Sida Evaluation 05/13

Integrating Natural Resource Management Capacity in Southeast Asia

Indonesia, Laos, Philippines, Thailand, Vietnam

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Department for Natural Resources and the Environment

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Executive summary

A. The Projects

In spite of rapid economic growth and change in most parts of Southeast Asia poverty still prevails in some areas. These are especially upland areas where unsustainable slash and burn agriculture dominates land use. The World Agroforestry Centre, ICRAF, established its SEAsia Regional Programme in 1993 to promote agroforestry, the integration of trees on farm and in the agricultural landscape, as one of the means to address land use issues. An assessment of the status and needs of educational institutions with regard to their capability in agroforestry education was conducted by ICRAF in 1997–98. The assessment, which was financially supported by SIDA, led to the formation of the Southeast Asian Network for Agroforestry Education, SEANAFE. Sida has supported the network ever since its formation, and until April 2003, 12,975,000 SEK has been availed to ICRAF for this purpose. Currently, the Regional set up of SEANAFE supports national networks in the Philippines, Indonesia, Thailand, Vietnam and Laos in which educational institutions are members.

In a parallel development, Sida also supported the Vietnam Agroforestry Capacity-Building Project, VACB, since early1998, which in 2001 evolved into the Agroforestry Support Project for Vietnam and Laos (ASP V & L). These projects aimed at strengthening the agroforestry research capacity in Vietnam and later also in Laos and to facilitate linkages between scientists within the two countries as well as between research in these countries with relevant research in other countries in the region. From the start up to mid-2003 8,660,000 SEK were availed by Sida to ICRAF for implementation of the activities.

With effect from mid-2003 these two separate projects were merged into Integrating Natural Resources Management Capacity in Southeast Asia, INCA, with financial support from Sida to December 2004. A total of 4,800,000 SEK were allocated by Sida to ICRAF for the implementation of activities under INCA. The Research and Development component of INCA remains with a focus on Vietnam and Laos.

B. The Evaluation

Sida has indicated to the partners executing these programmes that the support will be discontinued after 2004. The purpose of the evaluation, which is covering the whole period from the initiation of the first activities in 1997 to date, is to study how the projects have fulfilled their objectives and draw conclusions in order to learn for the future.

A three-person evaluation team visited the five countries where activities were implemented under SEANAFE. A representative selection of educational institutions was visited and additional institutions were contacted by other means. A cross-section of people, including students, lecturers and other educational officials were contacted for discussions. The team also visited research organisations, field stations and farmers to assess relevance, effectiveness, efficiency and impact of the support to capacity building for agroforestry research and development in Vietnam and Laos. A separate small study was commissioned aimed at getting comments on the relevance of this kind of activities from a perspective of the montane Provinces of South-western China.

C. Findings

The main findings are summarised in the following key comments:

SEANAFE's performance

- Seen over the whole period the performance is good with the exception of the period January–August 2003 during which the project lacked operational funds.
- The efficiency pre-midterm review was lower than after the same due to costly arrangements with regional "secretariats" both at Bogor and Los Baños.
- January–August 2003 can be characterised as a waste of time. No funds were available and the project management was to an extent occupied by explaining to all actors why no budgets were released and thus no activities could be implemented.
- Sida operated reasonably well with the exception of the gap that was created between phase I and INCA (January–August 2003) which reduced the efficiency.

The performance of VACB, ASP V & L and the R & D Component of INCA

- By and large the project has contributed to research and development links between Vietnam and Laos as well as within these two countries.
- The system with bridging funds and no-cost extension caused an unfavourable development in terms of efficiency. What was achieved could have been achieved quicker and cheaper. The efficiency eroded gradually during VACB and ASP V & L from a reasonable level at first.
- The performance during the period January–August 2003 was seriously hampered by lack of operational funds and uncertainty.
- Sida and ICRAF have to share responsibility for the relatively poor efficiency. Sida's erratic style caused uncertainty and ICRAF did not manage the uncertain environment in an optimal way.
- The actors at the national level performed quite well.

The achievement of the SEANAFE objectives

- The objectives were generally well or satisfactorily achieved, but facilitation of research connectivity proved to be a harder task than anticipated.
- Linking agroforestry education to the extension system and practice in the field could have been worked harder upon.

The achievement of the objectives for VACB, ASP V & L and the R & D Component of INCA

- VACB was generally successful but the extension awarded did not contribute to efficiency.
- ASP V & L was reasonably successful.
- ASP V & L and to some extent also VACB had ambitious plans related to training and especially to training materials, media and publication production targeting the grass-root institutions and household level. These proved to be slightly unrealistic, and it could be questioned if this was a design flaw rather than an implementation flaw. The implementing institutions are national scientific institutions primarily with other primary mandates than extension at grass-root level.
- The GIS project is a particularly useful contribution among the on-going activities.

D. Conclusions

- SEANAFE has made good overall progress but is still badly needed to support the national networking.
- The support to capacity-building for agroforestry research and development has, indeed, contributed to better linkages between officials from forestry and agricultural research institutions in the two countries. The project started apparently off rather well and achieved good momentum in 1999. After that period, however, the cost-efficiency seems to have deteriorated. This can, to a large extent, be attributed to lack of consistent behaviour from the donor, but ICRAF also shares responsibility too.
- Well designed regional activities supported by Sida can be useful both for the region and for Sida itself. The evaluation team is of the firm opinion that regional activities may be well worth supporting strictly on their own merits and must not always relate strongly to Sida-supported bilateral programmes in the region.
- The review of relevant policies that was made indicates that the supported activites remain relevant both from a Swedish policy perspective and from a perspective of the countries in the region.

E. Recommendations

SEANAFE/ICRAF

- SEANAFE ought to build capacity at the regional level in order to effectively assist in the production of educational material.
- There is need to delineate the borders of agroforestry in relation to other subjects.
- Establish stronger links to the extension systems as well as to other development projects
- Consider using SEANAFE to address some new topics that may not be well addressed in education so far
- Make SEANAFE at the regional level more active
- Coordination meeting with RECOFTC
- Invite Chinese participation in SEANAFE

Sida

- Reconsider the decision to terminate the financial support to SEANAFE

VACB/ASP-V&L/Capacity building within INCA 1998–2004

Recommendations to ICRAF

- Consolidation of on-going activities
- Seeking continued funding for on-going activities from other sources
- Analyse the scope for a major restart with focus on upland policy and research with links to identified suitable institutions in Thailand, Laos, Vietnam and China.

Recommendations to Sida

- Sida-NATUR ought to set aside time to discuss how to minimise the risk for such administrative shortcomings which have, during certain periods, negatively affected the evaluated projects

- Sida-NATUR ought also to consider, in a broad perspective, what its future engagement in the issues related to the mountain areas of SE Asia should be.

F. Lessons learned

- Long time horizons and predictability are rewarding
- There is no major contradiction between a reasonably detailed project document that meets the needs of a donor and the desire to have a flexible approach to planning and implementation. The team is of the opinion that SEANAFE has struck a better balance in this respect than VACB and in particular the phases that followed to that.
- The team wishes also to recognise the very important role that Sida has played over the last 30 years by supporting programmes that have been at the cutting edge with regard to the relations between forestry and other land use on the one hand and people on the other. The result of these processes is that, worldwide, the various concepts of people-centred forestry and the understanding of how trees, crops, livestock and people interact in the small-scale farming systems have become recognised and brought into the general development agenda. Sida is one of the donors that have played a central role in this process and SEANAFE can be seen as a continuation of this evolution.

Abstract

Sida has supported ICRAF for development of education and research in agroforestry and natural resources management in SEAsia. The aim was to increase research and educational capacity.

The purpose of the evaluation is to study how the projects have fulfilled their objectives and to learn for the future.

The three-person mission visited institutions in five countries in SEAsia. A cross-section of people, including farmers, students, lecturers, officials and scientists were contacted. Field stations and farmers fields were studied to assess relevance, effectiveness, efficiency and impact. A separate small study was commissioned to get comments from a Chinese perspective.

The projects had met their objectives well, but the cost-effectiveness of one of the components was less satisfactory. This was attributed mainly to an erratic behaviour of Sida that prevented long-term planning but also to some degree to shortcomings in the implementing organisation's supervision. The team recommends Sida to reconsider its decision to terminate the support to one of the projects.

A long-term vision is rewarding when working on regional programmes. Good project documents help both implementation and evaluation. Sida has played a very important role during the past three decades for the reorientation of forestry to become more people-centred.

Acronyms

ANAFE	African Network for Agroforestry Education
ASB	Alternatives to Slash-and-Burn
ASEAN	Association of Southeast Asian Nations
ASP-V&L	Agroforestry Support Programme -Vietnam & Laos
B. Sc.	Bachelor of Science
BSU	Benguet State University
CBIK	Centre for Biodiversity and Indigenous Knowledge
CGIAR	Consultative Group on International Agricultural Research
CHED	Commission on Higher Education for Curriculum Development
CMU	Chiang Mai University
CPRGS	The Comprehensive Poverty Reduction and Growth Strategy
DMMMSU	Don Mariano Marcos Memorial State University
FAO	Food and Agriculture Organisation of the United Nations
GIS	Geographic Information System
GO	Government Organisation
HUAF	Hue University of Agriculture and Forestry
IIED	International Institute of Environment and Development
IPGRI	International Plant Genetic Resources Institute
ICRAF	International Centre for Research in Agroforestry ("World Agroforestry Centre")
INCA	Integrating Natural Resource Management Capacity in Southeast Asia
IndoNAFE	Indonesia Network for Agroforestry Education
INRM	Integrated Natural Resource Management
INSAF	Indonesian Society of Agroforestry (in Indonesia = MAFI)
IPB	Institut Pertanian Bogor
IRRI	International Rice Research Institute
IUARP	Integrated Upland Agroforestry Research Programme
IUFRO	International Forestry Research Organisation
KTS	Kontraktbaserat Tekniskt Samarbete (Contract-based Technical Cooperation)
KU	Kasetsart University
LaoNAFE	Lao Network for Agroforestry Education
LFA	Logical Framework Analysis
LUSLOF	Sustainable Land Use Practices for Uplands of Vietnam and Laos
MAFI	Masyarakat Agroforestry Indonesia
MARD	Ministry of Agriculture and Rural Development (Vietnam)
MDG	Millennium Development Goals
MMSEA	Mountane Mainland Southeast Asia
MOSCAT	Misamis Oriental State College of Agriculture and Technology
M.Sc.	Master of Science
MU	Maejo University

NAC	National Agriculture Committee
NAFEC	National Agroforestry Education Committee
NAFETC	Northern Agriculture and Forestry Extension Training Centre
NAFREC	Northern Agriculture and Forestry Research Centre
NAFRI	National Agriculture and Forestry Research Institute
NASI	National Agricultural Science Institute
NGO	Non-Government Organisation
NOMARC	Northern Mountain Agricultural Research Centre
NUAF	National University of Agriculture and Forestry (HCMC, Vietnam)
NUOL	National University of Laos
PAFERN	Philippines' Agroforestry Education and Research Network
PAFI	Pendidikan Agroforestri Indonesia
PES	Payment of Environmental Services
PRSP	Poverty Reduction Strategy Paper
R & D	Research and Development
RECOFTC	Regional Community Forestry Training Centre
SDC	Swiss Agency for Development and Cooperation
SEANAFE	Southeast Asian Network for Agroforestry Education
SEAMEO	Southeast Asian Ministers of Education Organisation
SEARCA	SEAMEO Regional Centre for Graduate Study and Research in Agriculture
SEAsia	Southeast Asia
SENSA	Swedish Environmental Secretariat for Asia
SFSP	Social Forestry Support Programme
Sida	Swedish International Development Cooperation Agency
SIDA	Swedish International Development Authority, later renamed Sida
STOU	Sukhothai Thammathirat Open University
TAFE	Taskforce on Agroforestry Education
ThaiNAFE	Thai Network for Agroforestry Education
TNUAF	Thai Nguyen University of Agriculture and Forestry
TOR	Terms of Reference
TOT	Training of Trainer
TPAE	Technical Panel for Agriculture Education
UGM	Universitas Gajah Mada
UN	United Nations
Unibraw	Universitas Brawijaya
Unila	Universitas Lampung
Unlam	Universitas Lambung Mangkurat
Unmul	Universitas Mulawarman
UPLB	University of the Philippines at Los Banos
VACB	Vietnam Agroforestry Capacity Building Project
VASI	Vietnam Agricultural Science Institute
VNAFE	Vietnam Network for Agroforestry Education

1. Programme context

1.1 The emergence and evolution of people-centred forestry

Forestry emerged as an applied science dealing primarily with trees and forests as a source of raw material for forest industries and also as an asset for the protection of watershed functions. In many countries forests were classified into broad categories of production forests and protection forests. In most tropical and sub-tropical countries management responsibilities of forests were transferred from local communities to government institutions, with or without support from colonial governments.

In the 1960s and 70s postcolonial development cooperation in the forestry sector continued promoting forest plantations, forest industries and, to a lesser extent, forests for watershed protection. These were the days when, for example, joint resources from the Swedish and Vietnamese governments were invested in the pulp and paper mill at Bai Bang, Vietnam.

There was, however, a growing concern that this "traditional" forestry often had little positive or even negative impact on the livelihoods of local forest-dependant communities. In addition, many of the projects aimed at plantation development were less successful, and governments gradually appeared to lose their effectiveness as forest managers.

So far, local inhabitants had mostly been regarded as threats and obstacles for forest development or, at best, potential forest workers that needed training in order to become capable of engaging in these new tasks. During the latter half of the 1970s, FAO, with financial support from SIDA (Swedish International Development Authority, later renamed Sida, Swedish International Development Cooperation Agency), initiated a programme called Forestry for Local Community Development. A new paradigm started to emerge giving the forest-dependent communities a redefined role. The new idea was to explore if these communities could be engaged in forest management in a way that secured a positive contribution to local livelihoods without jeopardising the forests.

From the early community forestry initiatives in the late 1970s the notion of "people-centred forestry" has evolved further and new concepts have gained ground. Farm forestry, social forestry and agroforestry may have slightly different meanings and implications, but they all share the basic idea that people play an important role in the management of forests and trees.

The development in the agricultural sphere has also undergone processes of change during the recent decades. The 1960s and 70s were characterised by a commodity focus often with the clear ambition of maximising crop yields in mono-cropping systems. This approach culminated with the "green revolution" that brought about a lasting and important impact especially among the communities depending on paddy rice. But the approach aiming at maximising crop yields of single crops proved not to be adequate everywhere. Gradually, a farming-systems approach gained ground, and increased attention was paid to the farm as a multi-business cum subsistence-production entity with the array of knowledge resting with the farmer being a key factor for successful development.

At the turn of the century, additional issues became prominent in the debates over land use. International conventions were signed on many topics that strongly related to forests and forestry, but not specifically to the produce derived from trees and forests. Instead, increased attention was paid to the service functions of trees and forests. It was realized that in far more situations than what was earlier perceived, the conservation values of forests by far outweigh the value of the products derived from them. For these and other reasons, increased restrictions on logging were imposed in many countries and in particular in countries in Southeast and East Asia.

These processes in the agricultural and forestry disciplines brought about a more holistic view on land use and reduced the disciplinary boundaries between them. Agroforestry emerged as a new applied science focussing on the integration of trees in the agricultural setting, both at the farm level and at a broader landscape level.

1.2 Issues in natural resources management in Southeast Asia

The recent decades have been characterised by rapid economic growth and change in most parts of Southeast Asia. A major key to this development has been increased agricultural productivity. The rapid agricultural development has, however, mainly occurred in fertile areas suitable for irrigated rice. These areas are mainly in lowlands and in upland areas with rich volcanic soils.

Many other areas are, however, lagging behind. These are especially upland areas with poorer soils where unsustainable slash and burn agriculture dominates land use and lowland areas with poorer soils where large-scale logging threatens the livelihoods of segments of local populations. Local populations in these areas often include ethnic minorities, some of which have occupied the areas for a long time, others being relatively recent immigrants.

Improvements of existing agroforestry systems and the introduction of new agroforestry technologies have been assumed to have potential to address some of these issues. Global efforts have been made through, for example, the initiative "Alternatives to Slash-and-Burn" (ASB). This initiative involves a number of research and development institutions under the overall guidance and coordination of ICRAF.

Agroforestry alone may, however, not effectively address all issues related to poverty and unsustainable land use in the more marginal areas. Other factors, like legal as well as illegal logging, are driven by forces that are mainly external to the local community. Addressing these requires other initiatives than agroforestry in a more narrow sense.

1.3 The World Agroforestry Centre, ICRAF

ICRAF was initially formed in 1978 as a small council for research in agroforestry. ICRAF grew during the 1980s and developed an approach based on collaborative programmes implemented primarily by the national agricultural research systems with the support from ICRAF. Activities at that time had a clear focus on Africa.

ICRAF further evolved during the 1990s into a *centre* for research in agroforestry, and joined the Consultative Group on International Agricultural Research, CGIAR in 1990. The centre got an explicit research mandate and research and development programmes were initiated not only in Africa but also in Latin America and Southeast Asia. The ICRAF SE Asia Regional Programme was established in 1993 with offices in Indonesia, the Philippines and Thailand. Recently an office was also set up in Kunming, China.

ICRAF's vision, as expressed in the Corporate Strategy 2001–2010, is that, by 2010, 80 million agricultural poor would get access to agroforestry research innovations that will improve their livelihoods and help sustain the global environment. Agricultural poor are farmers, other rural dwellers, and peri-urban and urban farmers who live on less than US $1 per day.

1.4 The supported activities

The activities that Sida has supported from 1997/98 to date have undergone various stages and appeared under some different names. Until 2003 there were two fairly distinct projects:

- Development of agroforestry research and development capacity first in Vietnam (VACB, 1998–2001) and later in Vietnam and Laos (ASP V&L, 2001–2003).
- Support to agroforestry education in five countries (SEANAFE).

From 2003 the two projects were merged under one umbrella "Integrating Natural Resource Management Capacity in Southeast Asia, INCA. The different activities were financially supported during different periods as shown in figure 1.

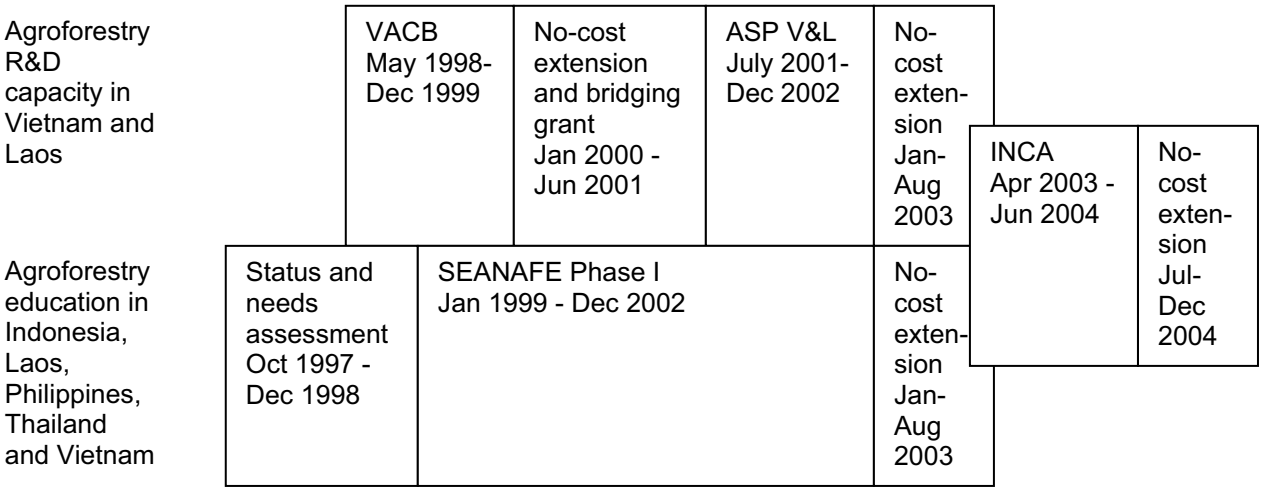

Figure 1. The different activities and their funding periods

The Southeast Asian Network for Agroforestry Education, SEANAFE

History

The African Network for Agroforestry Education, ANAFE, was launched in 1993, with a goal 'to promote and support a multidisciplinary approach in the teaching of agriculture and natural resource management, with special focus on agroforestry'. Building on the ANAFE experiences in Africa and also on a round-table discussion on agroforestry education in Southeast Asia held in 1994, ICRAF initiated a status and needs assessment of agroforestry education in 1997–98. A grant from Sida facilitated the assessment, which was conducted in Indonesia, Laos, Philippines, Thailand and Vietnam. The 1997–98 needs assessment and subsequent meetings revealed that a number of issues confront the growth and quality of agroforestry education. Among these were:

- In spite of many common needs and experiences among educational institutions in Southeast Asia, there were very limited mechanisms for collaboration, nationally as well as regionally.
- Agroforestry education was hampered by inadequate or outdated curricula, lack of minimum standards and obstacles to agroforestry curriculum development.
- There was need to harmonise agroforestry education within institution, between institutions and among countries of the network.
- Lecturers were found to require further training.
- There was general shortage of relevant and high-quality training materials, and existing ones require up-dating and translation.

Considering the outcome of the needs assessment, the participants in an Agroforestry Education Fellows Workshop organised in Bogor in 1998 agreed towards the formation of the Southeast Asian Network for Agroforestry Education (SEANAFE).

SEANAFE formed in April 1999

SEANAFE was officially launched in April 1999. Its vision, mission and development objectives were agreed upon. These, as well as five priority activity areas and details on organisational structure, resource contribution, information dissemination, links and external relations and evaluation mechanisms were compiled in the SEANAFE Charter adopted by the SEANAFE Board in June 1999.

The mid-term review

After two years of operation the SEANAFE Board and management felt that it would be timely to conduct a mid-term review in April–May 2001. The team carrying out the mid-term review noted that considerable progress had been made, but also noted that the centralised structure of the network seemed to be a constraint for further growth and for cost-effectiveness. Recommendations made included restructuring of the central network coordination functions and decentralisation by support to creation of national networks in the member countries (Indonesia, Laos, Philippines, Thailand and Vietnam). Another recommendation made was to embark on thematic focuses that may shift over time in order to maintain vigour and innovativeness in the network.

Goals

The project goals for the Swedish support to SEANAFE Phase I 1999–2002 were:

- to establish a regional network of tertiary educational institutions in natural resources sciences, that is able to promote and improve agroforestry education in Southeast Asia.
- to produce an agroforestry curriculum guide for the region, developed with stakeholders; and in use in curricula development and reviews.
- to make relevant reference and teaching materials on agroforestry available for teachers and students in different levels of tertiary education.
- to make stakeholders (including teachers, policymakers, administrators, employers, and others) aware of the capabilities and competencies of 'agroforesters' with multidisciplinary skills in natural resources management.
- to ensure that key agroforestry teachers in SEANAFE member institutions are adequately trained in agroforestry theory and practice.
- to encourage and enable graduate students to select agroforestry as a theme for their graduate theses, and to enable agroforestry teachers to incorporate on-farm research experiences, results or methods in their teaching.

