333,000 hectares of forest and 16,000 households. The average payment to the households is between $17 and $20/hectare/year.[36]

There are 19 different donor projects supporting the PFES system. Two provinces were selected in 2009 (Lam Dong and Son La) as sites of official government pilot implementation of PFES, involving transfer payments from hydropower electricity customers, water service customers and tourism operators to forest owners and households and communities who use and are supposed to protect forest resources.

Vietnam has incorporated REDD+ into its forestry sector and is developing the national capacity and infrastructure for REDD+ as mentioned above.

In Thailand, one of the professors involved with the curriculum development activity offered a number of observations that demonstrate some of the experience and insight that may be useful for LEAF and USAID in developing opportunities to contribute to regional cohesion over the longer term. Based on his experience running a research network on decision support systems for climate change adaptation in agriculture with 12 universities working together with decision makers at different levels in Cambodia, Lao PDR and Vietnam, he noted among other things that:

- A network of university and stakeholder agencies from similar countries within the region (he mentioned mainland Southeast Asia in particular) could develop "a study site in each of several different ecosystems, with a good monitoring platform, and use the sites to demonstrate the [key climate change] ideas…with hard data…and use them as learning platforms."
- "It takes a lot of energy [, time,] and long-term kind of engagement" to run a network. "The benefits of networking around CO_2 and GHG would need [at least] five years."
- The four modules of LEAF's curriculum could be part of network activities "to establish skills for different levels of participants" including "junior scientists and communities."

While the focus of his network has been adaptation, his thoughts on approach are insightful: "To move forward from here, I would try to develop cases…to show that a general model can be applied to different cases… and used by others. Cases from different ecosystems would play key roles…going from the generic to the specific, and what are the specific characteristics that apply to the generic, e.g., the adaptation ability for a given site, e.g., due to changes…delay of the rainy season…how to feed this into the policy level…it would be very useful."

The professor offered one additional observation relevant to regional cohesion. He noted that the integration of ASEAN into one community (in 2015) is "an example of a huge opportunity to work together, but we don't see that much collaboration beyond government things. The private sector is

[36] http://www.nature.org.vn/en/tai-lieu/mrf2011/PPP_09_PES_in_Vietnam.pdf.

somehow very successful in coming together but not just networking…[with the private sector] you need to do something [specific and practical] together, like develop products together that you can make money with."

Conclusions

The Evaluation Team concludes that the LEAF program should consolidate its regional platform work to maximize impact in the remaining two-plus years of implementation. To increase effectiveness, impact and sustainability, the emphases need to be on: (a) supporting platforms that actively engage regional stakeholders, in particular the ARKN-FCC and MFF; (b) sharing the Vietnam REDD+ and PFES lessons widely—and further lessons as these emerge from LEAF's other demonstration sites; and (c) facilitating and supporting informal networks of stakeholders engaged on priority issues at LEAF's demonstration sites. Effective multi-stakeholder engagement requires new kinds of leadership skills, attitudes and approaches, the development of which will benefit greatly from learning across countries. As a regional project without formal access to higher levels within the ASEAN Secretariat, the LEAF program may have difficulty in resolving recurrent delays in implementing its support to the ARKN-FCC work plan. (See also Regional Findings below.)

As noted in the following on regional harmonization, LEAF should judiciously examine several opportunities to influence regional initiatives and to exchange experience with other USAID Mission programs and, in particular, their sustainable landscape projects (see Annex VII). LEAF also has opportunities to identify and share lessons from its "non-presence" countries that are relevant to LEAF's countries. For example, in September, as the Evaluation Team was finalizing this report, the Indonesian president signed a new decree to create a national REDD+ agency, led by cabinet ministers and aimed at combating GHG emissions.

LEAF's work with ARKN-FCC and MFF offers different and important opportunities to enhance programmatic effectiveness, impact and sustainability at the regional level. The program needs to continue and deepen its support to both organizations if they continue to demonstrate increasing outreach and effectiveness, particularly in drawing in the private sector and CSOs. ARKN-FCC provides a potential platform for sharing technical and policy papers and approaches, and enabling discussions among higher level technical and policy leaders in the member country governments. Dissemination and discussion of advances and difficulties faced by the range of governments in implementing REDD+ and promoting improved forest management in general could usefully be discussed. MFF is a dynamic and multi-faceted (public, private and civil society sectors) program that could advance sharing and application of climate change information related to coastal ecosystem management across the region.

Vietnam's experiences, particularly on REDD+ and PFES institutional and policy development and implementation, offer important information to disseminate as lessons learned to other LEAF countries at the regional level. The Vietnamese government has shown that strong commitment and active participation of partners and stakeholders (donors, international NGOs, NGOs, businesses and communities) are pre-conditions for REDD+ readiness success. LEAF could usefully maximize the transfer and adaptation of this lesson to other LEAF countries so that the REDD+ readiness process and pre-conditions for further phases can be effectively improved. LEAF collaboration with USAID/Vietnam's VFD project could advance dissemination of Vietnam's lessons very effectively.

Lam Dong in particular was selected as one of Vietnam's pilot provinces for the UN-REDD First Phase and is now one of two pilots for the second phase. The first phase was focused on overall REDD+ readiness, including the institutional infrastructure and REDD+ policy development (formulation of NRAP), contributing to formulation of reference levels and design of an MRV system and initiating consultation and awareness raising processes. It also aimed at institutional strengthening and capacity building of relevant organizations at both central and local levels.

During the first phase of the UN-REDD Vietnam program, a BDS was designed. The design of this system is based on experiences derived from the operation of the PFES Forest Protection and Development Fund in Lam Dong and Son La.

The PFES achievements, particularly with its BDS in Lam Dong, have global and regional implications for REDD+ implementation. It becomes a strong foundation for implementation of benefit sharing mechanisms on carbon rights in REDD+. The weakness of PFES in monitoring of changes in forest management and on household and community impacts of the payments, particularly related to differential impacts on males and females, require LEAF consideration for technical assistance, training and other possible support to improve PFES implementation. In the region, Thailand, for example, has potential PES projects (such as eco-tourism) in the country that could be strengthened. Information exchange with, and further visits to, Vietnam could improve the Thai and other regional national government's capacity in understanding and building PES programs.

In Thailand, the insights of LEAF's partner professor highlight the significant contributions that demonstration sites can make to enhance impact, effectiveness and sustainability. These include:

- Organizing the demonstration sites into sites with comparable (although not necessarily identical) characteristics as learning platforms for applying key climate change concepts and tools, linked with a network of university and stakeholder agencies; and
- Building on the curriculum development participants' experience as a network and integrate them into LEAF's demonstration site activities with local stakeholders.

OPPORTUNITIES TO STRENGTHEN THE REGIONAL COHESIVE APPROACH

Evaluation Question 4: *What specific opportunities exist to further strengthen the regional cohesive approach of the program?*

Findings

Regional cohesion in Asia is complex and dynamic. The political dimensions of Asia as a region do not align with USAID's (or any other donor's) categories and certainly do not align with the region's landscapes.[37] LEAF was designed as a regional, national and sub-national program in scope and focus. The cohesive approach was and continues to be the strengthening of capacities and sharing of best practices and experience-based information to improve forest management—leading to greater emissions reductions, better land/forest/watershed/ecosystem health and improved well-being for forest communities. LEAF suffers from the multiple personalities and objectives of any effort managed at a multiple country level dealing with issues that are decided and controlled at the national and sub-national level. Like other "regional" donor programs (such as the UN-REDD program), the LEAF program is largely a portfolio of national and sub-national initiatives.

[37] For example, two of LEAF's "priority" countries divide islands with two other "non-presence" countries: PNG shares the same island with "non-presence" Indonesia. Malaysia's two largest states share the same island with Brunei and Indonesia. Similarly, PNG is part of the South Pacific Region. Burmese immigrants are among the local stakeholders at LEAF's field site in northern Thailand, despite coming from a non-LEAF country.

Yet, although not inherently regional, informants identified three main kinds of opportunities for strengthening a regionally cohesive approach: LEAF's regional platforms and networks of LEAF's other partners, ASEAN trade relationships and various sub-regional initiatives. LEAF could readily consider engaging on any or all of these initiatives to enhance its impact, effectiveness, sustainability and regional cohesion. The Evaluation Team also finds that there are important new opportunities for advancing regional cohesion on REDD+ and improved forest management by LEAF. The Team advocates consideration of these organizations and initiatives to increase the regional impact and amplify regional coherence and does not believe such actions would expand the LEAF program beyond its mandate, but rather help achieve its original objectives related to regional cohesion and impact.

Regional Platforms and Networks

As noted above, LEAF has advanced at the regional level in working with ARKN-FCC and will soon also work with MFF and support two information-sharing nodes—the REDD-Desk and Forest Carbon Asia. However, regional coherence and cohesiveness is and will continue to be determined by national and sub-national actors as they engage with each other across their respective boundaries. LEAF's efforts to date with these institutions have begun to accelerate and improve the flow of multi-country information, technologies and experiences.

LEAF has developed a practical, hands-on understanding of key elements of learning platform and network development through its curriculum development activity. This experience ranges from the "nuts and bolts" (e.g., the use of Skype as a teleconferencing tool), to the essentials of a sustainable legacy (e.g., the coordination and facilitation of volunteer commitments from over-committed individuals across widely separated institutions).

LEAF has also collaborated regionally with other USAID initiatives. Annex VII lists these and other USAID sustainable landscape projects in the region, including both bilateral and regional initiatives. Together, LEAF's formal regional platform partners, networks of collaborating site-based partners and other USAID-supported initiatives offer opportunities for three kinds of regional exchange:

- ***Exchanging learning and perspectives across the region***, including sharing ideas, tools, successes, lessons, approaches and interventions and educating stakeholders on regional trends, common issues and challenges. This may include sharing experiences and/or insights on REDD+ policy and implementation, economic incentives, corruption and governance. Almost all interviewees stressed the value of learning from experience in other countries; several highlighted their visit to see the PES model in Vietnam. USAID/India suggested collaboration with its Forest-Plus project to help share India's innovations and technologies (particularly on forest inventory) with other countries and expressed interest in learning about REDD+-readiness in other countries (particularly on benefit distribution systems, institutional frameworks and drivers).
- ***Catalyzing emerging leadership***. USAID/Indonesia suggested supporting regional environmental leadership development, for example, building regional champions on forest conservation, and advocacy and communication aimed at promoting forestry governance. Informants repeatedly stressed the importance of engaging a broader range of stakeholders—government, CSOs and private sector—at multiple levels. For example, USAID/Indonesia noted that while its Indonesian Forest and Climate Support (IFACS) project is focused primarily on government stakeholders, there are also important roles for the media, including journalists and bloggers, and the private sector. MFF representatives interviewed stressed the strategic importance of linking its in-country and regional steering committees, all of which include government, civil society and private sector members. Some of those interviewed noted the importance—and the limited experience to date—of engaging the private sector, pointing out the relationships between

sustainable forest management and palm oil, pulp and paper and timber concessions. USAID/Indonesia mentioned a successful study tour in Thailand to a palm oil mill effluent site with local government, journalists and banking industry representatives. In Indonesia, IFACS' work with timber concessions on reduced impact logging could be relevant to LEAF's training on RIL in Malaysia and potentially elsewhere.

- ***Supporting analysis and technical assistance.*** A bilateral mission representative pointed out that their programs keep them busy, often with not enough time and resources to analyze issues comprehensively and in depth. As shown in Annex V, LEAF's demonstration sites offer opportunities to explore interrelationships across a rich range of drivers affecting forest management and carbon stocks. USAID Missions have suggested that a regional program would be well-placed to develop and test hypotheses, e.g., exploring the relationship between crop intensification and deforestation pressures across different sites, the impacts of forest conservation on food security, the interrelationships among economic incentives, forest conversion and carbon or the effectiveness of different approaches.

The ASEAN Single Window (ASW)

The 2015 ASEAN Economic Community requirements provide an opening for possible increase in LEAF impact through the ASW. ASW is a regional initiative to improve trade between ASEAN member states, including accelerating customs clearance and cargo release. To work effectively, member states must each set up a national "single window" (NSW) that connects and integrates with the ASEAN Single Window. At present, the ASW ensures compatibility of member states' NSW with international open communication standards while also ensuring that each of those member states can then exchange data securely and reliably with any trading partner that uses those standards. Indonesia, Malaysia, the Philippines, Singapore and Thailand have already implemented their NSWs, with roll-out plans for major ports and airports by 2015. Brunei and Vietnam are in advanced stages of development, while Cambodia, Lao PDR and Myanmar are still in the early stages of NSW implementation.

One of the categories of goods to be traded is forest products, such as timber. Under the ASEAN Economic Community Blue Print[38], ASEAN intends to develop a regional reference framework to implement a phased-approach to forest certification by 2015. This is an opportunity for LEAF to engage with the ASEAN Working Group on Timber Certification (AWG-C) that has been operating since 2002. The group's main objective is to encourage coordination and cooperation among the ASEAN member states in their efforts to implement credible forest certification. ASEAN member state experience with certification structures, processes and relationships (including private sector engagement and local capacity for and involvement in verification) builds on USAID's prior investments with TNC and other partners, through the USAID RDMA-funded Responsible Asia Forestry and Trade (RAFT) Program. RAFT provided assistance to ASEAN efforts to encourage legal timber trade and promote *good forest management* by contributing the guidelines on development of an effective Chain of Custody (CoC) mechanism for timber products from legal and/or sustainable sources. LEAF might continue this support by promoting the guidelines and linking them into the ASW so that certified timber trade can also be a multiple benefit of REDD+ improved forest management. The countries that have advanced NSW development such as Indonesia, Malaysia, Thailand and Vietnam are likely to more easily adapt the CoC

[38] ASEAN Economic Community Blueprint, 2007 http://www.asean.org/archive/5187-10.pdf

system to the NSW system. However, there are needs for technical support to facilitate the countries that have not established the NSW and the CoC for their forest products in a place like Cambodia and Lao PDR. The resulting certification system will contribute clearly, if indirectly as a further multiple benefit, to improved forest management, forest carbon sequestration and improved livelihoods of forest-dependent communities.

Sub-Regional Initiatives

There are important new opportunities for advancing a regional cohesion through diverse initiatives at sub-regional levels. In relation to the specific themes and issues that LEAF is beginning to explore at its demonstration sites, collaboration with these and the initiatives described below offer opportunities to increase regional impact and strengthen regional cohesion without expanding the LEAF program beyond its mandate.

Lower Mekong Initiative (LMI)

LMI was created in July 23, 2009 in response to the meeting between then Secretary of State Hillary Clinton and the Foreign Ministers of the Lower Mekong Countries—Cambodia, Lao PDR, Thailand and Vietnam—in Phuket, Thailand. The Ministers agreed to enhance cooperation in the areas of environment, health, education and infrastructure development. Since then, the five countries have sought to strengthen cooperation in these areas and build on their common interests. Burma formally joined the initiative in July 2012.

LMI also facilitates annual ministerial foreign affairs meetings between the members of Mekong Countries on non-traditional security policy issues, such as Gender Equality and Women's Empowerment policy dialogue. Under the support of USAID, LMI has become a sub-regional framework to foster common interests between Burma, Cambodia, Lao PDR, Thailand and Vietnam with the goal of enhancing cooperation in areas such as the environment, education, infrastructure development and agriculture and food security. As part of the LMI, USAID supports several climate change and environment programs. For example, the Mekong Adaptation and Resilience to Climate Change project focuses on identifying the environmental, economic and social effects of climate change in the Lower Mekong River basin, which sustains the lives of over 70 million people. The project also assists highly vulnerable populations in ecologically sensitive areas to increase their ability to adapt their livelihoods to climate change impacts on water resources, agricultural systems, biodiversity and ecosystems. The LEAF program is one of several USAID LMI deliverables. LEAF participated in the LMI gender dialogue. LEAF might further engage with LMI's event on annual policy dialogue to contribute to addressing the gender equity in REDD+ and drivers of deforestation and forest degradation within Lower Mekong countries. LEAF could invite non-LMI participation, particularly its current partners in Malaysia and PNG to enhance the impact of actions and further build networks. In that way, LEAF would facilitate the extension and adaptation of learning and models to those countries.

The Asia Low Emission Development Strategies (LEDS) Partnership

The Asia LEDS Partnership (ALP) is a voluntary regional network comprised of individuals and organizations from the public, private and non-governmental sectors active in designing, promoting, and/or implementing LEDS in Asia. The goal is to advance the development of national-level and country-led strategic plans to promote economic growth while reducing GHG emissions—without causing trade-offs to other environmental pressures—in the Asia region. The partnership was launched in September 2012 in Bangkok. The partnership supports peer-to-peer learning, knowledge sharing and improved coordination and cooperation among partners. There is an opportunity for LEAF to help the ALP develop and elaborate the AFOLU component of the Partnership. New USAID rules on inclusion of agriculture in Sustainable Landscape actions and funding on emissions reductions offer other new opportunities for LEAF in contributing to LEDS work. While LEAF has not engaged substantially with

this voluntary regional network to date, it might engage with it as another network for sharing lessons learned and practices on LEDS, REDD+ and improved forest management in LEAF countries. This could also strengthen intra-country and international collaboration between the following government focal points of UNFCCC and ARKN-FCC: MoNRE and MARD in Vietnam, MoNRE and MAF in Lao PDR and Office of Natural Resources and Environmental Policy and Planning (ONEP) and DNP in Thailand.

Pacific Region Network—Secretariat of the Pacific Regional Environment Program (SPREP)

LEAF country partner PNG is a part of the Pacific region and a member of SPREP. The inclusion of other SPREP members in workshops on selected issues or themes could enhance regional cohesion. LEAF's experiences in avoiding emissions from deforestation and forest degradation in PNG and in other countries could be effectively shared with other Pacific countries through the SPREP network.

FLEGT and the Lacey ACT with ASW

The EU's FLEGT initiative implemented in timber producing countries such as Indonesia and Malaysia has strengthened the establishment of timber legality standards for the country. The standards are then utilized as the foundation system to link with the NSW and eventually the ASW. The U.S. Lacey Act is being enforced as well in the region and could be a relevant "hook" for LEAF engagement in chain-of-custody issues. LEAF could engage with the existing FLEGT initiatives and Lacey Act actions in the LEAF countries such as Cambodia, Lao PDR and Vietnam. While those initiatives focus on the timber legality standards of the country as a basis for NSW, LEAF could play a key role in facilitating the link between the NSW to the ASW. The resulting improvements in forest management that can be attained with sustainable management through certification could directly support LEAF emissions reductions and other objectives.

Conclusions

As LEAF develops *in situ* experience in applying MRV and SES in particular landscapes with particular stakeholders to counteract drivers of deforestation and forest degradation, it can play an increasingly more effective role in strengthening regional cohesion in each of the areas noted above: strengthening platforms and networks, learning exchange, catalyzing leadership, analytic support, implementation of the ASW and collaboration with selected ongoing sub-regional initiatives.

LEAF's site-based experience can provide the "evidence" for evidence-based decision making and informing advocacy, communication and transparency to promote improved forestry governance. This may include engaging a broader range of stakeholders on difficult regional issues such as fire management and transboundary (intra-regional foreign direct) investment in, for example, illegal logging and timber/furniture manufacture. Progress in any of these areas could enhance LEAF's attainment of its core objectives. Cross-site comparative analysis and hypothesis testing could build on LEAF's performance monitoring system, if strengthened as described under Question 5, below.

The Evaluation Team found that LEAF has not maximized its links with existing regional networks that share its objectives, such as Asia LEDS Partnership (on reducing GHG emissions) and LMI (on gender and climate change issues). Another potential regional framework that LEAF should engage is the ASEAN Working Group on Timber Certification (AWG-C), which promotes trading certified forest products within Asian countries through the ASW system among member countries and beyond to global the markets. FLEGT and the Lacey Act may be important points of entry in work on the ASW.

The ASW in particular has practical, hands-on relevance to capacity for implementing climate change mitigation, particularly with respect to carbon MRV (especially reporting and verification, to which LEAF has given less emphasis in comparison to establishing initial carbon stock baselines) and REDD+, including the implementation of SES. Here, LEAF's partners may have as much to gain as to contribute as

they begin to set up systems that safeguard people and landscapes and monitor and verify changes in forest condition and GHG emissions.

NEEDED ADJUSTMENTS, CORRECTIVE ACTIONS AND/OR AREAS FOR IMPROVEMENT

Evaluation Question 5: *What adjustments, corrective actions, and/or areas for improvement are needed to ensure progress towards achieving expected results during the duration of the program?*

Findings

Outcome Progress Measurements

LEAF's PMP identifies three of LEAF's 10 performance indicators as Outcome indicators: quantity of GHG emissions reduced, number of hectares under improved natural resource management and number of households with improved well-being. Minimum target levels for the first two of these indicators were set by USAID in the Request for Applications issued in September 2010. The target level for GHG emissions was set at "At least three million tons per year of GHG emissions reduced or avoided." The Evaluation Team was informed that this level was set in light of data from the previous RDMA RAFT project and based, in part, on data from forest types present in Indonesia.

As already stated, the Evaluation Team found that no one working in any capacity with the LEAF program believes that there is any possibility that the LEAF program will attain the **results** indicated for emissions or hectares area under improved management. Nonetheless, it is likely that the PMP's definition of the threshold for "improved management" has been set sufficiently low to allow the specific hectare targets, at least, to be met.[39] Under the definition, any **one** of the following changes is sufficient to consider management "improved": the completion of an emission-strategic local site assessment, the design of management actions with "appropriate participation," the establishment of ongoing M&E, the demonstration of adaptive management or the demonstration of such "on-the-ground" management impacts as forest carbon stock increased, "illegal roads closed, snares removed or no-fishing zones demarcated [sic]."

While LEAF has completed detailed assessments of forest cover change at sites in Vietnam and Lao PDR, LEAF has not yet worked with stakeholders to prepare site-level analyses that describe the specific interactions among forests, drivers and the institutional environment. While institutional assessments are under preparation for five institutions in Vietnam and four in Thailand and field work for gender assessments has also been carried out, the evaluation found no drafts of these documents yet under discussion among the in-country team members and partners. In carrying out its institutional, policy and other analyses—and, as noted earlier, its regional events—LEAF has tended to use its own staff or contract directly with consultants rather than work through in-country teams of partner institutions at each site. Annex V provides an overview of the analysis that LEAF has prepared for each site.

Despite the program's emphasis on capacity building, the PMP describes strengthened capacity modestly. First, it is defined as an output, i.e., as directly attributable to LEAF's activities, rather than an outcome,

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[39]As noted earlier, the less ambitious target for LEAF's third (of three) outcome indicators, improved well-being of 1,250 households, as determined by "studying the target households' self-perception", is also likely to be met.

i.e., to which LEAF contributes but for which it is not solely responsible. Second, "improved capacity" for (a) regional platforms is defined as strengthening "one or more" of any of six aspects of organizational capacity and for (b) other institutions is to be defined through institutional capacity assessments and plans that identify "criteria or milestones" across a much broader range of attributes.

As discussed earlier, LEAF management, as well as USAID/Cambodia staff noted that LEAF's use of USAID's standard indicator "person-hours" rather than number of persons trained has resulted in a system that is not highlighting progress in building individual capacity and the individuals trained within particular institutions.