These objectives were subsequently revisited at SEANAFE's 1st General Meeting and reformulated into SEANAFE's network objectives:

- Provide regional and national mechanisms for interdisciplinary collaboration among agroforestry institutions and programmes
- Build individual and institutional capacity for agroforestry education, research and development
- Strengthen the quality, availability and accessibility of agroforestry education
- Facilitate research connectivity and collaboration

- Link agroforestry education to the extension system and practice in the field
- Promote and develop skills in communication and information dissemination
- Assist in mobilizing resources for national and regional collaboration on agroforestry capacity building.

The first phase of SEANAFE was completed by the end of 2002. Plans for the continuation of the activities, now as a component within "Integrated Natural Resource Management in Southeast Asia (INCA)" had been prepared and submitted to Sida, but it took six months before Sida decided to continue the support. Meanwhile, the project management was sustained with residual funds from the first phase that could be used based on a no-cost agreement with Sida. This period, however, slowed down the process resulting in some loss of momentum.

The objectives for the new phase of SEANAFE within INCA are:

- Improved capacity of tertiary education institutions to develop and deliver agroforestry and Integrated Natural Resource Management (INRM) programmes
- Effective links between SEANAFE's national networks and the national research and development systems
- Presence of a regional mechanism for capturing regional and global experiences and sharing those among SEANAFE member institutions.

Inputs from Sida, ICRAF and the national institutions

Sida has provided financial support to the activities of SEANAFE and the national networks as well as for ICRAF's support to these activities. In total 12,975,000 SEK has been availed to ICRAF for this purpose up to April 2003. Out of this, 1,330,000 SEK were contributions during the preparatory stage 1997–98 and 11,645,000 SEK were the Sida contribution to the first phase to be implemented between January 1999 and December 2002. A no-cost extension of phase I was subsequently granted for the period January–August 2003.

INCA, with SEANAFE as one of its components has a total budget of 4,800,000 SEK, out of which about 60% may be attributed to the SEANAFE component. Sida initially agreed to avail support designed for a 15 month period (April 03—June 04) only, but a no cost extension was approved by Sida resulting in funds now being available until the end of 2004.

During the whole implementation period ICRAF has availed its human resources and various forms of infrastructure to implement the project and the national institutions have availed personnel participating in the various events as well as for the formation and management of the national networks.

Planned activities

The planning has evolved over time as experiences have been gained and as a follow-up to the recommendations made in the mid-term review. The activities indicated in the Logical Framework Analysis (LFA) were revised in an inception report. In general, SEANAFE places emphasis on the following activities:

- Curriculum development and defining minimum standards for agroforestry curricula
- Teaching materials supply, development and translation
- Capacity building for agroforestry staff
- Policy advocacy on agroforestry

- Facilitate connectivity between education and research systems
- Sharing of information resources
- Resource generation and mobilization
- Support to national network management
- Information and communication

The LFA for the current phase with SEANAFE as a component of INCA includes indication of activities under each objective. Although reformulated, the nature of the activities remains by and large the same. The main difference relates to the mode of operation. It is now the elected leadership of the national networks that designs the programme of work. A new feature of SEANAFE under INCA is that SEANAFE is working actively on resource mobilisation for the networks.

Envisaged outputs, effects and impact

The envisaged outputs for the period 1999–2002 were indicated in the revised LFA. These include the establishment and management of the SEANAFE network, curriculum development workshops, listing, translation and distribution of relevant training materials, information to policy makers, training of teaching staff and provision of thesis grants for students.

A number of specific outputs have been indicated in the LFA for SEANAFE in INCA as well as verifiable indicators.

The ultimate envisaged impact of SEANAFE may best be described by citing its mission statement: *"Through improvement of agroforestry education and training, contribute towards socio-economic improvement of farming communities and sustainable natural resources management in the region"*. This is obviously a long-term undertaking stretching beyond the first and current phases of the Sida support to SEANAFE.

Capacity building for agroforestry research and development in Vietnam and Laos (VACB, ASP-V&L and the R&D Component of INCA)

History

Sida has availed financial support to ICRAF aimed at capacity building for agroforestry research in Vietnam since May 1998 through the *Vietnam Capacity Building Programme* (VACB) and later in both Vietnam and Laos through the *Agroforestry Support Programme for Vietnam and Laos* (ASP V&L), and its continuation as a component of the current phase of the project named *Integrating Natural Resource Management in Southeast Asia* (INCA).

Goals

The VACB project objectives for May 1998–December 1999 were:

- To link Vietnam with ICRAF-Southeast Asia (SEA) activities and the global ASB program.
- To enhance Vietnamese capacity to conduct agroforestry research, development and training.
- To help Vietnam develop and disseminate alternatives to unsustainable slash-and-burn.

After a bridging grant, the ASP V&L was approved. This new project also included Laos. The objectives for ASP-V&L during July 2001 to December 2002 were:

- To enhance capacity in agroforestry research & development, especially on practices and processes (biophysical and socio-economic) that can contribute to sustainable management of upland systems.
- To support the development and delivery of appropriate agroforestry training, information dissemi-

nation and extension activities that can effectively reach and benefit grassroots institutions and farmer households.

- To improve the understanding and capacity to analyze key policies and factors affecting the development of agroforestry, particularly in poor, mountainous areas.
- To facilitate useful collaboration among relevant Vietnamese and Lao institutions and ICRAF partners on participatory watershed management and relationships between agroforestry and watershed services.

A continuation of the programme was then made possible through the Sida grant to INCA. This new grant was intended to be effective during most of 2003. However, due to a late decision by Sida on INCA and an agreed no-cost extension of the INCA project period up to the end of 2004, in reality INCA's implementation period is from the last quarter of 2003 through 2004. Costs incurred during the earlier part of 2003 were covered under the previous grant (ASP-V&L). These costs were, however, mainly for project management, as very few activities were implemented then due to the uncertainty of additional funding from Sida.

During the INCA phase, the objectives were again revised and a more precise logical framework analysis was developed, now including specific objectives, activities, outputs and indicators. The project goal for this phase is to:

- Strengthen institutional capacity for agroforestry and INRM research and development, with special emphasis on Vietnam and Laos

The project objectives referring to the capacity building component are:

- Enhanced agroforestry and INRM training capacity of development partners (GOs, NGOs, farmer groups, schools)
- Improved national capacity for research and development (R&D) related to participatory watershed management
- Strengthened national capacity for policy analysis and dialogue with respect to agroforestry and INRM.

Inputs from Sida, ICRAF and the national institutions

Sida had provided an initial grant and a bridging grant to VACB. The second instalment of the bridging grant was, however, never disbursed as the request for disbursement was made too late. The total funding from Sida to VACB ended up being 4,760,000 SEK and the implementation period ended up being from May 1998 to June 2001, instead of May 1998–December 1999 as initially planned.

From 2002, a new Sida grant facilitated the implementation of ASP-V&L. This grant amounted to 3,900,000 SEK. Sida granted no-cost extensions of the project up to August 2003, but only few activities were implemented after March of 2003.

Further continuation of the activities was then made possible by the Sida grant to INCA with an agreement covering the period April 2003–June 2004 and with the no-cost extension to December 2004. The total Sida grant to INCA was 4,800,000 SEK, out of which about 40% may be attributed to the research and development capacity building component in Vietnam and Laos.

ICRAF had to make up for the funds that were never disbursed and thus contributed around 750,000 SEK to VACB.

During the whole implementation period ICRAF has availed its human resources and various forms of infrastructure to implement the project and the national institutions have availed personnel participating in the various events.

Planned activities

The implementation of both VACB and ASP-V&L was highly based on a process approach. Only very general and broad agendas were presented in the project documents, with no detailed information on activities that were to be implemented. Instead, the detailed planning was carried out through consecutive planning workshops.

The concept proposal of VACB was developed by ICRAF-SEA primarily with the aim of linking Vietnam with the global Alternatives to Slash-and-Burn (ASB) programme and other ICRAF activities in agroforestry research and development, which seems to match with the interest of Sida in strengthening the capacity of Vietnamese institutions, scientists, and practitioners in natural resources management, including agroforestry. Through this project, it was also envisaged to establish linkages between Vietnam and ongoing ICRAF programmes and initiatives, as well as with the key partners in neighbouring countries, such as the University of the Philippines, Los Banos (UPLB) and Chiang Mai University, (CMU), Thailand.

The proposal submitted to Sida by ICRAF to support the agroforestry capacity-building initiatives in Vietnam explains the basis for formulating the VACB project, which relied on the preliminary assessment of existing agroforestry research and development capacity during the visits of ICRAF staff in Vietnam but did not include any list of activities that were to be implemented during the envisaged 18 months life of VACB. Instead, it gave ICRAF a free hand to field its experts in Vietnam for discussion with key partner institutions and to find out with whom to collaborate in implementing the project, including formulation of the work plans and allocation of the budget. Sida regarded the initiative as a support to the on-going bilateral activities, anticipating that strengthened research on agroforestry including ASB would yield technical know-how needed in implementing the bilateral programmes in Vietnam. It appears as if Sida and ICRAF regarded at least the initial grant to VACB as seed money that could be availed without too specific plans for the implementation being worked out in advance.

The project document for ASP-V&L identifies activities in Vietnam (*Vietnam Agroforestry Capacity Development Phase II*) and Laos (*Lao Agroforestry Capacity Development Phase I*) as two separate components of the project. The third component, *Regional Linkages and Collaboration* is the feature that makes it a regional project. In the document, the project activities were divided into four thrust areas: *Field-based upland agroforestry system R&D*; *Participatory watershed management*; *Policy analysis and dialogue* and *Training activities and information exchange*.

For the on-going INCA phase the logical framework analysis provides more details on activities and envisaged outputs. The following activities are envisaged under the objective *Enhanced agroforestry and INRM training capacity of development partners (GOs, NGOs, farmer groups, schools:*

- Conduct training of trainers courses and develop training materials for these courses
- Develop, produce and distribute extension materials based on research findings

The envisaged activities under the objective *Improved national capacity for research and development (R&D) related to participatory watershed management* are to:

- Analyze land use change and options at watershed level
- Test, adapt and apply methods and tools (e.g. GIS) for landscape analyses
- Provide training in current tools and methods for watershed research.

The envisaged activities under the objective *Strengthened national capacity for policy analysis and dialogue with respect to agroforestry and INRM* are:

- Conduct policy workshops and forums with stakeholders
- Carry out studies related to agroforestry and INRM policy and governance
- Provide training in applying policy analytical methods and tools.

Envisaged outputs, effects and impact

With the exception of the on-going phase, these were not clearly expressed in any quantitative terms. The development objective of ASP-V&L may however be cited as an indication:

To support sustainable agroforestry development that will directly benefit poor households as well as enhance agroecosystem resiliency in the upland areas of Vietnam and Laos through networking, collaborative research and development, and strengthening the capacity of institutions from grassroots to national level.

A number of specific outputs and verifiable indicators have been indicated in the LFA for the R&D component of INCA, but their usefulness for the evaluation is limited as, in practice, only about half of the project period has passed and few reports are available at this stage.

1.5 Agroforestry: A continuously evolving phenomenon or a fixed science?

Simply put, agroforestry means farming with trees. The formal definition is as follows:

Agroforestry is a dynamic, ecologically based, natural resource management practice that, through the integration of trees on farms and in the agricultural landscape, diversifies and sustains production for increased social, economic and environmental benefits.

The exact understanding of the concept agroforestry has, however, undergone considerable variations. The current definition is much wider in scope than earlier ones. Parallel to the evolution of the agroforestry concept several other similar or related concepts have evolved too, such as community forestry, social forestry, farm forestry and village forestry. The perception of these concepts.

Thus, agroforestry is not a well-defined subject, both within and among the member institutions. Components of agroforestry education may be integrated in a range of subjects, appear under another 'name' or feature as a specific course named agroforestry. SEANAFE has a detective's task to identify all stakeholders in this labyrinth. Similarly, "agroforestry research" may not be clearly defined, but that matters less since researchers or research institutions do not need to work on all aspects within the subject, and can conveniently operate within more vaguely defined borders. This is in contrast to education, where curricula should avoid overlaps while ensuring that all important subject areas are covered by the courses offered at a specific level.

2. The evaluation

2.1 Terms of Reference for the evaluation

According to the Terms of Reference (TOR, Appendix 1) the project was to be terminated by June 2004, but a no-cost extension has been granted that enables a continuation of the activities until December 2004. According to the TOR, the purpose of the evaluation is to study how the projects have fulfilled their objectives and draw conclusions in order to learn for the future.

The evaluation is to cover the period 1997 to 2004 and it is to:

- provide an all-round description of the projects. The purpose of the descriptive part is to give general information and background for the analysis.
- assess the relevance of project objectives for the development in the region as well as in fulfilling the Swedish Development Goals relevant at the time of approval as well as of today.
- assess the effectiveness by studying to what extent the project objectives have been achieved.
- assess the efficiency in the project by studying outputs in relation to its costs.
- assess the impact in relation to what is stated in the project documents.
- assess the sustainability of the results and ownership of the project within participating institutions.
- assess to what extent the projects have established links to bilateral Sida-supported projects/programmes.
- assess the stakeholders performance i.e. roles and responsibilities (incl. Sida).
- make recommendations for the future (could include, but is not limited to Sida, ICRAF and other stakeholders).

According to the methodology given in the TOR, the work should include analysis of available documents and interviews with people in the region as well as with relevant staff at Sida Stockholm and relevant Sida offices in the region. A list of people met is attached, Appendix 2, as well as a list of documents studied, Appendix 3.

Sida's decision to terminate the support by the end of this year (2004) was discussed with Sida staff in Stockholm. Based on the discussions, the team was advised to discuss different alternatives for the phasing out of the support although this is not indicated in the TOR.

After the visits to the different countries, the team had a period for write-up and consultations with the ICRAF staff of the Chiang Mai office. In addition to the TOR, and based on an agreement with Sida, a sub-team consisting of two forestry officers working in Panzhihua, near the border between Sichuan and Yunnan Provinces in the south-western part of P.R. China was hired with the specific task of looking into the relevance of the supported activities from a south-western China perspective.

2.2 The team

The core team consisted of Bo Tengnäs (Sweden), team leader, Mr. Tara N. Bhattarai (Nepal), and Dr. Upik Rosalina Wasrin (Indonesia). All three have a broad experience of work in the region. The sub-team providing a Chinese perspective consisted of Messrs. Yu Miao and Han Deng.

2.3 Limitations

The team has been well supported by both Sida Hqs and ICRAF. Material has been availed and ICRAF has made efforts to provide the information the team requested. The team and ICRAF prepared a travel schedule jointly and the institutions selected for visits were all adequately prepared and provided the fora for meaningful discussions.

It should, however, be noted that the activities involved a large number of institutions located in different places in five different countries. Many of these were located in areas that were time consuming to reach. The team tried to contact as many institutions as possible, and has, one way or another,

interacted with 31 out of the 76 SEANAFE members. Most of these were visited while a few were contacted by other means. The team is of the opinion that it managed to get sufficient information from the members of SEANAFE.

An important limitation found by the team was the fact that VACB and ASP-V&L both had project documents which lacked clear indications on expected outputs, lacking logical framework analysis, etc. Similarly, the reports are rather scanty, and this weakness in the documentation forces the team to make a more subjective assessment than what would be ideal. The on-going project, now including both SEANAFE and ASP-V&L under INCA, had a far more solid project document with clear indications on activities, outputs and indicators.

3. Findings

3.1 The supported activities in their policy context

Policy documents reviewed

The team decided to briefly review the evolution of the policy environment, in a Southeast-Asian as well as a Swedish context, in order to assess the relevance of the supported activities now and at the time of their inception.

The following policies were mainly studied:

- The poverty reduction strategy paper (PRSP) for Vietnam (The Comprehensive Poverty Reduction and Growth Strategy, CPRGS)
- The poverty reduction strategy paper for Laos (The National Growth and Poverty Eradication Strategy)
- The overall objectives for the Swedish development cooperation 1997—2004
- Sida's priorities in Asia
- The country strategies issued by the Swedish Government
- Some documentation concerning the bilateral programmes in Vietnam and Laos
- Some documentation on The Swedish Environmental Secretariat for Asia, SENSA
- ICRAF SEAsia's vision, programme and strategy

Relevant notes on these policy documents are included in Appendix 4.

The team's findings with regard to the supported activities in a policy context

Poverty reduction through improved land management remains a focus

Sweden and the countries in the region for which the team has looked into their PRSPs are expressing a stronger determination to combat poverty. This is currently a general trend among donors as a response to the UN Millennium Development Goals (MDGs) and to the process of using the PRSPs to focus assistance more clearly on poverty-reducing strategies and actions. However, as poverty to a large extent is a rural phenomenon and as production based on management of land is the backbone of rural economy, improvement of land-management practices will continue to be among the focal areas for poverty reduction. Also, populations will still continue to increase, while no frontier of unused land

exists to exploit. Thus, intensification of land use is essential for poverty reduction. Degradation of soil fertility and natural resources must be arrested.

Differences between lowlands and montane areas of Southeast Asia

General development of agriculture and forestry is, however, not sufficient to achieve poverty reduction. The land-based production has indeed increased dramatically, but the increase has largely been derived from lowlands suitable for paddy cultivation. Further production increases from these areas may be marginal for poverty reduction, since it is neither in these areas that poverty is most frequent, nor is it shortage of food *per se* that causes poverty but rather a combination of several other factors. The rate of growth of production in the paddy areas is now declining while the environmental problems in many of these areas are increasing. This is often regarded as indications that the scope for further increases in production in these areas is limited.

Generally, in most countries in the region, poverty is especially rampant in mountainous areas and among ethnic minorities. Further, relatively less advancement in agricultural production and practices has been made in these areas.

VACB and its successors have had and still have a main focus on uplands. From that perspective, such activities are relevant from a policy perspective now and were important at the time of their inception. SEANAFE has no specific focus on uplands, but has, on the other hand, a focus on the integration of agriculture, forestry and social disciplines. Knowledgeable people, either they are university graduates or certificate or diploma holders, that are capable of dealing with people and land use in a holistic manner are essential both for the capacity of the countries to deal with poverty issues and long-term sustainability issues.

The link between regional programmes and bilateral programmes and projects

From a Sida perspective, it has, at least from time to time, been argued that the regional programmes should be designed such that they add value and constitute a "back-up" function to the bilateral programmes and projects. The team is of the opinion that this view can be challenged. In the Southeast Asian reality, Sida and Sweden is a small player and developments even in the sectors that Sweden and Sida treats as core areas for Swedish support are influenced by many factors, from within the countries as well as external. There may well, conceptually, be occasions when Sweden may have comparative advantages to support regional activities which are not directly linked to the bilateral programmes.

But let us assume that there should be a strong link between the bilateral programmes and these regional activities. In that case, the team is of the opinion that there is some difference now as compared to the late 1990s when the programmes were initiated. There is more focus on area-based and integrated rural development activities in the bilateral programmes in Vietnam and Laos now, but the difference may still be superficial. Even in these area-based and integrated rural development activities, it seems, as was evidenced during the discussions in Vietnam, that there will be a clear focus on land use.

Conclusions

After this brief review of some policy documents, the team has arrived at the conclusion that well-defined and well implemented projects with over-all objectives like those of the programmes being evaluated may be as relevant now as earlier, from various policy horizons. The more detailed design and implementation of the evaluated programmes may, however, not always have included the pro-poor contents that are required and socio-economic issues should also be part of the agenda. This is important now, but was also important earlier.

The new phenomenon from a Sida perspective, but not yet from a regional perspective, is SENSA. The wish, by Sida, to focus regional activities more clearly on the subject areas prioritised for SENSA seems,

as far as the team has noted, to be the decisive factor for Sida's tentative decision to terminate the support to the activities subjected to this evaluation. Commenting on this new evolution within Sida clearly falls outside the scope of this evaluation.

3.2 SEANAFE performance

SEANAFE's response to the mid-term review

The overall assessment of the external mid-term review that was conducted in April–May 2001 was positive, but a number of recommendations were made. The most important ones focussed on improving the cost efficiency by rationalising the SEANAFE structure and by the creation of a more decentralised structure with most of the implementation being handled at national level.

SEANAFE responded vigorously to most of the recommendations of the review and details on what measures that were undertaken are well reflected in the Final Report on Phase I, dated April 2004.

The team notes, however, that SEANAFE's internal assessment indicates that gender issues needs further attention. Gender disaggregated statistics on participation and involvement are still not systematically compiled. Further, on the suggested campaign approach the team recognises that SEANAFE was busy enough with the decentralisation process during 2001/2. This was, according to the Final Report, a campaign in itself. Possibly, a second campaign was the establishment of agroforestry demonstration plots, which took place in many institutions especially in 2002. The team is still of the opinion that a campaign approach would be a way to ensure continuous vigour in SEANAFE, but recognises that time was not sufficient and right, as the grant approached its final stage.

On training material it is noted in the Final Report, that costs for purchasing and distributing books remains a constraint to mass-distribution.

Membership

The total membership increased from 33 in 1999 to 76 in early 2003. Reference is made to the detailed accounts on the national networks in Appendices 5–9 for more details on membership. Eligibility criteria for membership are stipulated in the Charter. Currently, SEANAFE's members are educational institutions teaching land-use disciplines such as forestry, agriculture, animal science, natural resources management or equivalent. This membership may not automatically result in socio-economic issues being as prominent in SEANAFE as they may deserve if agroforestry is treated as a subject involving people as much as crops, trees or livestock.

Organisation

SEANAFE's operations are guided by its Charter, which was revised after the mid-term review. The revised Charter, which is now relatively short and easy to comprehend, was approved by the third General Meeting on October 18, 2003. The revised Charter is included as an Appendix to the Final Report on Phase I.

SEANAFE has now a decentralised national and regional organisation, each having a democratic leadership. At the regional level, the SEANAFE has the overall responsibility according to what is stipulated in the Charter. The Board shall be composed of one representative of each of the participating country, namely the Chairs of the National Agroforestry Education Committees. The five national networks are PAFERN (Philippine Agroforestry Education and Research Network), IndoNAFE (sometimes called PAFI in the local language, Jaringan Pendidikan Agroforestry Indonesia), VNAFE, LaoNAFE and ThaiNAFE).

The evaluation team is impressed by the efficiency of the restructuring and is of the opinion that the new structure paves the way for efficient implementation of activities in coming years.

Activities in brief 1999–2002

A detailed account on the activities implemented was included in the Final Report on Phase I. In general this account shows that SEANAFE 1999–2002 can be characterised as a period with extensive activities. Reference is made to the report on Phase I for details as well as to appendices 5–9 of this report.

The SEANAFE Board allocated US $ 25,000 each to all five national networks for implementing their respective Plan of Work for 2002. About 97% of the funds so allocated were utilised. The main activities comprised of:

- National network management and coordination
- National education support activities, such as training courses, teaching materials development, and
- Institutional activities to strengthen education at a specific member university or college, such as agroforestry demonstration plots, etc.

Most of them implemented these activities as planned but some activities were delayed and a few cancelled. It was clearly visible that the decentralization move towards national networks increased the activity level and the engagement among the members. The English language skills and email connectivity remained, however, one of the crucial factors.

Documentation and reporting1999–2002

The team appreciates the documentation of the project and finds that the plans that were indicated at the inception of the project were revised in a systematic manner as the project evolved. The Final Report on Phase I reflects clearly on the activities and outputs that were indicated in the revised Logical Framework Analysis of the Inception Report.

The General Meetings are documented separately. This also applies to some other events, for example a training course on participatory on-farm experimentation and integrated approaches to land management in Indonesia and a workshop on Sustainable Agriculture Education in the Philippines.

The SEANAFE Newsletters deserve mention among the written outputs more clearly targeting the members. SEANAFE has also produced written outputs targeting a wider audience, for example through the Asia-Pacific community forestry newsletter (RECOFTC), through IIED, London, through IPGRI, through SEARCA and through ICRAF Hq. SEANAFE has also its own website.

The team notes that some of the written material that was developed into nicely designed and printed publications is of rather short-term value. More considerable investments in lay-out and printing should be reserved for textbooks or reports that have a more long-term value as educational or training materials.

International linkages

SEANAFE has established linkages with a number of international organisations and projects and has implemented joint activities with several of those, for example with FAO Regional Office for Asia and the Pacific, RECOFTC, SEARCA, International Institute for Rural Reconstruction and ANAFE. More recently, SEANAFE has been one of the partners in an international effort on forestry education under IUFRO.

Effectiveness (were the objectives achieved?)

Curriculum development and reviews

SEANAFE has put strong emphasis on curriculum development. The work progressed from the regional, via the national to the institutional level. SEANAFE noted in the final report for Phase I that exact figures on how many institutions that applied national curriculum frameworks was not available, but that it was likely to exceed 20. Participatory curriculum development was adopted widely within

SEANAFE institutions and there were, according to the final report, indications that the approach was used also for other subjects.

The findings from the team's interactions with member institutions support the statements made in the final report. Many institutions have changed their curricula or are currently in a process of review.

Vietnam and the Philippines are the countries where the impact on curricula was most significant. In Vietnam, major curriculum development work was done, reaching many members in collaboration with the Social Forestry Support Programme.

In the Philippines, a process of standardising the curriculum for agroforestry at B. Sc. Level is on. A proposal has been submitted to the Commission on Higher Education, CHED. In Laos, all six member institutions have updated their agroforestry courses during the project period. As for the other countries, change is not yet implemented for the whole curricula, but to some degree the syllabus of several agroforestry related topics were already changed and new topics were also added especially for the M. Sc. level, for example "Economics of Agroforestry"` and "Agroforestry business" as a part of "agribusiness entrepreneurship".

Teaching materials support

Many institutions have limited access to up-to-date publications and teaching materials in a developing subject such as agroforestry. Language barriers are huge obstacles to accessing teaching materials in Southeast Asia. Poor library infrastructure in many institutions is aggravating the problem.

SEANAFE approached this problem in a variety of ways: By distributing donated or purchased publications to university libraries and by supporting translation of essential materials, such as the curriculum guide. An emerging opportunity is the use of IT. SEANAFE mass-distributed a digital library (a set of 3 CDs) to all lecturers in the network. Lecturers in four of the countries also developed their own teaching materials for agroforestry, in their local language, and building on the earlier developed national framework curriculum. It should be mentioned that the link to the Netherlands-supported ICRAF/DSO project played an important role in accelerating the work on teaching materials development.

The team found evidence in many institutions confirming that materials had been distributed. However, there was even stronger evidence that materials remain inadequate and in short supply. Most materials distributed by SEANAFE were availed in a few copies only, and constraints in libraries also contribute to very inadequate access by students. Many lecturers as well as students argued that educational materials from other countries are not so helpful. However, on the other hand, some lecturers found the set of "ASB lecture notes" that SEANAFE has helped to get translated, useful, but mainly for the M. Sc. level. A simpler version suitable for undergraduate students ought to be produced. There is still a huge need to develop "local" materials that relate not only to the country, but even to specific areas within countries. This was most clearly expressed in Vietnam and Thailand. There is a lot more for SEANAFE to do in this field and there could be excellent opportunities for collaboration with the extension system in production of materials useful for students as well as by extensionists.

Field-based teaching materials are central to agroforestry, but many institutions show weakness in this respect. One remedy is to establish agroforestry demonstration plots. SEANAFE supported 16 institutions to develop such plots. The team noted that the support given to agroforestry demonstration plots often are used for plots that are located on land that belongs to the institution. These plots often run into problems after some time, especially with regard to the agricultural component. An in-house evaluation of the usefulness of on-campus plots ought to be carried out.

Awareness creation among stakeholders through agroforestry workshops/studies

SEANAFEs main direct influence on stakeholders was by inviting policy makers from ministries of forestry, agriculture and education, to national meetings and workshops. Specific 'policy advocacy' workshops were not held.

Two studies were carried out, in the Philippines and Indonesia, regarding the job market for agroforestry graduates. This contributed to a better understanding of employers' requirements. While the need for skills and competencies in integrated natural resources management is high, agroforestry is still not recognised as a specific career in the two countries. These studies also showed that many graduates who have studied agroforestry end up doing other jobs. This is an issue that SEANAFE leadership as well as educational policy makers needs to pay attention to.

The team found evidence that the limited recognition of the need for agroforesters on the job market is, indeed, a problem, but also noted that the issue may become less important as the opportunities for Government employment gradually becomes less prominent while the NGO and private sector gains importance.

Another interesting observation was that the share of girls studying subjects related to land use is increasing rapidly in Thailand. This was mainly attributed to a higher degree of "responsibility" among girls making them more successful academically than boys, thus passing entrance examinations with better results than boys.

Training opportunities in agroforestry theory and practice

Similarly to curriculum development, SEANAFE applied a step-wise approach to training. A regional training course was held (supported by ICRAF/DSO). A second regional course under SEANAFE focused on 'on-farm experimentation'. A team of SEANAFE participants from each country then organized national ToT courses (two per country so far, reaching at least 125 lecturers), with little ICRAF influence. In some cases also institutional courses were held. In general, the participants gave these courses a high rating in the evaluations.

The team found quite a number of lecturers who had attended training of trainers organised by SEANAFE, and it is obvious that knowledge on and ability to teach the subject gradually grows. The situation is, however, still uneven with regard to how the subject agroforestry is understood. There are a wide range of interpretations, but rarely or never is the subject understood to be as wide as ICRAFs agenda in Southeast Asia implies. A process that helps to achieve a more common platform in the understanding of the width of the subject is much needed.

The impact of SEANAFE and the situation among member institutions is also very uneven. Vietnam may be cited as an example. In some institutions lecturers remain with rather vague ideas on what agroforestry is all about, uses few educational materials and students thus reported to the team that agroforestry appears to be a phenomenon that only occurs in some books but is never observed in the field. This is in sharp contrast with lecturers in sister institutions who already developed nice power-point presentations on various applications of agroforestry, ranging from the narrower concept of integration of crops and trees to the wider landscape approach.

In the Philippines, SEANAFE has contributed very significantly. Agroforestry as a multidisciplinary approach was introduced already in 1976, long before SEANAFE, but it is now gaining prominence with the encouragement from SEANAFE. It is now that foresters and agronomists have more securely embraced agroforestry.

Theses research grants

It proved much more difficult than expected to strongly support thesis research. Relatively few students were supported. The SEANAFE coordination unit in collaboration with ICRAF worked hard to develop these programmes but with limited success. The amount of administration required per thesis was quite high. The reasons are many and complex.

The approach with an annual deadline for application did not work well in the SE Asian setting. The proposal writing skills were simply too weak, severely limited by weaknesses in research methods and, particularly, the poor English skills. A second factor was the administrative red tape at the institutions, caused by the lengthy approval process for thesis research within universities, resulting in long delays.

The whole area of supporting thesis research requires rethinking and the national networks constitute a new opportunity where the NAFEC can examine proposals written in the local language. Better links with the national agroforestry research systems can be developed. In Indonesia, a dialogue between ICRAF and universities started on how to improve the process. A key factor seems to be to have a close collaboration with supervisors in universities. They will in turn involve their students.

The team found evidence that the student's grants were appreciated, but there was uneven understanding as to whether SEANAFE restricted the grants to either B. Sc. level or to M. Sc. level or to both. The team also noted that the number of grants per institution becomes very limited, for example in Vietnam, commonly 4 grants at US $ 100 each per institution in 2003/4. With that level it is almost not worth the administrative hassle seen in a macro-perspective but it may still be immensely important for the individual student.

SEANAFE management and coordination

The network was established and already after two years a major revamping of the network structure took place. The decentralization to national level increased the number of persons active in managing the network and greatly increased the activity level. The number of institutions more than doubled.

It should be mentioned that the national network leadership, including the NAFEC Chair worked without financial compensation from the SEANAFE project. Only a small budget was provided for the operational expenses of the Chair's office.

With an increasing portfolio of activities in the five national networks, and with a larger number of institutions, SEANAFE faces new challenges, especially regarding quality control and long-term funding base. Changing education takes time. SEANAFE and its national networks need to have this time for impact to be long-lasting.

The team noted that a more proactive and technical role of the regional level would now be useful. There is need to assist national networks with ideas and to inject new knowledge. In addition, production of educational materials requires in some cases capacity that is not currently available at the national level.

Some management issues may arise in the national networks. Active monitoring by the regional level is important, as is action when so may be called for.

Efficiency (outputs in relation to costs?)

National and regional networks

The decision to build national networks is a major change in the way SEANAFE operated after the mid-term evaluation in 2001. The national networks now carry out the planning and implementation of activities for SEANAFE in a more decentralized manner. The growth in membership became significant after the decentralization. 43 institutions joined SEANAFE as new members in 2002.

The regional level SEANAFE then focused more on strengthening the national partnerships, provide technical assistance, financial support as well as regional and global connectivity. The office of the Chairs of national networks started handling major part of the administration and budget at the country level.

Towards the end of 2001 the national networks in Laos, Philippines and Vietnam held their national planning meetings and produced their respective work plan, and budget for the year 2002. The remaining networks, in Laos and Indonesia, held similar meetings in early 2002.

The host institutions' charges for administrative costs vary between the countries but they are generally reasonable. There are, however, differences between countries in terms of network performance. PAFERN is functioning very effectively since it is sharing quite important resources with the Institute of Agroforestry and is also very well linked with the ICRAF branch office at UPLB in the Philippines. The case is not similar for the other countries. Difficulties were encountered in Indonesia, where no administrative staff was hired to tackle daily operation and administration of the national networking secretariat. Therefore, the national coordinator was not so happy with the amount of financial and administrative reporting that is claimed to be required to support even a very simple activity of the national networks. The same case was reported from Vietnam (TNUAF) where it was mentioned that the administrative process sometimes took long. There were some discussions on the management also in LaoNAFE.

According to SEANAFE management, it would, however, have been quite possible for the project to pay for part-time administrative support, but such arrangement was never requested from Indonesia. In Vietnam, in 2002, the budget for national administration was not used in full and they could have chosen to hire additional administrative capacity to carry out some of the day-to day administration. In most countries, however, the national networks seems to function rather well, although some member institutions would still prefer to have the more direct link with SEANAFE itself to avoid delays and administrative difficulties. In the long run, that would, however, be a very costly and SEANAFE could not handle all matters directly with a growing number of member institutions.

The mid-term review made remarks with regard to the efficiency at the regional level. The restructuring that followed resulted in a considerable improvement in cost effectiveness.

Reference is made to appendices 5–9 for detailed information on the national networks.

Impact

The regional network's impact on the national ones

First of all it should be noted that without the regional network there would be no national networks on agroforestry education in most of the countries. The regional initiative has served as a catalyst on the national processes. The next observation is that it is premature to assess the impact of the regional network on the national ones as the latter have existed only a couple of years, and during part of that time there were financial constraints. It is, however, noted that there may be a risk that the regional network starts to lose its technical role and acts more like a bank providing funds on request. Some institutions claim to have observed a trend in that direction since the national networks became effective.

SEANAFE's impact on the national processes

SEANAFE was appreciated for its continuous support that is stimulating and facilitating dialogue between educational institutions, research institutions and local actors. Sharing of knowledge and information among the lecturers of the member institutions and between countries within the region and also outside the region was regarded very useful.

National networks' impact on national policies

In the Philippines there is a clear mechanism to the national policies process through multi-parties meeting and forum with PAFERN, TAFE (Task Force on Agroforestry Education), NAC (National Agroforestry Committee) and CHED (Commission on Higher Education Development) which discusses agroforestry as science and profession as well as the job opportunities. Other countries follow i.e. Indonesia and Thailand.

In case of PAFERN, a process is going on for the change in policies for agroforestry education, research and extension. Supported by CHED, PAFERN play as legal entity and has a key role in networking in agroforestry. The have provided a strong push to the Congress for the creation of job positions for agroforesters as professionals. This process is still in progress. In case of Indonesia, IndoNAFE has contributed significantly to the establishment of MAFI (Masyarakat Agroforestry Indonesia = Indonesian Society of Agroforestry).

Links between national networks and national research

In Philippines a National Congress on Agroforestry has recently been organized by the Institute of Agroforestry (November 2003). In Indonesia, the national network connects with the national research team through MAFI. MAFI has branches in each region/province that are organized and managed by local secretariats independently. The members consist of various units and entities including research institutions, NGOs, and individuals who show concern and interest in agroforestry.

Some members of IndoNAFE were more directly involved in ICRAF program activities. Translation of the ASB Lecture Notes is one example. These were originally developed through various processes of research and extension activities. Links were established between some institutions and the local farmers and communities in Lampung, Sumberjaya where ICRAF is actively working with farmers. Though, it was also expressed in Lampung that more outside influences in action and applied research are needed, for example on reproduction of good planting materials and appropriate technology for harvesting, marketing and post-harvest treatment. Only studying the local knowledge and local technology from the farmers is not enough. According to the farmers, no such feedback was so far received. Knowledge that yields increase in productivity and quality is requested.

In Vietnam VASI is also a member of SEANAFE since it has a combined research and education mandate. This may help networking with research, but apart from that, many other institutions seem not to have particularly strong links to the research system.

Linkages to the field level

On a general note, SEANAFE as a whole appears to have been more successful in linking up with research than with extension systems and with the masses of farmers. Some member institutions have links with the local extensionists, but in most countries it seems that neither SEANAFE itself, nor the national networks have established any systematic linkages with the extension systems at the national level. There could be gains by collaborating with the extension services on, for example, development of educational and training materials. Well designed and locally adapted materials on agroforestry are badly needed both by educational institutions and by extension workers. Extensionists are also an important group to have involved in the process of developing such materials to try and secure realism of contents from a practical field point of view.

SEANAFE has intended to use the support to demonstration plots as an encouragement to institutions to link up with the field conditions. But as, in many instances, the demoplots are located on land belonging to the institution itself, there will be no effective link to the farm communities. One of the objectives should be to provide a mechanism for students working both with farmers and extensionists on-farm with technologies that are either new and innovative or those that are already practiced by the farmers. There is a lot more SEANAFE, the national networks and the member institutions can do in this respect.

PAFERN has taken a lead in enhancing link between member institutions and the farmer through various project activities supported by several funding agencies. These links are established by the local PAFERN members partly supported by SEANAFE and in addition with Government support.

IndoNAFE/PAFI has, to some extent, encouraged member universities to initiate activities in conjunction with local communities. Some members have responded and from the experiences gained they provided feed back to the students, government as well as to other private farmers.

Achievements that the individual institutions would not have achieved on their own

As the achievements are different from one country to the other it is difficult to generalise but PAFERN, IndoNAFE and ThaiNAFE are cited as examples in the following.

PAFERN serves as the convenor of the National Agroforestry Committee, a multi-sectoral committee which was formed to take the lead in working for the proposed national agroforestry development program. Through the first "Congress on Agroforestry", the group endorsed a proposal on Agroforestry Curriculum Concept to CHED. PAFERN also collaborates with a Task Force on Agroforestry Education (TAFE) and National Agroforestry Committee (NAC). The NAC representation includes various Government institutions and NGOs (two main partners are "Network of NGO particularly the upland NGO" and the "Foundation of Philippines Environment"). Two bills have been drafted and circulated among the policy-making bodies i.e. House of Representatives and Senate of the Philippines. These include the Senate Bill on the 10-Year Higher Education Agroforestry Development, and the House Bill on the Creation of the Agroforestry Board.

IndoNAFE has a close link with a Forum of Deans of Faculties of Forestry in ASEAN countries. ICRAF and leading universities through IndoNAFE have given opportunity for other smaller universities in sponsoring staff exchanges from Kalimantan to Java and vice versa. Advocacy about agroforestry to the House of Representative is indeed strategic to facilitate pro-farmer policies in the near future. This can not be done only by one institution in Indonesia, hence IndoNAFE together with MAFI will take a lead.

ThaiNAFE considers that arrangement at the regional level for meeting and interaction among experts in the form of regional forum (like SEANAFE) is very strategic for creation of awareness among policy makers on agroforestry. Very often policy makers have been reluctant to listen to the voices of national experts, thus international collaboration is essential. So far, however, very little has been done since ThaiNAFE is still young, but partner institutions in Thailand have already requested such actions.

Change of curricula and increased capacity of lecturers

Reference is made to the relevant sections under Effectiveness above.

Research reaching the farmer communities

In the opinion of the team this should not be a primary task of SEANAFE and should not be a parameter against which SEANAFE should be directly evaluated. SEANAFE is not an extension organisation, but may play an indirect role in the long run by assisting the extension systems with more capable staff and by assisting in the production of training materials that may be useful also for the extension systems.

Sustainability of the results and ownership of project

Many members hope for sustainability in the future through a self-financing secretariat, by collecting a membership fees and also by submitting various proposals to the potential donor agencies for specific program activities.

Linked to the Social Forestry Support program in Vietnam was a network for Social Forestry. Considerable efforts were made to prepare the ground for sustenance of that network, but in spite of that there

were signs that vigour was getting lost when the donor support ceased. Therefore, it should be noted that sustaining networks is not an easy task. The team is of the opinion that the donor support to SEANAFE should be designed in such a way that impact at institutional level is at the core, while the long-term sustainability of the regional network is a secondary issue. It can be regarded as a temporary tool.

In several cases, the national networks (PAFERN and IndoNAFE) have explored additional financial support from private companies, local government and NGOs. External partners are often contributing to events like the National Agroforestry Congress in the Philippines and the National Seminar in Agroforestry in Indonesia.

The future for the national networks is hard to predict. In the Philippines, the network is so firmly established so it is reasonable to assume that it has a life span far beyond the support from SEANAFE and Sida. The LaoNAFE Committee expressed concerns that Sida's decision to terminate the support to SEANAFE is likely affect negatively on LaoNAFE. For the networks of the other countries it seems still to be too early to predict.

At the institutional level sustainable impact has been achieved in many institutions, but the task is yet far from accomplished.

Stakeholders' performance and roles, difficulties encountered

Barriers for agroforestry development are often the internal structure of the university organization, as well as National Curriculum and or National Consortium of Sciences. Other gaps that are still present in the agroforestry community in Southeast Asia are weak coordination and collaboration among research institutions and universities and with development agencies in the field. Universities need field plots while farmers need technology input so there is a good case for exploration of opportunity for cooperation.

The transition from Phase I to Phase II of SEANAFE resulted in loss of momentum due to a period of uncertainty and lack of funds for operations caused by delayed decisions by Sida.

SEANAFE in "Integrating Natural Resource Management in Southeast Asia"

The goal of SEANAFE under INCA is to:

- Support and improve agroforestry and integrated Natural Resource Management (INRM) education in Southeast Asia

The project objectives are:

- Improved capacity of tertiary education institutions to develop and deliver agroforestry and INRM programmes
- Increased capacity of the members of SEANAFE's national networks to establish and maintain effective links with national research and development systems
- Presence of a regional mechanism for capturing regional and global experiences and sharing those among SEANAFE member institutions

Four specific activities were included under the first objective: (i) Develop tools & methods for effective teaching and learning; (ii) Train lecturers & tutors in agroforestry and INRM; (iii) Conduct education policy analysis and advocacy; and (iv) Support and consolidate national agroforestry education networks.

Similarly, there were four activities under the second objective: (i) Support theses research for undergraduate and graduate students; (ii) Conduct training courses on agroforestry research management for university and college staff, with researchers serving as resource persons; (iii) Complement joint research

activities on agroforestry and INRM among university and college staff, scientists and development workers; and, (iv) Implement joint education and extension activities.

Two activities were indicated under the third objective: (i) Facilitate national and regional communication and information sharing and improve access to regional and global knowledge and resources; and, (ii) Coordinate regional SEANAFE activities.

The priorities among this set of activities vary considerably among the countries depending on the national needs.

Effectiveness of SEANAFE under INCA (were the objectives achieved?)

The SEANAFE Board allocated again a standard amount to the national networks (US $ 17,000) once funds became available. Reference is made to the plans and budgets for 2003–04 in Appendices 5–9 which describe the planned activities at the national level. These activities are now on-going. It is noted that the progress during 2003 was seriously hampered by lack of funding for most part of the year, and once funding was secured the activities at the national level had to be rescheduled and replanned. The result was that the activities planned for 2003 actually only started late 2003. The implementation will continue through 2004. The current prediction from the SEANAFE management is that all the planned activities of the national networks will be implemented, with the exception of a possible cancellation of one teacher training course in Indonesia. The team notes that some major work on translation of the ASB Lecture Notes is going on both in Indonesia and under the R&D component of INCA (Laos). This is time consuming.

There is no doubt that SEANAFE under INCA provided the opportunity for linking institutions with one another, for sharing/observing knowledge and experience at the national level and between countries in the region, and to some extent also with ICRAF-SEA. One visible achievement of SEANAFE under the INCA project was the emerging positive views about networking, increasing interaction between the training, research and development institutions at the national level.

However, two factors should be noted: The first is that the perception of the width of the subject matter area is now considerably different at ICRAF level and at the institutional level, and the second is that it will take time for a small mechanism like SEANAFE to achieve a visible impact on a major issue like INRM education in the region. The team is of the overall opinion that the performance is promising and that satisfactory results will be achieved during 2004. This is, however, not to say that the whole mission is completed by the end of the year.

Efficiency of SEANAFE under INCA (outputs in relation to costs?)