Finally, the Evaluation Team found that the LEAF implementing partner has provided only very modest funding to engage organizations outside of its consortium. Local organizations noted that this practice limited their abilities to professionally engage and build skills in achieving improved forest management and carbon sequestration.

Regional Findings

Regional and Cross-Sectoral Stakeholder Engagement—USAID Convoking Authority. The Evaluation Team found no evidence that LEAF and USAID had applied the USG's higher-level influence in developing more effective entry to and/or building more effective support for Asian networks and platforms to advance reduced emissions through improved forest management. Potential higher-level engagement might include, for example, drawing on the USG's convoking power among diverse stakeholders, coordinating with the USG's Ambassador to the ASEAN Secretariat, and building on LEAF partners that have already developed working relationships with ASEAN. LEAF could extend that approach and work to collaborate with regional platform partners to advance mutual interest and achieve shared objectives and results in all events. Based on RDMA interviews, country level U.S. Mission interviews, and their shared objectives with LEAF, ASW, LMI and Asian LEDS are all viable collaborative partners for LEAF. As noted above, Missions also expressed interest in further support for learning exchanges, catalyzing leadership and analytic support.

The RDMA Mission Director noted that he has seen interest among regional leaders for the U.S. to play a liaison role and "help us figure out how to talk to each other… across sectors." Such engagement could also strengthen LEAF's approach in specific countries. For example, at the Evaluation Team's meeting with the FRIM, the U.S. Embassy Economic Officer for Environment, Science, Technology & Health (ESTH) noted that the U.S. and Malaysia recently signed a service and technology exchange agreement with the Government of Malaysia that includes climate change and "could facilitate ongoing collaboration among researchers." Similarly, the LEAF AOR noted in his report following a May 2012 visit that the U.S. Embassy had asked how it "might be of assistance to LEAF and…efforts to promote better forest management in Malaysia and more broadly." The AOR recommended that "RDMA and LEAF should think more strategically about how we might be able to proactively engage the U.S. Embassy in Malaysia."

Also, LEAF could explore building on local partners' long-term relationships with regional entities. For example, one of LEAF's partners in Malaysia, the GEC, has developed an effective working relationship with ASEAN through the ASEAN Peatland Management Initiative, which supports ASEAN's sole environmental accord—on Transboundary Haze Pollution (signed by all ASEAN members in 2002, although reportedly still not ratified by Indonesia's parliament).

There is a historic and globally critical opportunity for both RDMA's leadership on LEAF and USAID/Vietnam's bilateral leadership on Low Emissions Development to convoke donor dialogue on the differences found by the Evaluation Team between UN-REDD and the Vietnamese government on REDD+ Phase Two implementation discussed above. As indicated in all interviews with forestry officials at the national and sub-national level, Vietnam is justifiably proud of its progress on the national PFES

Program. It expects eventual inclusion of forest carbon payments in that system during implementation of the UN-REDD program. UN-REDD officials indicated to the Evaluation Team that they believe that sub-national REDD+ progress must be pursued through major technical assistance and livelihood improvement activities and not through forest carbon sequestration payments. Vietnam is the first nation to launch UN-REDD Phase Two, and as such, Vietnamese officials expressed their urgent need to move forward quickly.

Capacity Building. Most of LEAF's training to date has been designed to introduce government officials and higher-level technicians to important technical concepts and issues related to carbon, forests and REDD+. These include training on MRV, reference level development, forest mapping, forest inventory, reduced impact logging, remote sensing, GIS, carbon assessment and land use planning, among others. The Evaluation Team found that the majority of training participants from LEAF's partner universities and in high-level technical national government positions in all of those training events appreciated access to world-renowned experts on carbon and REDD+ and the sophistication of the tools. Nonetheless, as discussed above, non-technical or sub-national field-level officers stated that the tools were challenging to grasp effectively and apply to their work. LEAF has not yet facilitated their adaptation to introduce them to non-technical or field-level staff.

LEAF's follow-up on training has been limited. LEAF program managers acknowledge that there is no system at the regional or national level to track training results or to follow up on how trainees were or were not applying their training or if they had additional training needs. One additional difficulty cited in four of the six LEAF countries during interviews with training participants was that the largely government and government-related institutions that nominate participants seek to spread the opportunities for training among as many staff as possible rather than train selected persons in greater depth through a series of trainings covering topics in greater depth.

The Team found that a high proportion of those interviewed who had participated in training could not recall specific content beyond the basic topics of the course. In addition, lower-level and/or field-level officials, including LEAF's in-country staff, partners and prospective community-level beneficiaries in Thailand and PNG all mentioned that "governance" issues are more significant than "technical" issues as they attempt to move forward with stakeholders. In countries with a small number of technical personnel, e.g., PNG, many of those trained know each other and have brought aspects of what they have learned into their discussions, such as technical working groups. In general, the teams of partners that are beginning to be formed at specific implementation sites, however, have not received training together, e.g., in Thailand at the Mae Sa-Kog Ma biosphere reserve and in Vietnam among the smaller committees charged with PRAP development responsibilities in Lam Dong Province.

Curriculum Development. While most participants noted that the four modules had not yet been finalized, all were satisfied with the process (6 of 19 respondents to the survey were "very" satisfied) and 11 said they were ready to begin using the materials. While the short-course modules are the most complete, one professor said he would be taking a semester module into his classroom in January.

One professor said that if the curriculum is developed in ways that involves stakeholders, it would be possible to "reduce this scientific material down in such a way that local people would adopt…If they see benefit, they will pick it up…For example, in Lam Dong, Vietnam, the local community was actively involved in PFES…Same thing with curriculum…[Also,] if it's easy to learn, they will adopt…put the curriculum['s materials] into interactive mode…cartoons."

Participants and interviewees in three of six LEAF focus countries (Lao PDR, PNG and Vietnam) noted that development and delivery of other climate change curricula were also underway. For example, according to one professor, the University of PNG has introduced climate change into the curricula of "all five schools," including courses on climate change in the Pacific, based on a text being used by six universities in the Pacific and developed with funding from the European Union; a course on

environmental law, with sections on climate change and biodiversity; and a course on sustainable development. The Evaluation Team also found that other donors, such as JICA in Lao PDR, and international NGOs, such as the Wildlife Conservation Society in Cambodia and Lao PDR, are developing or have developed climate change curricula working with local partner institutions.

Prior Activities Throughout the Region. The Evaluation Team, in its many interviews and discussions throughout LEAF program countries, found that past investments by USAID, other donors and regional and local actors across the region have developed relationships and created bases of capacity and trust that are serving LEAF well as bases for its REDD+ and related climate change activities. The broad range of these activities includes the long-term presence of NGOs (e.g., TNC in Madang Province, PNG; WWF in Sabah State, Malaysia; SNV in Lao PDR and Vietnam; and CI, WWF and PACT in Cambodia), professional exchange groups (e.g., the botanists from both West Papua and PNG who meet every few years in Jayapura) and projects across varied resource and land use sectors, including agriculture and agroforestry. RDMA's RAFT Project was also cited by USAID, other donors and various implementing partners as an important contributor to progress on many of LEAF's objectives. The Evaluation Team found that LEAF had progressed most where it had identified and built on these earlier efforts as it has in its most important example in Vietnam in Lam Dong Province.

Vietnam's Success: Support Needs and Regional Implications. Exchanges of information and visits to sites demonstrating advances in Vietnam on REDD+ and PFES have begun under LEAF. A Thai delegation visited and offered positive and negative critiques on the applicability of Vietnam's experience to their situation.

Opportunities in Agriculture and Agro-Forestry. USAID global rules on the use of Global Climate Change Sustainable Landscapes (GCC-SL) funding, the source of LEAF program budget resources, changed for FY 2013. The LEAF program could now work on improving agriculture and agroforestry in its activities. Future sustainable landscape project design can systematically build on prior USAID achievements and relationships in agriculture and agro-forestry that prove relevant for regional and country-level achievements. LEAF might look at regional agricultural commodity trade, investments by Asian-based companies and other cross-border drivers of agricultural emissions. This could also potentially bring involvement from the private sector.

Country Findings

LEAF has identified partners and begun to work with the multiple and diverse stakeholders active at each site. As planned, LEAF has developed a consistent process[40] to document drivers and governance arrangements, to determine interventions and to plan activities that will introduce best practices, models and methodologies that lead to GHG emission reductions, areas under improved management and improved livelihoods. LEAF has not yet completed a diagnostic site document for each site that integrates analysis of key elements basic to LEAF's program. Thus, LEAF does not yet have solid foundations for learning and innovation on which to "ground," at each site, the generic principles and guidelines that it has been seeking to promote through its workshops and training activities to date. With respect to the forest and related resource conditions at each site, LEAF has not "downscaled" to

[40] Lowering Emissions in Asia's Forests (LEAF) and USAID. 2013. 10th Quarterly report: Annex C: LEAF Field Activities. Mid-Term Assessment of Progress. Bangkok: LEAF and Winrock International. 2012. Lowering Emissions in Asia's Forests (LEAF). Annual Workplan, FY 2012. October 2011 to September 2012. Bangkok: USAID-RDMA

its selected demonstration sites its sophisticated analysis at the regional level. With respect to the enabling environment, it has not described the institutions and key elements of governance at each site. With respect to market incentives and livelihoods, it has not described the key drivers as they function at each site. LEAF lacks an integrated analytic description of the way these three basic elements of nature, wealth and power[41] of improved and sustainable forest and natural resource governance, natural processes (including plant and animal biodiversity) and management interact at each site. While LEAF has begun to introduce stakeholders to key concepts and tools of improved forest management, it has not yet engaged them in developing a common understanding of their particular situation and a mutually agreed-upon action agenda. Hence, LEAF's collaboration with the multiple and diverse stakeholders active at each site is just beginning. LEAF lacks a basic, integrated understanding of where the program is beginning and where the program is going.[42] This will affect the development of a strategy for using site-based experience to inform the enabling policy and economic structures and processes that will sustain this "improved" management, as well as developing and scaling up the innovations and lessons learned across the portfolio of sites as envisioned the regional learning platforms.

Cambodia. Based on repeated interviews and the Evaluation Team's assessment of the donor activities at all important REDD+ sites in Cambodia, LEAF does not have a comparative advantage on REDD+ field activities compared to USAID/Cambodia bilateral activities and the many ongoing NGO and donor initiatives. It can usefully continue specific support related to gender and drivers of deforestation.

Lao PDR. MoNRE and its sub-national levels are weak in REDD+ technical, policy, stakeholder engagement and gender. With the likely reassignment of the LEAF program in Lao PDR to that ministry, the process of registration and the strengthening of technical counterparts will require significant time in the next 6 to 12 months.

Vietnam. Experience, talent and governance clarity provide a comparative advantage for additional REDD+ progress over the next 2.5 years. As discussed in several previous sections, there are very important opportunities for technical support to build on Vietnam's success on REDD+ and PFES—improving both of these initiatives in Vietnam and disseminating the many important lessons to other countries and to other RDMA partners. An important role could also be played in supporting the resolution of differences between UN-REDD and the Vietnamese government on Phase Two implementation.

Papua New Guinea. Stakeholders at all levels called for translation of carbon and REDD+ concepts and language into simple local language and for more on-the-ground implementation. These needs were stressed repeatedly, by officials at the OCCD, staff at the Institute of National Affairs (INA), staff on USAID and other donor-funded projects and all of the provincial government representatives and local leaders with whom the Evaluation Team met. In describing the extent of misunderstanding with respect to carbon and forests, one informant noted that in communities, "people are asking about the carbon seeds" and that even well-educated people don't understand." The USAID Mission emphasized the need for caution in working with some government agencies. Nonetheless, one observer asked, "with a very bad sector, how can you help correct that if you don't work with it?"

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[41] http://rmportal.net/library/content/nature-wealth-and-power-emerging-best-practice-for-revitalizing-rural-africa/

[42] In this regard, it might be said that it somewhat mirrors the aggregate performance of REDD+ initiatives worldwide, especially related to the key facet of REDD+ that improved forest management and forest carbon sequestration is required to be permanent.

Thailand. As noted earlier, LEAF and its partners have helped facilitate emerging engagement between civil society and national government. The local (Tambon) administrative offices expressed keen interest in LEAF's technical assistance, including support for calculating emissions, learning best practices, including PES, from experience elsewhere and "more techniques for public awareness." The DNP's regional office has only limited budget for preparation and implementation of the MAB management plan, e.g., for forest fire control over all areas classified as high-risk. Local leaders see LEAF as a good way to engage with outsiders, which will help them resolve problems more immediate for them than climate change, e.g., the more than doubling of the local population of one village through in-migration by workers in the tourism industry. Local leaders see their citizens as understanding climate change best through the haze from fires because it directly affects them; it's "in their eyes and nose as they breathe."

Malaysia. LEAF has offered assistance to help the Sabah Forestry Department develop the state's REDD+ efforts and has identified five ongoing projects where it could develop partnering arrangements relatively quickly. For example, WWF has been collaborating with the Sabah Forestry Department on site-based activities for years. LEAF understands from Malaysian government sources that an MoU—which the Forestry Department put forth as a requirement before collaboration—has been agreed to but it has not been presented to LEAF program management. Nonetheless, the Department has neither signed nor commented upon the MoU that LEAF proposed months ago. This contrasts with LEAF's proposed activities in Pahang and Selangor, where LEAF has identified local partners in FRIM and GEC that have well-established relationships with the state governments.

Conclusions

Overall Management Conclusions

Institutional and site assessments. LEAF does not have a site-level diagnostic and analytic document to orient its menu of activities. Without an orienting document for each site, the program risks vague and unsustainable achievements when it could have clear results identified in a succinct framework.

LEAF's approach to and the status of its institutional capacity assessments affect the program in several critical ways:

First, none of the planned in-country institutional capacity or gender assessments has been completed. To the Evaluation Team, this fact suggests that an analytic base that should contribute to baseline and strategy is lacking for Objectives 3 and 4. That the institutional baselines are incomplete for the regional platforms suggests a similar limitation for Objective 1.

Second, the institutional capacity assessments' contribution to a common base of understanding and commitment to specific capacity strengthening appears limited due to:

- Limited hands-on engagement of the country manager and the implementing team of partners that is being (or should be) formed at each demonstration site;
- Limited development of "ownership" of the assessment by the institution to be strengthened; and
- Limited technical guidance and standard-setting in light of international best practices, certainly not approaching the depth of international technical guidance that LEAF has provided for the "technical" tools it has developed.

Nonetheless, LEAF's latent strengths can overcome these limitations. LEAF has put together a compelling portfolio of demonstration sites that represents the region's range of forests, drivers, stakeholders and modes of engagement (e.g., PES) around improved forest management—and the multiple benefits that are both result and incentive for its improvement. LEAF's nascent structures and

systems have engaged its staff and are poised to engage its stakeholders in learning from this portfolio. LEAF's strengths also include the hands-on experience of its country managers and partners, e.g., RECOFTC's and TNC's prior experience with participatory appraisal and land use planning, and the partner universities experience with LEAF's curriculum development activity, which includes network strengthening, REDD+, MRV, SES, and land use planning, all of which can strengthen land/forest use planning and management. Many of the helping factors noted earlier are strengths of LEAF's partners and stakeholders, which LEAF can enhance as it facilitates collaboration at and across demonstration sites.

Progress Measurements. The most important overall conclusion is that the LEAF performance targets related to 15 million tons of carbon sequestered and one million hectares of forest under improved management were probably always unrealistic and certainly are at the project's mid-point in 2013. Continued emphasis and attention on attempting to achieve those targets will continue to distract LEAF resources and distort priorities for advancing regional and country-level progress on more important program results. LEAF's most important challenge and opportunity at this mid-point is to adapt its tools used at various levels to the range of institutions active across the different sectors, countries and landscapes represented at its demonstration sites, including private sector and other interests that are driving deforestation and forest degradation.

Regional Conclusions

Regional and Cross-Sectoral Stakeholder Engagement. USAID and its numerous partners, including LEAF, could play a more effective role in engaging regional actors and in responding to demand among regional and in-country stakeholders across sectors to become engaged in climate change discussions, decisions and plans—thereby beginning to build the relationships and shared understanding needed for increased investment.

LEAF has underutilized local partners and thus deprived them of the learning and capacity-building experience of designing, conducting and following up on regional and multi-stakeholder events. While LEAF was designed and awarded prior to USAID's strong commitment to the principles of USAID Forward, LEAF has had many opportunities to apply those principles. For example, LEAF's more than 20 regional activities that have been carried out alone or in association with other donors or donor-funded international partners could just as well be developed in collaboration with regional or in-country partners. The engagement of universities in curriculum development, LEAF's two events with ARKN-FCC, and one event with RECOFTC provide an initial base of experience on which to design future collaboration. LEAF partner WOCAN can support expansion of involvement of gender-focused organizations that have the capacity to reach both females and males and use gender analytic tools. The nascent partnerships at demonstration sites will offer further opportunities for inclusion of gender issues.

Capacity Building. LEAF has been very active in providing training and technical support to build regional, national and sub-national capacities. Much of the training has been aimed at higher and more sophisticated levels of materials and presentations. That approach worked well with higher-level technical personnel but not well with lower and less experienced trainees. Regardless of the level of material or orientation, LEAF has not effectively carried out follow-up communication or support with trainees to assist them in utilization of their training.

Curriculum Development. The most important opportunity for LEAF with respect to curriculum development is to get the materials into use at the field level and circulated among potential users as soon as possible. This will permit LEAF to receive valuable feedback from hands-on use of the curricula by others. The four modules developed under the curriculum development activity are ready to test with collaborating partners and other stakeholders at demonstration sites, through short courses and trainings of trainers. Draft modules are ready to circulate for review among other institutions that are

developing curricula. The feedback elicited from these experiments will enable LEAF to see directly how materials are being adapted to different contexts and audiences by different users—and hence to better prepare the materials for widespread replication.

USAID, RDMA and Other USG Agencies—Collaboration and a New Opportunity. LEAF has made significant progress in collaborating and advancing RDMA's agenda with USAID Washington, USAID bilateral embassies and U.S. Embassy staff where there is limited or no presence of USAID, and other USG agencies, notably USFS and USGS. It has done so, for example, in Vietnam, Lao PDR and PNG by aligning with policy and program priorities, cooperating and sharing information and including USG institutions and personnel in events. The changes in the FY 2013 OP Guidance to include agriculture and agro-forestry may well provide LEAF the opportunity to work on those areas related to advancing REDD+ and improved forest management. Cross-border agricultural commodity trade policies and practices are areas for possible LEAF engagement. LEAF can also usefully work with RDMA REO in harmonizing its work to the RDCS and the bilateral Mission Country Development Cooperation Strategy (CDCS). Inter-agency collaboration could also be engaged for addressing what LEAF could contribute on the ASW and timber trade issues.

Country Conclusions

As a regional program directed at building capacity and generating innovation and learning with respect to REDD+ and sustainable forest management, LEAF has not adapted the generic concepts and tools of carbon measurement to particular situations faced by particular stakeholders. If it does not adapt these, LEAF risks merely skating above the surface of the challenges that Asian countries face. To date, LEAF has not yet developed sufficient direct, iterative engagement with a broad enough range of diverse field situations to generate lessons regarding the principles of best practice and how to adapt these principles to some of the basic contexts of resources, institutions/governance and drivers in Asia. Building on its experience in Vietnam and deepening its experience in Lao PDR, Thailand and PNG together provide opportunities to do so.

Despite the legitimate concerns raised about the diversity of very specific country contexts, the Evaluation Team concludes that the demonstration sites provide essential perspectives and balance to regional emphases and should be continued. In the case of Vietnam, the demonstration sites offer global as well as regional lessons and historic ground-breaking opportunities on all key LEAF and indeed USAID, USG and international forest and climate objectives.

Cambodia. The presence and activities of ample USAID/Cambodia and other donor-supported efforts leads to the conclusion that LEAF activity could usefully be limited to curriculum development and perhaps limited policy support. Support for participation of Cambodians in LEAF regional events is also useful.

Lao PDR. LEAF must quickly work to negotiate its MoU and approval to operate with MoNRE, if and once requested by them. In supporting further development of land and forest legislation, policies and regulations, LEAF must contribute lessons learned from its ongoing experiences in Attapeu and Houphan.

Vietnam. LEAF's most significant opportunity for strengthening capacity and improving forest and land resource management to reduce GHG emissions in Vietnam is to support the provincial stakeholders in completing their REDD+ action plans, with particular focus on forest information, livelihoods and gender. The most significant opportunity for increasing investment is, if requested by Vietnamese authorities, to strengthen capacity to monitor the results of the specific incentives of the PFES system as they affect behaviors and investments of jurisdictions and households and the degree and quality of forest management improvements resulting from this large PES effort.

Papua New Guinea. LEAF has identified a significant opportunity to develop on-the-ground experience with carbon measurement and ecosystem valuation in response to clear demand from sub-national stakeholders. Coordinating closely with USAID/Pacific and collaborating with a range of civil society actors and government-sponsored technical working groups, LEAF has an opportunity to link this sub-national experience and lessons to national and regional stakeholder fora.

Thailand. The active interest of local governments and village leaders in PES models provides an ideal base for LEAF to extend its initial participatory diagnostic (using PRA methodology) to cover all concerned communities and thereby identify informal collaborative site-level activities that can begin to develop the multi-stakeholder engagement needed to improve overall management of the landscape and its carbon stocks and flows. To the degree that LEAF can support sound and mutually multi-stakeholder engagement at the watershed and sub-watershed levels, valuable lessons can be derived for consideration by the newly formed steering committees at both site- and national-levels.

Malaysia. If the Sabah Forest Department will not sign the MoU with LEAF without any further prompting, LEAF's further investment will merely drain attention from higher potential activities elsewhere. Collaboration with the GEC on peatlands offers LEAF an opportunity to explore alternative ways to strengthen ASEAN through its relationship with GEC. As a longer-term relationship, this may yield more lasting results than LEAF's direct support as a time-limited project.

GENDER DIMENSIONS

LEAF has increasingly focused on how gender inequalities influence key issues and activities. It strengthened that work by adding a Gender Advisor with international experience, increasing its total CA funding by $800,000 for gender activities, and ensuring that gender coordinators were engaged at its major national coordination offices in Lao PDR and Vietnam. The Gender Advisor is extending gender analysis and program content throughout the LEAF program area, including training and mentoring others charged with consideration of gender issues and activities.

The scope of this effort is such that its full achievement would be further advanced if additional short-term technical assistance (STTA) could be considered for two purposes. First, to provide periodic post-training coaching to LEAF participants that complete the in-country training on Gender Integrated Planning for REDD. This coaching work is essential as applying gender integration often is stalled after training once an individual encounters resistance. The STTA could support post-training learning application with additional input, feedback and even additional one-on-one training if needed.

Second, to address country-specific research topics, the STTA could support investigation of social issues that might hinder women in communities from participating in LEAF supported activities. Additional STTA will allow the Gender Advisor to focus more on monitoring the pilot project work, reviewing the country-specific country action plans, identifying emerging best practices to be shared among LEAF stakeholders, developing additional practical analytic tools and finding innovative ways to use the autobiographic essays of gender change agents to inspire other LEAF participants. Examples of both post-training coaching and research opportunities are described below.