The delay of the decision from Sida that confirmed the funding to INCA had consequences for the activities during the first half of 2003. Before the completion of the first phase, plans were developed at the national level for activities that were expected to be implemented from the beginning of 2003. However, no decision from Sida and no effective communication with Sida forced the SEANAFE management to halt all implementation, and the first half of 2003 ended up being a rather unproductive period, while costs for the SEANAFE set-up, including the cost for the international staff position continued to incur. This fact obviously lowered the efficiency during the period.

In the longer perspective, Sida's erratic behaviour also seems to have impacted on ICRAF's behaviour. Securing long-term survival has become an important factor to consider. Even the current phase of SEANAFE shows signs in that direction. The initial plan was that the current funding should suffice for 15 months. Instead, the current phase now effectively becomes 18 months, included the no-cost extension for the second half of 2004 but excluding the non-funded period of early 2003. The monthly cost for management by and large remains during extended agreements. The "net result" of no-cost extensions, as demonstrated here and even more so in the VACB/ASP V&L context, is that the composition of expenditure is altered in an unfavourable direction, with more costs for administration and manage-

ment and less activities. Three months management costs under the present phase would have been a considerable amount if allocated for purchase and distribution of books and other educational materials.

Apart from these major factors, the team notes that the merger of the two earlier projects under one umbrella and the rationalisation of the SEANAFE set up has eliminated a scattered and costly system with activities in Vietnam and Laos coordinated from the Philippines and SEANAFE coordinated partly from the Philippines and partly from Bogor. However, the team is not convinced that the present arrangement with the senior fellow being based at Bogor while the Capacity Building Specialist is based in Chiang Mai contributes to efficiency. A critical mass and "think-tank" is needed to ensure that SEANAFE evolves conceptually. This may best be achieved by placing all the regional level functions at one location.

3.3 VACB/ASP V & L performance

Vietnam Agroforestry Capacity-Building Project (VACB)

Implemented activities in brief

During 1998, the VACB network, work plan and operating procedures were jointly established with Vietnamese partner institutions. Extensive consultations were held between ICRAF and the Vietnamese colleagues.

ICRAF-Philippines provided the part-time services of its Senior Capacity-Building Specialist (Consultant) as well as support staff to liaise with Vietnamese colleagues and to support project activities. Vietnam Agricultural Science Institute (VASI) provided general coordination and took the lead on some project components. A VACB Project Office was established at VASI and equipped with essential facilities. ICRAF-SEA scientists based in Bogor (Indonesia), Chiang Mai (Thailand) and the Philippines provided specific inputs for activities that fell under their respective programs and activities.

The first VACB planning workshop was held from 31 July to 1 August 1998 in Hanoi. About 30 Vietnamese and international organizations participated. Seven key areas of collaboration emerged:

- Information dissemination
- Training in agroforestry and alternatives to slash-and-burn
- Policy development for sustainable upland systems
- Indigenous fallow management
- Conservation farming on sloping lands
- Tree domestication and germplasm dissemination
- Modelling of complex agroecosystems.

A second planning workshop was held from 1–3 March 1999 in Hue, in which some 57 colleagues from 33 Vietnamese and international organizations or projects participated. Small working groups discussed priority activities under the seven key components agreed in the first planning workshop of VACB. A third planning workshop was held during 3–5 August 2000 in Quy Nhon City, Binh Dinh Province. About 40% of the participants came from provincial and district organizations, signalling a shift in focus to the grassroots level.

A number of activities were implemented under each of the seven key areas. Details on these are provided in Appendix 10.

Effectiveness ("were the objectives achieved?")

The concept project proposal of VACB does not provide a Logical Framework Analysis (LFA) showing the relationship between specific objectives, activities and outputs, nor the indicators needed for quantitatively analysing the effectiveness of this project. Therefore, it is only possible to present some qualitative statements based on the information available in progress reports, written documents and on interactions with the officials in the host institution and other stakeholders in VACB.

Through the VACB project and its follow-up phases, ICRAF did establish a strong footing in Vietnam which could be used for promoting mutually beneficial collaborative actions in the field of agroforestry research and development, including the global ASB programme, the Mountain Mainland Southeast Asia programme and activities implemented by ICRAF in Southeast Asia. Through the informal network and through the various activities, ICRAF got in touch with a wide range of institutions, and equally or perhaps even more important, these institutions got in better touch with one another and with the outside world.

A capacity building process requires a long-term vision and commitment from all partners involved. The activities of institutional capacity enhancement primarily included training and workshops of different durations covering different aspects of agroforestry and ASB. In this regard the role of the informal network of VACB partner institutions became vital for continuing the capacity development activities.

Agroforestry should, in the opinion of the team, be understood as a subject that involves not only scientists in bio-physical sciences, but also those from socio-economic disciplines. The project design and implementation seems not to have embraced that idea. It was not apparent from the documentation that social scientists were involved. Research capacity appears to have been built among researchers dealing with crops and trees, but less among researchers primarily dealing with people. Opportunities for gaining a deeper understanding of the merits and demerits of different agroforestry systems, including sustainable and unsustainable slash and burn, may have been lost. Among the results of this shortcoming is a lack of a specific pro-poor focus and lack of gender analyses in the activities. On the other hand, it is noted that the programme as a whole had a focus on the populations in the mountain areas and these are among the areas that have the highest incidences of poverty in Vietnam. So in a broader sense, addressing lnd-use in these areas implies addressing poverty, but the team did not find any clear strategy that ensured that the poorer segments of the mountain populations were the primary beneficiaries.

The team reviewed the gender composition among the participants in four major VACB events. Out of a total of 145 Vietnamese participants 23 were women, corresponding to 16%. Among these were some that had mainly administrative functions. On gender, the analyses should, however, preferably go beyond the gender ratio among participants in events which is expected to be skewed as a reflection of the gender ratio among the employees in the key organisations but the project documentation does not offer much help in that direction. On a general note, though, improving land use would generally be expected to address the situation of households which of course includes women. But the team did not find activities that had been embarked upon with the specific aim to address the situation of women.

The activities pursued to help Vietnam develop and disseminate alternatives to unsustainable slash-and-burn also embraced the study/review of policy, indigenous fallow management, conservation farming on sloping lands, domestication of agroforestry trees and germplasm dissemination. Numerous activities were implemented under these headings, and efforts on identifying appropriate alternatives to slash and burn were still continuing, also in collaboration with different partners assisting Vietnam. On development of alternatives to unsustainable slash and burn, the comments above on the missing socio-economic element are valid also in this context.

On dissemination, the team notes that quite a few reports were produced, some in Vietnamese, some in English and a few in both versions. In that respect the project did help Vietnam to disseminate information concerning alternatives to unsustainable slash-and-burn. But the relevance of producing *and printing* several of these reports in English could be questioned. Such reports target readers outside Vietnam and a few foreigners in Vietnam. This may not be regarded as an effective contribution towards the objective. Further, it must be noted, that the project merely scratched on the surface on the huge issue of ASB. The result cannot be seen as a major shift in understanding of these issues among Vietnamese researchers and policy makers, but that could also not be an expected output of a project designed initially for 18 months and then hap-hazardly extended to eventually reach the duration of over three years.

The linkages to the Sida's bilateral programmes appear never to have grown very strong. Such linkages might have been the expectation of Sida, but these were not explicitly stated as objectives of the project. Once the project got underway, it is not surprising if the linkages did not grow. The reality is that there are very many activities in a country like Vietnam, both donor supported and others. So, unless it is stated as a clear objective such linkages might not grow. The team is of the opinion that a bias towards the bilateral programmes may not necessarily be a feature that this programme should pro-actively have looked for. The bilateral programmes themselves may have an equal or even more pronounced responsibility to search and ask for the technical support they needed.

ICRAF had submitted a revised follow up project proposal to Sida in June 2000, but the uncertainty of when a next phase would be operational slowed down the momentum of earlier activities. Because of non-availability of additional funds in time the strategic momentum in the project seems to have got lost, despite the fact that Sida had agreed to two additional grant arrangements for implementing the next year's work plan even after the initially fixed project termination date.

Most of the activities under priority areas: *Information dissemination; Training in agroforestry and ASB; Policy development for sustainable upland systems; Indigenous fallow management; Conservation farming on sloping lands*, and; *Domestication of agroforestry trees and germplasm* were directly contributing to awareness raising and capacity development in Vietnam. However, another priority area, *Modelling tools to analyze complex agroecosystems* was found unpopular and not appreciated by some network members. The impression conveyed to the team was that the exercise was theoretical and did not yield results that could easily be applied. One of the difficulties cited was how to get sufficiently good data as input ("shit in, shit out").

Efficiency (outputs in relation to costs)

It was repeatedly stated in Vietnam that a small group of knowledgeable professionals were too busy attending workshops. From that point of view, the team wishes to note that this project, with its rather modest budget set aside for activities in Vietnam, used 285 person days, largely from this group of busy senior people, on planning workshops during 1999 and 2000. The three workshops were also costly (about US $ 23,000). It might seem as if the project entered into a situation that was assumed to be a vacuum? It would be reasonable to expect that there was some plan already for capacity-building needs that this support could have been designed to fit into. Alternatively, should the planning procedure have been more efficient by involving fewer people and/or by taking a shorter time?

According to the financial statement provided in the Project Completion Report for March 1998 to June 2001, or for the entire VACB project period the total expenditure amounted to US $ 639,659. The team made an attempt to analyse the expenditure from a VASI perspective, but that proved futile, as VASI had only handled a fraction of the budget and was poorly informed about the total budgetary picture. The team received, however, a detailed breakdown of the expenditure that was handled by VASI. Using these figures in combination with the ICRAF financial statement, dated 16 April 2002, the following expenditure break-down could be made:

Activities handled by VASI as per their statement:	3.4%
VASI coordination expenditure:	3.6%
Office equipment:	1.1%
Planning workshops:	3.6%
Total expenditure handled by VASI	11.6%
Other activity costs paid directly by ICRAF	34.3%
ICRAF coordination, local adm, international travel	35.1%
ICRAF global administration	19.0%
Total	**100%**

Out of the total expenditure 88.7% was financed by Sida, while 11.3% represents the final disbursement that was never paid as it was requested late.

The distribution of total expenditure might not be too alarming, although it can be noted that the VASI coordination was more costly than the activities it had coordinated, and also that the planning costs were of the same magnitude as the implementation costs.

However, a brief review of the trends over time raised concern. The monthly cost for project coordination, presumably representing the cost for the Senior Capacity-Building Specialist, escalated from US $ 2,268 in 1999 (when activities excluding planning, administration and coordination consumed 64% of the total budget) to US $ 5,130 in the first half of 2001 (when activities excluding planning, administration and coordination consumed a mere 13% of the total budget). The evolution over time was, therefore, very negative, from a rather healthy situation in 1999 to a situation in 2000–2001 with very high costs for planning, administration and coordination and very few activities. January–June 2001 might represent the expenditure that had to be born by ICRAF.

The situation in 1999 when the project was still young would be expected to represent a state that could be improved upon as experience was gained. But developments turned out very differently. The overall assessment of efficiency is, therefore, not positive. In an ideal situation it should have been possible to implement the activities at a significantly lower cost.

Why this negative development over time? Sida seems not to have demonstrated a long-term reliability as a partner, resulting in activities being disrupted. At the same time there was no clear indication that support was to be terminated, on the contrary, bridging funds were availed and no-cost extensions approved. The reaction from the project management seems to have been to ensure survival of the set-up albeit with few activities. ICRAF seems not to have had a capacity to intervene and supervise in the deteriorating situation and finally lost financially when the last disbursement was not approved by Sida.

Impact

The VACB network expanded and reached to the grassroots level. Training and other activities involved the staff of Departments of Agriculture and Rural Development, Agriculture and Forestry Extension Centres, Agriculture and Forestry Extension Stations, agriculture and forestry vocational schools, and provincial and district organizations. By involving more colleagues from provincial and district levels in project activities, the capacities and motivation of grassroots organizations have been strengthened in agroforestry research and development activities.

Stakeholders' performance and roles, difficulties encountered

The uncertainty of the next phase had a negative effect on the momentum in partner institutions as their efforts to carry on the activities approved in the past year had to be postponed or rescheduled until a later date. Sida has to bear some responsibility for that. ICRAF had its shortcomings as managers in

the uncertain environment. Nevertheless, an informal network comprising of over 30 key organizations from throughout Vietnam was brought together and shared experiences and planned for the future. VASI demonstrated its capacity to serve as a focal point and facilitator to assist in coordination and implementation of project activities.

Agroforestry Support Project for Vietnam and Laos (ASP-V&L)

Comments on the project document

The project proposal of ASP-V&L categorically states the intention of this new project to build upon the foundation and achievement of the VACB project. The project proposal was written in a logical and convincing way. However, it did not provide a clear quantitative figure about any activities to be implemented in Vietnam and Laos.

Instead the descriptive statements of the context: the newly divided roles between the state and the market; allocation of roles between the government and communities; agroforestry as a desirable natural resource management tool; indigenous knowledge; constraints in upland agroforestry system; and limited institutional capacity and capability, was too elaborate and occupied bulk of the space in the document. The logical framework included does not elaborate on activities and expected outputs. Such details would have been very useful, both for effective monitoring of implementation and for guiding final evaluation of the project.

It is the team's opinion that at this stage, the period during which Sida allocated "seed money" on the basis on vague documents should have been over at this stage and the document for ASP V&L ought to have demonstrated how it built on the VACB by inclusion of a more strategic outlook and, most importantly, by inclusion of clear indications on activities and outputs. While recognising that there should be room for some flexibility in implementation, the team still maintains the opinion that the document did not meet the standards that should be expected after three years of operation of VACB.

Implemented activities in brief

The activities supported by ASP-V&L in Vietnam focused more on strengthening the informal agroforestry network and the capacity of partners to implement research, development and extension, with an increasing priority towards the grassroots level. The project's focus in Laos, on the other hand, was more on identifying key partners, supporting linkages with other projects of similar purpose and developing exchange activities with Vietnamese institutions.

Two planning workshops were held for networking, dialogue, review and planning by key partners. The first workshop was held in Buon Ma Thuot from 29 November to 1 December 2001. The second workshop was held at VASI during 21–22 March 2003, which provided an opportunity for key Vietnamese and Lao colleagues to reflect on past collaboration with ICRAF and to brainstorm on future trends, priorities and needs.

A number of activities were implemented. Details on these are provided in Appendix 11.

Effectiveness (were the objectives achieved?)

The project document did not provide a useful logical frame work (LFA) which would have enabled quantitative assessment of effectiveness of the project. Further, the project document was covering a five-year period but a Sida-decision was made for support to an 18 month-period, which was subsequently extended with another 15–20 months, but with no revision of the project document. The team was therefore left to make a rather subjective review of the developments without being able to constructively compare with what was expected since the expectations for this implementation period did not emerge clearly.

The development objective was *to support sustainable agroforestry development that will directly benefit poor households as well as enhance agroecosystem resiliency in the upland areas of Vietnam and Laos through networking, collaborative research and development, and strengthening the capacity of institutions from grassroots to national level?*

The project provided some support to agroforestry development, but it seems to be difficult to demonstrate that it directly benefited the poorer households in the uplands. On the contrary, in fact, the field visits made by the team rather indicated that the project's field activities were implemented in partnership with more well-off households. On the other hand, though, it is also noted that households in most upland areas on average are poor households if compared with households of lowland areas with paddy cultivation. As to the contribution to "agroecosystem resiliency in the upland areas of Vietnam and Laos" the linkages established between the research stations dealing with research in mountain areas in the two countries, as well as the linkages to other ICRAF activities, could be regarded as a promising start. More time and effort would, however, have been required to really develop an effective collaborative research and development agenda as envisaged in the development objective.

It was not possible to gauge accurately the level of capacity enhanced in agroforestry research and planning in Vietnam, as most of the field demonstration sites visited by the team were either essential parts of some ongoing R&D programmes or complemented with additional inputs form the ASP-V&L project to incorporate extra components.

The intention of supporting development and delivery of the appropriate agroforestry training, information dissemination activities and to some extent also extension was achieved through numerous training, workshops and observation tours and the regional level interaction between scientists and experts of two countries. It is, however, noted that no strategic link seems to have been established with the extension system at national level in the countries, but rather did the project move fairly independently to Province and District levels with its training events.

The review of agroforestry related policy was completed and the findings were circulated to selected individuals in the form of a CD ROM. A printed version was, however, not produced under the ASP-V&L project, despite the fact that the report was compiled already during the VACB period. It was difficult to perceive whether the delay was intentional or due to financial limitation.

To forge collaboration among the relevant Vietnamese and Lao institutions and ICRAF partners on participatory watershed management a MMSEA workshop (with regional participation) was organised in Yunnan Province, China, in November 2002 as well as a couple of mutual exchange visits. A result was a Memorandum of Understanding between Vietnamese and Lao research institutions that was signed indicating a mutual interest in continued collaboration.

In general, the lead R&D and training institutions in Vietnam and Lao all viewed the collaborative mechanism established under this project as a positive move towards institutionalizing collaboration at the national as well as regional levels. They were found eager to continue such collaboration also in the future, possibly through a follow up project under ICRAF-Sida assistance. A new policy of the government demands increased collaboration among relevant institutions in addressing the problem of unsustainable slash-and-burn by initiating sound and sustainable upland farming practices. This is one of the reasons for a keen interest in a continuation.

As noted, the linkages to Government institutions dealing with extension had so far not emerged strongly, nor with scientists from socio-economic disciplines, with a few exceptions.

Efficiency (outputs in relation to costs?)

According to the financial statement provided in the Project Completion Report for the entire ASP-V&L project period, the total expenditure amounted to SEK 3,905,838. The team made an attempt to analyse the expenditure from a VASI perspective. The findings showed that VASI handled a larger

portion of the budget during this project as compared to the VACB period, but remained poorly informed about the total budgetary picture. The team received a detailed breakdown of the expenditure that was handled by VASI. Using these figures in combination with the ICRAF financial statement, dated 9 January 2004, the following expenditure breakdown could be made:

Activities handled by VASI as per their statement:	23.8%
VASI coordination expenditure:	7.3%
Planning workshops:	3.1%
Total expenditure handled by VASI	34.2%
Other activity costs, including travel paid directly by ICRAF	17.2%
ICRAF coordinator/capacity-build. specialist, ext. evaluations	37.1%
ICRAF Global administration	11.5%
Total	**100%**

According to this assessment about 41% of the total cost was used directly for activities, about 47.5% for planning, coordination and for the ICRAF specialist (the ICRAF capacity building specialist was a facilitator both administratively and for the networking) and 11.5% for ICRAF overhead. It is noted that VASI coordination was budgeted at SEK 150,000, while the figures from VASI indicated that VASI actually used US $ 27,085 (approximately SEK 284,934), while the ICRAF statement to Sida showed SEK 430,272 as the amount used by VASI.

If the ICRAF statement is used as the only basis for distinction between the costs for activities in Laos, Vietnam and the region on one hand and the costs for ICRAF specialists, administration, planning workshop and VASI coordination on the other, the result is as follows:

Activities in Vietnam and Laos	10.7%
Regional including travel	16.2%
Total of direct activities	26.9%
ICRAF coordinator/specialist, support staff, operations, supplies	
Equipment, VASI coordination, planning workshop	61.6%
ICRAF Global administration	11.5%
Total	**100%**

According to this assessment it seemed as if VASI handled almost all the activities during this period, since VASI (as per their statement) had recorded activity costs close to 24% (see above) of the total budget. The team noted that it was hard or impossible to know the expenditure per activity based on the information that was easily available.

It is also apparent from the financial statement that the ASP V&L remained heavily biased towards Vietnam with activity costs recorded in Laos being a mere 1% of those recorded in Vietnam. The Lao participation was, however, more extensive than these figures imply since there was a considerable expenditure recorded on "Regional Linkages and Collaboration".

The cost for the Program coordinator/capacity building specialist further escalated during the ASP-V&L project to reach an average of around US $ 6,500 per month. At the same time it is noted that most activities during this period seems to have been handled by VASI. The situation in 1999, when the VACB project was still young would be expected to represent a state that could be improved upon as experience was gained. But developments seem to have continued in a negative direction during the ASP-V&L period.

The team is tempted to attribute some of this negative development to the continued uncertainty on future funding due to the erratic behaviour of Sida. It was obviously never possible for the project to attain a real long-term vision, nor was it feasible to embark on activities with a longer duration. Instead, day-to-day survival of the project set-up became an important feature.

Actual impact in relation to expectations expressed in the project document

It was reported that the informal network established there expanded throughout the country during the past five years. The activities under ASP V&L brought researchers, trainers, extension workers, policy-makers and farmers together in various ways, resulting in more effective implementation of agroforestry programs and projects that benefit upland farmers. However, names of projects or programmes that had directly benefited through this arrangement were not specified.

It was, further, reported that the capacities of partner institutions and individuals at the national as well as grassroots levels were strengthened through a series of training-of-trainers activities, which contributed also to the communes and farmers. The demand for improving the agroforestry training at professional and vocational levels was reported increasing. It was reported that the Ministry of Agriculture and Rural Development (MARD) awarded the *Medal for the Movement of Agriculture and Rural Development in Vietnam* to the ASP-V&L coordinator for his contributions in this domain during the past 12 years.

A number of cross visits and joint activities were organized in collaboration between research institutions in Laos and Vietnam. Through ASP-V&L, cooperation between NAFRI of Laos and Vietnamese research institutions on agriculture and forestry, particularly VASI, was strengthened and collaboration with international partners became easy.

It was reported that the capacity of NAFRI staff, particularly in agroforestry-related fields, was improved through their participation in international workshops, training courses, study tours and cross visits. This contributed to a better performance of NAFRI staff and their local partners (farmers) in conducting agroforestry-based research, especially at IUARP sites in Luang Prabang Province. Further, ASP-V&L made it possible to expand the collaborative arrangements with projects of partner agencies, including the Rockefeller Foundation/ICRAF/SLU project on Sustainable Land Use Practices for Uplands of Vietnam and Laos: Science and Local Knowledge for Food Security (LUSLOF).

Stakeholders' performance and roles, difficulties encountered

The uncertainty with regard to the continuation after the termination of VACB slowed the momentum. Therefore, one could imagine the performance of stakeholders when they had to pass through the period of uncertain future of external assistance. Similarly, the short-term nature (between 1.5–2 years) of the funding arrangement posed challenges. Even after over five years of continued assistance from Sida through ICRAF, the need for continuing assistance was felt, primarily for maintaining the informal network, for supporting field level research and case studies, for meeting travel and subsistence costs of participation in national, regional and international meetings and for sponsoring higher studies in the field of agroforestry research and development.

What should have happened that did not happen?