Related to coaching, LEAF has sponsored major events collaborating with USAID and other donor projects to deepen LEAF participant knowledge on gender and REDD+, especially related to Social and Environmental Safeguards/Soundness. Differences in gender access to REDD+ benefits, gender roles in forest management and exploitation and resource tenure (land, forests and forest products) were discussed.

LEAF has effectively if not comprehensively engaged excellent women professionals and community-level women in its activities. One of the most interesting people that the Evaluation Team interviewed, a Lao woman participant and leader in implementing LEAF's socioeconomic survey in demonstration site

communities, stated that she was very appreciative of her participation in LEAF awareness training. She felt that, while LEAF was only beginning its work in her region, it was taking a very positive approach to women's concerns and, in her view, genuinely engaged in how women can best play a role in REDD+ and improved forest management. Another outstanding female LEAF participant is the senior Forestry Sector official who is the senior forest protection official in Vietnam's Lam Dong Province. She explained that she devoted great effort to ensuring that women's interests and issues were front and center in her contributions to P-RAP planning and the implementation of the PFES system. That said, she acknowledged that women remain disadvantaged in Vietnam's society and its institutions. These two women model behavior for other male and female LEAF participants.

Gender differences are considered in the critical analysis LEAF has carried out on the drivers of deforestation and forest degradation. However, the program's analysis has not comprehensively included gender as an important factor related to institutional, policy and other elements of the enabling environment and markets.

LEAF's technical guidance has been limited to "technical" and generic analysis, with the exception of Vietnam, that has not been down-scaled to the sub-national level or to each specific demonstration site. LEAF developed an excellent Gender Mainstreaming Toolkit and Guidelines to integrate gender perspectives into program activities and REDD policy dialogues. These tools have been used in other forest mitigation programs for institutional strengthening. Additionally, LEAF workshops include a gender session to help participants understand men's and women's roles in REDD+ and how promoting gender equality and female empowerment can lead to better program impacts. Further, LEAF is now collaborating with UN-REDD and WOCAN to do more in-depth study both in demonstration sites and policy analysis.

Attention to gender issues is becoming more of a priority in each LEAF country through existing national gender plans and agencies tasked with gender integration, reducing gaps between males and females and improving the quality of life for women.

Addressing gender issues involves, at a minimum, changing of social norms and cultural beliefs about how things should be done, who should do them and how people should behave. Sensitive issues almost always emerge and need to be addressed with strategies that involve use of inclusive communication tools that extend beyond technical subject matter competence. While the LEAF gender training program recognizes this reality, a coaching plan should be developed for each gender focal point with tangible benchmarks that can be used for accountability and then aggregated to show regional progress.

For instance, Vietnam made significant progress on policy and LEAF had value-added on gender in REDD+ policy, and the implementation is ongoing as planned. Vietnam is the only LEAF country that has a law on gender equality. The LEAF Gender Advisor was able to grant support by providing constructive comments on Vietnam's roadmap of REDD+ safeguards, which was explained through intensive discussions with the Vietnam team.

Further, on gender research, extending the Vietnam example further, the progress on P-RAP development and implementation of the PFES system in Lam Dong Province does not sufficiently address gender issues within improved forest management, watershed management or benefit distribution in forest protection payments. Women are very important actors in all those areas. According to an international expert close to the process, the P-RAP in the province is reportedly the most advanced in Vietnam yet does not include sufficient breadth and depth in considering gender in REDD+ implementation on a practical basis. For the PFES, it is especially important to understand and document the ways that PFES participation and benefits differentially involve and affect women and men and how the payments affect household economic, power and social relations, as well as how gender plays a part in resource tenure. These are ignored in data collection and analysis on PFES implementation and impacts. All need to be examined and factored into continued PFES implementation. A window of

opportunity for LEAF would be to support research on this issue, and it merits a slight expansion of its technical mandate in this area of PFES if requested by the Vietnamese authorities.

It may be that the PFES system in Vietnam is systematically and positively affecting the status of women. Families involved in the PFES system have enjoyed sustained income increases over time. A LEAF study of whether this increased income has led to different gender roles between men and women, including whether and how it has affected decision making in these families, is warranted.

Related to LEAF's Climate Change Curriculum initiatives, it is not clear that all modules have sufficiently assessed how they address gender, youth and ethnic inclusion and deficiencies. All four modules require revision to ensure that the impacts of climate change and improved forest management include appreciation of the differential effects on all those groups.

On the Evaluation Team's finding that each demonstration site requires a complete diagnosis and clear strategy for achieving LEAF objectives set firmly in the context or local reality and needs, gender differences related to equality and female empowerment should be central and specific indicators should be developed to track any changes to the gap between males and females and the engagement of women. LEAF should seek to understand women's and men's roles, impacts and potentials for engagement in improved forest management, enhanced livelihoods and reduced GHG emissions. Low emissions development must include gender dimensions as an essential analytic and implementation building block.

RECOMMENDATIONS

Overall Management Recommendations

- **LEAF should increasingly base the credibility of the program on what it can offer on the regional, national and sub-national levels in regard to improved forest management and less on carbon accounting aimed at REDD+ compliance.** LEAF should align its work on USAID's Sustainable Landscapes approaches that advance the multiple benefits of improved land use, including forest management and forest community livelihood improvements. Those approaches are valid and can lead to greater carbon sequestration or lower emissions. While the reasons for inclusion of the LEAF quantitative targets for emissions reductions and hectares under improved management are understood, these targets merit revision to levels more likely to be achieved in the next two-plus years or elimination. Therefore, LEAF should deepen its growing focus on improving the supply side of multiple-benefit improved forest management that also coincides with REDD+ progress. There are other ways to structure and achieve forest protection and climate change mitigation, such as performance payments not based on carbon, alternative livelihoods activities (e.g., NTFP harvesting), protected area management, incorporating forest protection into development (e.g., ecotourism agroforestry), etc.

- **LEAF should help its site partners work with stakeholders to develop site assessments for each demonstration site.**

  - **LEAF should develop a simple diagnostic "profile" at each site as a starting point towards a shared understanding among stakeholders of three basic kinds of issues at each site:**

    - The resource systems (Nature [N] the forests in which carbon is stored, the water, biodiversity and other ecosystem service "values");

- The driver and livelihood pressures (Wealth [W] related to income, food, markets and investment); and
- The institutions (Power [P] governance and decision-making).

In developing the "profiles," LEAF should explore with stakeholders likely causes, implications and interrelationships. The Nature, Wealth and Power framework could be useful to consider adapting and applying for profile development. Gender could be factored in effectively with such a framework.

– **LEAF should derive principles and lessons for adapting its tools for widespread replication across a range of neighboring countries and landscapes of varying characteristics.** LEAF can thus develop an overall framework (that addresses the three elements of N, W and P), and to build on the multi-stakeholder learning at sites through regional events.

– **LEAF should take advantage of this site-level opportunity through methods that enable people to express what they know, to participate in the analysis, to understand and "own" the tools and to be creative together in finding solutions**. If the intention of site-level work is to design activities and lessons that endure in time and can be spread in space, the design cannot be something prepared by LEAF and merely validated with stakeholders. Rather, site-level work must involve the key stakeholders from the beginning. The real value of LEAF's site-level work is that only at the site level can the technical requirements for carbon management (which include both the tools needed to gather information and the stakeholder agreement on specific actions) be opened up to the opportunity for participation. LEAF's challenge is to ensure a fit between people and technology. LEAF should take full advantage of its portfolio of "demonstration" sites to:

  - Test "proof of principle" for the involvement of local stakeholders with different levels of skill, knowledge and formal or informal education in applying MRV, SES, economic valuation and related tools;
  - Adapt the MRV, SES and valuation tools and training to the different skill and experience levels of practitioners and stakeholders working together within their respective enabling and incentive (policy and market) environments;

– **The site documents should also bring partners together around baseline and monitoring information as a tool for planning and action, and—at the regional level—learning across sites.**

  LEAF should bring partners together around initial baseline and monitoring information, which can be used as a springboard for further planning, information gathering, action and evaluation. LEAF's site-level work should take existing information and work locally to improve baselines and monitoring information as needed for action and evaluation. Site-level work may also enable downscaling LEAF's technical analysis (e.g., the "South and Southeast Asia REDD+ Atlas" that LEAF used to select sites, which already contains data and analysis down to the province level). LEAF should apply MRV across all areas of baseline and performance, including:

  - Beyond REDD+, across multiple forest/land resources/uses,
  - Within REDD+, for both carbon and SES measures, and
  - Individual and institutional capacity building, including the structures and processes of PES and multi-level, multi-stakeholder engagement.

LEAF should also help facilitate agreement on (standardization of) tools and protocols for MRV and valuation across sites and countries.

- **LEAF should finalize institutional assessments and set milestones.**

  LEAF should design the assessments so that a local consultant collaborates fully with the country manager and the implementing team of partners that is being formed at each demonstration site, and applies a standard, yet locally adapted, approach to self-assessment. Ideally, each partner institution selected for strengthening should be responsible for its own self-assessment (vision and mission, strategies, policies and procedures), human resources, awareness, service provision, et alia (see LEAF PMP, p. 15). LEAF should identify key local collaborating partner institutions in PNG and Lao PDR and facilitate self-assessments as soon as practicable.

Regional Recommendations

Stakeholder Engagement and Regional Harmonization

- The LEAF Program should consolidate its regional platform work to maximize impact in the remaining two plus years of implementation. To increase effectiveness, impact and sustainability, the emphases need to be on (a) supporting platforms that actively engage regional stakeholders, in particular the ARKN-FCC and MFF; (b) sharing the Vietnam REDD+ and PFES lessons widely—and further lessons as these emerge from LEAF's other demonstration sites; and (c) facilitating and supporting informal networks of stakeholders engaged on priority issues at LEAF's demonstration sites.

  LEAF should facilitate regional cross-learning, grounded in the experience of particular sites, among its diverse collaborating stakeholders at multiple (sub-national and national) levels. Such cross-learning should include contributions to more systematic REDD+ baseline data and standardized tools, through continued *deeper* collaboration with other donors active at its demonstration sites and *wider* coordination with other sustainable landscape programs throughout the region. This may include joint learning activities with other USAID projects, e.g., in Indonesia and India, and other donor programs addressing those drivers and issues that are prioritized at LEAF's sites. Both site-based adaptive learning and the associated regional exchanges should include the academic stakeholders who have been collaborating on the (to date rather "ungrounded") curriculum development activity. LEAF should build on the strengths of "helping factors" noted earlier, e.g., the comparatively better trained and more experienced partner staff in Vietnam, its excellent in-country staff and its positive partner and stakeholder relationships.

  At the regional level, LEAF should coordinate with USG to initiate engagement with ASW, LMI and the Asia LEDS Partnership. Engagement should be targeted and concentrated as discussed in the text above on LEAF-related issues. FLEGT and the Lacey Act may be important points of entry in work on the ASW.

  Given USAID's new rules on use of Sustainable Landscape funding, LEAF should look at regional commodity trade, investments by Asian-based companies and other cross-border drivers of agricultural emissions. This could also potentially bring in the private sector involvement of businesses trading agricultural commodities and interested in links to sustainability, such as for low-methane rice cultivation, no-till agriculture or reduced fertilizer use.

Capacity Building

- **LEAF should carry out the remaining regional events in collaboration with regional platform partners, serving less and less as a "hub" and increasingly as a facilitator of**

emerging networks around the specific issues and themes that its collaborations in each country have found of highest priority. LEAF should build on the experience and nascent relationships with curriculum development partners to strengthen learning (and learning networks) among site stakeholders and to continue to strengthen and explore sustainable structures and processes for decentralized (non-"hub," including site-to-site) regional and sub-regional exchange of learning as tools are applied at different sites.

- **LEAF should develop within regional partners the capacities to carry out LEAF's "modes" of "applying international technical expertise to inform regional dialogue" and "supporting the exchange and standardization of approaches."** This could include developing mechanisms for partners to access and work with experts directly and accompanying partners as they design and carry out workshops (as noted above), design terms of reference in response to priority issues that emerge from site-based work and organize peer reviews of proposed approaches.

- **LEAF should adopt as fully as possible under the terms of its cooperative agreement USAID's Forward principles that strengthen partners' roles and utilization of training through follow-up and networks of knowledge management and communities of practice among participants.**

  To the degree practicable, LEAF should carry out activities through local partners. Regional events should draw directly on and encourage the adaptive learning and exchange that will be developed at sites and continued after training events. Nonetheless, LEAF should continue to seek out and include relevant experience from non-"LEAF" sites and among other partners to analyze, synthesize and disseminate broadly within LEAF partner countries' organizations and relevant non-LEAF country organizations, using their regional platform partners and their own website.

- **LEAF should document and track how the program is supporting the emergence of a critical mass of experts in each targeted country.**

  Information should be collected and analyzed on whether and how training participants are applying their new knowledge.

- **LEAF should increase exchanges of learning from the Vietnam REDD+ and PFES**

  The advances in REDD+ and PFES indicated above translate into many opportunities for LEAF to support the exchange of information and visits from other LEAF country partners to Vietnam and LEAF Vietnamese partners to other LEAF countries. More should be done to both support improved success in Vietnam and expand the knowledge available in the region on Vietnam's performance. Detailed discussion in above sections identifies how LEAF could contribute in Vietnam and how it could disseminate lessons.

- **LEAF should simplify REDD+ concepts, models and tools for use by the full range of stakeholders.**

  These simplified versions of its models and tools should be translated into local languages and cultural concepts by LEAF's local partners as they work with local stakeholders. Learning how to adapt and apply basic principles and best practices from international experience will take time. Although inefficient, the direct experience of learning-by-doing will likely increase site stakeholders' understanding more than additional formal trainings. These learning activities should be carried out in collaboration with local leaders and women, youth and ethnic minorities at each site.

- **LEAF should support curriculum development in universities in rolling out the curriculum development modules for site-based application and testing in all countries to enhance visibility and ownership of the four modules, including a roll-out of condensed versions for senior-level decision makers** (see following recommendation).

  As noted above, wherever practicable, LEAF should carry out such activities through local partners and should integrate the universities more directly as members of LEAF's nascent site-based and national teams of partners and/or stakeholder working groups.

- **LEAF should structure opportunities as soon as possible for major government, civil society and private sector decision-makers to experience condensed versions of the modules to enhance their understanding of and commitment to key issues and actions.**

  LEAF should take full advantage of the opportunities at demonstration sites to identify and involve private firms, in particular, whose decisions are affecting the priority forest and land use changes linked with emission reduction.

Gender

- **LEAF should provide additional short-term technical assistance (STTA) for two purposes:**

  1) **To provide periodic post-training coaching to LEAF participants** that complete the in-country training on Gender Integrated Planning for REDD. This coaching work is essential as applying gender integration or often gets stalled after training once an individual encounters resistance. The STTA could support post-training learning application with additional input, feedback and even additional one-on-one training if needed.
  2) **To address specific research topics**, the STTA could support investigating unintended consequences of increased household incomes such as gender-based violence, or other specific concerns like human trafficking that are reported as factors that need consideration in the activities focused on emissions reduction.

  Additionally, related to gender, *if requested by Vietnamese authorities*, **LEAF should support efforts to understand and document the ways that PFES participation and benefits** differentially involve and affect women and men and how the payments affect household economic, power and social relations, as well as how gender plays a part in resource tenure. All need to be examined and factored into continued PFES implementation.

- **LEAF's Climate Change Curriculum initiatives' modules should effectively address gender, youth and ethnic inclusion and deficiencies.** All four modules require revision to ensure that the impacts of climate change and improved forest management include differential effects on all those groups.
- **LEAF's demonstration sites require a complete diagnosis and clear strategy for taking account of local reality and needs, gender differences related to equality and female empowerment.** They should be central to the analysis.
- **LEAF should develop specific indicators to track any changes to the gap between males and females and the engagement of women.**
- **LEAF should seek to understand women's and men's roles, impacts and potentials for engagement in improved forest management, enhanced livelihoods and reduced GHG emissions.** Low-emissions development must include gender dimensions as an essential analytic and implementation building block.

Country Recommendations

LEAF demonstration site work should continue to provide essential perspectives and balance to regional emphases and to provide specific ground-level experiences in improved management related to REDD+. In the case of Vietnam, the demonstration sites offer global as well as regional lessons and historic opportunities on all key LEAF and indeed USAID, USG and international forest and climate objectives.

Vietnam

- **LEAF should invest all needed resources in Vietnam to support P-RAP in Lam Dong and, as possible, with other provinces, with capacity building for forestry and gender.** If requested, LEAF should support the strengthening of the N-RAP.

  If requested, **LEAF should support PFES system strengthening on monitoring improved forest management and household impact monitoring, including understanding gender dynamics in benefit distribution.** This would include monitoring forest management and household impact in more local jurisdictions or watershed

- **LEAF should continue its work in Nghe Anh on alternative livelihoods relative to REDD+ with attention to gender differences.** VFD and LEAF staff all called for this continued contribution.

Papua New Guinea

- **LEAF should fully support its planned collaboration with TNC and the provincial government**, together with CSOs and CBOs, to strengthen and replicate participatory land use planning and REDD+ activities in Madang province of PNG.
- **LEAF should link experience and lessons to national stakeholder fora**. In the meantime, LEAF should engage selected individuals who have received training to take part in site-based activities. LEAF should support the participation of CSO and CBO leaders in regional fora and exchanges, in addition to government, NGO and academic leaders (who have been the principal participants to date).

Lao PDR

- **LEAF should invest all needed resources in Lao PDR to develop its MOU with MoNRE, if and when requested, and help build its capacity.**
- **LEAF should continue to strengthen forest laws and regulation and REDD+ planning at the jurisdictional level** (provinces).
- **LEAF should continue field demonstration site activities in Attapeu and Houapanh to a logical conclusion in advancing REDD+ development at the site level.**

Thailand

- **LEAF should support multi-stakeholder engagement through the national and site-level steering committees and site-level activities.** At the MSKM MAB site, LEAF should help strengthen capacities, including structures and processes as well as tools and skills, for PES system monitoring of forest management, including fire control and non-carbon values such as water quality, and household impact in all of the local jurisdictions and subwatersheds, including understanding gender dynamics in benefit distribution. As a site-based model is developed well at MSKM MAB site, the model should be extended, building on the multi-site workshop concept already begun. LEAF should continue to help in northern Thailand with advice on monitoring and technical capacity building for PFES.

- **LEAF should highlight the significant contributions that each demonstration site can make to enhance impact, effectiveness and sustainability.**
- **LEAF should organize the demonstration sites into sites with comparable (although not necessarily identical) characteristics as learning platforms** for applying key climate change concepts and tools, linked with a network of university and stakeholder agencies.
- **LEAF should build on the curriculum development participants' experience** as a network and integrate them into LEAF's demonstration site activities with local stakeholders.
- **LEAF should continue to support more fruitful engagement between the state and civil society on REDD readiness,** coordinating with international partners active in Thailand to help strengthen common understanding and longer-term vision across sectors.

Malaysia

- **LEAF should limit its activities to sites where state-level agreements are in place**. This includes FRIM in Pahang State and the Peatland restoration activity with GEC in Selangor. Through the latter partnership, LEAF should explore alternative ways to engage with ASEAN, including multiple stakeholder working groups.
- **LEAF should suspend site-based activities in Sabah**, Malaysia until state-level agreements are in place. If an agreement is signed, LEAF should identify additional local partners with which to collaborate, to ensure that the capacity for engagement across sectors is strengthened. If an agreement is signed, LEAF should also explore more fully WWF's and other partners' longer-term relationships with the Sabah forest department to identify significant lessons and opportunities for aligning collaboration more effectively.

Cambodia

- **LEAF activity should be limited to curriculum development and perhaps limited policy support on gender and drivers.** Support for participation of Cambodians in LEAF regional events is useful, but care should be applied to ensure that participants effectively learn and apply training to their work through consistent LEAF and other USAID follow-up and tracking.

ANNEXES

ANNEX 1: EVALUATION STATEMENT OF WORK

MID-TERM PERFORMANCE EVALUATION OF LOWERING EMISSIONS IN ASIA'S FORESTS (LEAF) PROGRAM

I. BACKGROUND INFORMATION

A) Identifying Information

1. Program:	Lowering Emissions in Asia's Forests (LEAF)
2. Award Number:	CA-AID-486-A-11-00005
3. Award Dates:	1/20/2011 – 1/19/2016
4. Funding:	$20,791,272
5: Implementer:	Winrock International
6: AOR/alternate AOR:	Barry Flaming / Danielle Tedesco

The LEAF program is implemented by Winrock International (henceforth "Winrock") together with SNV – the Netherlands Development Organisation, Climate Focus, and The Center for People and Forests (RECOFTC). A five-year cooperative agreement was awarded on January 20, 2011 for the activity under the working title "Asia Regional Sustainable Landscapes Program." Winrock added The Center for People and Forests (RECOFTC, Regional Community Forestry Training Center) as a formal partner in October 2012. In December 2012, a program expansion was approved with an additional $800,000 to formally include gender integration activities into the program.

B) Development Context

1. Background and USAID's Response

Climate change is one of the century's greatest challenges, and low-carbon, climate-resilient growth has become a top priority for US Government (USG) development assistance and diplomacy. The Asia region is central to US and international efforts to address global climate change due to: its significant and growing share of global greenhouse gas emissions; dependence on climate-sensitive livelihoods such as agriculture, fisheries, forestry, and tourism; and high physical vulnerabilities. To avoid the worst impacts, global carbon emissions must be halved from today's levels within a period of 40 years, requiring an unprecedented transition to clean energy and dramatic reductions in deforestation rates. Deforestation and land use change are estimated to account for a significant proportion of total global emissions,[43] with over half of this originating in Asia where land-based carbon emissions represent one of the largest sources in the national emissions profiles of many developing nations.

[43] The Intergovernmental Panel on Climate Change has estimated this contribution at approximately 14-17%. IPCC. 2007. Climate Change 2007: Mitigation. Contribution of Working Group III to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change. B. Metz, O.R. Davidson, P.R. Bosch, R. Dave, L.A. Meyer (eds.), Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA.

Political momentum for addressing deforestation has grown dramatically, beginning in December 2007 when the United Nations Framework Convention on Climate Change (UNFCCC) Conference of the Parties (COP) in Bali firmly placed forests on the international political climate change agenda by including Reducing Emissions from Deforestation and forest Degradation (REDD) as a major component of the Bali Roadmap. Over the last several years, the concept has broadened from avoided deforestation and forest degradation to include a wider range of forest sector opportunities (including sustainable forest management, forest conservation, and enhancement of forest carbon stocks), and is now referred to as REDD-plus (REDD+). In December 2009, the Copenhagen Accord strongly recognized the significant mitigation role of forests and called for "the immediate establishment of a mechanism including REDD+, to enable the mobilization of financial resources from developed countries." The ongoing negotiations are encouraging developing nations to support and participate in a new international framework that would provide financial incentives for protecting and enhancing globally-important forest carbon stocks. In support of the Copenhagen Accord, the United States Government made a commitment of $1 billion over three years (2010-2012) under its Global Climate Change Initiative to support reduced emissions and increased sequestration related to forests.

The Asia region's extensive forest resources cover about 26% of the total land area[44] and, in addition to carbon storage, provide a wide range of important environmental services for the 900 million people[45] that depend upon them directly for their livelihoods and survival. Asia's forests provide habitat for the region's rich terrestrial biodiversity and also help to maintain important watersheds, such as in the Mekong River basin, upon which tens of millions of people depend. However, despite their intrinsic, economic, and societal values, natural forests in Asia continue to disappear at high rates due to a combination of myriad threats, including conversion to agriculture and plantations, illegal logging, unsustainable extraction of timber and other forest resources, changing climatic conditions, infrastructure development, and urbanization. Forest degradation—unsustainable harvesting and land-use practices such as selective logging, fuel wood gathering, forest fires and other anthropogenic disturbances—has also contributed to substantial reductions in forest carbon stocks.

The forestry and land use sector is a significant source of Southeast Asia's current and projected greenhouse gas (GHG) emissions and is seen as having significant potential for achieving cost-effective emissions reductions. Achieving this will require widespread behavior change to minimize carbon losses through deforestation and degradation and maximize carbon storage on the landscape, and will be complicated by growing pressures on land resources resulting from population growth, consumption patterns, and climate uncertainties. The USG interagency climate change strategy identifies the development challenge as a "transition towards land use practices that store and sequester more carbon than was occurring under previous land use patterns, while maintaining a country's ability to produce food and conserve land that provides environmental services such as clean water, biodiversity, and cultural and recreational uses" and to "promote land and forest uses that reduce greenhouse gas emissions; conserve land and forested areas that are storing significant amounts of carbon; provide sound governance of land and forest areas to reduce emissions; and provide economic alternatives to

[44] FAO, Asia-Pacific Forestry Outlook Study, 2010.
[45] Chao, S. 2012. Forest Peoples: Numbers across the World. Forest Peoples Programme.

wide-spread forest clearing."[46] Slowing deforestation and ensuring the sustainable management of forests in the region is therefore one of the most urgent tasks for climate change policy, investment, and action.

In 2010, USAID's Regional Development Mission for Asia (USAID/RDMA) conducted an Asia Regional REDD Program Planning Assessment (http://www.usaid.gov/rdma/programs/en.html) to identify regional opportunities and challenges related to climate change mitigation in the forestry-land use sector. The assessment indicated that there is considerable potential in Asia for meaningful emissions reductions as a result of improved land use practices; however, current capacities were generally found to be quite low and disparate among countries in the region. Certain aspects of REDD+ implementation and capacity building can benefit from regional cooperation and may be more cost-effectively addressed through regional approaches, including the dissemination and use of international methodologies and standards for greenhouse gas accounting and estimation. Countries in particular geographic regions share common implementation challenges due to shared histories, linked economic systems and drivers, and similar forest ecosystem types. Regional cooperation would also help to address issues of transboundary leakage, whereby forest protection in one location is simply transferred as deforestation to another location, often across national borders. A number of countries have publicly expressed interest in regional cooperation on REDD+ to address common challenges in dealing with methodological issues as well as addressing international leakage concerns. In order for REDD+ to be successful, the fundamental problems that have impeded sound forest management in much of Asia—poor land use planning, unclear land tenure, perverse economic incentives, weak governance and law enforcement, corruption, and lack of community participation—still remain and will need to be overcome.

In response to this development challenge and in support of the USG's Global Climate Change Initiative, USAID/RDMA launched the Lowering Emissions in Asia's Forests (LEAF) program in 2011 to support developing countries to implement low carbon land use practices and strengthen capacities to mitigate climate change through improved forest management. The overall **goal** of the LEAF Program is to strengthen capacities of developing countries in the Asia region to produce meaningful and sustainable reductions in greenhouse gas emissions from the forestry-land use sector, this allowing them to be able to benefit from the emerging international REDD+ framework. Under the LEAF program, this goal is to be achieved through the following four specific **objectives**:

1. *Replicate and Scale-up Innovation through Regional Platforms and Partnerships*
2. *Establish Policy and Market Incentives for Greenhouse Gas Reductions*
3. *Build and Institutionalize Technical Capacity for Economic Valuation of Forest Ecosystem Services and Monitoring Changes in Forest Carbon Stocks*
4. *Demonstrate Innovation in Sustainable Land Management*

REDD+ is a new, complex, and constantly evolving process. A number of other donors and development partners are actively supporting national REDD+ programs and pilot activities globally and in Asia, including Norway, the UN-REDD Programme, the World Bank, the Asian Development Bank (ADB), Japan International Cooperation Agency (JICA), Germany (GIZ - Gesellschaft fuer Internationale Zusammenarbeit GmbH and KfW - Kreditanstalt für Wiederaufbau), and others. Since the LEAF program has begun implementation, a number of new USAID programs have also been established, including notably in Indonesia, the Philippines, India, Nepal, Cambodia, Vietnam, and the Pacific region

[46] FY11.International Climate and Clean Energy Budget Request, November 27, 2009 draft, page 36.

(Papua New Guinea). USAID/RDMA also supports the regional Low Emissions Asian Development (LEAD) program supporting developing country capacities in greenhouse gas inventories, market readiness and low emissions development strategies (LEDS). LEAF and LEAD contribute to the U.S. Government's global initiative for Enhancing Capacity for Low Emissions Development Strategies. In addition, USAID supports a number of relevant global programs, including SilvaCarbon; Forest Carbon, Markets and Communities; and the Sustainable Wetlands Adaptation and Mitigation Program (SWAMP), which also collaborate with USAID/RDMA regional programs.

2. Target Areas and Groups

LEAF activities are focused primarily in the four Lower Mekong countries (Cambodia, Laos, Thailand, and Vietnam) as well as Malaysia and Papua New Guinea (PNG) (see map below). Program activities may potentially engage with an additional six countries in the region (Bangladesh, Bhutan, India, Indonesia, Nepal, and the Philippines) to share and replicate best practices and innovations

LEAF's target beneficiaries include regional organizations and initiatives, national and sub-national government agencies, forest managers, university professors, and communities. Under Objective 1, LEAF partners with regional organizations and initiatives to share lessons learned and scale up innovations, including the UN-REDD Programme (UNDP, UNEP, and FAO), the Asian Development Bank's Greater Mekong Subregion program (ADB/GMS), Mangroves for the Future (MFF), Forest Carbon Asia (FCA), the REDD-Desk, and others. Activities under Objective 2 focus on national policy makers and regional organizations such as the ASEAN Regional Knowledge Network for Forestry and Climate Change. Objective 3 has a two-track focus involving: a) capacity building for national and sub-national government REDD+ task forces, and b) curriculum development for forest and climate change training with university professors. Objective 4 involves demonstration activities at the sub-national level, targeting forest managers, local government agencies, and communities. These include jurisdictional-level activities in Lam Dong and Nghe An provinces in Vietnam; Houaphanh and Attapeu provinces in Laos; Chiang Mai and Ranong provinces in Thailand; Madang province in PNG; and the States of Sabah and Pahang in Malaysia. LEAF is not implementing field demonstration activities in Cambodia due to the USAID-funded SFB Program operating there, but is engaging Cambodian participants through regional training and capacity building activities under the other LEAF objectives.

C) Approach and Intended Results

LEAF's development hypothesis is that employing a regional learning-by-doing approach working across sub-national, national, and regional levels will strengthen developing country capacities to reduce

greenhouse gas emissions from the forestry-land use sector, providing tangible benefits in terms of climate mitigation, improved forest management, and strengthened livelihoods and allowing developing countries to be able to benefit from the international REDD+ framework.

The multi-faceted, learning-by-doing approach aims to directly build local capacities to plan and implement improved forest management and REDD+ programs. Working at the sub-national level in forest areas is intended to result in measurable improvements in forest land management, GHG emissions reductions, and local livelihoods. Linking sub-national activities to national policy development will help strengthen enabling conditions for sustained emissions reductions and low carbon development. Through partnering with regional organizations and platforms, innovations and best practices will be shared widely across the region for replication and scaling up. Taken together, the program's approach is expected to lead to measurable and sustainable improvements in forest management and resulting emissions reductions, while helping countries put in place the systems and processes needed to participate in and benefit from the international REDD+ framework.

Overall, the following results are expected to be achieved through the five-year timeframe of the LEAF Program:

- National REDD+ policy, planning, and institutional frameworks at the national, sub-national, and/or local levels are being strengthened to support improved and equitable land management in at least four countries;
- At least three million tons per year of GHG emissions reduced or avoided;
- At least one million hectares of forest lands under improved management;
- Replication of best practices, models, and methodologies in at least six countries; and
- At least $5 million in domestic and international finances are invested in forest environmental services.

The LEAF program's results framework (Figure 1, below) outlines the program and was developed as part of the program's performance management plan (PMP).

D) Implementation

In working to achieve the program goal to strengthen capacities of developing countries in the Asia region to produce meaningful and sustainable reductions in greenhouse gas emissions from the forestry-land use sector, LEAF is implementing a range of activities across its four objectives. To implement the program, principle partner Winrock has assembled a consortium of partner organizations with specific skills and roles to play. Specifically, SNV is recognized for its expertise in community forestry, rural development, livelihoods, and local renewable energy and is leading implementation of activities in Vietnam and Laos where it has a long-established presence. Climate Focus is a leader in climate policy development and is leading policy activities under LEAF Objective 1. New consortium partner RECOFTC is contributing to capacity training and curriculum development as well as assisting with program activities in Thailand. In addition, the U.S. Forest Service is providing some targeted technical assistance to the LEAF program through separate, direct funding from USAID/RDMA related to forest monitoring, curriculum development, and land use planning.

Some illustrative activities being supported by the program to date, organized by program objective, are as follows:

1. Replicate and Scale-up Innovation through Regional Platforms and Partnerships

- Supporting Forest Carbon Asia and The REDD Desk as priority platforms for sharing models, tools, and innovations

- Supporting the ASEAN Regional Knowledge Network for Forestry and Climate Change to serve as a sustainable regional platform for policy dialogue and collaboration between member states
- Establishing regional collaborative partnerships with the UN-REDD Programme, ADB/GMS, MFF, and others
- Co-leading a joint initiative for promoting greater gender equality in forest management policy and practice in collaboration with UN-REDD and Women Organizing for Change in Agriculture and Natural Resources (WOCAN)

2. Establish Policy and Market Incentives for Greenhouse Gas Reductions

- Supporting ASEAN regional guidelines for the establishment of forest emissions baselines
- Assisting Laos in revising its national forestry law
- Integrating forest carbon as an environmental service under Vietnam's 'Decree 99'

3. Build and Institutionalize Technical Capacity for Economic Valuation of Forest Ecosystem Services and Monitoring Changes in Forest Carbon Stocks

- Providing training on forest carbon measurement and monitoring
- Regional training of national REDD+ Task Forces and Technical Working Groups
- National and subnational trainings on reference level development for the forestry-land use sector
- Forestry and climate change curriculum development with Mekong university professors

4. Demonstrate Innovation in Sustainable Land Management

- Developing sub-national low emission development strategies (REDD+ Action Plans)
- Designing benefit sharing systems and analyzing incentives for scaling up innovations with regional platforms and partners
- Developing an operational framework for Participatory Carbon Monitoring

In addition to its formal program partners, LEAF has also participated in USAID/RDMA's *Students with Solutions* mobile phone application contest and co-hosted an Asia regional training event on social and environmental soundness with USAID Washington's Forest Carbon, Markets, and Communities (FCMC) program. LEAF has also collaborated with USAID/RDMA's Low Emissions Asian Development (LEAD) program on regional capacity building for low emission land use planning for the forestry and land use sectors.

In November 2012, a program expansion was approved with an additional $800,000 to formally support a dedicated gender advisor and include additional gender integration activities into the program.

Implementation methods and partners are thoroughly detailed in the cooperative agreement, annual work plans, and annual reports.

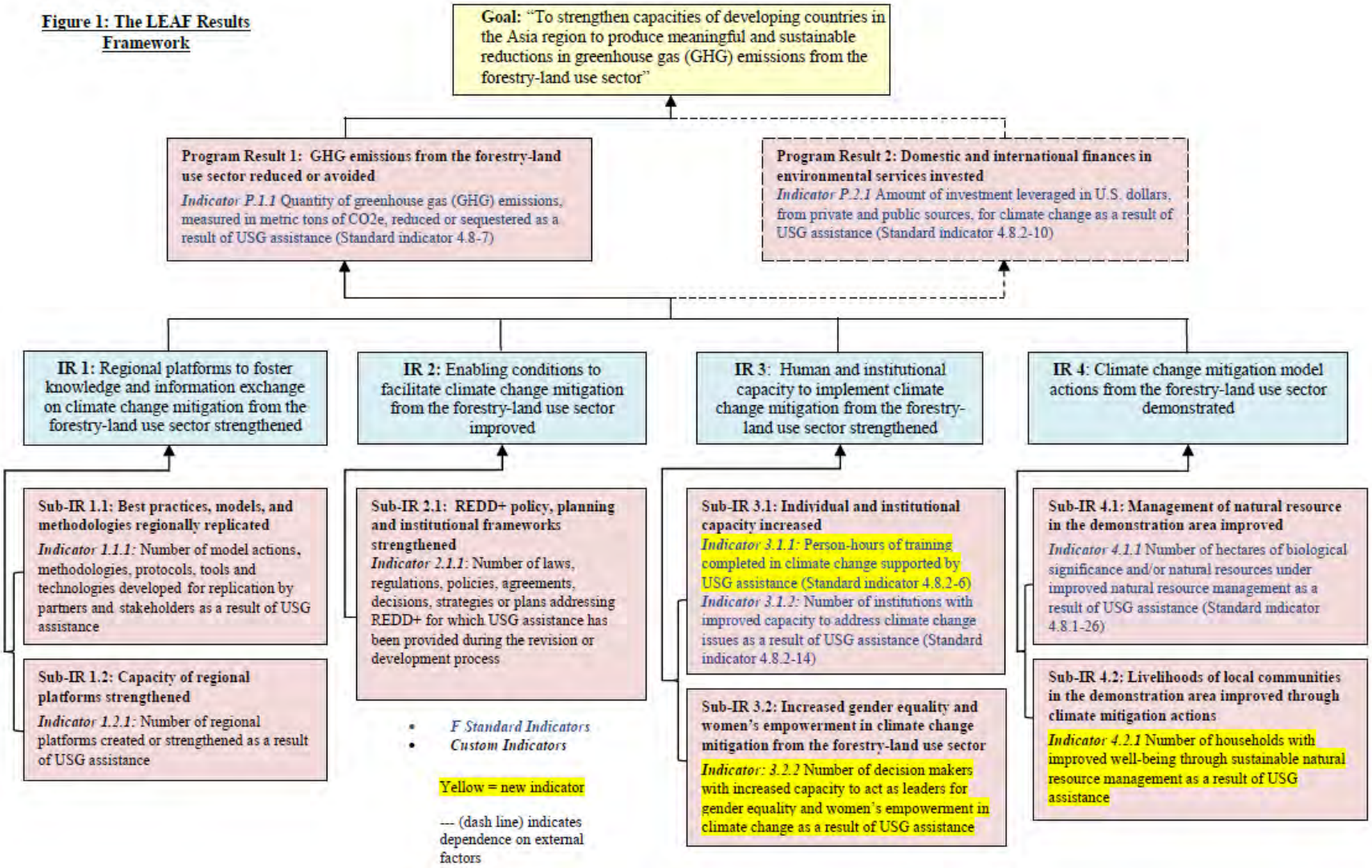

Figure 1. LEAF Results Framework (This is the updated Results Framework, shared with the Evaluation Team in June 2013)

E) Existing Data

A variety of program-related documents are available and will be provided to the Contractor upon award:

- Strategic Choices for United States Fast Start Financing for REDD+. October 2010.
- U.S. REDD+ Programs: Addressing Climate Change by Conserving and Restoring the World's Forests. December 2010. (http://transition.usaid.gov/our_work/environment/climate/policies_prog/redd.html)
- USAID Climate Change and Development Strategy, January 2012.
- (http://transition.usaid.gov/our_work/policy_planning_and_learning/documents/GCCS.pdf)
- Asia Regional REDD Program Planning Assessment, 2010 (http://www.usaid.gov/rdma/programs/en.html)
- LEAF cooperative agreement and program description
- LEAF annual work plans (FY11, FY12, FY13)
- LEAF Performance Management Plan (PMP) – versions 1.0 and 2.0
- Quarterly and Annual reports
- LEAF tools and technical reports (many available at: http://www.leafasia.org/ and Forest Carbon Asia - http://www.forestcarbonasia.org/publications/tools/)
- USAID. 2011. "Getting REDD+ Right for Women: An analysis of the barriers and opportunities for women's participation in the REDD+ sector in Asia"
- Request for Applications for: Supporting Forests and Biodiversity (SFB) Program, USAID/Cambodia; Vietnam Forests and Deltas (VFD) Program, USAID/Vietnam; and Mangrove Rehabilitation for Sustainably-Managed, Healthy Forests (MARSH) Program, USAID/Pacific
- USAID/RDMA-funded Low Emissions Asian Development (LEAD) program documents
- USAID/RDMA/REO Global Climate Change Data Quality Assessment report

From July to October 2012, USAID/RDMA undertook a data quality assessment of key standard indicators being used to monitor performance across all of its implementing partners under its entire Global Climate Change (GCC) portfolio. The report findings, conclusions, and recommendations provide useful insights into the status of performance management for USAID/RDMA's climate change programs, including LEAF.

II. EVALUATION RATIONALE

A) Evaluation Purpose

USAID/RDMA's Regional Environment Office (REO) is The Contractor must achieve the following three objectives in conducting a mid-term performance evaluation of the LEAF program:

1) Assess progress to date towards agreed program objectives and under each of the four intermediate results;
2) Identify implementation challenges, corrective actions needed and/or areas for improvement related to program management and progress towards achieving expected results for the duration of the program period; and
3) Recommend specific opportunities to enhance programmatic effectiveness and impact at the regional level and further strengthen the regional cohesive approach of the program.

The scope of the mid-term performance evaluation must encompass all the key activities that contribute to the achievement of the LEAF program's overall goal and objectives. The Contractor must provide data-based evidence in support of the evaluation findings. The mid-term evaluation will be used to improve the performance of the second half of the program and make necessary adjustments to enhance

the measurement of outcomes when the program is complete. The evaluation is also expected to be of use to donors, NGOs, host country governments, and other USAID missions working to address REDD+ issues inside and outside of Southeast Asia.

B) Audience and Intended Uses

USAID, implementing partners, USG program partners, NGOs, and participating host country government agencies are the primary stakeholders for the evaluation. Bilateral USAID Missions in Asia, USAID/Washington, and the U.S. Forest Service will take a particular interest in any lessons for success, as well as USAID's E3 bureau, who will be able to disseminate evaluation findings to missions with similar programs. NGOs and multilateral organizations operating in this sphere (such as for example, The Nature Conservancy, Wildlife Conservation Society, WWF, UN-REDD, the Asian Development Bank) would also benefit from reviewing evaluation results, which may help identify REDD+ implementation challenges and best practices. Specific USAID missions in the region which will be interested in the findings of this evaluation include Indonesia, the Philippines, India, Nepal, Cambodia, Vietnam, and the Pacific region (Papua New Guinea).

This table summarizes how these audiences will or could use the evaluation results.

Evaluation Task	Principle Information Users
Assess progress to date towards agreed program objectives and intermediate results	USAID/RDMA, implementing partners, participating host country partners
Identify implementation challenges, corrective actions needed and/or areas for improvement related to program management and progress towards achieving expected results for the duration of the program period	USAID/RDMA, implementing partners, participating host country partners
Recommend specific opportunities to enhance programmatic effectiveness and impact at the regional level and strengthen the regional cohesive approach of the program.	USAID/RDMA, implementing partners, NGOs, USAID bilateral Missions, participating host country partners

C) Evaluation Questions

The Contractor must answer the following three questions in the evaluation.

1) To what extent are the program's objectives, intermediate results, and performance indicator targets being achieved since its inception to date?
2) What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement and what adjustments, corrective actions, and/or areas for improvement are needed to ensure progress towards achieving expected results during the duration of the program?
3) What specific opportunities exist to enhance programmatic effectiveness, impact, and sustainability at the regional level (in particular in relation to relevant bilateral USAID programming), and to further strengthen the regional cohesive approach of the program?

The evaluation questions were reworked by the Evaluation Team, and approved by RDMA in the Inception Report, submitted July 2013. The Team broke question 2 and 3 into two different questions each, with the below final Evaluation Questions:

Question 1. To what extent are the program's objectives, intermediate results, and performance indicator targets being achieved since its inception to date?

Question 2. What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement?

Question 3. What adjustments, corrective actions, and/or areas for improvement are needed to ensure progress towards achieving expected results during the duration of the program?

Question 4. What specific opportunities exist to enhance programmatic effectiveness, impact, and sustainability at the regional level (in particular in relation to relevant bilateral USAID programming)?

Question 5. What specific opportunities exist to further strengthen the regional cohesive approach of the program?

III. EVALUATION DESIGN AND METHODOLOGY

A) Evaluation Design

Following the award, additional sub-questions for each of the three main evaluation questions will be provided to the Contractor for consideration and further discussion. The Contractor's conceptual approach used to answer these questions must focus on actual results and expected targets, key informant interviews, site visits, and consultations with relevant stakeholders.

The Contractor's consultants will examine the current and past performance of LEAF from the start of the agreement through the evaluation period. The consultants should have no direct association to the project or to any of its implementing partners. While the evaluation should address past performance, in the Contractor must also provide forward-looking recommendations on possible strategies for improving the second half of the program and accelerating regional efforts to slow, halt, and reverse trends in deforestation and associated carbon emissions. Suggested areas to be more focused or expanded will be useful in order to achieve expected outcomes. The Contractor's evaluation must also address gender implications as a way to promote gender equality in forest management.

The Contractor's consultants are required to gather information on the program, analyze that information, and provide answers to the key evaluation questions.

The Contractor's consultants are to work in conjunction with other team members to plan and implement the proposed evaluation. USAID/RDMA and the full evaluation team will be involved with design, planning, and logistics, but the consultants are expected to provide the leadership and direction, as well as having the final responsibility for all evaluation duties and deliverables.

B) Data Collection and Analysis Methods

The Contractor's independent external consultants, is required to evaluate this multi-faceted program in a timely manner across a six-country region. Data requirements, collection methods, and required analyses will be determined by the Contractor in collaboration with USAID/RDMA and under the direction of the Contractor's independent team leader (not affiliated with USAID or the program). Consistent with ADS 203.3.1.6 guidance on evaluation methodologies, a combination of **quantitative and qualitative methods** in data collection and analysis must be employed by the Contractor in the process. A **triangulation method** should be applied by the Contractor to increase level of validity in data collection and processing of results. Details on final datasets, collection methods (including interview questions, questionnaire form and key informants to be interviewed), and analytical framework(s) will be approved by the TOCOR as part of initial work plan approval. The Contractor must disaggregate data by sex, where relevant, and level of intervention (regional; national/country; and sub-national). National/country level data will be particularly important for the six countries where LEAF

is primarily focused (Cambodia, Laos, Thailand, Vietnam, Malaysia and Papua New Guinea), with a particular emphasis on the three countries where bilateral USAID Missions have related programming (Cambodia, Vietnam, and PNG) in order to ensure that LEAF's regional efforts are synergistic and adding value to those bilateral programs.