It may, finally, be appropriate not only to review what did happen but also to consider what did not happen. Although VACB and ASP-V&L, together, had received a lifespan of between five and six years, no significant mid-term review or evaluation was commissioned until the present evaluation. One of the reasons might be that the projects never had any long-term view. The performance during VACB of 1999 appears to have been quite reasonable, but efficiency was gradually lost in the years that followed, although with some revitalization during 2002. Much of 2003 was again lost due to lack of funds and lack of indications from Sida. ICRAF may have to share some responsibility too. Measures for increased efficiency would have been expected by ICRAF, or alternatively should have put all on

halt during the difficult times. As it was implemented, coordination expenditure continued to appear during periods that had very few or no activities to coordinate. The expenditure of 460,768 SEK during January–August 2003 includes for training activities/information exchange (9,468 SEK), inter-country exchange visits (4,503 SEK) and travel (15,419 SEK) while the rest (94%) is reported as a sum of coordination in Vietnam (160,008 SEK), project support staff, operations, supplies, equipment (104,047 SEK), coordinator/capacity-building specialist (114,314 SEK) and ICRAF Global administration 53,009 SEK). This corresponds to a time period when there was a verbal commitment of continued funding from Sida but operations were by and large put on halt pending the formal confirmation of continued funding. The close to half a million SEK so used must be regarded as a highly unsatisfactory resource allocation.

In retro-perspective, more solid attempts should have been made to develop a more strategic outlook on how this activity could be enhanced and developed further at the end of 1999, when there was momentum and creativity. The 5-year document presented to Sida for funding of ASP V&L did not provide that outlook. Sida agreed, nevertheless, to fund the project for some time.

The research and development capacity building component within "Integrating Natural Resource Management in Southeast Asia (INCA-R&D)"

Implemented activities in brief

The information received from the two national coordinators did provide some insight about the types of activities being implemented under this component in the two countries. Reference is made to Appendix 12 for more details.

- Two staff members of NOUL and NAFRI participated in a planning workshop with Vietnamese colleagues on Cooperative Agroforestry Research and Development in Vietnam and Laos, 21–22 March 2003 (Funded with residual funds from ASP V&L).
- Vietnam received a 13-member delegation from the Ministry of Agriculture and Forestry, Laos, for an observation tour from 21–26 September 2003.
- The Central Forestry Vocational Technical School No.1 (Votech1) had implemented a TOT course in agroforestry techniques for sloping land in the Northeast region, from 18–23 March 2003. The school had designed four models of agroforestry which were being implemented in near-by upland areas with financial assistance of this project through VASI. The task is expected to be completed by December 2004.

Six different activities of agroforestry R&D are currently under implementation, ranging from impact study on conservation farming, research on local agroforestry models in the upland areas, national workshops on low- and up-land linkages (ASB) and extension and education and cross visit of Lao partners to Vietnam. In Vietnam, the various activities have now been harmonised into a programme-like series of events, which will culminate with the NOMARC research strategy formulation in late 2004. Some of the planned activities were dropped by the Vietnamese management. Among these were some components falling under the policy component. VASI was committed to carrying on the coordination role it has been assigned for matters related to capacity building for agroforestry R&D and extension even after termination of the INCA project, which is a positive sign of moving towards achieving sustainability.

In Laos the on-going activities of INCA were few but rather substantial, including the translation and adaptation of ASB lecture notes and initiation of GIS application for landscape analysis and monitoring of watershed conditions. In financial terms, these two activities are planned to require approximately US $ 28,000 out of a total budget amounting to 40,000 US $ for Laos under this component. In addition, the scientific exchange between Vietnam and Laos continue under INCA.

The work on GIS application for landscape analysis and monitoring of watershed conditions was initiated in collaboration with ICRAF-Chiang Mai in the Northern Agriculture and Forestry Research Centre (NAFREC). At the time of evaluation team's visit to Luang Prabang, it was observed that NAFREC had provided the needed space for office that would house the hardware and software needed for GIS application for landscape analysis. Application of GIS for landscape analysis and land use planning will be a longer-term undertaking calling for a continuation beyond the current INCA project, if training of groups outside the core group of researchers is to be included. Therefore, a possibility of seeking additional funds for continuing this activity for some time may be explored from within the ongoing bilateral project of Sida in NAFRI. The design of a next phase of this project is currently in progress.

Effectiveness (will the objectives be achieved?)

At the time of this evaluation (during June–July 2004), both SEANAFE and INCA R&D-related activities under this project were still being implemented. In practice, the project was just about half way into the implementation period and few progress reports were at that stage available. The activities also differ somewhat as compared to what was planned. The main reason for that is that activities envisaged in March 2003 were components of the IUARP annual plan. Due to the delay in funding, many of these activities were no longer possible to implement as they depended on seasons. Some of the planned activities could nevertheless be implemented by use of other funds, while the Sida funds, when a decision was finally made, were partly used for purposes other than those originally planned.

The forecast that can be made at this stage is that Objective 4 of INCA (improved training capacity of GOs, NGOs, farmer groups and schools) will only partly be reached. Two training events for province and district level staff have so far been conducted in Vietnam, and these development partners are also involved in some research activities. There is no activity under this objective in Laos. Objective 5 (improved capacity for research and development related to participatory watershed management) is expected to be quite well covered in both countries. Objective 6 on policies may not be fully achieved, as more efforts were allocated towards supporting the national research capacity.

All in all, it is noted that the objectives and the project document generally tend to cover more ground than can realistically be expected of a project with an activity period of effectively 15 months. The observation of the team suggests that it would have been better for a small project like this to concentrate more on fewer tasks related to institutional capacity building at higher institutional levels rather than attempting to directly build capacity for research, training and extension through activities at the grass-roots level. With this latter implementation strategy, the impact of such an array of activities would be less than significant.

Efficiency (outputs in relation to costs?)

The evaluation team could not analyse the efficiency of outputs in relations to costs since activities were still on-going and detailed financial reports were thus not available.

As compared to the earlier VACB and ASP-V&L projects the current project organisation appears, however, to be more cost effective. With the merger, the management from the ICRAF horizon becomes more rational, with one person coordinating the two components. The shift of the coordination function to Thailand from the Philippines will also contribute to efficiency. The initial plan was to locate the management function to Hanoi. This might have been the ideal solution, but for logistical reasons it did not materialise.

Actual impact in relation to expectations expressed in the project document

As far as the impact of the project is concerned, it was found difficult to accurately quantify the outputs data, since there were large variations between the activities included in the LFA and the ones actually

implemented. As in the case of earlier phases (VACB and ASP-V&L) most of the country level activities under this combined project too, were to be decided through discussions in national planning workshops. For reasons explained above, only some of the activities could be derived from the planning meetings and the on-going activities could not be matched one-to-one to the planned activities, including outputs and verifiable indicators.

One of the intentions during 2004 is to assist the Northern Mountain Agricultural Research Centre, NOMARC (under VASI, Vietnam) with the development of its research strategy. Synergies are be expected to be achieved by using ICRAF's contacts in Thailand and also the contacts that have been established with the Northern Agriculture and Forestry Research Extension Centre, NAFRI, Luang Prabang, Laos.

Sustainability of the results and ownership of the project

The team wishes to acknowledge, that the procedure with planning workshops, when adhered to fully, contributes to a sense of ownership, although it may also limit the possibilities to arrive at a more strategic outlook and it does make it hard to produce project documents and plans that are specific enough for donor acceptance. The current INCA R&D and its predecessors has, as a main output, resulted in better linkages and contacts between the participating institutions both within Vietnam and Laos and between the countries. It may, however, still be noted that there are other institutions in Vietnam with a focus on upland research which have not yet come fully on board in this informal networking. The impact of the project has been reinforced by the overall good political relations between the two countries and chances for sustained results are high as there are intense bilateral contacts between the two countries in many spheres. Attempts have been made to secure Vietnamese funds for the sustenance of the contacts that have been established.

Stakeholders' performance and roles, difficulties encountered

The uncertainty of next phase project immediately after termination of the ASP-V&L project and the delayed decision of Sida on INCA did again slow the momentum created. Despite different limitations, their enthusiasm was found high and were keen on taking this role further also in the future, at least in Vietnam.

The activities which could affect the livelihoods of stakeholders at the grassroots level were limited, therefore difficult to assess their feelings about the project. Involvement of the NGO's and private individuals working for the common cause from outside of the government was not visible, if at all existed in Vietnam.

3.4 A Chinese perspective

The mid-term review of SEANAFE discussed briefly the relevance of linking up activities like SEANAFE with institutions in South-western China. The evaluation team suggested to Sida that the evaluation may explore this aspect further by conducting a small and rather informal study in China. Sida supported the idea, and the evaluation team asked two young Chinese foresters, Messrs. Yu Miao and Han Deng to look into these matters aiming at supplying the evaluation with a Chinese perspective on the type of networking that both SEANAFE, ASP V&L and INCA have facilitated in the Southest Asian region. A summary of the mentioned Chinese perspective is presented in appendix 13.

There are several interesting pieces of information. One is the giant "Grain for Green" project currently under implementation in China. This programme, aimed at restoration of hillside agricultural lands, targets a conversion of 14.67 million hectares of cropland into land use with perennial vegetation. Another point worth highlighting is the existence of The Centre for Biodiversity and Indigenous Knowledge", CBIK, in Kunming. CBIK aims to explore alternative development approaches like the

support to indigenous initiatives and practice them with indigenous people and rural communities with a focus on three provinces and two autonomous regions in southwest China.

The following is an abstract from the concluding remarks of the report on a Chinese perspective: "There is a great similarity between southwest China and SE Asian countries regarding agroforestry education and agroforestry research. And China is good at agroforestry for individual institution and university academically; however the networking does not proportionally match with individual progress. We think it would be very useful for China to strengthen its own international link by getting involved in a larger networking system like SEANAFE etc.

On the aspect of agroforestry application and practice, although Dr. Weyerhaeuser of ICRAF holds it is very good in China, we summarize as below:

- It is obvious that agroforestry is largely in accordance with China's overall forest and agriculture policy (with very few exceptions though, like within the context of Grain for Green, intercropping of trees and crops, especially annual crops are not permitted). The policy trend is towards further encouragement of agroforestry practices such as those in the re-adjusted forest management plan aiming at phasing out the logging ban. It must also be noted that ICRAF has already a close link with Chinese central government (cooperation relationship, without ICRAF receiving any financial support or support in kind from the Chinese part).
- Both at policy-level and at folk level, agroforestry is not a prevailing buzz word, although we know that there are lots of agroforestry-related practices. Neither the government nor local communities have, however, got accustomed to call it agroforestry. Popularisation of the concept in China is needed.
- Currently, there is little collaboration between governmental agricultural sector and forestry sector for the common issue of agroforestry.
- We don't find many agroforestry applications in larger scale which have been undertaken through organization of the government, on the contrary, many of the cases are more limited to pilot research or of spontaneous nature by local community and they are less regulated and supported. However, Dr. Weyerhaeuser of ICRAF argues on the point. His opinion is that it depends on how you regard agroforestry, for example, the Grain for Green Programme and a Shelter Belt Project in north China were such applications. The only difference is one can not find the word of agroforestry in the project titles.

More international concern may trigger more emphasis on agroforestry by the Chinese Government. The lack of domestic contact regarding agroforestry is partly due to less external donors and that in turn reduces the influence of agroforestry domestically.

Further, on a more general note, alignment with both overall strategy and specified state policy is a precondition of any agroforestry activity. For such initiatives as agroforestry it might be good to have very good dialogue or cooperation with the Government."

In addition to these conclusions, the team wishes to note that there are great similarities in the conditions in the mountainous areas of Southeast Asia across national borders and including areas of China, Vietnam, Laos and Thailand. As the ecological conditions as well as the demographic setting (same or related minority groups inhabit mountain areas of all countries) joint efforts and information sharing across national borders provide opportunities for development of better approaches for addressing the complex issues of those areas. Further, it was reported to the team, that trade across the Lao/China border is developing very rapidly, and Chinese investment in northern Laos in, for example, rubber production has a very major impact in some areas. The activities implemented by ICRAF in the MMSEA region under the ASB programme would benefit from more Chinese participation and the

programme may also be able to offer influences that could be beneficial for the Chinese side. One such area may be the application of GIS techniques for mapping tenure, land use and planning of activities with the local communities. It seems generally that there is a good case for supporting linkages between education and research institutions as a complement to the business relations related to forest products that are already quite strong between China and some of its neighbours.

3.5 Is ICRAF committed to Southeast Asia and is the world committed to ICRAF?

From time to time the team met the argument that the evaluated activities are so important that they should form an essential and integrated part of ICRAF's programme for Southeast Asia. The activities ought to be continued with or without a donor willing to contribute earmarked funds. A discontinuation of activities in case of discontinuation of Sida support was seen by some as a sign of lack of commitment from ICRAF. From an ICRAF's perspective, however, access to core funding is always limited.

As a response to these arguments the team decided to look into the question "Is ICRAF committed to Southeast Asia and is the world committed to ICRAF?" by briefly reviewing the funding pattern for the last five years. The result is as follows:

Component	1999	2000	2001	2002	2003
SE Asia, Core	776,379	600,513	461,804	695,716	815,044
SE Asia, Total	2,913,477	2,864,019	3,263,921	3,559,549	3,983,798
ICRAF, Core	7,372,958	7,035,581	6,482,479	6,677,414	7,369,321
ICRAF, Total	21,785,152	20,111,222	23,245,671	21,933,222	26,898,843

ICRAF funding 1999–2003 in US $

This compilation of financial data does, however, not yield any very clear answer to the questions. With the exception of an increase of total funding in 2003 there is no clear trend on ICRAF's total funding. There is also no clear trend on core funding for SE Asia or core funding for ICRAF. But there is a rather steady increase on total funding for ICRAF SE Asia, resulting in a declining share of core for SE Asia from 27% in 1999 to 20% in 2003.

So, although not too clear, it could perhaps be argued that

- The world remains as committed to ICRAF in 2002–03 as in 1999.
- ICRAF has not matched the interest shown by the donors of project funds to the activities in SE Asia by increasing its core support to that regional programme.

So, possibly, ICRAF is slightly less committed to SE Asia than the donor community that provides project support to ICRAF's activities there. The team wishes, however, to note that ICRAF has shown commitment to the evaluated activities by providing some bridging funds to sustain SEANAFE during difficult times. It should also be acknowledged that ICRAF core funding is not increasing, so increasing ICRAF's core support to SE Asia would imply a reallocation from elsewhere, not using resources that are additional to what were available in the past.

4. Conclusions

4.1 SEANAFE

Institutionalization of agroforestry training, both formal and informal, at different levels calls for a long-term commitment from all concerned parties. Therefore, SEANAFE is still badly needed to support the national networking while they are in the process of getting stable and well organised. Support is needed for example to accelerate activities for the advocacy in agroforestry, to support meetings for sharing of knowledge and experiences at the regional level, to support information dissemination through electronic and printed educational materials, for exchange of lecturers within SEA and even to South Asia and Africa, to assist the development of a new curriculum on policy issues on people-centred natural resources management and to support comparative studies for promoting South to South development and West to East development.

4.2 VACB/ASP-V&L/Capacity building within INCA 1998–2004

The activities have, indeed, contributed to better linkages between officials from forestry and agricultural research institutions in the two countries, to some extent also with the grass-root level and with the different programmes implemented by ICRAF SE Asia. The project started apparently off rather well and achieved good momentum in 1999. After that period, however, the cost-efficiency seems to have deteriorated quite badly. This can, to a large extent, be attributed to lack of consistent behaviour from the donor, but ICRAF also shares responsibility by not taking action but to allow the project to continue in spite of most resources periodically being consumed by project management. Both donor and implementing organisation ought to have initiated a review of the activities at an earlier stage.

4.3. Justification for regional activities

Well designed regional activities supported by Sida can be useful both for the region and for Sida itself. For the region, certain issues are more effectively discussed with a regional approach than within a country. Management of major watersheds and other environmental issues are easily comprehended as such issues. From a Sida perspective, regional approaches yield learning opportunities and chances for comparisons. It is occasionally argued that Sida support to regional activities can only be justified if they directly link to Sida-supported bilateral projects in countries in the region. The evaluation team does not share that view, but, is, on the contrary, of the firm opinion that regional activities may be well worth supporting strictly on their own merits. Sida is a very minor player in the Asian context, and it is far more important that a wider group of stake holders can benefit from such regional programmes than the relatively few stakeholders that have a relationship with Sida in this region.

The review of relevant policies that was made indicated that the supported activites remain relevant both from a Swedish policy perspective and from a perspective of the countries in the region.

5. Recommendations

5.1 SEANAFE

Recommendations to ICRAF and SEANAFE at regional level

The need for solid educational materials

Representatives in several member countries emphasised the need for educational materials that are better adapted to the local situation. Further, it seems that most lecturers and students are of the opinion that written material will remain important for the foreseeable future. The team recommends SEANAFE to build capacity at the regional level in order to effectively assist in the production of educational material.

The subject agroforestry

There is a considerable discrepancy with regard to the understanding of what the subject agroforestry actually may cover, both between institutions and individuals in a country and between the countries. Rarely, if ever, is the subject understood as a broad agenda like the one ICRAF SE Asia promotes. In the view of the team, it is advantageous that the subject is broadly defined, but at the same time there are risks for overlaps with other subjects within integrated natural resources management. In some instances the subject is poorly understood and to some students and lecturers it seems still to be a subject that mainly features in books. Much of the existing agroforestry practices adopted by farmers in their fields are still not incorporated in prevailing teaching and teaching materials, at least in some institutions.

A serious effort towards the production of educational materials would, if approached in a suitable manner, help to delineate the borders in relation to other subjects.

Better linkages to the extension systems as well as to other development projects

SEANAFE has tried actively to promote links between educational institutions and research. But links between educational institutions and extension systems appear to remain rather weak or, in some instances, even non-existing. The attempts made to develop agroforestry demonstration plots as a means to link educational institutions with the extension system and with farmers are good and may benefit the educational institutions locally, but more substantial impact may not be achieved unless strategic links with the extension systems at higher administrative levels are established. Development of educational materials would offer hands-on opportunities for strengthened links with extension systems as well as with other donor-supported projects in the region, including RECOFTC. Educational materials for, for example, B. Sc. or Higher Diploma level would be of direct use for extension workers too and if co-produced with extension staff there would be economy of scale that would justify production of many copies and thus proper lay-out and printing.

Examples of projects and institutions are the Chia Se project in Vietnam (Sida-support), an upland project in Laos (Sida, under preparation) and a project to be implemented by FAO in Quang Nam Province, Vietnam (support by Govt. of Italy, contact Patrick Durst, FAO). The Sukhothai Thammathirat Open University in Thailand would also be an important partner as it has strong links with extension by nature of its type of education, and further, it produces its own materials and is planning to revise its material on agroforestry during 2005.

Use SEANAFE to address some new topics that may not be well addressed in education so far

Issues like tenure, biodiversity in agricultural landscapes, carbon sequestration, equity issues between upland and lowland populations, "pay for environmental services"-schemes, international conventions,

aspects related directly or indirectly to illegal logging, markets and marketing, poverty, gender and many others are areas where there is rapid development of both concepts, practices and knowledge. Several of these issues could be addressed under the scope of agroforestry as per the ICRAF SE Asia agenda.

These are important areas that SEANAFE could focus upon, and possibly even attract additional funding for. Ideally, such issues could be addressed by SEANAFE through the production of new educational materials or procurement and distribution of existing materials, through training courses and perhaps by availing specialist services from time to time to institutions that show interest.

Poverty and gender are examples of socio-economic issues which have in general not been a real domain of SEANAFE so far. Current member institutions are, by and large, forestry or agricultural institutions. Innovative thinking is required in order to find methods to emphasise such issues through SEANAFE.

A more pro-active role of SEANAFE at the regional level

Some member institutions expressed a desire for SEANAFE at the regional level to be more active. In some instances member institutions preferred to have direct contacts with SEANAFE, especially with regard to financial matters, rather than to rely on the national networks. The team is of the opinion that SEANAFE should be cautious and be aware of the risk that too intensive direct interaction with member institutions or individuals may jeopardise the role of the national networks. This is delicate as many member institutions and individuals expressed their interest in keeping close contact with SEANAFE directly.

But the team is also of the opinion that the capacity of SEANAFE at regional level must be strengthened so that it can become more proactive on technical matters like the ones elaborated on above. A critical mass and think-tank is required, and one element in achieving that is also to place all SEANAFE staff in one location. Chiang Mai appears to be suitable at this point in time. It is essential that each person in such a team has a clearly defined job description so that excessive capacity is not dragged into general network administration, meetings, international conferences, etc. In total, general management of all of SEANAFE may be expected to require one full-time position, approximately 50% for dealing with the national networks and 50% to supervise and administer the regional level operations. These general duties may be divided on two people to ensure that all staff members also can have a technical function in line with their respective qualifications.

There must, thus, be a provision for a network facilitator who can coordinate and activate the national networks in member countries, as well as work for inter-regional networking and collaboration with international or regional centres such as ANAFE, SEARCA, RECOFTC, etc. and establish linkages with related associations and sectors of INRM.

The future role of SEANAFE at the regional level may include the following functions:

- SEANAFE acts as information clearing house – that has capacity to compile and disseminate information on science and technology in agroforestry (and related issues of people-centred INRM) in a form that is digestible the colleges, schools, universities in the form books, CDs, Website material.
- Having a proactive role to lobby the parliament and government in member countries on the impact of agroforestry as a science and technology for the natural resource and environmental management. Synergy and coordination with other regional or international organizations is essential, i.e. FAO, RECOFTC, etc. in order to position agroforestry within the existing science and knowledge of social forestry and natural resource management, i.e. to achieve a clearer understanding of what the subject includes.

- Provision of fund for the adaptation program to implement agroforestry concepts at each member country, such as training courses development and review, establishment of demonstration or financial support for the production and dissemination of educational materials.
- SEANAFE can pull expertise in agroforestry to be hired as regional experts (senior fellows) to share their experience with local counterparts in agroforestry development and or exchange.

Coordination meeting with RECOFTC

As per its strategic plan RECOFTC has ambitions to embark on more intensive collaboration with selected universities. Synergies could be achieved and possible overlaps avoided by ensuring a good sharing of responsibilities between SEANAFE and RECOFTC. Cooperation on training materials may be one area where synergies could be achieved. A meeting between RECOFTC and SEANAFE is recommended to examine these possibilities.

Inviting Chinese participation in SEANAFE

The scope for a Chinese participation has been examined through the separate study linked to this evaluation. The outcome is positive. The team would suggest ICRAF to invite Chinese participation primarily in SEANAFE, but perhaps also to some other components of INCA provided that ICRAF can secure a longer-time financial support to these activities. The forms and content of such participation need in that case to be discussed with the Chinese authorities.

Recommendations to Sida

Reconsider the decision to terminate the financial support to SEANAFE

The team recommends Sida to reconsider its decision to terminate the support by the end of the year. A discontinuation now would be most unfortunate, a time when the network arrangement is functioning rather well, but when there is still a lot remaining in terms of technical inputs through the networks to the institutions. From all points of view it would result in in-efficiency and poor use of resources invested so far.