The Contractor must begin its data collection with a desk study of existing documents and information, followed by consultations with key stakeholders in the Asia region to further refine the implementation approach. This will be followed by interviews of partners, stakeholders, and beneficiaries in the program's target countries, and potentially other countries as appropriate. Details on these illustrative approaches and the evaluation questions they are anticipated to help answer are provided in the table below.

Data Collection and Analysis Methods	Question(s) Answered
Desk Study: Review existing documents and information listed in section 1.E. above. Work with USAID/RDMA to acquire additional documents and information as needed, and prioritize primary data collection where gaps remain.	1, 2, 3 Also serves a planning role
Internal Consultations: Meet or conference call with key stakeholders in Washington and Southeast Asia for recommendations on specific areas of consideration. These may include but are not limited to USAID/RDMA, Asia Bureau, E3 Bureau, relevant USAID missions (e.g. Cambodia, Vietnam, Pacific) and the US Forest Service. This is separate from the survey or interview process by which data may be collected among some of the same stakeholders.	1, 2, 3 Also serves a planning role
External Interviews and Focus Group Discussions: In-person interviews and focus group discussions with program implementing partners, collaborating partners, program beneficiaries, and USAID bilateral missions will allow for a range of perspectives and give depth to the evaluation. Such consultations will be limited to individuals and organizations in the program's target region, to be prioritized based on mission and other stakeholder consultation, drawing from the range of stakeholders the program is engaged with. USAID/RDMA will provide a preliminary list of stakeholders to the evaluation team, to be finalized in conjunction with RDMA. Stakeholders may include but are not limited to: (a) implementing partner headquarter and field staff; (b) cooperating country government staff, focusing on the six LEAF target countries and those directly involved in REDD+ efforts; (c) staff and implementing partners of USAID/RDMA and other USAID missions and programs which have engaged or could engage with LEAF; (d) USG Federal Agency Partner staff including the USFS and USGS; (e) staff of multilateral organizations and development partners such as ADB, World Bank, UN agencies, JICA, GiZ, etc.; (f) national and local NGOs and community representatives; and (g) other international NGOs working to address forest mitigation and REDD+ such as WWF, Fauna and Flora International, Wildlife Conservation Society, The Nature Conservancy, and others. The decision on whether to conduct an interview or focus group depends on a variety of factors including the type of questions and analyses planned, individual and cultural norms and preferences, and efficiency. Where a focus group is suitable, it may be appropriate to separate men and women, or participants from different countries and/or organizations. Different types of questions will need to be tailored to the specific target stakeholder group. The data will be analyzed by using transcription and/or coding methods as appropriate. Targeted follow-up phone calls with stakeholders outside the priority geographic region, such as in the six LEAF 'replication countries' may also be utilized. On-site visits to areas of LEAF demonstration activities will enable the evaluation team to meet with and interview direct program beneficiaries, verify activity outputs and outcomes, and observe first-hand program impacts.	1, 2, 3

C) Methodological Strengths and Limitations

Methods	Strengths	Limitations
Desk Study	• Provide valuable information on substantive issues and generate a list of questions including key stakeholders that can be used in other methods. • Help to focus efforts and prioritize issues and gaps	• Time consuming • Depends on resource availability • Lack of consistent data collection • Limited baseline data
Consultations	• Provide valuable information on substantive issues and generate a list of questions including key stakeholders that can be used in other methods. • Provide greater depth and insights and general surveys	• Depends on availability of key stakeholders • Need to consider time zone difference. • Quality/reliability of data
Individual Interviews	• Potentially data rich, detailed answers	• Might need to interview through translators (possible loss of meaning and data richness) • Might have informants' bias
Focus Group Discussion	• Can generate a broader range of ideas and responses. • Can include a greater number of participants in less time and result in rich discussion, if facilitated well	• Might need to conduct discussion through translators (possible loss of meaning and data richness) • Some respondents may dominate in answering

IV. TEAM COMPOSITION

The Contractor's evaluation team must be comprised primarily of three (3) independent external consultants, as follows:

1) Team Leader (international consultant)
2) Assistant Team Leader/Evaluation Specialist (international or local consultant)
3) Evaluation Specialist/Administrative and Logistical Support (local consultant)

The evaluation will be led by the "**Team Leader**" and supported by subject matter experts (referred to as Evaluation Specialists) from the team leader's home organization and/or local organizations. The Team Leader will be responsible for the overall implementation of the evaluation and ensuring that all expected tasks and deliverables are achieved on time and of high quality. S/he must have significant professional experience coordinating similarly complex evaluations, and leading evaluation teams. The candidate must have exceptional organizational, analytical, writing and presentation skills. S/he must be fluent in English and must have a master's level degree with 15 years of technical experience in a relevant analytical field (e.g. REDD+, natural resource management, forestry, and/or climate change mitigation), although doctorate level credentials are preferred. The Team Leader must have a solid understanding of REDD+/Sustainable Landscapes programming. It would be highly desirable for the

Team Leader candidate to have direct knowledge and/or experience working with USAID rules, evaluation policy, regulations, and procedures, particularly requirements of Sustainable Landscapes programs. S/he will oversee the overall drafting of the evaluation framework, including methodology determinations; organization of calendar/travel/meetings; overseeing the desk study, interviews, and other data collection; and analyzing the data with input from team members and USAID/RDMA to draft the evaluation report.

The **Assistant Team Leader/Evaluation Specialist** will support the team leader in the implementation of the evaluation. S/he should have significant professional experience implementing similarly complex evaluations involving multiple stakeholders. The candidate must have exceptional organizational, analytical, writing and presentation skills. S/he must be fluent in English and should have a master's level degree with 10 years of experience in a relevant analytical evaluation field (e.g. natural resource management, forestry, and/or climate change mitigation). S/he must have a solid understanding of REDD+/Sustainable Landscapes programming. It would be highly desirable to have knowledge and/or experience working with USAID rules, regulations, and procedures, particularly requirements of Sustainable Landscapes programs. S/he will contribute to the overall drafting of the evaluation framework and participating in the desk study, interviews, and other data collection; and analyzing the data with input from team members and USAID/RDMA to draft the evaluation report.

The local **Evaluation Specialist** will provide additional technical support to the evaluation team as well as support administrative and logistical functions necessary to carry out the evaluation. S/he should be a national or local expert from the region, and have strong organizational skills. S/he should have strong English speaking skills and a master's level degree with 10 years of technical knowledge and experience in a relevant field (e.g. program management, project evaluation, natural resource management, forestry, and/or climate change mitigation). S/he will be responsible for assisting in coordinating the desk study, interviews, and other data collection, and providing overall administrative and logistical support to the team.

If it is difficult to find team members who have both evaluation and technical skills/experience, then the Contractor may field a team composed of an experienced evaluator as team leader with technical experts on the team itself could be considered.

The Contractor must field an evaluation team that provides complimentary skills and together possesses the technical, evaluation and managerial skills to submit high quality deliverables that meet the objectives of the task order without requiring significant revisions and substantive/significant input from the TOCOR and additional team members.

The Contractor's consultants will be supervised by the TOCOR based at USAID/RDMA, while working closely with the LEAF program's Agreement Officer Representative (AOR) to gain in-depth information of the program activities. The TOCOR and/or alternate will provide strategic direction and guidance throughout the evaluation process, including the development of the work plan, any data collection tools, and evaluation report outline, approach, and content.

In addition to the independent external consultants, the evaluation team may be complemented by additional team members from USAID and other organizations as follows:

- Forestry and Sustainable Landscapes Specialist (USAID Washington and/or USAID/RDMA)
- Monitoring and Evaluation Specialist and/or Program Development Specialist (USAID/RDMA)
- Forestry and Climate Change Specialist (US Forest Service)

These team members will provide complimentary technical assistance in their area of expertise and assist in the overall evaluation implementation, participating in consultations, and in helping draft the report. The exact participants will be confirmed with the evaluation team following award. It is

expected that these four team members identified above will be able to participate for a period of 2-3 weeks each, and focusing on assisting in conducting consultations and overall programmatic strategic review.

V. EVALUATION MANAGEMENT

The LEAF program supports activities in primarily six countries (Cambodia, Laos, Thailand, Vietnam, Malaysia and Papua New Guinea), and the evaluation team is anticipated to visit and conduct consultations in each of these. Other USAID Missions have related programming in Cambodia, Vietnam, and PNG, so these three countries will be important focal countries in order to make sure that LEAF is well coordinated and complementary to these other USAID investments. In addition to visiting national capitals, the evaluation team may visit up to three or four provinces where field activities are being conducted. These will be finalized in consultation with USAID/RDMA, but for initial planning and budgeting purposes include: Lam Dong province, Vietnam; Attapeu province, Lao PDR; Chiang Mai province, Thailand; Madang province; Papua New Guinea, and the State of Sabah, Malaysia. LEAF is not implementing field activities in Cambodia due to the USAID/Cambodia-funded Supporting Forests and Biodiversity Program operating there.

The evaluation team will receive support from USAID/RDMA in selecting priority organizations and places to visit during the evaluation, and in gaining country clearance where appropriate. The evaluation team is expected to schedule interviews or other modes of data collection with key stakeholders, though USAID and LEAF can assist in providing contact information. USAID/RDMA can facilitate hosting some consultations at USAID/RDMA offices in Bangkok, but working space or other support cannot be provided to non-US government members of the evaluation team. The evaluation team is also responsible for making their own hotel, air travel, and local transportation arrangements in accordance with U.S. requirements for allowable carriers and per diems. Team members should have the necessary language skills for countries of focus, or engage local language interpreters to support interviews and reviews of local language documents and records, where necessary.

All evaluation team members are responsible for their own workspaces, computers, and travel arrangements.

ANNEX II: DATA COLLECTION INSTRUMENTS

INTERVIEW INSTRUMENTS[47]

Questionnaire for key informant interviews: USG and USAID staff

Mid-term Performance Evaluation
Lowering Emissions in Asia's Forests (LEAF) Program

Date:_____ **Name:**_____

Title: _____ **Organization:**_____

Sex: ☐ Male ☐ Female **Email:**_____

Country: ☐ Cambodia ☐ Laos ☐ Vietnam ☐ Thailand ☐ Malaysia ☐ PNG

Interview Questions

1.0 **To what extent are the program's objectives, intermediate results, and performance indicator targets being achieved since its inception to date?**

1.1 What progress has been made toward achieving LEAF's objectives and indicator targets and on project activities under each of the four intermediate results?
1.2 How is the project learning adaptively, e.g., through assessment of program implementers' performance?
1.3 How has stakeholders' capacity improved?
1.5 How well is LEAF contributing to reducing specific gaps affecting gender equality and women's empowerment?

2a **What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement?**

2a.1 What changes in program context have occurred that have required implementation adjustments to ensure program results achievements?
2a.4 With which local stakeholders has LEAF engaged and how has LEAF involved them in the identification, design, and implementation of program activities?
2a.5 How well and extensively have innovations been applied by host country stakeholders?

2b **What adjustments, corrective actions, and/or areas for improvement are needed to ensure progress towards achieving expected results during the duration of the program?**

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[47] Building on the observations made in the field – and tests –the LEAF evaluation team adjusted protocols so as not to overburden informants with very long interviews. These tools were used as described in Evaluation Methods on the basis of relevance to informants' experience and their knowledge of topics. Decisions were made ad hoc individually at the outset of each interview; they allowed for more focused and relevant interviews to be conducted

2b.1 What changes in program context have occurred that have required implementation adjustments to ensure program results achievements?
2b.2 How have IPs and local stakeholders made decisions and implemented them to change program elements to respond to changing conditions?
2b.3 What expected and unexpected outcomes have occurred at the regional, country, and project levels?
3a.1 What other current REDD+-related initiatives and/or other specific opportunities have potential to enhance programmatic effectiveness, impact, and sustainability at the regional level?
3a.2 What has been the dynamic of the regional/bilateral relationship relative to achieving shared results?
3a.3 How should the regional program select among its activities to focus and concentrate its efforts to best achieve results, e.g., through opportunities with high potential for impact and/or through changing its balance of "field" and "regional" activities?

3b **What specific opportunities exist to further strengthen the regional cohesive approach of the program?**

3b.1 How cohesive is LEAF's current regional approach?
3b.2 What contributions to regional cohesion have occurred?

Questionnaire for Key Informant Interviews: LEAF Core Team

Mid-term Performance Evaluation
Lowering Emissions in Asia's Forests (LEAF) Program

Date:_____ **Name:**_____

Title: _____ **Organization:**_____

Sex: ☐ Male ☐ Female **Email:**_____

Country: ☐ Cambodia ☐ Laos ☐ Vietnam ☐ Thailand ☐ Malaysia ☐ PNG

Interview Questions

1.0 To what extent are the program's objectives, intermediate results, and performance indicator targets being achieved since its inception to date?

1.1 What progress has been made toward achieving LEAF's objectives and indicator targets and on project activities under each of the four intermediate results?
1.2 How is the project learning adaptively, e.g., through assessment of program implementers' performance?
1.3 How has stakeholders' capacity improved?
1.5 How well is LEAF contributing to reducing specific gaps affecting gender equality and women's empowerment?

2a What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement?

2a.1 What changes in program context have occurred that have required implementation adjustments to ensure program results achievements?
2a.2 What is the current status of "emerging international REDD+ framework" in relation to the achievement of LEAF's expected goal [of allowing countries to benefit from it]?
2a.3 How is the current status of the REDD+ framework affecting international partners and how is this affecting regional cohesion and, in turn, local partners?
2a.4 With which local stakeholders has LEAF engaged and how has LEAF involved them in the identification, design, and implementation of program activities?
2a.5 How well and extensively have innovations been applied by host country stakeholders?

2b What adjustments, corrective actions, and/or areas for improvement are needed to ensure progress towards achieving expected results during the duration of the program?

2b.1 What changes in program context have occurred that have required implementation adjustments to ensure program results achievements?
2b.2 How have IPs and local stakeholders made decisions and implemented them to change program elements to respond to changing conditions?
2b.3 What expected and unexpected outcomes have occurred at the regional, country, and project levels?

3a What specific opportunities exist to enhance programmatic effectiveness, impact, and sustainability at the regional level (in particular in relation to relevant bilateral USAID programming)?

3a.1 What other current REDD+-related initiatives and/or other specific opportunities have potential to enhance programmatic effectiveness, impact, and sustainability at the regional level?

3a.2 What has been the dynamic of the regional/bilateral relationship relative to achieving shared results?

3a.3 How should the regional program select among its activities to focus and concentrate its efforts to best achieve results, e.g., through opportunities with high potential for impact and/or through changing its balance of "field" and "regional" activities?

3b What specific opportunities exist to further strengthen the regional cohesive approach of the program?

3b.1 How cohesive is LEAF's current regional approach?

3b.2 What specific mechanisms and supports have been introduced to build regional alliances, processes and systems?

3b.3 What contributions to regional cohesion have occurred?

3b.4 How is each country policy developed in order to follow up and strengthen the regional cohesive approach of the program at the national, sub-national, and local levels?

Questionnaire for Key Informant Interviews: LEAF Platforms and International Collaborating Partners

Mid-term Performance Evaluation
Lowering Emissions in Asia's Forests (LEAF) Program

Date:_____ **Name:**_____

Title: _____ **Organization:**_____

Sex: ☐ Male ☐ Female **Email:**_____

Country: ☐ Cambodia ☐ Laos ☐ Vietnam ☐ Thailand ☐ Malaysia ☐ PNG

Interview Questions

1.0 To what extent are the program's objectives, intermediate results, and performance indicator targets being achieved since its inception to date?

1.1 What progress has been made toward achieving LEAF's objectives and indicator targets and on project activities under each of the four intermediate results?
1.2 How is the project learning adaptively, e.g., through assessment of program implementers' performance?
1.3 How has stakeholders' capacity improved?
1.4 To what extent are new capacities and networks contributing to sustainability, scaling up and replication?
1.5 How well is LEAF contributing to reducing specific gaps affecting gender equality and women's empowerment?

2a What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement?

2a.2 What is the current status of "emerging international REDD+ framework" in relation to the achievement of LEAF's expected goal [of allowing countries to benefit from it]?
2a.3 How is the current status of the REDD+ framework affecting international partners and how is this affecting regional cohesion and, in turn, local partners?
2a.4 With which local stakeholders has LEAF engaged and how has LEAF involved them in the identification, design, and implementation of program activities?
2a.5 How well and extensively have innovations been applied by host country stakeholders?

2b What adjustments, corrective actions, and/or areas for improvement are needed to ensure progress towards achieving expected results during the duration of the program?

2b.1 What changes in program context have occurred that have required implementation adjustments to ensure program results achievements?
2b.2 How have IPs and local stakeholders made decisions and implemented them to change program elements to respond to changing conditions?

3a What specific opportunities exist to enhance programmatic effectiveness, impact, and sustainability at the regional level (in particular in relation to relevant bilateral USAID programming)?

3a.1 What other current REDD+-related initiatives and/or other specific opportunities have potential to enhance programmatic effectiveness, impact, and sustainability at the regional level?

3a.2 What has been the dynamic of the regional/bilateral relationship relative to achieving shared results?

3a.3 How should the regional program select among its activities to focus and concentrate its efforts to best achieve results, e.g., through opportunities with high potential for impact and/or through changing its balance of "field" and "regional" activities?

3b What specific opportunities exist to further strengthen the regional cohesive approach of the program?

3b.1 How cohesive is LEAF's current regional approach?

3b.2 What specific mechanisms and supports have been introduced to build regional alliances, processes and systems?

3b.3 What contributions to regional cohesion have occurred?

3b.4 How is each country policy developed in order to follow up and strengthen the regional cohesive approach of the program at the national, sub-national, and local levels?

Questionnaire for Key Informant Interviews: LEAF University partners

Mid-term Performance Evaluation
Lowering Emissions in Asia's Forests (LEAF) Program

Date:_____ **Name:**_____

Title: _____ **Organization:**_____

Sex: ☐ Male ☐ Female **Email:**_____

Country: ☐ Cambodia ☐ Laos ☐ Vietnam ☐ Thailand ☐ Malaysia ☐ PNG

Interview Questions

1.0 To what extent are the program's objectives, intermediate results, and performance indicator targets being achieved since its inception to date?

1.1 What progress has been made toward achieving LEAF's objectives and indicator targets and on project activities under each of the four intermediate results?
1.2 How is the project learning adaptively, e.g., through assessment of program implementers' performance?
1.3 How has stakeholders' capacity improved?
1.4 To what extent are new capacities and networks contributing to sustainability, scaling up and replication?

2a What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement?

2a.5 How well and extensively have innovations been applied by host country stakeholders?

3b What specific opportunities exist to further strengthen the regional cohesive approach of the program?

3b.3 What contributions to regional cohesion have occurred?

Questionnaire for Key Informant Interviews: Regional Stakeholders

Mid-term Performance Evaluation
Lowering Emissions in Asia's Forests (LEAF) Program

Date:_____ **Name:**_____

Title: _____ **Organization:**_____

Sex: ☐ Male ☐ Female **Email:**_____

Country: ☐ Cambodia ☐ Laos ☐ Vietnam ☐ Thailand ☐ Malaysia ☐ PNG

Interview Questions

1.0 To what extent are the program's objectives, intermediate results, and performance indicator targets being achieved since its inception to date?

1.1 What progress has been made toward achieving LEAF's objectives and indicator targets and on project activities under each of the four intermediate results?
1.3 How has stakeholders' capacity improved?
1.4 To what extent are new capacities and networks contributing to sustainability, scaling up and replication?

2a What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement?

2a.3 How is the current status of the REDD+ framework affecting international partners and how is this affecting regional cohesion and, in turn, local partners?
2a.4 With which local stakeholders has LEAF engaged and how has LEAF involved them in the identification, design, and implementation of program activities?
2a.5 How well and extensively have innovations been applied by host country stakeholders?

2b What adjustments, corrective actions, and/or areas for improvement are needed to ensure progress towards achieving expected results during the duration of the program?

2b.1 What changes in program context have occurred that have required implementation adjustments to ensure program results achievements?
2b.2 How have IPs and local stakeholders made decisions and implemented them to change program elements to respond to changing conditions?

3a What specific opportunities exist to enhance programmatic effectiveness, impact, and sustainability at the regional level (in particular in relation to relevant bilateral USAID programming)?

3a.1 What other current REDD+-related initiatives and/or other specific opportunities have potential to enhance programmatic effectiveness, impact, and sustainability at the regional level?
3a.2 What has been the dynamic of the regional/bilateral relationship relative to achieving shared results?

3b What specific opportunities exist to further strengthen the regional cohesive approach of the program?

3b.1 How cohesive is LEAF's current regional approach?

3b.2 What specific mechanisms and supports have been introduced to build regional alliances, processes and systems?

3b.3 What contributions to regional cohesion have occurred?

3b.4 How is each country policy developed in order to follow up and strengthen the regional cohesive approach of the program at the national, sub-national, and local levels?

Questionnaire for Key Informant Interviews: Host country stakeholders

Mid-term Performance Evaluation
Lowering Emissions in Asia's Forests (LEAF) Program

Date:_____ **Name:**_____

Title: _____ **Organization:**_____

Sex: ☐ Male ☐ Female **Email:**_____

Country: ☐ Cambodia ☐ Laos ☐ Vietnam ☐ Thailand ☐ Malaysia ☐ PNG

Interview Questions

1.0 To what extent are the program's objectives, intermediate results, and performance indicator targets being achieved since its inception to date?

1.1 What progress has been made toward achieving LEAF's objectives and indicator targets and on project activities under each of the four intermediate results?
1.2 How is the project learning adaptively, e.g., through assessment of program implementers' performance?
1.3 How has stakeholders' capacity improved?
1.5 How well is LEAF contributing to reducing specific gaps affecting gender equality and women's empowerment?

2a What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement?

2a.3 How is the current status of the REDD+ framework affecting international partners and how is this affecting regional cohesion and, in turn, local partners?
2a.4 With which local stakeholders has LEAF engaged and how has LEAF involved them in the identification, design, and implementation of program activities?
2a.5 How well and extensively have innovations been applied by host country stakeholders?

2b What adjustments, corrective actions, and/or areas for improvement are needed to ensure progress towards achieving expected results during the duration of the program?

2b.1 What changes in program context have occurred that have required implementation adjustments to ensure program results achievements?
2b.2 How have IPs and local stakeholders made decisions and implemented them to change program elements to respond to changing conditions?

3a What specific opportunities exist to enhance programmatic effectiveness, impact, and sustainability at the regional level (in particular in relation to relevant bilateral USAID programming)?

3a.1 What other current REDD+-related initiatives and/or other specific opportunities have potential to enhance programmatic effectiveness, impact, and sustainability at the regional level?
3a.2 What has been the dynamic of the regional/bilateral relationship relative to achieving shared results?

3b What specific opportunities exist to further strengthen the regional cohesive approach of the program?

3b.4 How is each country policy developed in order to follow up and strengthen the regional cohesive approach of the program at the national, sub-national, and local levels?

Focus Group Discussions Core Questions: Recipients of Training

Mid-term Performance Evaluation
Lowering Emissions in Asia's Forests (LEAF) Program

Date:_____

Participants:

Name	**Organization/Affiliation**	**Gender**
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female

Country: ☐ Cambodia ☐ Laos ☐ Vietnam ☐ Thailand ☐ Malaysia ☐ PNG

Questions

1 To what extent are the program's objectives, intermediate results, and performance indicator targets being achieved since its inception to date?

1.3 How has stakeholders' capacity improved?
1.4 To what extent are new capacities and networks contributing to sustainability, scaling up and replication?
1.5 How well is LEAF contributing to reducing specific gaps affecting gender equality and women's empowerment?

2a What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement?

2a.5 How well and extensively have innovations been applied by host country stakeholders?

2b What adjustments, corrective actions, and/or areas for improvement are needed to ensure progress towards achieving expected results during the duration of the program?

2b.1 What changes in program context have occurred that have required implementation adjustments to ensure program results achievements?

2b.2 How have IPs and local stakeholders made decisions and implemented them to change program elements to respond to changing conditions?

Focus Group Discussions Core Questions: Sub-national stakeholders

Mid-term Performance Evaluation
Lowering Emissions in Asia's Forests (LEAF) Program

Date:_____

Participants:

Name	**Organization/Affiliation**	**Gender**
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female
_____	_____	☐ Male ☐ Female

Country: ☐ Cambodia ☐ Laos ☐ Vietnam ☐ Thailand ☐ Malaysia ☐ PNG

Interview Questions

1 To what extent are the program's objectives, intermediate results, and performance indicator targets being achieved since its inception to date?

1.3 How has stakeholders' capacity improved?
1.4 To what extent are new capacities and networks contributing to sustainability, scaling up and replication?
1.5 How well is LEAF contributing to reducing specific gaps affecting gender equality and women's empowerment?

2a What factors (both internal and external to the program) help or hinder in the achievement of the program's expected outcomes as detailed in the cooperative agreement?

2a.3 How is the current status of the REDD+ framework affecting international partners and how is this affecting regional cohesion and, in turn, local partners?
2a.4 With which local stakeholders has LEAF engaged and how has LEAF involved them in the identification, design, and implementation of program activities?
2a.5 How well and extensively have innovations been applied by host country stakeholders?

2b What adjustments, corrective actions, and/or areas for improvement are needed to ensure progress towards achieving expected results during the duration of the program?

2b.1 What changes in program context have occurred that have required implementation adjustments to ensure program results achievements?

2b.2 How have IPs and local stakeholders made decisions and implemented them to change program elements to respond to changing conditions?

3a What specific opportunities exist to enhance programmatic effectiveness, impact, and sustainability at the regional level (in particular in relation to relevant bilateral USAID programming)?

3a.1 What other current REDD+-related initiatives and/or other specific opportunities have potential to enhance programmatic effectiveness, impact, and sustainability at the regional level?

3b What specific opportunities exist to further strengthen the regional cohesive approach of the program?

3b.4 How is each country policy developed in order to follow up and strengthen the regional cohesive approach of the program at the national, sub-national, and local levels?

Questionnaire Presented to Participants in the Curriculum Development Workshop[48]

Note: The information in this questionnaire is considered confidential and will not be attributed to any participant. Most questions will be used for statistical purposes.

Identification

Given Name: _____ **Name:**_____

Gender: ☐ **Female** ☐ **Male**

Age: _____

Country of residence:

Cambodia ☐
Lao PDR ☐
Malaysia ☐
PNG ☐
Thailand ☐
Vietnam ☐
Other: _____

To what university/institution are you affiliated? _____

What is your present academic level?

Bachelor ☐
Masters ☐
Incomplete PhD ☐
Completed PhD ☐

Association to LEAF

How long have you known about LEAF?

Less than 3 months ☐
4-6 months ☐
7-9 months ☐
10-12 months ☐
More than one year ☐

How did you get involved with LEAF? (More than 1 choice is possible)

Contacted by Winrock/LEAF Program ☐
Delegated by university/institution authorities ☐
Delegated by supervisor ☐
Other: _____

_____

Have you participated in meetings (including teleconference meetings) on LEAF's curriculum development?

☐ Yes ☐ No

How many meetings (including teleconference meetings) have you participated to?

☐ 1-2 ☐ 3-4 ☐ More than 4

Role in Curriculum Development Activity

Have you had any <u>direct</u> role in curriculum development in LEAF?

☐ Yes ☐ No

What contribution did you make? (Please indicate more than one if applicable)

Information about national context ☐
Development of curriculum content ☐
Preparation of presentations ☐
Identification of global themes ☐
Inventory of sources ☐
Presentation of techniques ☐
Development of networks ☐
Case studies development ☐
Other :_____

Have you elaborated any of the topics in the developed curriculum?

☐ Yes ☐ No

If Yes: Was it reviewed/shared with other module team members?

☐ Yes ☐ No

How relevant do you think curriculum development of LEAF topics is for <u>your own work</u>?

☐ Very relevant ☐ Relevant ☐ Somewhat relevant ☐ Not at all

How relevant do you think curriculum development of LEAF topics is for <u>your institution</u>?

☐ Very relevant ☐ Relevant ☐ Somewhat relevant ☐ Not at all

How likely is it that <u>you will use</u> this curriculum at your institution?

☐ Very likely ☐ Likely ☐ Somewhat likely ☐ Not at all

How likely is it <u>that colleagues</u> in your institution will use this curriculum?

☐ Very likely ☐ Likely ☐ Somewhat likely ☐ Not at all

Assessment of Satisfaction

To what extent are you satisfied with the LEAF curriculum development process as a whole?

☐ Very satisfied ☐ Satisfied ☐ Somewhat satisfied ☐ Not at all

To what extent are you satisfied with the support <u>you</u> received from LEAF in this process?

☐ Very satisfied ☐ Satisfied ☐ Somewhat satisfied ☐ Not at all

How would you rate the level of participation in this LEAF process?

☐ Very participatory ☐ Participatory ☐ Somewhat participatory ☐ Not at all

How would you rate LEAF's contribution to curriculum development in <u>your country or in the country that your program is supporting</u>?

☐ 3 ☐ 2 ☐ 1 ☐ 0

Scale 0 low to 3 very high

ANNEX III: SOURCES OF INFORMATION

A. DOCUMENTS REVIEWED

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B. ALL INFORMANTS INTERVIEWED

LEAF Informants Interviewed			
Name	**Title**	**Affiliation**	**Gender**
CAMBODIA			
Mr. Kimhy Lun	Programme Coordinator	Cambodia United Nations (UN) Reducing Emissions from Deforestation and Forest Degradation (REDD) National Programme	Male
Mr. Bunra Seng	Country Director	Conservation International	Male
Mr. Limchhun Hour	Country Coordinator	Lowering Emissions in Asia's Forests (LEAF)	Male
Mr. Kurt MacLeod	Vice-President, Asia Eurasia	PACT	Male
Ms. Sarah Sitts	Country Manager, Cambodia	PACT	Female
Mr. Edwyn V. Payuan	Country Program Coordinator	Regional Community Forestry Training Center (RECOFTC)	Male
Ms. Kalyan Ly	Deputy head of Center for Agricultural and Environmental Studies	Royal University of Agriculture (RUA), Cambodia	Female
Mr. Kim Soben	Head of Centre for Agricultural and Environmental Studies and Lecturer Graduate School	Royal University of Agriculture (RUA), Cambodia	Male
Mr. Sokha Kheam	Biology Lecturer	Royal University of Phnom Penh (RUPP)	Male
Mr. Bunleng Se	Lecturer, Dept. of Geography and Land Management, Faculty of Social Science & Humanities	Royal University of Phnom Penh (RUPP)	Male
Mr. Pheng Sokline	Lecturer, Dept. of Environment, Faculty of Social Science and Humanities	Royal University of Phnom Penh (RUPP)	Male
Mr. Brad Arsenault	Environment Officer	USAID/Cambodia	Male
Mr. Menglim Kim	Project Management Specialist, Office of Food Security & Environment (FSE)	USAID/Cambodia	Male
Ms. Megan O'Rourke	Scientific Advisor	USAID/Cambodia	Female
Mr. Tom Clements	Director	Wildlife Conservation Society	Male
Mr. Dennis J. Cengel	Chief of Party	Winrock International	Male
Ms. Michelle Owen	Acting Country Director	World Wildlife Fund (WWF)	Female
LAO PDR			
Mr. Thongbai	Villager	Ban Tangao	Male
Mr. Bounpanh	Head of Village	Ban Tangao	Male

LEAF Informants Interviewed			
Name	**Title**	**Affiliation**	**Gender**
Mr. Georg Buchholz	Program Director, Sustainable Climate	Deutsche Gesellschaft für Internationale Zusammenarbeit, GmbH (German: German Society for International Cooperation, Ltd.) (GIZ)	Male
Mr. Khamia Phanvilay	Director	Faculty of Forestry, National University of Laos, Research Center for Natural Resource and Climate Change	Male
Dr. Sithong Thongmanivong	Associate Professor	Faculty of Forestry. National University of Laos. Research Center for Natural Resource and Climate Change	Male
Ms. Unna Chokkalingam	Founder and Executive Director	Forest Carbon Asia	Female
Mr. Veth Southivong	Forestry and Biodiversity Specialist	GITEC	Male
Mr. Bounhkong	Villager	Hat Vudomxay	Male
Mr. Cheng	Villager	Hat Vudomxay	Male
Ms. Damdee	Villager	Hat Vudomxay	Female
Ms. Douangma	Villager	Hat Vudomxay	Female
Ms. Kutsa	Villager	Hat Vudomxay	Female
Mr. Pan	Villager	Hat Vudomxay	Male
Mr. Phena	Villager	Hat Vudomxay	Male
Mr. Shose	Villager	Hat Vudomxay	Male
Mr. Thamom	Villager	Hat Vudomxay	Male
Mr. Vai	Villager	Hat Vudomxay	Male
Mr. Takayuki Namura	Advisor, Forest Sector Capacity Development Project	Japan International Cooperation Agency (JICA)	Male
Mr. Hideaki Takai	Chief Adviser, Forest Sector Capacity Development Project	Japan International Cooperation Agency (JICA)	Male
Ms. Samati Pagna Viliphon	Representative	Lao Women Union in Attapeu	Female
Mr. Sommeuk Keokhanbai	Deputy Director General, District Agriculture and Forestry Offices (DAFO)	Ministry of Agriculture and Forests	Male
Mr. Sinsamouth Phutavong	Provincial Agriculture and Forestry Office (PAFO)	Ministry of Agriculture and Forests	Male
Mr. Air Sacksy	Provincial Agriculture and Forestry Office (PAFO)	Ministry of Agriculture and Forests	Male
Mr. Phonvima Sayyaboud	District Agriculture and Forestry Offices (DAFO)	Ministry of Agriculture and Forests	Male
Mr. Sisomephon Nonthivong	DONRE	Ministry of Natural Resources and Environment, Department of Forest Resources Management	Male
Mr. Bouaphanh	Deputy Director General	Ministry of Natural Resources and Environment, Department of	Male

LEAF Informants Interviewed			
Name	**Title**	**Affiliation**	**Gender**
Phanthavong		Forest Resources Management	
Mr. Hatsadong Phommavong	DONRE	Ministry of Natural Resources and Environment. Department of Forest Resources Management	Male
Mr. Saly Singsananh	Deputy of Planning and Cooperation Division	Ministry of Natural Resources and Environment. Department of Forest Resources Management	Male
Mr. Christof Hahn	Senior Advisor REDD and Project Manager	Netherlands Development Organization (SNV)	Male
Mr. SengKham Inthiratvongsy	Forest and Climate Change Advisor LEAF	Netherlands Development Organization (SNV)	Male
Mr. Athsaphanthong Munelith	Senior Advisor & Program Manager LEAF	Netherlands Development Organization (SNV)	Male
Mr. Xaydara Viengxay	SNV LEAF Coordinator	Netherlands Development Organization (SNV)	Male
Ms. Kinalone Phommesack	Technical Officer & Deputy Head of Reducing Emissions from Deforestation and Forest Degradation (REDD) Office	Planning Division, Department of Forestry, Ministry of Agriculture and Forests	Female
Mr. Vongxay Manivong	Deputy Head	Provincial Agriculture and Forestry Office (PAFO), Laos	Male
Mr. Saiyalad Sumphonphakde	Head of PONRE	Provincial Office of Natural Resources and Environment (PONRE)	Male
Mr. Kahnia	Villager	Sompoy	Male
Ms. Katsa	Villager	Sompoy	Female
Mr. Thongsay	Villager	Sompoy	Male
Mr. Tom D'Agnes	USAID	US Embassy	Male
Mr. Mathew H. Kustel	Political-Economic Officer	US Embassy	Male
Mr. Colin Moore	Regional Advisor on Reducing Emissions from Deforestation and Forest Degradation Plus (REDD+) and Climate Change	Wildlife Conservation Society	Male
Mr. Philavong Viangxay	Head of Forest Checkpoint Team	Xebien	Male
MALAYSIA			
Mr. Gary William Theseira	Head of Timbalan Setiausaha Bahagian	Bahagian Pengurusan Alam Sekitar & Perubahan Iklim, Kementerian Sumber Asli dan Alam Sekitar (NRE)	Male
Mr. Paridah MD Tahir	Director	Department of Forest Production Faculty of Forestry University	Male

LEAF Informants Interviewed			
Name	**Title**	**Affiliation**	**Gender**
		Putra Malaysia (UPM)	
Ms. Christine Fletcher	Research Officer, Natural Forest Programme, Forestry & Environment Division	Forest and Environment Division, Forest Research Institute Malaysia (FRIM)	Female
Mr. Samsudin Musa	Head, Climate Change Programme	Forest and Environment Division, Forest Research Institute Malaysia (FRIM)	Male
Mr. Ismail Hj. Parlan	Senior Research Officer Natural Forest Programme Forestry & Environment Division	Forest and Environment Division, Forest Research Institute Malaysia (FRIM)	Male
Mr. Faizal Parish	Director	Global Environment Centre	Male
Mr. Fuad bin Shariff	Coordinator Forest and Peatland Programme	Global Environment Centre	Male
Ms. Elizabeth Philip	Head of REDD+ and Unit	Ministry of Natural Resources and Environment (MONRE)	Female
Ms. Engku Nor Azura Aini Engku Mustaffa	Assistant Secretary, REDD+ and Unit	Ministry of Natural Resources and Environment (MONRE), Environmental Management and Climate Change Division	Female
Mr. Abdul Rahim Bin Nik	Deputy Secretary General II	Office of Deputy Secretary General II, Ministry of Natural Resources and Environment	Male
Ms. Chan Hoy Yen	Research Fellow	Solar Energy Research Institute (University Kebangsaan Malaysia)	Female
Mr. Ahmad Makmom Hj Abdullah	Deputy Dean (Academic and Student Affairs)	University Putra Malaysia (UPM)	Male
Mr. Ahmad Ainuddin Nuruddin	Deputy Director	University Putra Malaysia (UPM)	Male
Mr. Mohd Rusli Yacab	Lecturer, Faculty of Environmental Studies	University Putra Malaysia (UPM)	Male
Mr. Mohd Zaki Hamzah	Deputy Dean (Student Affairs and Development), Faculty of Forestry	University Putra Malaysia (UPM)	Male
Mr. Ahmad Ainuddin Nuruddin	Lecturer, Faculty of Forestry	University Putra Malaysia (UPM)	Male
Mr. Brock D. Fox	Economic Officer Environment, Science, Technology & Health	US Embassy	Male
Ms. Mawaddah Azizan	LEAF Country Manager	Winrock	Female
Ms. Ivy Wong	Heart of Borneo National Coordinator	World Wildlife Fund (WWF)	Female
PAPUA NEW GUINEA			
Mr. Moses Oram	Former Local Level Government (LLG) President	Almami Local Level Government (LLG), Bogia District, Madang	Male
Mr. George	Clan Leader	Almami Local Level Government (LLG), Bogta District, Madang	Male
Mr. Andrew Mapio	Technical committee member and NGO sector representative to the provincial assembly	Civil Society Forum	Male

LEAF Informants Interviewed			
Name	**Title**	**Affiliation**	**Gender**
Mr. Peter Moika	Chairman	Civil Society Forum	Male
Ms. Elizabeth Avaisa	Project Officer	Consultative Implementation & Monitoring Council (CIMC)	Female
Mr. Yati A. Bun	Executive Director	Foundation for People and Community Development	Male
Mr. Stephen Gewe	Chairman	Gatik Community Based Organization (CBO)	Male
Mr. Paul Barker	Executive Director	Institute of National Affairs	Male
Ms. Rufina Peter	Senior Research Officer	Institute of National Affairs	Male
Mr. Michael Avosa	Country Manager	Lowering Emissions in Asia's Forests (LEAF)	Male
Mr. Roy Banka	REDD and Coordinator	Lowering Emissions in Asia's Forests (LEAF)	Male
Mr. Jack Masu	Provincial Forestry Officer	Madang Provincial Government	Male
Mr. Gae Gowae	Deputy Chief of Party (DCOP)	Mangrove Rehabilitation for Sustainability-Managed Healthy Forests (MARSH)	Male
Mr. Omega Nelson	Policy Analyst , Measurement, Reporting, and Verification (MRV) and National Communication	Office of Climate Change Development (OCCD)	Male
Ms. Rensie Panda	Policy Analyst , Measurement, Reporting, and Verification (MRV)	Office of Climate Change Development (OCCD)	Female
Mr. Joe Pokana	Senior Policy Analyst , Measurement, Reporting, and Verification (MRV)	Office of Climate Change Development (OCCD)	Male
Ms. Gwen Sissiou	Director Reducing Emissions from Deforestation and Forest Degradation Plus (REDD+) and Mitigation	Office of Climate Change Development (OCCD)	Female
Mr. Goodwill Amos	Manager, Reducing Emissions from Deforestation and Forest Degradation (REDD)	Papua New Guinea Forest Authority	Male
Mr. Constin Otto Bigol	Manager Inventory and Mapping	Papua New Guinea Forest Authority	Male
Mr. Dambis Kaip	Manager - Policy & Aid Coordination Branch	Papua New Guinea Forest Authority	Male
Mr. Simon Saulei	Director	Papua New Guinea Forest Authority	Male
Ms. Evangelyn Kove	Staff	Partners with Melanesia	Female
Ms. Patrick Vuet	Staff	Partners with Melanesia	Female
Mr. Andrew Ingles	Chief Technical Advisor, Asia Pacific Forest Program	The Nature Conservancy (TNC)	Male
Mr. Francis Hurahura	Director, PNG Forest Program	The Nature Conservancy (TNC)	Male
Mr. Clement Kipa	Field Coordinator	The Nature Conservancy (TNC)	Male
Ms. Hazel Duduwega	Advocacy & Communication Officer	Transparency International, PNG	Female

LEAF Informants Interviewed			
Name	**Title**	**Affiliation**	**Gender**
Ms. Amanda Malagui	Program Manager Forest Anti-Corruption	Transparency International, PNG	Female
Ms. Lois Nakmai	Program Manager	Transparency International, PNG	Female
Dr. Chalapan Kaluwin	Professor, Environmental Science & Geography, School of Natural & Physical Science	University of Papua New Guinea	Male
Mr. Lawong Balun	Senior Lecturer	University of Technology	Male
Mr. Lee Calkins	Consular Chief	US Embassy	Male
Mr. Jeff Capel	Regional Security Officer	US Embassy	Male
Mr. Walter North	Ambassador	US Embassy	Male
Ms. Julie Hulama	Development Assistant Specialist	USAID Pacific Islands	Female
Mr. Dennis Wendel	Regional Director	USAID Pacific Islands	Male
THAILAND			
Mr. Sumit Pokhrel	Senior Climate Change Specialist	Asian Development Bank	Male
Mr. Sanath Ranawana	Senior Natural Resources Management Specialist	Asian Development Bank	Male
Mr. Surasak Inthornsri	Ban Mae Mhae Village Headman	Ban Mae Mhae	Male
Mr. Thae Tippinthong	Village Leader	Ban Pha Nok Kok	Male
Mr. Attachai Jintrawet	Multiple Cropping Centre, Faculty of Agriculture, Chiang Mai University Thailand	Chiang Mai University	Male
Mr. Chalermpol Samranpong	Lecturer & Researcher, Center for Agricultural Resource System Research (CARSR), Faculty of Agriculture	Chiang Mai University	Male
Dr. Prasit Wangpakapattanawong	Professor	Chiang Mai University, Department of Biology, Faculty of Science	Male
Mr. Chaowit Chomketkaew	Protected Area Regional Office (PARO) 16, Chief of Restoration and Development of Protected Area	Department of National Parks (DNP), Chiang Mai	Male
Mr. Prasert Sornsathapornkul	Director of the International Cooperation Division	Department of National Parks (DNP), Wildlife and Plant Conservation	Male
Mr. Panya Suksomkij	International Cooperation Division	Department of National Parks (DNP), Wildlife and Plant Conservation	Male
Ms. Sutthiluck Sutthiwas	Sub-district Administration Officer (SAO)	Don Kaew Local Government	Female

LEAF Informants Interviewed			
Name	**Title**	**Affiliation**	**Gender**
Mr. Stephen Elliott	Senior Ecologist	Forest Restoration Research Unit, Chiang Mai University	Male
Mr. Chutchai Rungaroon	Monitoring & Evaluation Officer	Holistic Approach of Public Partnership for Environment (HAPPEN), Chiang Mai	Male
Mr. Niyom Sattanako	Assistant Manager	Holistic Approach of Public Partnership for Environment (HAPPEN), Chiang Mai	Male
Mr. Jirapat Tathinjan	Project Manager	Holistic Approach of Public Partnership for Environment (HAPPEN), Chiang Mai	Male
Ms. Tiplada Tongtapao	Forestry Technical Officer, Practitioner Level, Planning and Information Office	International Cooperation Division, Department of National Parks (DNP)	Female
Mr. Sapit Diloksumpun	Asst. Prof., Faculty of Forestry	Kasetsart University (KU)	Male
Mr. Vipak Jintana	Faculty of Forestry	Kasetsart University (KU)	Male
Mr. Surin Onprom	Lecturer, Social Forestry, Faculty of Forestry	Kasetsart University (KU)	Male
Mr. Brian Bean	Deputy Chief of Party	Lowering Emissions in Asia's Forests (LEAF)	Male
Mr. Jeremy Broadhead	Senior Forestry and Land Use Policy Advisor	Lowering Emissions in Asia's Forests (LEAF)	Male
Mr. David Ganz	Chief of Party	Lowering Emissions in Asia's Forests (LEAF)	Male
Ms. Kalpana Giri	Gender and Reducing Emissions from Deforestation and Forest Degradation (REDD) Expert	Lowering Emissions in Asia's Forests (LEAF)	Female
Ms. Chutamas Phanyapornsuk	Logistics and Operations Specialist	Lowering Emissions in Asia's Forests (LEAF)	Female
Mr. Luke Pritchard	Forestry and Land Use Policy Advisor	Lowering Emissions in Asia's Forests (LEAF)	Male
Ms. Nicole Kravec	Communication Specialist	Lowering Emissions in Asia's Forests (LEAF)	Female
Ms. Phuong Chi Pham	Adult Learning and Capacity Building Specialist	Lowering Emissions in Asia's Forests (LEAF)	Female
Mr. Peter Stephen	Forest Management and Climate Change Advisor	Lowering Emissions in Asia's Forests (LEAF)	Male
Mr. Steen Christensen	Coordinator	Mangroves for the Future	Male
Ms. Janalezza Esteban Thuaud	Regional Knowledge Management Officer	Mangroves for the Future	Female
Mr. Prajuk Phusiripattananon	Deputy Chief of Pon Yaeng Sub-district Administration Office (SAO)	Pon Yaeng Local Government	Male
Mr. Niwet Leamphan	Chief of Huay Palao Watershed Management Unit	Protected Area Regional Office (PARO) 16, Chiang Mai	Male
Ms. Wimolmart Nuipakdee	Chief of Mae Sa Watershed Management Unit	Protected Area Regional Office (PARO) 16, Chiang Mai	Female
Mr. Aumpom Panmankhol	Chief of Doi-Suthep Pui National Park	Protected Area Regional Office (PARO) 16, Chiang Mai	Male