Realistically, in most cases, it may not be the networks *per se* that is the sustainable impact of SEANAFE, but rather the impact that can be achieved at the institutional level through the acceptance and institutionalisation of agroforestry education. Next to that, the national networks may be sustained in the long run (most apparent in the Philippines) whereas the regional network is best regarded as a temporary tool used for flow of information and some modest financial resources to the institutions. The regional network is also currently essential for promoting the participation of a country like Laos where the national capacity is still rather modest.

Future scenario

The mid-term review recommended a 10-year perspective. Since then three years have passed, but activities were hampered for more than half a year due to lack of funding. The team is of the opinion that the indication made during the mid-term review remains valid, i.e. another 7–8 years of support to the network is justified for it to deliver the goods that it has now been designed for.

Brief external reviews are recommended at 2–3 years intervals to ensure that needs for corrective measures are noticed at early stages.

A funding level that enables strengthening of the regional function so that it can assume a pro-active role as described above is recommended. It is assumed that this can be achieved by hiring of specialists from the region.

An indicative annual budget may have the following composition:

	US $
Support to national networks	100,000
Capacity Building Specialist	80,000
Two senior fellows	80,000
Shorter-duration fellowships for ed. materials	60,000
Other costs, printing, travel, etc.	80,000
ICRAF overheads, 29%*	116,000
Total	**516,000**

* During INCA, ICRAF charges 29% overhead as compared to 13–24% earlier. A lower level may be desirable, but as long as Sida is also providing core support to ICRAF this issue is almost exclusively of academic and not practical interest.

It may be noted that the actual amount needed per year may change substantially based on the scope of activities the next phase of SEANAFE would embrace.

Recommendations to the national networks

Some of the recommendations to ICRAF, above, are relevant for consideration by the national networks too. For sustainability and reduced donor dependency, the national networks are encouraged to follow the PAFERN example by trying to secure additional funds from sources other than Sida/ICRAF. Reference is made to appendices 5–9 for more details.

5.2 VACB/ASP-V&L/Capacity building within INCA 1998–2004

Recommendations to ICRAF

Consolidation of on-going activities

As Sida has made a decision to terminate the support by the end of this year, the remaining months will have to be used to ensure that the on-going activities will be well implemented and reported to Sida in a Final Report.

Seeking continued funding for on-going activities from other sources

Among the on-going activities the capacity building for and development of GIS applications in participatory land-use planning appears to be innovative and promising. Hardware is being purchased under this project and basic training for some staff will be conducted. However, a wider application may not be facilitated given the short duration of the project. This component and possibly some other activities could possibly be funded under the bilateral arrangement between Sweden and Laos, both for 2005 and beyond. ICRAF is encouraged to discuss this further with NAFRI. Similar options could possibly be explored in Vietnam, especially in relation to the emerging NOMARC research strategy.

Preparing for a major restart?

The activities carried out under this project have yielded strong linkages between ICRAF, Vietnam and Laos. Concurrently, ICRAF has established a presence in Yunnan Province, P.R. China, and since long ICRAF is present in Chiang Mai, Thailand. These contacts have been utilised for the strategic work and planning of the MMSEA programme.

Possibly, this would be a good time for ICRAF to consider whether or not VACB and its successors have resulted in a foundation that can be utilised for development of new activities with a longer time horizon and with clearer ambitions than were ever possible in the past and which would fit in the MMSEA programme in a way that is easy to comprehend.

The team wishes to note, in this context, that this research and development agenda addresses issues that lack "quick fixes" and that are likely to remain of interest for multiple development partners and donors for a long time to come. Generally, this sphere can also still be regarded as relevant for Sida. ICRAF ought to look into possibilities for a deeper multi-disciplinarity in implementation of future activities, also involving social sciences, and as a result, possibly also involving other institutions than has been the case so far, especially in Vietnam. There are, in fact, excellent opportunities for the development of a collaborative research agenda addressing poverty and production issues in the mountainous mainland of SE Asia by building further on the contacts between ICRAF and the research organisations that have a focus on mountain areas in Vietnam, Laos, China (CBIK) and Thailand.

Recommendations to Sida

Sida-NATUR ought to set aside time to discuss lessons learnt as reflected in the next section of the report to ensure that there is an in-house learning process. One or two individual programme officers learning in isolation will not yield the desired result.

Sida-NATUR ought also to consider, in a broad perspective, what its future engagement in the issues related to the mountain areas of SE Asia should be. This may include consideration of a major restart along the lines elaborated in the previous paragraph in case ICRAF would take such initiative. Any future engagement should, however, be recognised from the start as a long-term activity.

Recommendations to VASI and NAFRI

The recommendations to ICRAF, above, are relevant for consideration by VASI and NAFRI too.

6. Lessons learned

6.1 Recognition of Sida's administrative capacity as a limiting factor

One of the main findings of this evaluation is that Sida's capacity to administer the evaluated projects has been inadequate. This refers in particular to VACB/ASP-V&L. If the performance had continued to reach the 1999 level, a lot more could have been achieved, but since then short-term decisions on funding, bridging grant, no-cost extension and periods with uncertainty have eliminated the chances for the project to embark on more consolidated and long-term activities that would have been desirable.

Sida's administrative machinery operates with financial restrictions set by the Swedish Government. Number of staff cannot expand according to what may be the perceived needs within the organisation. Sida has to recognise these limits and design its activities in such a way that they can be managed. This implies consolidation. For Sida's relation with ICRAF it implies focus on fewer activities with a long duration, but with inbuilt and applied mechanisms for monitoring and evaluation that will ensure corrections when needed.

6.2 Long time horizons and predictability are rewarding

When SEANAFE was initiated one would assume that all actors realized that it would have to be a fairly long-term undertaking although, unfortunately, that was never spelt out in the early documentation. The mid-term review addressed that question and emphasised that a long time horizon will be necessary, hinting that a 10 year perspective from the time of the mid-term review would be feasible. Sida did not present a different opinion.

Since then, SEANAFE has gone through an ambitious restructuring as a response to the recommendations of the mid-term review.

After the restructuring funding was granted for a short period only and ICRAF was notified that the support would be terminated by mid 2004. The evaluation team has examined the prevailing policies at the time when the projects were initiated and at present and found that there is, with one exception, no shift in policies that makes an activity like SEANAFE less relevant now as compared to earlier. The exception is Sida's desire to reallocate resources to the focal subject areas of SENSA.

Termination of the support to SEANAFE now would imply loss of opportunity to see "goods" delivered through the networks and systems created. From a Sida perspective it would seem as making an investment but immediately choosing not to use it. From the perspective of the countries in the region the networking is in any case appreciated, but there are of course expectations on a long-term support in line with the mid-term review. The indication of a termination of the support at this point in time yields obviously a question "Why?" by the actors involved. This was far from what was expected after an initial ambitious process.

6.3 Detailed project documents or a process approach?

SEANAFE on the one hand and VACB/ASP-V&L on the other can be regarded as extremes with regard to their project documents and reports. SEANAFE has all the time built its activities on rather specific plans with indications of activities, outputs and indicators developed in a consultative process. VACB started off as an innovative project with long-term objectives but with allocation of "seed money" for a short period only. The detailed planning was left to national planning workshops involving a large number of officials.

The document for ASP-V&L indicated a continuation of a project along these lines. An ill-intended reader may read the document as a request for 13,000,000 SEK for five years with a greeting to Sida that they will be informed later on what is to be done. Such arrangement will of course give maximum freedom to the implementing agencies, but may not be very satisfactory from a donor perspective. The cost efficiency of planning workshops involving many officials may also be questionable.

The team is of the opinion that the SEANAFE approach represents a better option. At each point in time there is an indication on the currently planned activities and outputs, but without being rigid. Revisions are made as and when circumstances call for that and the donor is kept informed.

This issue is of interest from the donor perspective, but perhaps even more from the perspective of the country of implementation. There are many donors and potential donors to agricultural research and development in a country like Vietnam. It is not cost-effective if every donor or partner who is willing to invest modest amounts of money will initiate planning workshops drawing research capacity from their primary tasks to discuss plans related to a donor's willingness to avail support. The preferred option would be that there is already a strategy in place, for example for VASI, and donors are invited to assist the implementation of the strategy. Details would then be more of a management issue. It is understood, that when VACB was initiated there was no such strategy in place that included the research agenda for the uplands. But one would have wished that a clearer agenda had been worked out for presentation in a proposal to Sida by the end of the intended VACB period.

Apart from all details, the real conceptual issue is whether there is necessarily a contradiction between a reasonably detailed project document that meets the needs of a donor and the desire to have a flexible approach to planning and implementation. The team is of the opinion that SEANAFE has struck a better balance in this respect than VACB and in particular the phases that followed to that.

6.4 Sida has a very good reason to be proud

This evaluation has highlighted some shortcomings in Sida's performance. However, the team wishes also to recognise the very important role that Sida has played in the evolutionary process that was described initially in this report. Over the last 30 years or so, Sida has supported programmes and activities that have been at the cutting edge with regard to the relations between forestry and other land use on the one hand and people on the other.

The result of these processes is that, worldwide, the various concepts of people-centred forestry and the understanding of how trees, crops, livestock and people interact in the small-scale farming systems have become recognised and brought into the general development agenda. Sida is one of the donors that have played a central role in this process and SEANAFE can be seen as a continuation of this evolution.

6.5 Is Sida still on the frontier of knowledge development in this context?

New issues have emerged in the international debate. Carbon sequestration as related to climate change with all the mechanisms and processes that emerge in that context is one of these issues. The equity issue between natural resource managers in uplands and the large groups of people in the lowlands who depend on the actions of the upland managers for their supplies of water and other public goods is another. Biodiversity issues and recreational values of forests are other issues that have emerged more clearly in recent times. The imbalance in the global supplies of forest products with Asia emerging as a continent with depleted resources and short supplies is yet another issue that call for intensive action.

Is Sida maintaining its position as a donor acting on the frontier of knowledge on natural resources? The team leaves this question as a challenge for consideration by each reader!

Appendix 1. Terms of Reference

Terms of Reference for the Evaluation of Integrating Natural Resource Management Capacity in Southeast Asia

1 Background

The Southeast Asian Network of Agroforestry (SEANAFE) is supported by Sida since October 1997, when a status and needs assessment was initiated, completed during 1998, leading to a long-term Sida-support to the network from 1999 to present.

In a parallel development, Sida also supported the Vietnam Agroforestry Capacity Building Programme (VACB) since May 1998; which in 2001 evolved into the Agroforestry Support Programme for Vietnam & Laos (ASP V&L).

In its current phase, these two projects were merged into "Integrating Natural Resource Management Capacity in Southeast Asia", started in April 2003 covering a period of 15 months, with a no-cost extension to December 2004. The projects are implemented under the SE Asia Regional Office of the World Agroforestry Centre (ICRAF).

The project "Integrating Natural Resource Management Capacity in Southeast Asia" aims to advance institutional capacity for agroforestry research, development and education, within an integrated natural resource management agenda. The ultimate goal is to contribute to reducing upland poverty and enhancing environmental services of Southeast Asian landscapes.

The current project consolidates five national networks for agroforestry education in Indonesia, Laos, Philippines, Thailand and Vietnam established during the first phase of SEANAFE. The project emphasizes linking education to agroforestry research and development. Research on policy and watershed management and capacity building for such research is a priority, particularly in Vietnam and Laos.

The current project is also part of ICRAF's multi-donor programme for the Mountain Mainland of Southeast Asia (MMSEA), which is made up of activities in Thailand, Laos, Vietnam and the Yunnan province in China. The project connects Vietnamese and Lao institutions to the MMSEA programme and supports capacity-building linked to that programme.

Given that the two projects have only been merged for a few months out of a 6-year period, the bulk of the evaluation will assess SEANAFE and ASP V&L separately.

1. SEANAFE

The project goals for SEANAFE Phase I 1999–2002 were:

- to establish a regional network of tertiary educational institutions in natural resources sciences, that is able to promote and improve agroforestry education in Southeast Asia.
- to produce an agroforestry curriculum guide for the region, developed with stakeholders; and in use in curricula development and reviews.
- to make relevant reference and teaching materials on agroforestry available for teachers and students in different levels of tertiary education.
- to make stakeholders (including teachers, policymakers, administrators, employers, and others) aware of the capabilities and competencies of 'agroforesters' with multidisciplinary skills in natural resources management.

- to ensure that key agroforestry teachers in SEANAFE member institutions are adequately trained in agroforestry theory and practice.
- to encourage and enable graduate students to select agroforestry as a theme for their graduate theses, and to enable agroforestry teachers to incorporate on-farm research experiences, results or methods in their teaching.

2. ASP V&L

The ASP V&L project received several short-term grants, initially only covering Vietnam. The VACB project objectives for May 1998–Dec 1999 were:

- To link Vietnam with ICRAF-Southeast Asia (SEA) activities and the global ASB program.
- To enhance Vietnamese capacity to conduct agroforestry research, development and training.
- To help Vietnam develop and disseminate alternatives to unsustainable slash-and-burn.

After a bridging grant, the ASP V&L was approved, now also including Laos. The objectives for ASP V&L during July 2001 to December 2002 were:

- To enhance capacity in agroforestry research & development, especially on practices and processes (biophysical and socio-economic) that can contribute to sustainable management of upland systems.
- To support the development and delivery of appropriate agroforestry training, information dissemination and extension activities that can effectively reach and benefit grassroots institutions and farmer households.
- To improve the understanding and capacity to analyze key policies and factors affecting the development of agroforestry, particularly in poor, mountainous areas.
- To facilitate useful collaboration among relevant Vietnamese and Lao institutions and ICRAF partners on participatory watershed management and relationships between agroforestry and watershed services.

3. The merged project 'Integrating Natural Resource Management capacity in Southeast Asia'

The project goals for the current project (April 2003–June 2004) are:

- Support and improve agroforestry and integrated Natural Resource Management education in Southeast Asia.
- Strengthen institutional capacity for agroforestry and INRM research and development, with special emphasis on Vietnam and Laos.

The project objectives are:

1. Improved capacity of tertiary education institutions to develop and deliver agroforestry and INRM programmes.
2. Increased capacity of the members of SEANAFE's national networks to establish and maintain effective links with national research and development systems.
3. Presence of a regional mechanism for capturing regional and global experiences and sharing those among SEANAFE member institutions.
4. Enhanced agroforestry and INRM training capacity of development partners (GOs, NGOs, farmer groups, schools)

5. Improved national capacity for research and development (R&D) related to participatory watershed management.

6. Strengthened national capacity for policy analysis and dialogue with respect to agroforestry and INRM.

4. Disbursement:

Since October 1998 the total amount disbursed under the various projects is SEK 26,5 million, as follows:

1. SEANAFE: SEK 12.975.000

2. ASP V&L, including VACB: SEK 8.740.000

3. Integrating Natural Resource Management in SEA: SEK 4.800.000 (ongoing)

2 Purpose and Scope of the Evaluation

Purpose

Since the project is to be terminated in June 2004 there is a need for an evaluation of the projects. The purpose is thus to study how the projects have fulfilled its objectives and draw conclusions in order to learn for the future.

3 The Assignment (issues to be covered in the evaluation)

The evaluations shall cover the period 1997 to 2004 and

- provide an all-round description of the projects. The purpose of the descriptive part is to give general information and background for the analysis.
- assess the relevance of project objectives for the development in the region as well as in fulfilling the Swedish Development Goals relevant at the time of approval as well as of today.
- assess the effectiveness by studying to what extent the project objectives have been achieved.
- assess the efficiency in the project by studying outputs in relation to its costs.
- assess the impact in relation to what is stated in the project documents.
- assess the sustainability of the results and ownership of the project within participating institutions.
- assess to what extent the projects have established links to bilateral Sida-supported projects/programmes.
- assess the stakeholders performance i.e. roles and responsibilities (incl. Sida).
- recommendations for the future (could include, but is not limited to Sida, ICRAF and other stakeholders).

Specific evaluation questions for the different projects:

SEANAFE

The network has different levels, each with a different role:

– Impact on *institutions* – This is where the network should have immediate impact. Did curricula change? Has the programme contributed to increased capacity of the lecturers and improved their performance? Does research reach the farmer communities?

– Impact on *national* processes – The mechanism for national collaboration.

At the SEANAFE General Meeting in May 2001 a decision was taken to restructure and decentralize the network and establish national networks. This was a result of recommendations from an external mid-term review. The function, effectiveness and impact in *general* of these networks should be an item for the evaluation with the *specific* questions:

- How do the national networks impact on relevant national policies (e.g. agricultural education, research and agriculture extension)?
- How does the national network connect with the national research system?
- To what extent do the networks enhance the link with the field, both in terms of bringing field experiences into the education programmes, and in terms of playing a role in the scaling-up process of agroforestry innovations ?
- Are the national networks efficient in operations and in administration in general?
- What has been achieved by the national networks that individual institutions would not have been able to achieve on their own?

– *Regional:* What impact has the regional network had on the national ones?

ASP V&L

– Assess to what degree Vietnamese and Lao research and development partners have linked with ICRAF-Southeast Asia (SEA) activities and the global ASB program.

– Assess how the project has contributed to changes of the capacity to conduct agroforestry research, development and training.

– Assess the result of and the effectiveness of the process of developing and disseminating approaches and technologies related to alternatives to unsustainable slash-and-burn practices

– Assess the impact of national collaboration between universities, research institutions and government units in achieving the above.

Current phase, "Integrating Natural Resource Management in Southeast Asia"

– To assess the process of developing more holistic, multi-partner research and development initiatives for upland research and development in Laos and Vietnam (as opposed to separate, individual small projects)

– To assess how SEANAFE's national networks are stimulating a dialogue between universities and the research and development systems

4 Methodology, Evaluation Team and Time Schedule

Methodology

The evaluation shall be carried out through analysis of available programme/project documents and other documents considered necessary by the team. Interviews shall be carried out with, but not limited to, representatives of the regional and national networks of SEANAFE and ASP V&L collaborators, lecturers and relevant development partners such as GOs, NGOs and farmer groups.

In order to give a background and the context in which Sida decided to support these initiatives the evaluators shall also interview relevant staff at Sida Stockholm and relevant Sida offices in the region.

The evaluation shall be carried out based on a gender perspective, i.e. analyses made and findings presented shall consider both involvement of women as well as men and the impact and consequences for women and men and their respective roles and responsibilities.

Consultant

The evaluation team should consist of two to three people covering the following competence:

- Agroforestry
- Institutional and policy development
- Socio-economy
- Tertiary education
- Evaluation analysis

One of the team members shall act as Team Leader, one person should preferably know Sida thoroughly, and at least one person should have thorough knowledge and experience from the region in relation to the field of work. It is an advantage if someone in the evaluation team knows one or more local languages spoken in the region.

Budget and work plan should be approved by Sida before commencing the work. The ceiling amount for the assignment is SEK 500.000. This includes all costs in relation to the assignment.

Time frame

Preferred time for the fieldwork to start is the last week in April. The draft report shall in that case be submitted before the end of June. If the first option is not possible the fieldwork should start in mid-June 2004 and should be submitted before the end of August 2004. A debriefing should be conducted for ICRAF before leaving the region.

Relevant background material

SEANAFE: – Report on Status and needs assessment 1998

– Project document from 1998 for the period 1999–2002.

– External Mid-Term Review from 2001.

– Final report

ASP V& L: – Relevant parts of the Project document from 2001 for the period 2001–2006. (However, only the period 2001–2002 was approved)

– Final report

VACB: – Project document from 1998

– Final report

Integrating Natural Resources Management Capacity in SEAsia:

– Project document, 2003

– Regional review by Börje Wallberg 2003. (Relevant for all projects above)

5 Reporting

The evaluation report shall be written in English and should not exceed 30 pages, excluding annexes. Format and outline of the report shall follow the guidelines in *Sida Evaluation Report – a Standardized Format* (see Annex 1). The draft report shall be submitted to Sida electronically and in 3 hardcopies (air-/surface mailed or delivered) no later than 30 June or 31 August 2004 depending on agreed time for field work. Within 2 weeks after receiving Sida's comments on the draft report, a final version shall be submitted to Sida, again electronically and in 3 hardcopies. The evaluation report must be presented in a way that enables publication without further editing. Subject to decision by Sida, the report will be published in the series *Sida Evaluations*.

The evaluation assignment includes the completion of *Sida Evaluations Data Work Sheet* (Annex 2), including an *Evaluation Abstract* (final section, G) as defined and required by DAC. The completed Data Worksheet shall be submitted to Sida along with the final version of the report. Failing a completed Data Worksheet, the report cannot be processed.

Appendix 2. List of people met

A. Sweden

Sida/SLU

Mr. Erik Skoglund, Senior Program Officer
Dr. Reidar Persson, SLU, Professor
Mr. Jerker Thunberg, Head, Department of Natural Resources and the Environment
Mr. Per Björkman, Senior Program Officer
Mr. Ola Möller, Senior Programme Officer

B. Vietnam

1. National University of Agriculture and Forestry, Ho Chi Minh City

Assoc. Prof. Dr. Dang Dinh Boi, Dean, Faculty of Forestry
Mr. Tiam The Phong, Lecturer, Faculty of Forestry
Mr. Nguyen Anh Vinh, Lecturer, Faculty of Forestry

2. Hue University of Agriculture and Forestry, Hue

Mr. Duong Viet Tinh, Dean, Faculty of Forestry
Dr. Le Quang Vinh, Head, Social Forestry Department, Faculty of Forestry
Mr. Tran Nam Tu, Lecturer, Social Forestry Department
Ms. Nguyen Thi Hong Mai, Lecturer, Social Forestry Department
Mr. Cuong Pham Cuong, Lecturer, Social Forestry Department
Mr. Nguyen Thi They Dung, B.Sc. 4th year Student
Mr. Pham Qua Va, B.Sc. 4th year Student
Mr. Pham The Hung Cueng, B.Sc. 4th year Student
Mr. Li Van Chong, B.Sc. 4th year Student
Mr. Sean McNamara, Australian Volunteer

3. Vietnam Agricultural Science Institute (VASI), Hanoi

Dr. Le Quoc Doanh, DD General, Director of Northern Mountainous Agricultural Research Centre (NOMARC), Coordinator of VACB and ASP-Vietnam
Mr. Ha Dinh Tuan, Deputy Director, NOMARC
Mr. Ha Quang Lap, Dept. Head, Research Planning & Int. Coop. Dept.(RP&ICD)
Mr. Tran Van The, RP&ICD
Ms. Bui Huy Hop, Program Assistant, VACB and ASP-Vietnam, RP&ICD

4. Other institutions/agencies and individuals in Hanoi

Dr. Minh Ha Fagerström, SLU-ICRAF
Mr. Tran Duc Toan, NISF
Assoc. Prof. Dr. Tran Duc Vien, Vice Rector, Hanoi Agricultural University
Mr. Pierre-Yves Suter, CTA, Extension and Training Support Project, (ETSP) SDC-MARD Cooperation Programme, Helvetas
Mr. Nguyen The Bach, Coordinator, ETSP
Ms. Do Thi Huyen, National Program Officer, Embassy of Sweden
Dr. Halvor J. Kolshus, Team Leader, Vietnam-Sweden CHIA SE Poverty Alleviation Programme, ORGUT CONSULTING AB,
Dr. Dang Kim Son, Team Leader of ICAS, MARD

5. Northern Mountain Agriculture Research Centre (NOMARC), Yen Bai

Mr. Dang Dinh Quang, Deputy Director, NMARC
Mr. Le Huy Hoang, Head of Agroforestry Department
Mr. Bui Cong Tuan, Veterinary Staff in Agroforestry Department
Mr. Duong Nang Ben, Participant, NMARC Agroforestry Demonstration and Leader of 17 farming households

6. Thai Nguyen University of Agriculture and Forestry, Faculty of Forestry Thai Nguyen

Mr. Dang Kim Vui, Vice Rector
Mr. Vu Van Thong, Deputy Dean
Mr. Mai Guang Truong, Deputy Dean
Mr. Tran Quoc Hung, Teacher
Mr. Dam Van Ving, Teacher
Mr. Vu Tren Mua, Farmer

7. Vocational Technical School No. 1 (VOTECH 1), Lang Son

Excellent Educator, Mr. Bui Nhu Diem, Director
Ms. Vu Thi Luu, Vice Director
Mr. Ng Hun Giang, Lecturer, Silviculture Faculty
Mrs. Bui Thi Cham, Lecturer, Silv. Fac.
Mr. Ng Tren Phong, Lecturer, Silv. Fac.
Mr. Huang The Ang, Lecturer, Silv. Fac.