LEAF Informants Interviewed			
Name	**Title**	**Affiliation**	**Gender**
Mr. Issaret Sithirojanakul	Chief of the Fire Protection and Control Station	Protected Area Regional Office (PARO) 16, Chiang Mai	Male
Mr. Natdhachai Hongsonrak	Technical Forestry Officer	Protected Area Regional Office (PARO) 16, Chiang Mai	Male
Mr. Sawat Juntaboon	Ban Mae Mhae villager and Queen Sirikit Botanical Garden Senior Field Officer	Queen Sirikit Botanical Garden	Male
Mr. Chandra Shekhar Silori	Project Coordinator	Regional Community Forestry Training Center (RECOFTC)	Male
Ms. Somying Soontornwong	Manager, Thailand Collaborative Country Support Program	Regional Community Forestry Training Center (RECOFTC)	Female
Ms. Komchai Thaiying	LEAF RECOFTC Coordinator	Regional Community Forestry Training Center (RECOFTC)	Female
Mr. Rawee 'Max'Thaworn	Thailand Country Program Officer	Regional Community Forestry Training Center (RECOFTC)	Male
Ms. Marija Spirovska Kono	Coordinator, Southeast Asia Program	Silva Carbon	Female
Mr. Taksin Artchawakom	Director, Sakaerat Environmental Research Station	Thailand Institute of Scientific and Technological Research	Male
Mr. Ben Vickers	Regional Programme Officer	United Nations (UN) - Reducing Emissions from Deforestation and Forest Degradation (REDD)	Male
Mr. Thomas Enters	Regional Coordinator	United Nations (UN) Reducing Emissions from Deforestation and Forest Degradation (REDD)	Male
Ms. Celina (Kin Yii) Yong	Stakeholder Engagement Specialist	United Nations Development Programme (UNDP)	Female
Mr. Akihito Kono	Regional Technical Advisor	United Nations Development Programme (UNDP), Reducing Emissions from Deforestation and Forest Degradation (REDD), and Ecosystems & Natural Resources	Male
Mr. Geoffrey Blate	Asia Regional Forest Advisor	United States Forest Service (USFS) International Programs	Male
Mr. Orestes R. Anastasia	Senior Regional Climate Change Advisor	USAID RDMA	Male
Ms. Patty Alleman	Gender Advisor	USAID RDMA	Female
Mr. Barry Flaming	Regional Biodiversity Conservation Advisor	USAID RDMA	Male
Ms. Josephine Francesco	Program/Project Development Officer	USAID RDMA	Female
Mr. Alfred Nakatsuma	Director, Regional Environment Office	USAID RDMA	Male
Mr. Bradford Philips	Regional CC Adaptation Advisor	USAID RDMA	Male
Ms. Suphasuk Pradubsuk	Program Development Specialist	USAID RDMA	Female
Ms. Nitasmai Ranseave	Development Assistance Specialist	USAID RDMA	Female
Ms. Supattira	Strategic Information Specialist	USAID RDMA	Female

LEAF Informants Interviewed			
Name	**Title**	**Affiliation**	**Gender**
Rodboontham			
Mr. Michael Yates	Mission Director	USAID RDMA	Male
Mr. Kittithai	Staff	Water & Life Quality Foundation	Male
Mr. Saengsilp	Staff	Water & Life Quality Foundation	Male
Mr. Chanin "Tom" Chiumkanokchai	M&E Specialist	Winrock	Male
Ms. Niramon Passananont	Office Manager	Winrock	Female
Ms. Saruta Pattanakantong	LEAF/DNP Liaison	Winrock	Female
Ms. Rattiya "Elle" Songkhramwongsakul	Training Coordinator	Winrock	Female
Mr. Somsak Soonthornnawaphat	Thailand Project Manager	Winrock	Male
Ms. Prasnee 'Paan' Tipraqsa	Thailand Project Manager	Winrock	Female
Mr. Chawapich "Did" Vaidhayakarn	Project Officer, Payment for Environmental Services (PES)	Winrock	Male
Mr. Rachaneewan "Yui" Vechpanich	Senior Accountant	Winrock	Male
Ms. Jeanette Gurung	Executive Director	Women Organizing for Change in Agriculture & Natural Resource Management (WOCAN)	Female
Ms. Haddy Sey	Senior Social Development Specialist	World Bank	Female
Mr. Peter Cutter	Manager, Greater Mekong Landscapes Conservation Program	World Wildlife Fund (WWF), Regional	Male
UNITED STATES			
Ms. Sarah Tisch	Senior Gender Advisor	Social Impact	Female
Mr. Kent Elliott	Project Officer	United States Forest Service (USFS)	Male
Mr. Michael Furniss	Owner MJ Furniss & Associates and Lecturer, Climate Change and Land Use: Humboldt State University	United States Forest Service (USFS)	Male
Ms. Sarah Hines	Resource Specialist	United States Forest Service (USFS)	Female
Ms. Beth Lebow	Asia-Pacific Program Advisor	United States Forest Service (USFS), International Programs Office	Female
Ms. Darcy Nelson	Advisor	United States Forest Service (USFS), International Programs Office	Female

LEAF Informants Interviewed			
Name	**Title**	**Affiliation**	**Gender**
Dr. David Saah	Assistant Professor	University of San Francisco (USF)	Male
Dr. Deborah Lawrence	Professor	University of Virginia	Female
Mr. Evan Notman	Director, E3 Bureau, Office of Global Climate Change	USAID Washington	Male
Ms. Mary Melnyk	Director, Asia and Middle East Bureaus, Office of Technical Support, Senior Forest Advisor	USAID Washington	Female
Mr. John Wilson	Director, Asia and Middle East Bureaus, Office of Technical Support	USAID Washington	Male
Mr. Evan Notman	Director	USAID Washington, E3 Bureau, Office of Global Climate Change	Male
Mr. Matthew Ogonowski	Global Climate Change Specialist	USAID Washington, E3 Bureau, Office of Global Climate Change	Male
Ms. Kathryn Stratos	Director	USAID Washington, E3 Bureau, Office of Global Climate Change	Female
Ms. Linda Heath	Advisor	USDA Forest Service, Northern Research Station	Female
Dr. Claudia Radel	Associate Professor, Dept. of Ecology Center, Environment & Society	Utah State University	Female
Ms. Sandra Brown	Director Ecosystem Services Unit	Winrock	Female
Mr. Alex Grais	Climate Change Mitigation Specialist	Winrock	Male
Mr. Chris Kopp	Director, Forestry & Natural Resource Management	Winrock	Male
Ms. Sarah Walker	Technical Officer II – Agriculture, Forestry, and other Land Issues (AFOLU)/Reducing Emissions from Deforestation and Forest Degradation (REDD+) Climate Change Specialist	Winrock, Ecosystem Services Unit	Female
VIETNAM			
Mr. Tran Quang Hung	Director	An Agriculture and Forestry Consultancy Company	Male
Mr. Lam Ngoc Tuan	Lecturer, Department of Environmental Science	Dalat University	Male
Mr. Cao Thuy-Anh	Lecturer	Dalat University	Male
Ms. Akiko Inoguchi	Forestry Officer REDD	Food and Agriculture Organization of the United Nations	Female
Mr. Pham Duc Cuong	Head of Remote sensing and GIS section at Forest Resources and Environment Center (FREC)	Forest Inventory and Planning Institute (FIPI)	Male
Mr. Vu Tien Dien	Director of Forest Resources and Environment Center (FREC)	Forest Inventory and Planning Institute (FIPI)	Male

LEAF Informants Interviewed			
Name	**Title**	**Affiliation**	**Gender**
Ms. Hoang Cong Hoai Nam	Head of Forestry management and protection. Gender focal point	Forest Protection and Development Department	Female
Mr. Eiji Egashira	Senior Project Formulation Advisor	Japan International Cooperation Agency (JICA)	Male
Mr. Tran Van Ki	Officer of Forest Protection and Development Fund	Lam Dong Forest Protection and Development Fund	Male
Mr. Vo Minh Tham	Vice-Director of Forest Protection and Development Fund	Lam Dong Forest Protection and Development Fund	Male
Mr. Vo Dinh Tho	Director of Forest Protection and Development Fund	Lam Dong Forest Protection and Development Fund	Male
Mr. Ly Thi Minh Hai	Country Manager	Lowering Emissions in Asia's Forests (LEAF), Vietnam	Male
Mr. Pham Manh Cuong	Director of Vietnam Reducing Emissions from Deforestation and Forest Degradation (REDD+) Office	Ministry of Agriculture and Rural Development	Male
Mr. Pham Hong Luong	Deputy Director of Fund, Department on Planning and Finance, Vietnam Forest	Ministry of Agriculture and Rural Development	Male
Mr. Ngai Huong	Assistant to Deputy Director General	Ministry of Agriculture and Rural Development, Vietnam Administration of Forestry	Male
Mr. Nguyen Ba Ngai	Deputy Director General	Ministry of Agriculture and Rural Development, Vietnam Administration of Forestry	Male
Mr. Than Van Chau	Advisor LEAF Programme	Netherlands Development Organization (SNV)	Male
Ms. Ly Thi Minh Hai	LEAF Project Manager	Netherlands Development Organization (SNV)	Female
Mr. Pham Thanh Nam	Dalat Advisor, REDD Program	Netherlands Development Organization (SNV)	Male
Ms. Vu Thi Kien Phuc	Gender Advisor	Netherlands Development Organization (SNV)	Female
Mr. Nguyen Vinh Quang	Senior Advisor, Project Coordinator REDD Program	Netherlands Development Organization (SNV)	Male
Mr. Steven Swan	Senior Advisor REDD Program	Netherlands Development Organization (SNV)	Male
Mr. Ngyuen Dinh Hung	Data Analysis Expert	Project on Support to National Assessment of Forest Resources in Vietnam (NFA)	Male
Mr. Bui Van Hung	Director of DARD	Provincial department of Agriculture and Rural Development	Male
Mr. Le Quang Nghiep	Director of Sub-Department of Forestry	Provincial department of Agriculture and Rural Development	Male
Mr. Le Van Trung	Technical Official Sub-Department of Forestry	Provincial department of Agriculture and Rural Development	Male
Mr. Pham Van An	Consultant	Retired Director of DARD	Male
Mr. Randolph B. Flay	Program Development Office Director	USAID/Vietnam	Male
Mr. Tran Chinh Khuong	Program Management Specialist, Climate Change	USAID/Vietnam	Male

LEAF Informants Interviewed			
Name	**Title**	**Affiliation**	**Gender**
Ms. Veronica Lee	General Development Office	USAID/Vietnam	Female
Mr. Alex Zvinakis	Program Development Officer	USAID/Vietnam	Male
Mr. Kyung Choe	Director	USAID/Vietnam, General Development Office	Male
Mr. Nguyen The Dzung	Lecturer, Department of Forest Inventory and Planning	Vietnam Forest ant Delta (VFU)	Male
Mr. Pham Minh Toai	Deputy Chief of Training Division and Lecturer in Forest Ecology and Silviculture	Vietnam Forest ant Delta (VFU)	Male
Mr. Pham Van Chuong	Vice Rector	Vietnam Forestry University	Male
Mr. Bui The Doi	Director of Sciences, Technology and International Cooperation Office	Vietnam Forestry University	Male
Mr. Hoang Van Sam	Director of Biodiversity Centre	Vietnam Forestry University	Male
Mr. Thinh Vu	Forest and Ecology Institute	Vietnam Forestry University	Male
Mr. Chris Dickinson	Team Leader, Sustainable Landscapes	Vietnam Forests and Deltas Program	Male
Mr. Nguyen Ai Vinh	Lecturer, Faculty of Biology	Vinh University	Male
Mr. Hoang Vinh Phu	Lecturer, Faculty of Biology	Vinh University	Male
Mr. Mark Fenn	Country Representative	Winrock International	Male

ANNEX IV: DATA COLLECTION SCHEDULE

DATE	BOTH TEAMS (SUB-TEAM A & SUB-TEAM B)
15 July (Monday)	• Kick off meetings with REO: – Supattira Rodboontham – Suphasuk Pradubsuk – Nitasmai Ransaeva – Orestes R. Anastasia • Informal meeting with: – LEAF • David Ganz • Brian Bean
16 July (Tuesday)	• Key informant interview with: – Barry Flaming, REO Regional Biodiversity, Conservation Advisor • Meetings with LEAF Core team and staff at LEAF Office: – Patty, USAID Gender – David Ganz – Chanin Chiumkanokchai – Suphasuk Pradubsuk /Bird – Phuong Chi Pham – Luke Pritchard – Brian Bean • Kalpana Giri
17 July (Wednesday)	LEAF MTE team internal discussion for interception report • Meeting with: – Josephine Francisco, Program Development Officer – Nitasmai Ransaeva – Salma • Meeting with Michael Yates, Mission Director RDMA
18 July (Thursday)	• Inception report writing • Preparation for In-Brief Presentation • In-brief presentation to RDMA: – Barry Flaming

	– Patty Alleman – Nitasmai Ransaeva – Salma – Suphasuk Pradubsuk – Supattira Rodboontham	
19 July (Friday)	• Focus group discussion with UN Agencies: – Celina (Kin Yii) Yong, UN-REDD – Thomas Enters, UNEP – Ben Vickers, FAO – Akihito Kono, UNDP • Submission of Inception Report to RDMA	
20 July (Saturday)	• LEAF MTE meeting for reflection • Review questionnaires	
DATE	**SUB-TEAM A**	**SUB-TEAM B**
21 July (Sunday)	• Team A departs for Phnom Penh, Cambodia	• Team B remains in Bangkok, Thailand
22 July (Monday)	• Key informant interview with: – Brad Arsenault, USAID – Megan O'Rourke, USAID – Menglin Kim, USAID SFB – Limchhun Hour, LEAF • Key informant interview with: – Bunleng Se, Lecturer, Royal University of Phnom Penh • Key informant interview with: – Tom Clements, Director Wildlife Conservation Society	• Key informant interview with: – Alfred Nakatsuma, Director REO • Key informant interview with: – Barry Flaming, RDMA – Suphasuk Pradubsuk, REO
23 July (Tuesday)	• Key informant interview with: – Edwin Payuan, Country Program Coordinator, The Center for People and Forests RECOFTC • Key informant interview with: – Kimhy Lun, UNDP, UN-REDD for Cambodia • Key informant interview with PACT: – Kurt Macleod, Vice-President, Asia Eurasia – Sarah Sitts, Country manager, Cambodia • Key informant interview with: – Dennis Cengel, Chief of Party, Supporting Forests and Biodiversity Project, Winrock International	• Key informant interview with: – Phuong Chi Pham, LEAF • Key informant interview with: – Luke Pritchard, LEAF

24 July (Wednesday)	• Key informant interview with: – Bunra Seng, Country Director, Conservation International Cambodia • Key informant interview with: – Michelle Owen, Acting Country Director, World Wildlife Fund • Key informant interview with: – Kalyan Ly, Project Assistant, Royal University of Agriculture	• Focus group discussions with: – Somying Soontornwong – Rawee Max Thaworn – Chandra Shekhar Silori, RECOFTC
25 July (Thursday)	• Team A departs for Lao PDR	• Focus group discussion with: – Sanath D. B. Ranawana, ADB – Sumit Pokhrel, ADB RETA 7987 – Naeeda Crishna-Morgado, ADB RETA 7987 • Key informant interview with: – Haddy Jatou Sey, World Bank
26 July (Friday)	• Key informant interview with: – Athsaphangthong Munelith, Senior Advisor, Program Manager – REDD/LEAF - Lao PDR – Christof Hahn, Senior Advisor REDD-Project Manager ENRICH Lao PDR/Vietnam – SengKham Inthiratvongsy – Forest and Climate Change Advisor – LEAF • Entry briefing with: – Tom D'Agnes, USAID (RDMA) Representative in a non-presence USAID country mission, US Embassy – Mathew H. Kustel, Political-Economic Officer, Embassy of the United States of America • Key informant interview: – Colin Moore, Regional Advisor on REDD+ and CC WCS Laos	• Key informant interview with: – Peter Cutter, WWF Thailand • Key informant interview with: – Dr. Surin Onprom, Kasetsart University
27 July (Saturday)		• Sub Team B departs for Chiang Mai • Dr. Linda Heath, USFS, joins Sub Team B
28 July (Sunday)		• Participated in FORRU Workshop (Planting Tree Day) at Mon Cham, Thailand • Key informant interview with: – Somsak Soonthornnawaphat, LEAF country coordinator – Chawapich "Did" Vaidhayakarn, LEAF – Komchai Thaiying, RECOFTC/LEAF • Brief Meetings with: – Villagers

		– Dr. Stephen Elliot, FORRU
29 July (Monday)	• Key informant interview with: – Hideaki Takai, JICA Chief Adviser, Forest Sector Capacity Development Project – Takayuki Namura, JICA Advisor, Forest Sector Capacity Development Project – Georg Buchholz, GIZ Program Director, Sustainable Climate – Unna Chokkalingam, Forest Carbon Asia • Key informant interview with: – Ms. Kinnalone Phommasack, DOF-FIPD REDD+ -- LEAF country coordinator/UNFCCC negotiator/CCTWG member • Key informant interview with: – Khamia Phanvilay, Vice-rector and Director, Faculty of Forestry, National University of Laos, Research Center for Natural Resource and Climate Change – Sithong Thongmanivong, Associate professor, Faculty of Forestry, National University of Laos, Research Center for Natural Resource and Climate Change • Key informant interview with: – Bouaphanh Phantavong, Ministry of Natural Resources and Environment, DDG Department of Forest Resources Management – Saly Singsananh, Ministry of Natural Resources and Environment, Deputy of Planning and Cooperation Division	• Focus Group Discussion with: – LEAF Thailand staff at Protected Regional Office 16 (PARO 16) Chiang Mai, DNP • Khun Chaowit Chomketkaew • Aumpom Panmankhol • Niwet Leamphan • Wimolmart Nuipakdee • Issaret Sithirojanakul • Natdhachai Hongsonrak • Key Informant Interview with – Khun Chaowit, DNP-Technical working Group, PARO 16 • Key Informant Interview with: – Dr. Attachai Jintrawet at Chiang Mai University (LEAF University Partner for Curriculum Development) • Focus Group Discussion with: – HAPPEN and CBFCM staffs, LEAF Thailand's Implementing partners at Regional Environmental Office 1, Chiang Mai, Thailand – HAPPEN staff: • Jirapat Tathinjan • Niyom Sattanako – Water & Life Quality Foundation • Mr. Kittithai and Mr. Saengsilp
30 July (Tuesday)	• Travel to Attapeu • Key informant interview with: – Vongxay Manivong, Provincial Agriculture and Forestry Office, Deputy Head of PAFO • Key informant interview with: – Saiyalad Sumphonphakde, Provincial Office of Natural Resources and Environment (PONRE), Head of PONRE – Veth Southivong, Forestry and biodiversity specialist, GITEC	• Traveling to Mae Sa-Kog Ma Man and Biosphere Reserve (MAB) • Focus Group Discussion with: – Head of Ban Mae Mhae village (LEAF Thailand implementation site for participatory catchment management) • Key Informant Interview with: – Khun Prajak Phusiripattananon and Ms. Sutthiluck Sutthiwas, Pong Yeang Sub-District Administration, LEAF Institutional capacity building partner for MAB management • Key Informant Interviews with: – Ban Mae Mhae • Surasak Inthornsri • Sawat Juntaboon

		– Ban Pha Nok Kok (LEAF Thailand implementation site) • Thae Tippinthong
31 July (Wednesday)	• Key informant interview with: – Sommeuk Keokhanbai, District Agriculture and Forestry Office, Deputy Director of DAFO – Mr. Phonvima Sayyaboud – DAFO – Mr. Hatsadong Phommavong – DONRE – Mr. Sisomephon Nonthivong – DONRE – Mr. Sommeuk Keokhanbai – DDG DAFO – Mr. Viengsay Xaydara – SNV LEAF Attapeu – Mr. Sinsamouth Phutavong – PAFO – Mr. A Sacksy – PAFO – Mr. Veth Southivong – ADB-BCC, MONRE-DFRM – Mr. Sengkam Inthiratvongsy – SNV LEAF • Group meeting in Ban Tangao village with: – Main informant: • Bounpanh (Mr), Head of village – Other participants: • Thongbai (Mr) • Cheung (Mr) • Villagers	• Key informant interview with: – Dr. Prasit Wangpakapattanawong at Chiang Mai University (LEAF University partner for Curriculum Development) • Sub-team B departs for Kuala Lumpur
1 August (Thursday)	• Group meeting in Hat Vudomxay village with: – Cheng – Bounhkong – Pan – Kutsa – Phena – Shose – Damdee – Douangma – Thamom – Vai – Villagers • Group meeting in Sompoy village: – Mr. Simeung, Village Headman – Mr. Thongtsay – Mrs. Katsa • Key informant interview with: – Phialong Viangsay, Head of the forest checkpoint team	• Focus Group Discussion with: – Ministry of Natural Resource and Environment – Dr. Elizabeth Phillip – Dr. Gary William Theresia – Nor Azura Aini – Datuk Dr Abdul Rahim Nik, Chairman • Key informant interview via Skype with: – Ivy Wong, WWF Malaysia • Key informant interview with – GEC, Faisal Parish and Fuad bin Shariff

2 August (Friday)	• PAFO debrief with: – Vongxay Manivong, Provincial Agriculture and Forestry Office, Deputy Head of PAFO • Key informant interview with: – Ms Samati Pagna Viliphon, Representative, Lao Women Union in Attapeu • Travel back to Vientiane, Laos	• Key informant interview at FRIM office with: – FRIM-REDDES Project • Dr. Christine Fletcher • Dr. Ismail Parlan • Dr. Samsudin Musa – US Embassy in Malaysia • Brock Fox • Key informant interview with: – Mawaddah Azizan (LEAF Country Coordinator) • Focus group discussion at UPM with: – Prof Ahmad Ainuddin (UPM) – Chan Hoy Yen (UKM) – Prof. Paridah Tahir (UPM)
3 August (Saturday)	• Sub Team A departs for Hanoi, Vietnam	• Sub Team B departs for Port Moresby, Papua New Guinea
4 August (Sunday)		• Linda Heath departs for Vietnam to join Team A • Sub Team B arrives in Port Moresby, Papua New Guinea
5 August (Monday)	• Entry briefing with: – Ly Thi Minh Hai, LEAF project manager Vietnam – REDD+ Program – Tran Van Chau, Advisor, LEAF Programme • Key informant interview with: – Pham Manh Cuong, Director of Vietnam REDD+ Office, Ministry of Agriculture and Rural Development • Group meeting with: – Pham Van Chuong, Vice Rector, Vietnam Forestry University – Bui The Doi, Director of Sciences, Technology and International Cooperation Office, Vietnam Forestry University – Hoang Van Sam, Director of Biodiversity Centre, Vietnam Forestry University – Thinh Vu, Forest and Ecology Institute. Vietnam Forestry University • Mid-point check in with USAID RDMA	• Sub Team B joined by Supattira Rodboontham, LEAF Evaluation COR • Key informant interview with: – LEAF Country Director, Michael Avosa (Winrock) • Key informant interview with: – Julie Hulama, USAID Pacific Islands • Key informant interview with: – Lee Calkins, USAID Pacific Islands • Security Briefing with Jeff Capel, US Embassy • Mid-Point Check in with RDMA
6 August (Tuesday)	• Key informant interview with: – Vu Tien Dien, Director, Forest Resources and Environment Center (FREC), Forest Inventory and Planning Institute (FIPI) – Pham Duc Cuong, Head of Remote sensing and GIS section, Forest Resources and Environment Center (FREC), Forest	• Nitasmai Ransaeva joins Sub-team B • Focus group discussions with: – OCCD • Joe Pokana • Gwen Sissiou • Omega Nelson

	Inventory and Planning Institute (FIPI) • Key informant interview: – Chris Dickinson, Team Leader, Sustainable Landscapes, Vietnam Forest and Delta, SNV • Key informant interview with: – Nguyen Dinh Hung, Technician, Data Analysis Expert, Project on Support to National Assessment of Forest Resources in Vietnam (NFA) • Key informant interview with: – Eiji Egashira, Senior Project Formulation Advisor, Japanese International Cooperation Agency	• Rensie Panda • Key informant interview with: – Francis Hurahura, TNC Country Director – Andrew Ingles, TNC Asia Pacific, CTA for RAFT II
7 August (Wednesday)	• Key informant interview with: – Pham Hong Luong, Deputy Director of Fund, Department of Planning and Finance – VNForest, Ministry of Agriculture and Rural Development	• Key informant interview with: – Paul Barker, Institute of National Affairs • Focus group discussions with: – Institute of National Affairs • Marjorie Andrew, Technical Assistant • Rufina Peter, Research Officer • Elizabeth Avaisa, Senior Project Officer • Key informant interview via telephone with: – Simon Saulei, PNG Research Institute • Focus group discussions with: – Transparency International PNG • Lois Nakmai • Hazel Duduwega • Amanda Malagui
08 August (Thursday)	• Group meetings with: – USAID/Vietnam • Kyung Choe, Director, General Development Office • Tran Chinh Kuong, Program Management Specialist, Climate Change • Veronica Lee, Governance and Democracy, • Randy Flay, Supervisory Program Officer • Alex Zvinakis, Program Officer • Key informant interview with: – Steve Swan, Senior Advisor, REDD+ Programme	• Key Informant Interview with: – Yati Bun, FPCD • Focus Group Discussions with: – PNG Forest Authority • Dr. Ruth Turia • Constin Otto • Dambis Kaip • Goodwill Amos
09 August (Friday)	• Key informant interview with: – Akiko Inoguchi, FAO Forestry Officer UN-REDD • Key informant interview with: – Nguyen Vinh Quang, SNV Senior Advisor REDD+, Project Coordinator REDD+ Program	• Supattira Rodboontham, LEAF Evaluation COR, departs for Bangkok • Key informant interview with: – Gae Gowae, MARSH DCOP • Key Informant Interview with:

	• Key informant interview with: – Nguyen Ba Ngai, Deputy Director General, Ministry of Agriculture and Rural Development, Vietnam Administration of Forestry – Ngai Huong, Assistant to Deputy Director General, Ministry of Agriculture and Rural Development, Vietnam Administration of Forestry • Key informant interview with: – Ly Thi Minh Hai, LEAF project manager, Vietnam – REDD+ Program – Vu Thi Kien Phuc, Gender advisor, SNV-Vietnam • Key informant interview with: – Than Van Chau, Advisor, LEAF Program, SNV	– Prof. Lawong Balun, Unitech • Sub Team B departs for Madang, China
10 August (Saturday)	• Key informant interview with: – Mark Fenn, Country Representative, Winrock International	• Key informant interview with: – Roy Banka, Winrock • Key informant interview with: – Clement Kipa, TNC – Stephen Gewe, Gatik CBO
11 August (Sunday)	• Sub-team A travels from Hanoi, Vietnam to Dalat (Lam Dong), Vietnam	• Key informant interview with: – Andrew Mapio, Vice President of Madang Civil Society Forum/MCSF
12 August (Monday)	• Entry briefing/group meeting with: – Bui Van Hung, Director of DARD – Pham Van An, Consultant, Retired Director of DARD – Pham Van An, Consultant, Ex. Director of DARD – Sub Department of Forestry – Le Quang Nghiep, Director of Sub Department of Forestry – Le Van Trung, Technical official, Sub Department of Forestry – Do Van Vui, Technical official, Sub Department of Forestry – Hoang Cong Hoai Nam, Head of Forestry Management and Protection, Forest Protection and Development (FPD) Gender focal point – Vo Dinh Tho, Director of Fund for Forest Protection and Development (FPD) – Tran Quang Hung, Director of Agriculture and Forestry Consultancy Company • Key informant interview with: – Le Quang Nghiep, DARD, Director of Sub Department of Forestry	• Courtesy call and group discussion with: – Provincial Government of Madang • Peter Pasum, Administrative Officer for the Governor • Michael Tataki, Technical Officer for the Governor • Thomas Warr, Research Officer for the Governor • Key informant interview with: – Jack Musa, Forestry Advisor, Madang Provincial Government • Key informant interview with: – Chairman of MCSF Madang, Peter Moika

13 August (Tuesday)	• Key informant interview with: – Vo Dinh Tho, DARD, Director of Fund for Forest Protection and Development • Key informant interview with: – Le Van Trung, DARD, Technical Official, Sub Department of Forestry	• Field Visit to Almami LLG, Bogia District • Key informant interview with: – Participants at the workshop of three Dimension Modeling Spatial Land Use Planning in Baraya Village, Almami LLG, including Partners with Melanesia (Evangelyn Kove and Patrick Vuet)
14 August (Wednesday)	• Key informant interview with: – Hoang Cong Hoai Nam, Head of Forestry management and protection, FPD Gender focal point • Key informant interview with: – Tran Quang Hung, Director of Agriculture and Forestry, Consultancy Company	• Key Informant Interview with: – Dennis Wendel, USAID/Papua New Guinea Mission Director • Out-brief Meeting with: – Walter North, US Ambassador for Papua New Guinea • Sub Team B departs for Bangkok, Thailand
15 August (Thursday)	• Team Leader departs for Hanoi, Vietnam	• Sub-team B participates in LEAF Curriculum Development Workshop
16 August (Friday)	• Key informant interview with: – Pham Thanh Nam, Dalat Advisor, REDD+ Program • Team Leader debrief with: – Joakim Parker, USAID/Vietnam Mission Director, GDO Team	• Focus Group Discussion with: – Eight Universities – USFS in Bangkok
17 August (Saturday)	• Evaluation Specialist Member of Sub Team A departs for Bangkok, Thailand	
DATE	**BOTH TEAMS (SUB-TEAM A & SUB-TEAM B)**	
19 August (Monday)	• Key informant interview with: – Chanin Chiumkanokchai and Jeremy Broadhead, LEAF • Key informant interview with: – Peter Stephen, LEAF	
20 August (Tuesday)	• Key informant interview (via phone) with: – Sarah Tisch (Gender Practice Leader, Social Impact) – Kalpana, LEAF • Key informant interview with: – Jeannette Gurung, WOCAN • Key informant interview with: – DNP's Dr. Prasert Sornsathapornkul, DNP	
21 August (Wednesday)	• Team prepares for out-brief presentation with RDMA • Sub-team B has a key informant interview with:	

	– Steen Christensen, MFF – Janalezza Esteban Thuaud, MFF
22 August (Thursday)	• Team has an overview of findings with: – David Ganz – Brian Bean – Peter Stephen – Jeremy Broadhead • Sub Team A and B consolidate findings and conclusion for USAID RDMA out-brief presentation • Pre out-brief meeting with: – Barry Flaming – Supattira Rodboontham – Suphasuk Pradubsuk – Nitasmai Ransaeva – Alfred Nakatsuma, Director of REO
23 August (Friday)	• Furnish out-brief presentation • Out-brief meeting (presentation) attended by 19 participants (including representatives from USFS, USAID/Vietnam, USAID/ Cambodia, and USAID/Philippines via telephone)
24 August (Saturday)	• David Hess returns to California, USA • Stepi Hakim returns to Jakarta, Indonesia • Raymond Gervais returns to Montreal, Canada
06 September (Friday)	• Submission of Draft Report to USAID for comment
13 September (Friday)	• USAID sends first round of comments on Draft Report
20 September (Friday)	• USAID sends second round of comments on Draft Report
27 September (Friday)	• Submission of Final Report and Evaluation Tools (with Final Report) to USAID

ANNEX V: DEMONSTRATION SITE ANALYSIS AND STAKEHOLDER ENGAGEMENT

Status of Analysis and Stakeholder Engagement at LEAF "Demonstration" Sites for Applied Innovation[49]										
Country	Site	PLUP	IFM	RL	Fire Mgt	Other Themes, Aspects, and Factors	Stakeholder[50] Working Group or Committee			Documentation/Analysis[51]
							Est'd	TOR	WP	
Lao PDR	Attapeu Province, Sanamxay District	X	X			• (Community scale)	No	No	No	• Socio-economic baseline survey of selected households in one district • Forest cover change analysis • Forest threat assessment • Secondary background documents compiled

[49] Source: LEAF. 2013. Quarterly Report No. 10, Annex C: LEAF Field Activities: Mid-Term Assessment of Progress, with additional inputs from LEAF staff.
[50] Ibid. Also, in each "Section 1.2 Who are the key partners working with us?" for each site table in Annex C, there are rows to identify Government Agencies, Other REDD+ Development Partners, Other NGOs, Academic institutions, the Private Sector, and Other stakeholder partners. The row for "Private Sector" is blank for all sites except the site in Thailand and the two Vietnam sites, where companies that carried out studies for LEAF are listed.
[51] In addition, LEAF has carried out policy assessments, country strategies, and other national-level reports, including a review of district and provincial land use planning in Vietnam, and reports on site selection, including Pilot site selection in Vietnam, Laos and Thailand (Annex C of 2011 Q4 report), commune identification and selection in Nghe An and Lam Dong Province Viet Nam (unpublished), and site selection in PNG (internal, unpublished).

Status of Analysis and Stakeholder Engagement at LEAF "Demonstration" Sites for Applied Innovation[49]										
Country	**Site**	**PLUP**	**IFM**	**RL**	**Fire Mgt**	**Other Themes, Aspects, and Factors**	**Stakeholder[50] Working Group or Committee**			**Documentation/Analysis[51]**
Lao PDR	Huaphanh Province	X	X	X		• Provincial REDD+ Strategy	No	No	No	• Socio-economic baseline survey of selected households in two districts • Forest cover change analysis • Forest threat assessment • Forest degradation monitoring and capacity-building needs assessment • Secondary background documents compiled
Malaysia	Selangor State			X	X	• Peat swamp forest rehabilitation • Carbon accounting	N/A	GEC/ Gov't MOU	No	• Secondary background documents compiled
Malaysia	Pahang State		X			• RIL • Forest degradation	SC: Jun 2013 TWG: No	No	No	• Secondary background documents compiled
Papua New Guinea	Madang Province, Almami LLG	X		X		• (Clan, district, provincial scale) • (Provincial REDD+ Strategy TBD)	No	No	No	• REDD+ status analysis (national-level) • LEAF-TNC Collaborative Plan for Implementation of Madang work plan • Secondary background documents compiled
Thailand	Maesa-Kogma MAB Reserve	X			X	• (Landscape Scale) • PA planning • PES • Private sector engagement (Mae Sa Elephant Camp and tourism network inside MAB)	Yes (Jan 2013)	Yes	Yes	• Land Tenure and PES study • Community analysis (initial PRA) in 1 village • Land Tenure and PES study • Secondary background documents compiled • Field work for gender analysis carried out • Assessments of four local institutions begun
Vietnam	Lam Dong Province	X		X		• Provincial REDD+ Action Plan	Yes (2010)	Yes	Yes	• Forest cover change analysis

Status of Analysis and Stakeholder Engagement at LEAF "Demonstration" Sites for Applied Innovation[49]										
Country	**Site**	**PLUP**	**IFM**	**RL**	**Fire Mgt**	**Other Themes, Aspects, and Factors**	**Stakeholder[50] Working Group or Committee**			**Documentation/Analysis[51]**
										• Forest threat assessment • Socio-economic baseline study • RL development decisions • Land Use Planning and Climate Change Case Study • Secondary background documents compiled • Field work for gender analysis carried out • Assessments of local institutions begun
Vietnam	Nghe An Province, Con Cuong District	X	X			• Forest and LUP by Forest Management Board; SFM by State Forest Company (district scale)	Yes (Sep 2012)	Yes	Yes	• Forest cover change analysis • Forest threat assessment • Forest degradation monitoring and capacity-building needs assessment • Socio-Economic Base Line Study • Internal reports on Improved Cook Stoves and on options for design of community based forest management model • Secondary background documents compiled • Field work for gender analysis carried out • Assessments of local institutions begun

Acronyms and Abbreviations:

IFM	Improved Forest Management
LU	Land Use
NRM	Natural resource management
PA	Protected Area
PES	Payment of environmental services
PLUP	Participatory Land Use Planning
RIL	Reduced Impact Logging
RL	Reference Level development
SC	Steering Committee
SFM	Sustainable Forest Management
TBD	To be defined or to be detailed
TOR	Terms of Reference
TWG	Technical Working Group (or similar stakeholder group)
WP	Work Plan

ANNEX VI: DEMONSTRATION SITE DRIVERS THAT MAY BE ADDRESSED

Range of Drivers at "Objective 4" Sites that May be Addressed to Improve Sustainable Land Management[52]														
Country	Site	Drivers of Land Use and Forest Change										Links with Regional Issues and Themes	CO2e Reduced ('000 MT)	Improved Manag't ('000 has)
		Trad'l Ag	Comm'l Ag	Fire	Log-ging	Min-ing	Infra-struc-ture	Settle-ment	Tour-ism	Pol-icy	Affores-tation			
Lao PDR	Attapeu Province, Sanamxay District	X	X	X	X	X	X					Application and adaptation of tools and curriculum modules	116	43.6
Lao PDR	Huaphanh Province	X	X	X	X	X	X					Application and adaptation of tools and curriculum modules	2,874	423.2

[52] Addressing drivers in the context of specific sites and with specific stakeholders enables:

- Demonstrating application of Objective 2 policy and market incentives and of "down-scaled" Objective 3 capacities and
- Deriving principles, practices, and lessons for Objective 1 exchange across LEAF and other countries in Asia and worldwide

Range of Drivers at "Objective 4" Sites that May be Addressed to Improve Sustainable Land Management[52]														
Country	**Site**	**Drivers of Land Use and Forest Change**										**Links with Regional Issues and Themes**	**CO2e Reduced** ('000 MT)	**Improved Manag't** ('000 has)
		Trad'l Ag	**Comm'l Ag**	**Fire**	**Log-ging**	**Min-ing**	**Infra-struc-ture**	**Settle-ment**	**Tour-ism**	**Pol-icy**	**Affores-tation**			
Malaysia	Selangor State		X	X	X		X					ASEAN peat-lands initiative, including fire and haze control Application and adaptation of tools	2,357	73.7
Malaysia	Pahang State	X	X		X			X				Application and adaptation of tools (e.g., forest inventory-related MRV) ASW certification systems	777	TBD
Papua New Guinea	Madang Province, Almami LLG	X	X	X	X	X	X					Application and adaptation of tools and curriculum modules ASW certification systems	100	43.2

Range of Drivers at "Objective 4" Sites that May be Addressed to Improve Sustainable Land Management[52]														
Country	**Site**	**Drivers of Land Use and Forest Change**										**Links with Regional Issues and Themes**	**CO2e Reduced** ('000 MT)	**Improved Manag't** ('000 has)
		Trad'l Ag	**Comm'l Ag**	**Fire**	**Log-ging**	**Min-ing**	**Infra-struc-ture**	**Settle-ment**	**Tour-ism**	**Pol-icy**	**Affores-tation**			
Thailand	Maesa-Kogma MAB Reserve	X	X	X			X		X	X		Application and adaptation of tools and curriculum modules Fire and haze control Migration	440	42.7
Vietnam	Lam Dong Province		X	X	X		X	X				Application and adaptation of tools and curriculum modules ASW certification systems	3,456	532.4
Vietnam	Nghe An Province, Con Cuong District	X	X	X	X	X	X				X	Application and adaptation of tools and curriculum modules ASW certification systems	128	26.0
Burma												Fire and haze control		

Range of Drivers at "Objective 4" Sites that May be Addressed to Improve Sustainable Land Management[52]														
Country	Site	Drivers of Land Use and Forest Change										Links with Regional Issues and Themes	CO2e Reduced ('000 MT)	Improved Manag't ('000 has)
		Trad'l Ag	Comm'l Ag	Fire	Log-ging	Min-ing	Infra-struc-ture	Settle-ment	Tour-ism	Pol-icy	Affores-tation			
India			.									Exchange of experience on tools (e.g., forest inventory-related MRV) and REDD+-readiness in other countries (e.g., benefit distribution, institutional frameworks, and drivers)		
Indonesia												ASEAN peat lands initiative ASW certification systems		
Total													**10,249**	**1,184.8**
Target													**15,000**	**1,307.2**

ANNEX VII: USAID REGIONAL SUSTAINABLE LANDSCAPE PROJECTS

Other USAID Regional Sustainable Landscape Projects in LEAF and other Asian Countries	
Country	**USAID Sustainable Landscape Projects**
Cambodia	LEAF, LEAD, GREEN Mekong, CIFOR, SFB
Lao PDR	LEAF, LEAD, GREEN Mekong, CIFOR
Malaysia	LEAF, LEAD
Papua New Guinea	LEAF, LEAD, MARSH
Thailand	LEAF, LEAD, GREEN Mekong, CIFOR
Vietnam	LEAF, LEAD, GREEN Mekong, CIFOR, VFD
Bangladesh	LEAD
Burma	LEAD
Indonesia	LEAD, CIFOR, IFACS, ICCC, SLP, GP, TFCA II
India	LEAD, Forest-PLUS
Nepal	LEAD, Hariyo Ban
Philippines	LEAD, B-WISER
Solomon Islands	MARSH
Vanuatu	MARSH
Various	USFS

Project Name Acronyms:

GREEN Mekong	Grassroots Equality and Enhanced Networks in the Mekong (GREEN-Mekong)
LEAD	Low Emissions Asian Development (LEAD) Program
CIFOR	Economic Choices and Trade-offs of REDD+ in the Asia Region
USFS	U.S. Forest Service (USFS) Participating Agency Program Agreement (PAPA)
SFB	Supporting Forests and Biodiversity
VFD	Vietnam Forests and Deltas
Forest-PLUS	Forest Partnership for Land Use Science
IFACS	Indonesian Forest and Climate Support
ICCC	Indonesia Climate Change Center
SLP	Sustainable Landscape Partnership
GP	MCC Green Prosperity
TFCA II	Tropical Forest Conservation Act II Debt Swap
B-WISER	Biodiversity and Watershed Improved for Stronger Economy and Ecosystem Resilience Project
MARSH	Mangrove Rehabilitation for Sustainably-Managed, Healthy Forests

ANNEX VIII: DISCLOSURE OF ANY CONFLICTS OF INTEREST

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	David W. Hess
Title	Team Leader
Organization	Social Impact
Evaluation Position?	■ Team Leader ☐ Team member
Evaluation Award Number *(contract or other instrument)*	RAN-1-00-09-00019 AID-486-TO-13-0004
USAID Project(s) Evaluated *(Include project name(s), implementer name(s) and award number(s), if applicable)*	Lower Emissions in Asian Forests, Winrock International
I have real or potential conflicts of interest to disclose.	☐ Yes ■ No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* 1. *Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.* 2. *Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.* 3. *Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.* 4. *Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.* 5. *Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.* 6. *Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	6/20/2013

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Allen Turner
Title	Deputy Team Leader, USAID/LEAF Mid-Term Evaluation
Organization	Social Impact, Inc.
Evaluation Position?	☐ Team Leader ■ Team member
Evaluation Award Number *(contract or other instrument)*	RAN-I-00-09-00019 AID-486-TO-13-0004
USAID Project(s) Evaluated *(Include project name(s), implementer name(s) and award number(s), if applicable)*	Lowering Emissions in Asia's Forests (LEAF) program
I have real or potential conflicts of interest to disclose.	☐ Yes ■ No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* 1. *Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.* 2. *Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.* 3. *Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.* 4. *Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.* 5. *Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.* 6. *Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*	Although I have no conflicts of interest to disclose, it may be appropriate to note the following facts: Tetra Tech collaborated with LEAF on a training activity, under Tetra Tech's PLACE IQC Task Order, the Forest Carbon, Markets and Communities (FCMC) Program. Although I have not had any experience with the FCMC task order, I was employed by ARD, Inc. (now Tetra Tech) from 2001 through December 2010. Since 2010, I have worked occasionally for Tetra Tech, most recently in June 2012, under a renewable "preferred consultant" agreement that gives me access to Tetra Tech's internal (proprietary) information systems.

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	June 20, 2013

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Raymond Gervais
Title	Evaluation Specialist
Organization	Social Impact
Evaluation Position?	☐ Team Leader ■ Team member
Evaluation Award Number *(contract or other instrument)*	RAN-1-00-09-00019 AID-486-TO-13-0004
USAID Project(s) Evaluated *(Include project name(s), implementer name(s) and award number(s), if applicable)*	Performance Evaluation of REO Programs – Task 1: Mid-term Evaluation for the Lowering Emissions in Asia's Forests (LEAF) progra. Implemented by Winrock International and the Netherlands Development Organisation, Climate Focus, and The Center for People and Forests (RECOFTC)
I have real or potential conflicts of interest to disclose.	☐ Yes ■ No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* 1. *Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.* 2. *Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.* 3. *Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.* 4. *Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.* 5. *Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.* 6. *Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	06/19/2013

Name	Stepi Hakim
Title	Local Specialist
Organization	MSI
Evaluation Position?	☐ Team Leader ■ Team member
Evaluation Award Number *(contract or other instrument)*	RAN-1-DO-09-00019 AID-486-TO-13-00004
USAID Project(s) Evaluated *(Include project name(s), implementer name(s) and award number(s), if applicable)*	LEAF program, USAID, Winrock Intl.,
I have real or potential conflicts of interest to disclose.	☐ Yes ■ No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* 1. *Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.* 2. *Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.* 3. *Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.* 4. *Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.* 5. *Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.* 6. *Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*	

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Signature	
Date	21 June 2013

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