C. Laos

1. National University of Laos, Vientiane
Faculty of Forestry

Assoc. Prof. Dr. Somsy Gnophanxay, Dean
Mr. Bounthene Phasiboriboun, Head of Dept.,Watershed Mgt. & Land Use Planning
Dr. Lamphoune Xayvongsa, Head of Academic Affairs
Mr. Bounmy Phakonekham, Teacher

Faculty of Agriculture

Mr. Thongly Xayachack, Vice Dean (former coordinator of NAFE-Laos)
Mr. Saythong Vilavong, Teacher of Agroforestry

2. Lao-Swedish Upland Agriculture & Forestry Research Programme, National Agriculture and Forestry Research Institute (NAFRI), Vientiane

Dr. John B. Raintree, Socio-Economic Adviser
Mr. Michael Victor, Information Services Adviser
Mr. Peter Jones, Land Use Adviser

3. Embassy of Sweden, Sida, Vientiane

Dr. Claes Kjellstrom, First Secretary

4. Northern Agriculture & Forestry School, Xieng Nguen and Pak Xeuang, Luang Praban

Mr. Khamphoui Phonexay, Director
Mr. Chanpheng Rattancamixay, Dir. Northern Agriculture & Forestry Extension Training Centre
Mr. Nikone Southivong, Teacher
Mr. Bounlap, Farmer at Longor Village

5. Northern Agriculture and Forestry Research Extension Centre, NAFRI, Luang Praban

Mr. Phonthon Sophathilat, IUARP Coordinator, NAFRI, Vientiane
Mr. Houmetritsavath Sodarak, Director of NAFREC
Mr. Boonchanh manisane, Head of DAFO Pakon District
Mr. Touy Sengkhamoy, NAFREC

6. IIRI-Luang Praban

Dr. Bruce Linquist, Project Manager and Agronomist

D. Thailand

1. Kasetsart University, Faculty of Forestry, Bangkok

Assoc. Prof. Dr. Utis Kutintara, Dean
Asst. Prof. Dr. Monton Jamroenprucksa, Department of Silviculture, Coordinator of Thai-NAFE
Ms. Rachanee Pothitan, Lecturer, Department of Forest Management
Mr. Pasuta Sunthornhao, Lecturer, Dept of Forest Management
Sontaya Nimitchokauychai, 4th year B. Sc. Silviculture Student
Surapol Engkaprapakul, 4th year B.Sc. Social Forestry Student
Saowapak Chaowanatham, 4th year B.Sc. Social Forestry Student
Wirongrong Duangjai, 4th year B.Sc. Social Forestry Student

2. Regional Community Forestry Training Centre (RECOFTC) for Asia and the Pacific

Dr. Yam Malla, Executive Director

3. Sukhothai Thammathirat Open University, School of Agriculture Extension & Cooperatives

Assoc. Prof. Bumpen Keowan, Deputy Dean
Assoc. Prof. Dr. Dusit Wechakit, Director, Institute of Research & Development

4. FAO Regional Office in Asia and the Pacific, Bangkok

Dr. S. Appanah, National Forest Programme Adviser, Asia-Pacific

5. World Agroforestry Centre (ICRAF), Chiang Mai

Dr. David E. Thomas, Senior Policy Analyst, Deputy SE Asia Regional Coordinator for MMSEA
Mr. Per G. Rudebjer, Capacity Building Specialist

6. Maejo University, Faculty of Agricultural Production, Chiang Mai

Assist. Prof. Dr. Pissot Niumsup, Dean
Dr. Sakesan Ussahatanonta, Associate Dean for Academic and International Affair
Mr. Anan Pintarak, Crop Physiology & Production, Department of Agronomy
Mr. Prajate Umnat, Lecturer, Phrae Campus

7. Chiang Mai University, Faculty of Agriculture

Asst. Prof. Dr. Boonserm Cheva-Isarakul, Associate Dean of Academic Affairs
Assoc. Prof. Mr. Charoon Sukkasem, Department of Soil Science

8. Embassy of Sweden

Mr. Christer Holtsberg, Director, SENSA

E. Indonesia

1. ICRAF Office Bogor

Dr. Damrong Pipatwattanakul- Senior Agroforestry Extension Fellow, ICRAF, Bogor
Dr. Meine van Noordwijk, Regional Coordinator, ICRAF, Bogor

2. Institut Pertanian Bogor

Dr. Nurhenny- Faculty of Forestry, IPB
Mr. Sony – responsible of Cikabayan demonstration plots, Fac. of Forestry IPB
Dr. Ma'mun Sarma – International Program IPB
Dr. Hadi Susilo Arifin – Faculty of Agriculture IPB (telephone discussion)
Dr. Hardjanto – Faculty of Forestry IPB

3. University of Gajah Mada

Dr. Mohamad Sambas Sabarudin – Faculty of Forestry, UGM
Mr. Prima Okky Saputra – student Fac. of Forestry, UGM

4. University of Brawijaya

Prof. Dr. Kurniatun Hairiah – Faculty of Agriculture (met in Bogor)

5. University of Lampung

Dr. Christine Wulandari – Faculty of Agriculture (met in Jakarta)

6. University of Tadulako, Palu

Dr. Imran – Faculty of Agriculture (by telephone call)

F. The Philippines

1. Institute of Agroforestry

Dr. Virgillio Vilancio – Director IAF(Chair PAFERN
Ms. Ann Papag – Senior Technical Assistant
Ms. Leila D. Landicho – secretary of IAF

2. Barangay Pooc Silang, Cavite – Agroforestry demonstration plot

3. Environment Research Development Bureau – College Laguna

Dr. Aleli M. Luna – Silviculture Division

4. Vist Los Baños Experiment Station

5. University of the Philippines Los Banos

Dr. Samuel T. Mancebo – Dean College of Public Affairs/Chair of TAFE

6. Saint Miquel Corporation Training Centre, Cavite, attending the Agroforestry Course Specification and Writing Workshop of CHED:

Prof. Dr. Fortunato A. Battad – member TAFE and Chairperson Boar of Forestry
Ms. Catherine C. de Luna – Senior National Anthem
(interact with some participants in random – talking about PAFERN, SEANAFE – fill in questionnaires – 10 participants)

7. Misamis Oriental State College of Agriculture and Technology

Dr. Juan A. Nagtalon – President of the College
Dr. Elizar M. Elmundo – Vice President for Academic Affairs
Dr. Anglina G. Corneta – Dean Institut of Agriculture
Mr. Midardo Cosaijo – Head of Agroforestry demonstration plot
Some students doing internship program at MOSCAT

8. Visit Farmer agroforestry area

9. ICRAF Office at Claveria, Misamis Oriental

10. ICRAF Office at UPLB

Dr. Rodel Lasco – ICRAF Coordinator, Philippines

Appendix 3. List of documentation and references

Castella, J-E, Quang, D.D. (Eds.). 2002. *Doi Moi in the Mountains. Land Use Changes and farmer's livelihood strategies in Bac Kan Province, Viet Nam*. The Agricultural Publishing House, Hanoi, Vietnam

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Appendix 4. The supported activities in their policy context

Policies of selected countries as reflected in Poverty Reduction Strategy Papers (PRSPs)

Since relatively more activities have been implemented in Laos and Vietnam, the team decided to briefly review the poverty reduction strategy papers of these two countries in order to assess to what extent the supported activities were in line with the current national priorities.

The Comprehensive Poverty Reduction and Growth Strategy, CPRGS (Vietnam)

Agroforestry *per se* does not appear in the document, but several priorities embedded under other headings are worth noting:

- Agriculture is recognised as "the foundation for Vietnam's socio-economic stability"
- It is, however, noted that "in agriculture, advanced cultivation methods have been introduced in rural areas at too slow pace and their introduction has not been widespread".
- On natural resources it is recognised that they "have not been exploited effectively, economically and sustainable. There is a trend of degradation in the quality of environment. The area of natural forests continues to decline".

On current poverty situation it is noted that

- "most of the income of the poor comes from agricultural work. Given their very limited resources, their income is highly unstable..." and further "A majority of the poor live in areas that have very poor natural resources and harsh natural conditions such as mountainous, remote and isolated areas…"
- "Poverty is a widespread phenomenon in rural areas; over 90% of the rural poor live in rural areas. In 1999, the food poverty incidence in urban and rural areas was 4.6% and 15.9% respectively."
- "Female farmers in remote and isolated areas, especially unmarried female householders, and elderly females are among the most vulnerable groups".
- "Poverty has marked regional characteristics. The poverty rate is relatively high in the upland, remote and isolated areas and ethnic minority areas. As many as 64% of the poor live in the Northern Mountainous Region, North Central Region, Central Highlands and central Coastal Region".
- "Although the Government has actively invested in and supported ethnic minority communities, they continue to experience many difficulties and disadvantages".
- "Gender inequality deepens the poor condition at all aspects. It creates negative impacts that not only burden women and female children but also press upon their families".

Among major sectors and industries to create income generation opportunities for the poor the need for development of agriculture and the rural economy is mentioned first of all. The first measure mentioned is development of science and technology and another measure is development of human resources.

More specifically it is mentioned that

- "with respect to the extremely difficult, remote and disadvantaged areas, the government will provide funds for building infrastructure, reclaiming wasteland, reallocate unused or inefficiently

used land from current holders, who will receive adequate compensation, to households that lack cultivated land for production and long-term settlement".

- an ambition is to "vigorously develop forestry, turning it into a profitable business that helps to create jobs and raise incomes for people in mountainous areas." This is to include incentives to people who plant forests and promotion of the role of community in protection and natural regeneration of forest.
- another priority measure is to "allocate land and forest together with implementing fixed cultivation and settlement and voluntary resettlement, and stabilizing the living of people in mountainous areas."
- "ensure that people living in mountainous areas, especially poor households can directly manage and protect their forests and be provided with appropriate incentives systems that link their benefits and responsibilities with the forest".
- "continue to review, revise and amend policies on investment in forest development…"

The investment portfolio for 2001–2005 includes VND 110-133 thousand billion for agriculture, forestry and fishery. Science, technology and environment together has a separate budget vote. Among the sectors, only "industry and construction" is considerably larger than the "agriculture, forestry, fishery and irrigation" sector. The need for diversification of production and for investment in high value production like fruits is emphasised. Priority is, according to the document, to be given to the poor, remote and mountainous communes and ethnic groups.

The National Growth and Poverty Eradication Strategy (Laos)

The team was unable to review the final version, but got access to a draft dated May 2003 and a summary of an additional background document dated September 2003 from which the following information was derived. Agroforestry was mentioned as a supporting sector while agriculture and forestry were treated as main sectors, and it was mainly under these main sectors relevant information was found.

The following is noted with regard to poverty assessment in Laos:

- Poverty is most widespread in the Northern Region and least common in Vientiane Municipality, however, there are significant differences between provinces within the regions. Poverty has generally decreased, but the richer provinces benefited more than the poor ones.
- Poverty in urban areas has decreased much more than in rural areas during 1992/93–1997/98.
- Rotational shifting cultivation with fallow periods shorter than 12–20 years are considered by many as unsustainable since there is inadequate time for soil regeneration. Poverty is increasing in these areas with the pressure of population growth.
- Women and men experience poverty differently in the Laos even within the same ethnic group or community. In most of the poor villages studied, women work much longer hours than men do. Their work includes agricultural production and processing, raising small livestock, collection of water, fuelwood and non-timber forest products (NTFPs), food preparation, childcare and various types of handicraft production.
- 37 out of 142 assessed Districts are considered as very poor and another 25 as poor.

The investment portfolio targets 47 specific districts for 2003–2005 and remaining poor or very poor districts will be included for 2006–2010.

A poverty-focused agriculture/forestry development plan has been formulated as this is one of the priority policy areas. Cross-sector priorities are, for example, gender equity and environmental conservation. The agricultural/forestry sector focuses on the most important economic, social and environmental issues, namely improvement of household food security, increased supply of agricultural produce to create income and wealth and the reduction of disparities between lowland and sloping-land farming. Seven thematic approaches have been devised, among which "Shifting cultivation Stabilisation" and "Human Resource Development" are of particular relevance in relation to the activities subject to this evaluation. Eleven high-priority projects have been selected, including one on NTFPs and another on horticulture. The principles of poverty-focused agricultural development include "Market orientation", "Participation", "Decentralisation" and "Sustainability". Integrated Watershed Management is also elaborated on.

Bilateral support to the Philippines, Indonesia and Thailand

Sweden has only minor bilateral cooperation programmes with the Philippines, Indonesia and Thailand as compared to the cooperation with those for Laos and Vietnam. However, the support provided by Sida under different mechanisms (mainly so called "KTS", Contract-based Technical Cooperation, a form of cooperation between Swedish and actors in some developing countries financed from a special budget vote within Sida) may well include and has included support to management of natural resources and the environment.

Objectives and policies for the Swedish Development Cooperation in the region

The overall objectives for the Swedish development cooperation 1997–2004

The Swedish Parliament has formulated goals for Sweden's development cooperation with other countries. These have undergone changes over time.

In 1997, at the planning and inception of the reviewed activities, both SEANAFE and VACB, the overarching policy can be captured from "Sida at work; Sida's methods for development cooperation" published in August 1997. The following is cited: "The type of development which Sida wants to facilitate should reduce poverty in developing countries and contribute to achieving peace, democracy and the sustainable use of natural resources. As far as possible the development process should actively involve the men and the women who benefit from it in the work of implementing it. The decisions of the Swedish Parliament and the bills of the Swedish Government form the basis of Swedish development cooperation with countries in the South, for which Parliament has laid down six main goals:

- economic growth
- economic and social equity
- economic and political independence
- democratic development
- care for the environment
- equality between women and men.

The six goals should interact with each other in order to achieve *the reduction of poverty* which is the overall goal of Swedish development cooperation.

The Swedish Parliament decided on a new global-development policy on 16 December 2003. A main difference now is that the new policy embraces cooperation on the part of all policy areas in a concerted effort to improve the conditions affecting the lives of the poor. Sweden's efforts to combat poverty are to be coordinated so that the goal of contributing to an equitable and sustainable global develop-

ment will apply to all areas of policy. This means that what was previously considered to be a primary task for the policy area of international assistance will become a task for all policy areas.

A special goal for the policy area of development cooperation is to help create conditions that will enable the poor to improve their lives. Swedish policy is to proceed from a human rights perspective based on the will that the people themselves have to develop. The perspective of the poor-their needs, interests and conditions-will also be a starting point for the policy. It must therefore be based on the experience and priorities of poor people.

Eight central component elements will govern and permeate the policy:

- Democracy and good governance
- Respect for human rights
- Equality between women and men
- Sustainable use of natural resources and protection of the environment
- Economic growth
- Social development and social security
- Conflict management and human security
- Global public goods.

Sida in Asia

The current strategy for Sida's priorities in Asia emphasises sustainable development and care for the environment as important priorities. A new strategy for Sweden's development cooperation with Asia is being developed. No draft could be made available to the team, so no comments on changes in policy directions can be made at this point in time.

The country strategies

The country strategy is the most important instrument governing Sweden's development cooperation with a country. It states the Swedish Government's views on cooperation with the country and stipulates the scope, focus, design and expected results of programmes of cooperation. The strategy includes all Swedish support to the country in question. New country strategies for both Laos and Vietnam have recently been decided upon.

Both these country strategies indicate that the cooperation should be geared towards sustainable development and poverty reduction on the one hand and towards democracy and respect for human rights on the other. For both countries it is indicated that significant attention should be paid to the respective PRSPs.

Further, for both countries rural development and sustainable use of natural resources is indicated as priorities.

Compared to the earlier country strategies, which were valid 1999–2003, the most striking new features now are the ambitions to link closely with the PRSPs and a stronger emphasis on regional programmes and correspondingly less emphasis on sector-specific programmes. This may, however, not necessarily imply that natural resources management including agriculture, agroforestry and forestry will feature less in the future as compared to the past, but it does imply that the planning and implementation modalities are changing towards a more decentralised approach.

Linkages between the evaluated activities and the bilateral programmes

VACB was, according to Sida, initiated with one of the aims being to provide a mechanism for scientific support to the then ongoing bilateral program in Vietnam, and especially to the then on-going Mountain Rural Development Programme, MRDP. For SEANAFE no such specific link appears to have been emphasised at its inception, but a long term synergy would nevertheless be expected as a result of more qualified and more "systems-oriented" young people coming out of the educational system.

A new Sida-supported programme for reduction of poverty in rural areas was launched in Vietnam in 2003, the Chia Se Poverty Alleviation Programme. It covers three provinces in different parts of the country. It is an integrated development programme, placing responsibility on and availing resources to local governments to address poverty issues. According to information from the Embassy of Sweden, "the programme will among other things support forest management, agricultural extension and land registration". The planning process is a bottom-up process where the opinions at the local level will determine the priorities. Such priorities could include, for example, minor infrastructure. The early indications from the local planning processes are that considerable attention will be paid to the management of natural resources including agricultural and forestry development. Other programmes with linkages to natural resources are being initiated under the new agreement between the Governments of Sweden and Vietnam.

For Laos the country strategy indicates that a district-based programme for rural development in poverty-stricken highland districts will be one of the main activities during the coming years. Such a programme is being planned. In addition, there is continued support to capacity building for research on sustainable use of natural resources with a focus on farming systems and socio-economic issues among the highland farmers.

The Swedish Environmental Secretariat for Asia (SENSA), a new initiative from Sida

SENSA was set up as a unit within the Embassy of Sweden in Thailand in 2002. Four focal subject matter areas for SENSA have been identified:

- Regional Environment Cooperation in Mekong, including Yunnan, with focus on Mekong River Commission and Asian Development Bank
- Illegal logging and trade in forest, non-timber forest products and wildlife (natural forests)
- Chemical safety (including handling and use)-regional perspectives
- Improved ecological sanitation in the region-promotion and concept.

It has been emphasised by Sida-NATUR that, funds required for these new activity areas under SENSA will have to be availed by terminating the support to some of the on-going regional activities. The activities now evaluated are among the ones for which Sida-NATUR has tentatively decided to terminate the support.

ICRAF SEAsia's vision, programme and strategy

ICRAF SEAsia revised its regional strategy in 2002. Its agroforestry vision is *'Improved rural livelihoods through good governance for multifunctional landscapes supporting healthy farms with useful trees'*.

The work focuses on four inter-related Themes:

- Trees and markets: tree options; planting materials; markets
- Farmers' land management: plot-level technologies; household decisions & extension; trade-offs
- Multi-functional landscapes: watershed functions & biodiversity; dynamics of land use change; community institutions & social capital

- Governance processes for INRM: land use rights; rewards for environmental services; capacity building

With offices in four countries – Indonesia, Philippines, Thailand and Yunnan, China – ICRAF SEAsia carries out a major part of its research in 'bench-mark' sites, such as the Mae Chaem watershed in northern Thailand. A long-term presence at local levels is an essential component of ICRAF's strategy, as it enables a continuous dialogue with the local farmers, as well as with a range of partners, such as NGO's, universities and local and national government units. This local presence also helps ICRAF to link its' biophysical research with socio-economic conditions, including gender-related issues.

In Laos and Vietnam, where ICRAF does not have staff posted, ICRAF's strategy is to partner with national and international organizations. In Laos, ICRAF supports components of the Integrated Upland Agroforestry Support Programme (IUARP), Luang Prabang, under the National Agriculture and Forestry Research Institute (NAFRI), including International Rice Research Institute (IRRI). In Vietnam, ICRAF works via several parallel partnerships with national research centres, universities and international organizations, including other CGIAR centres. Research projects on environmental service payments and on marketing of agroforestry products are under preparation. An initiative to provide technical assistance to an International Fund for Agriculture Development (IFAD) project in Ha Giang province is also being prepared.

An important component of ICRAF SEAsia's strategy for the Montane Mainland SEAsia (MMSEA) is the exchange of experiences, tools and methods between Thailand, Laos, Vietnam and China. Several regional research projects contribute to this exchange of knowledge. This work is lead from ICRAF's Thailand office in Chiang Mai. The area in Thailand where activities are implemented under the Alternatives to Slash-and-Burn (ASB) Programme also constitutes one of the benchmark sites for the global exchange of experience under the ASB programme.

Scaling up

ICRAF approaches the 'scaling-up' process through a mix of products and services that target users at all levels, from local to national. ICRAF SEAsia has in recent years developed a range of tools that are available in printed format and at the Internet, including:

- Models for research and simulation
- Databases, such as tree seed and agroforestry tree databases
- Publications, such as the ASB lecture notes.
- Tools and methods for local participation and dialogue, e.g. negotiation support systems, policy analysis matrix, landscape analysis

By working closely with national partners in 'benchmark' sites, these tools and methods are made available to the national R&D system. ICRAF's capacity building unit also conducts training courses, provides fellowships for students and produces information materials for a range of users. SEANAFE is a key strategy for dissemination of research outputs to the national education systems in the region.

The team's findings with regard to the programmes in a policy context

Sweden as well as the countries in the region for which the team has looked into the national policy development as it is expressed in their PRSPs are expressing a stronger determination to combat poverty. This is currently a general trend among donors as a response to the UN Millennium Development Goals (MDGs) and to the process of using the PRSPs to focus assistance more clearly on poverty-reducing strategies and actions. However, as poverty to a large extent is a rural phenomenon and as production based on management of land is the backbone of rural economy, improvement of land-

management practices will continue to be among the focal areas for poverty reduction. Also, populations will still continue to increase, while no frontier of unused land exists to exploit. Thus, intensification of land use is essential for poverty reduction. Degradation of soil fertility and natural resources must be arrested.

General development of agriculture and forestry is, however, not sufficient to achieve poverty reduction. The land-based production has indeed increased dramatically, but the increase has largely been derived from lowlands suitable for paddy cultivation. Further production increases from these areas may be marginal for poverty reduction, since it is neither in these areas that poverty is most frequent, nor is it shortage of food *per se* that causes poverty but rather a combination of several other factors. The rate of growth of production in the paddy areas is now declining while the environmental problems in many of these areas are increasing. This is often regarded as indications that the scope for further increases in production in these areas is limited.

Generally, in most countries in the region, poverty is especially rampant in mountainous areas and among ethnic minorities. Further, relatively less advancement in agricultural production and practices has been made in these areas.

VACB and its successors have had and still have a main focus on uplands. From that perspective, such activities are relevant from a policy perspective now and were important at the time of their inception. SEANAFE has no specific focus on uplands, but has, on the other hand, a focus on the integration of agriculture, forestry and social disciplines. Knowledgeable people, either they are university graduates or certificate or diploma holders, that are capable of dealing with people and land use in a holistic manner are essential both for the capacity of the countries to deal with poverty issues and long-term sustainability issues.

From a Sida perspective, it has, at least from time to time, been argued that the regional programmes should be designed such that they add value and constitute a "back-up" function to the bilateral programmes and projects. The team is of the opinion that this view can be challenged. In the Southeast Asian reality, Sida and Sweden is a small player and developments even in the sectors that Sweden and Sida treats as core areas for Swedish support are influenced by many factors, from within the countries as well as external. There may well, conceptually, be occasions when Sweden may have comparative advantages to support regional activities which are not directly linked to the bilateral programmes.

But let us assume that there should be a strong link between the bilateral programmes and these regional activities. In that case, the team is of the opinion that there is some difference now as compared to the late 1990s when the programmes were initiated. There is more focus on area-based and integrated rural development activities in the bilateral programmes in Vietnam and Laos now, but the difference may still be superficial. Even in these area-based and integrated rural development activities, it seems, as was evidenced during the discussions in Vietnam, that there will be a clear focus on land use.

After this brief review of some policy documents, the team has arrived at the conclusion that well-defined and well implemented projects with over-all objectives like those of the programmes being evaluated may be as relevant now as earlier, from various policy horizons. The more detailed design and implementation of the evaluated programmes may, however, not always have included the pro-poor contents that are required and socio-economic issues should also be part of the agenda. This is important now, but was also important earlier.

The new phenomenon from a Sida perspective, but not yet from a regional perspective, is SENSA. The wish, by Sida, to focus regional activities more clearly on the subject areas prioritised for SENSA seems, as far as the team has noted, to be the decisive factor for Sida's tentative decision to terminate the support to the activities subjected to this evaluation. Commenting on this new evolution within Sida clearly falls outside the scope of this evaluation.

Appendix 5. Details on ThaiNAFE

Membership

The total membership of Thailand in SEANAFE increased from seven in 1999 to ten members currently, which is comprised of nine universities and one institute of technology.

Organisation

The Thai Network for Agroforestry Education (ThaiNAFE) was established in 2001 as a mechanism for networking among Thai tertiary educational institutions aimed at development and strengthening of agroforestry education. A National Agroforestry Education Committee (NAFEC) has been formed in which all the ten member institutions are represented.

Activities in brief

2002

The first meeting of ThaiNAFEC after its formation in late 2001 was held January 31–February 1, 2002. Additional meetings were held during 2002. Among the decisions was an agreement to provide 50,000 Baht (about 1,200 US $) to the Faculty of Forestry at Kasetsart University as compensation for the administrative burden of hosting the secretariat and coordinating the network. A person was hired (part time) to facilitate the work in the secretariat office. Among other activities implemented in 2002 were:

- Website construction for ThaiNAFE
- A training event on on-farm experimentation
- A training course on "A Model of Water, Nutrient and Light Capture in Agroforestry System, WaNuLCAS" was conducted at Kasetsart University with a resource person from Indonesia and with 19 participants.
- Translation of ICRAF teaching materials.
- Translation of "A Guide to Learning Agroforestry" into Thai. Seven member institutions shared this task.
- Ten small research grants were awarded; two each to five institutions. This was a major activity that consumed about 40% of the budget available for 2002.

SEANAFE allocated a total of US $ 25,000 for the operation of the network and implementation of activities during 2002 out of which US $ 24,968 was used.

2003–04

A NAFEC meeting was held in June 2003 which was attended by 10 participants from 7 member institutions. It discussed and finalized the annual work plan budget (US$ 17,000) for the year 2003–4. The meeting decided that the Faculty of Forestry, Kasetsart University (KU) continue to assume the roles of Focal Institution and Secretariat for ThaiNAFE. The same meeting appointed the Head of Silviculture Department, KU as Chair of ThaiNAFE for the period 2003–2005. It was agreed that funds for all SEANAFE activities in Thailand be channelled through KU. A second meeting was held from 21–23 November 2003 which was attended by 10 participants from 6 member institutions. The meeting planned a workshop on *Guideline for Teaching Agroforestry at Tertiary Education Level* for implementation in early 2004. The SEANAFE supported activities in 2003–4 include:

- Development of teaching materials, including production of agroforestry slides from Thailand,
- ToT course on *Education Material Development*, and
- A national seminar on Agroforestry Research: *Dimension of Agroforestry for Future Community* held in July 2004.

The total budget from SEANAFE for 2003–04 is US $ 17,000 as per the following table. The budget is expected to be fully utilised.

ThaiNAFE Work Plan and Budget for 2003–04	Budget, US$	%
Network management		
NAFEC meetings (two meeting per year)	2,000	
Focal Institution Support	1,000	
Secretarial services for NAFEC	1,000	
Subtotal Network Management	4,00024	
National Activities		
AF Education conference and CGM	3,000	
Teaching materials development	**800**	
Translation of ICRAF Slide Series		
Translation of A Guide to Learning Agroforestry		
Production of Slide set of Agroforestry Classification in Thailand		
Subtotal National Activities	3,800	22
Training and research		
Tools and methods for agroforestry education	2,300	
ToT on INRM	2,300	
AF Education policy analysis	2,300	
Joint research among member universities	2,300	
Subtotal National Activities	9,200	54
Total, 2002	**17,000**	

Evaluation team's notes

Four universities: KU, Sukhothai Thammathirat Open University (STOU), Maejo University (MU) and Chiang Mai University (CMU) were visited during the review in Thailand. In addition, the Regional Agroforestry Training Centre (RECOFTC) and the FAO office were visited. The following are some of the observations made:

- The KU viewed agroforestry as a technique useful for social forestry development, which experts could use in integrated natural resources management. Agroforestry fell under their social forestry subject offered for teaching at B.Sc. level. The gender ratio between boys and girls at this level of education was almost 50:50, and the number of enrolment of girls was increasing year after year.
- STOU is an open university established in 1975. It aims to provide an equal access to higher education to people throughout Thailand, and to make the concept of life-long education a practical reality. Its distance education system provided a practical method to supplement the conventional university system. Twelve academic schools, ranging from liberal arts school to management science, health science school to agriculture extension, science and technology to law, etc. forms the STOU. It offers 1- to 2-year certificate programmes, as well as Bachelor's and Master's Degree Programmes in the named fields, not to mention its Continuing Education Programme. The ratio of students was 80% and 20% for male and female respectively. Agroforestry is included in the courses offered at the

School of Agricultural Extension and Cooperatives. The translation of *A Guide to Learning Agroforestry* into a Thai version had proven useful. Lack of an own field station for demonstration and local level extension was presented as the key problem.

- The MU has three campuses in Thailand, in Chiang Mai, Chumporn and Phrae. It offers a B.Sc. Degree course in Agroforestry under its Agriculture Production Programme. Student intake was 50% direct through entrance examination and 50% by quota under different arrangements. It was pleased to join the ThaiNAFE and take benefit from the regional network through SEANAFE. Its view about agroforestry was broadly using the agroforestry system for managing shifting cultivation that could include plantation of rubber trees in upland areas for the management of existing shifting cultivation practices. A *Guide to Learning Agroforestry*- a SEANAFE publication- was found useful for teaching the subject, but there was a wish to compile teaching materials from Thailand.
- A major constraint of teaching agroforestry is insufficient practical opportunities to learn from hands on experiment.
- CMU, one of the founding members of ThaiNAFE, regularly received assistance under SEANAFE. It added agroforestry as a multidisciplinary course at the B. Sc. level of education for all students studying Social Science, Soil Science or Agriculture. It was of the view that the demand for agroforesters was coming from the NGO and private sectors recently. There were more girls than boys in this university. Entrance was 50% direct entrance and 50% under quota arrangements. National and regional level interaction and exchange of experience was considered a must for sharing information and knowledge. Therefore, the contribution of SEANAFE and the opportunity to share information and experience through the national network was very much appreciated.
- All universities presented unanimous view about the positive contribution of SEANAFE in linking important teaching research institutions through the establishment of a national forum, ThaiNAFE. They were also of the view that the existing capacity in Thailand could be utilized for training the Lao students in relevant subjects, including social forestry which incorporates agroforestry. Currently, 15 students from Bangladesh and two each from Laos and Malaysia were pursuing their Master degree education in different fields of forestry (i.e. Forest Management, Social Forestry, Wood Technology and Timber Mechanics) under different fellowship programmes in KU. Besides, three students from Japan and one from USA were studying at B.Sc. and M.Sc. levels of forestry, respectively. They wished that SENAFE would continue for few more years for strengthening the national network.
- As most policy makers at the national level were reluctant to listen to the voices of national experts, arrangement at the regional level for meeting and interaction among experts of form the region through a forum (like SEANAFE) would be highly desirable, as some partner institutions in Thailand have already requested for such an action. However, no training institution seemed prepared to contribute any financial resources to SEANAFE of its own resources. The other consideration could be provision of incentives to individuals and institutions for compilation and publication of county specific textbooks of agroforestry, since availability of training materials and text books in Thai language was limited.

Syntheses

The mission got the clear impression that ThaiNAFE has taken off well and plays already an important role. There is, however, still a lot that can be done through SEANAFE, for example on training materials in the local language and adapted to local conditions and on the linking of theoretical studies to the actual field conditions.

Networking on agroforestry has a history through the Asia-Pacific Agroforestry Network, APAN, which was hosted by the FAO office. Other earlier regional activities worth mentioning are the Regional Wood Energy Programme which also used to be hosted by FAO and of course RECOFTC which is still in existence within the KU complex. SEANAFE carries on some of the heritage of the discontinued regional activities that used to be located at Bangkok, and the mission notes that there are not so many channels for this heritage to be brought forward.

SEANAFE has a valuable partner in Sukhothai Thammathirat Open University (STOU). This University has resources and capabilities that most other member institutions lack, notably on the side of publication production.

Close cooperation with RECOFTC is called for since RECOFTC also has some ambitions in starting networking and collaboration with a few educational institutions in the Asia-Pacific region.

Appendix 6. Details on VNAFE

Membership

Total nine educational institutions (five universities, one national agricultural science institute, one forestry vocational school, one forestry technical training school and one extension centre) are currently members of SEANAFE from different parts of Vietnam. These members constitute the Vietnam Network for Agroforestry Education, VNAFE.

Organisation

The secretariat of VNAFE is hosted in the Faculty of Forestry, National University of Agriculture and Forestry (NUAF), Ho Chi Min City, Vietnam. The contact person on matters related to SENAFE is the Deputy Dean of Faculty of Forestry Mr. Nguyen Van So who is also the Vietnamese member of the SEANAFE Board.

Activities in brief

2002

VNAFE was officially formed during a meeting in November 2001. Substantial funding from SEA-NAFE was received from 2002 onwards. A work plan and budget was developed for 2002 in which 10,000 US $ were allocated to meetings and administrative support and the remaining 15,000 US $ for activities resulting in implementation of events including:

- A national committee meeting in May 2002
- A General Meeting in October 2002 which lasted three days and included field programmes, 12 participants took part.
- Translation of "A Guide to Learning Agroforestry"
- An agroforestry model established at Thai Nguyen
- An agroforestry Training of Trainers Course (ToT) conducted at West Highland College
- Workshops for exchange of experiences and for the development of the subject in post-graduate programmes
- Some teaching material support.

SEANAFE allocated a total of US $ 25,000 for the operation of the network and implementation of activities during 2002. Out of the budget US $ 20,331 were utilised. The unspent amount corresponds to two activities which were not implemented (thesis grants and a training course on agroforestry modelling).

2003–04

A meeting with the six members of the national committee was held on 26 July 2003 to plan activities from July 2003 to June 2004. The planned and implemented activities included:

- 13 student's thesis grants were awarded to students from 5 different institutions for research on agroforestry related field (US $ 100 per proposal): 4 from NUAF, 3 from West Highland University, 3 from Xuan Mai Forest College, 2 from Thai Nguyen University and 1 from Hue University.

However, due to late submission three proposals were not approved for the grant. One university made its own arrangement because of high demand and split the grant amount of US $ 100 to four students.

- A group comprising the VNAFE Chair and other staff travelled to the Lamdong Extension Centre twice to assist with communication devices so that the centre could communicate with the rest of the network
- A workshop on Agroforestry teaching methodology for B.Sc. programme was conducted at Hué by University of Agriculture and Forestry in December. 20 participants.
- A ToT Course on AF was hosted for 35 participants in February 2004 in which 24 men and 11 women had participated.
- Another workshop was organized with the aim of updating and editing of the training curriculum at the grass roots level from 3–4 February 2004.

The total budget from SEANAFE for 2003–04 is US $ 17,000 as per the following table. The budget is expected to be fully utilised.

	Budget, US$	**%**
Network management		
NAFEC meeting I	1,250	
NAFEC meeting II	1,750	
NAFEC Chair office support and coordination	4,000	
Subtotal Network Management	7,000	41
National and Institutional Activities		
Students' research grants	2,000	
Agroforestry Teaching Methodology and material exchange workshop	3,000	
Agroforestry Course for grassroot level writing workshop	2,000	
Edit and Publish Agroforestry Curriculum Guide	1,000	
Local Training of Trainers course at Lam Dong Province	2,000	
Subtotal national and institutional activities	10,000	59
Total, 2003/04	**17,000**	

Evaluation team's notes

Three universities, NUAF, HUAF (Hue University of Agriculture and Forestry), TNUAF (Thai Nguyen University of Agriculture and Forestry), and one national agricultural science institute and a forestry vocational school (VASI and Forestry Vocational School No.1) were visited during the review. Important notes made are the following:

- External assistance was viewed as a must by NUAF for procuring training aids and equipments, also for accessing outside information. As NUAF did not have its own research, it was facing difficulty in developing training materials.
- At NUAF agroforestry course was included in B.Sc. level curriculum at 4th year as a compulsory 4 credit hours course for students in both forestry and agriculture faculties. This course was introduced already in 1994. This course was taught also at the M.Sc. level. The gender ratio at B.Sc. level of education was about 60 male against 40 female in the faculty of agriculture and 75 male and 25 female in faculty of forestry. M.Sc. level 3-year course was started in 2003.Agroforestry was a compulsory course for the B.Sc. 4th year students in both agriculture and forestry faculties.

Total students in each batch were about 45 in number. The agroforestry curriculum has been revised substantially in the recent years according to the Dean of Forestry Faculty.

- In HUAF agroforestry was currently integrated within the ongoing forest engineering course at B. Sc. level. The intention is to offer it as a separate subject soon, as private companies and NGO's are interested to hire this type of expertise. There was no M.Sc. level training course offered yet. The ratio of male to female students was 65% and 35%, and 80% and 20 % in the field of agriculture and forestry respectively.
- Additional provision of out-of-country M.Sc. level fellowships, textbook supply and provision of the exchange of faculty staff between national and SEANAFE partner institutions in the region was proposed. They currently referred to the Website of ICRAF for new information on agroforestry. The institutions possessed a strong view that SEANAFE should continue for few more years.
- HUAF was keen to design through SEANAFE's assistance a new participatory curriculum on policy issues for incorporation in agroforestry training in Vietnam. It was concerned about receiving too little support to thesis research for its students. Previously, it had received some support for this through the SFSP. The training material on Agroforestry in Costal Area was sent to Bac Thai University as an activity of the VNAFE. It received three thesis research grants in the past four years as well as some books and other materials from the SEANAFE. The students pursuing agroforestry education were of the view that whatever is taught under the subject was difficult to find in farmers' field and vice versa. Support of SEANAFE was sought for training materials, text books, thesis research and M.Sc. level education. The issue of budget limitation for practical agroforestry training by students was raised. Also the concern of imbalance between theory and practice and incorporation of too many topics in training subjects was raised, not to mention non-existence of electronic training aids and multi media projector.
- VASI raised the issue of lack of teaching material and experience of agroforestry teachers. Available materials for the Philippines do not reflect the actual Vietnamese conditions in the field.
- In TNUAF agroforestry was taught only to forestry students. The ratio of male to female in the university was about 75% and 25%. So far it received 2 thesis research grants from SEANAFE and two new grants have been approved recently. The average grant amount was US $ 150 each of which 50% would be released after approval of the research proposal and the remaining 50% after submission of the report. The process took a long time for meeting the formalities at different ends.
- The teaching staff of Vocational School No.1 defined agroforestry innovations as: "The scaling-up process in the uplands of Northern Vietnam" of the type of activities developed through ASP-V&L. They were establishing four different models of agroforestry in the upland areas under their jurisdiction with the participation of local farmers.
- The efforts made by SEANAFE on curriculum development had been fruitful, resulting in a new agroforestry course for B.Sc. level now being taught according to a harmonised curriculum in all five member universities.
- Several institutions had benefited from contacts not only with SEANAFE but also from SDC-supported Social Forestry Support Programme. With the support from that project a Social Forestry Network had been established and ambitious work had been done aimed at sustenance of the network after the end of the funding period. In spite of that the network was reported to have lost vigour now when the financial support had ended.
- The institutions in Vietnam are extremely uneven in terms of their capacity, understanding and ability. The notion about what agroforestry actually is varies from an opinion that agroforestry is only found in books and not in rural Vietnam as one extreme (the person's understanding of agro-

forestry was linked to alley cropping) to a well analysed opinion that agroforestry was part of the broader social forestry agenda. The latter opinion featured commonly.

Synthesis

By and large VNAFE has become well established and impact at the institutional level can be noticed. However, the institutions remain at a very uneven level. Some manage to develop power-point presentations while others still have rather rudimentary ideas of what agroforestry is all about. This gives a good case for continued networking and sharing of experiences within the country.

The existence of the Social Forestry Support Programme could potentially have created coordination problems as that programme and SEANAFE partly had mandates close to one another. But SFSP and ICRAF/SEANAFE managed to develop this proximity into a fruitful collaboration, which benefited not only VNAFE but SEANAFE as a whole.

The loss of vigour of the Social Forestry Network yields an important experience: It is often difficult to sustain networks once funding ceases. It appears, therefore, that SEANAFE should lay emphasis on implementation of activities that yield sustainable impact in institutions rather than being too ambitious on trying to make the networks themselves sustainable.

Appendix 7. Details on LaoNAFE

Membership

Total six educational and research and development institutions in Laos (the Forestry and Agricultural Faculties of the National University of Laos (NUOL); one agricultural college, one forestry and agriculture college, and two agriculture and forestry extension and training centres) are currently members of SEANAFE in Laos and thus also the members of LaoNAFE. The total members were only four in 1999.

Organisation

The first meeting with the Interim National Agroforestry Education Committee for LaoNAFE was held on 10–12 December, 2001. Among the outcome of the deliberations:

- The Faculty of Forestry, NUOL, assumes the role as Focal Institution and Secretariat for LaoNAFE, and the Head of Academic Affairs was appointed as Chair of the interim national committee as well as to head the network secretariat during 2001–2003.
- Advised that funds from SEANAFE for all activities in Laos should be channelled through the Faculty of Forestry due to the difficulties of transferring funds to remotely located institutions.
- Decided on a Plan of Work and Budget for LaoNAFE for 2002.

A National General Meeting of LaoNAFE was held at the Faculty of Forestry, NUOL, 23–24 October, 2002. 21 participants attended and a national committee consisting of five members was elected. However, in practice, subsequent committee meetings have had a character of national network meetings with up to 15 participants attending, including a strong representation of the Faculty of Forestry.

The committee has since met several times to discuss plan of work, review progress, decide on funds allocation, etc.

The LaoNAFE Committee met again on 1–2 March, 2004 and in this meeting the concerns of SEANAFE termination and its likely effect on LaoNAFE was discussed. This meeting also raised the concern of desirable optimal membership versus prevailing member number, and a somewhat unclear mode of administration and management of the Committee.

Activities in brief

2002

Activities implemented in 2002 included:

- A workshop to work on Editing of Agroforestry Manual, 5–6 June 2002. This event included discussions on the agroforestry teaching manual for the B.Sc. and Diploma levels and on gaps between the newly developed curriculum and the real agroforestry practices in Laos.
- A Training of Trainers (ToT) course in Agroforestry, from 30 September to 5 October with 24 participants. The course was originally planned for duration of 10 days. The notes from the NAFEC meeting indicates some concerns as regards the quality of the output and with regard the representativity of the participants.

- Collection/compilation of various extension materials.
- Establishment of demonstration plots. This was a major focus of the work plan for 2002. US $ 1,000 was allocated to each of six sites. This initiative has demonstrated some of the difficulties that are linked to demonstration plots managed by institutions. There was quite a strong focus on fruit trees in the plots.
- Translation of "A Guide to Learning Agroforestry" into Lao language.

SEANAFE allocated a total of US $ 25,000 for the operation of the network and implementation of activities during 2002. The budget was exceeded slightly with a total expenditure of US $ 25,468.

2003–04

The activities implemented during 2003 included:

- A training course on Agroforestry Research Methodology which was held at Luang Prabang from 5–7 January 2003. 17 participants (out of which only one female) participated from different training and research institutions, including 4 and 2 from the Forestry and Agriculture Faculties of NUOL, respectively.
- Another workshop on Agroforestry Teaching Methods and the Guide for Student Practical was held at the Faculty of Forestry, 29 September–3 October 2003. 24 persons (8 and 2 from Forestry and Agriculture Faculties respectively and 14 from other forestry and agricultural training schools and research/extension centres) participated in the workshop.
- Some continued support was rendered to the demonstration plots.
- Translation and compilation of various training materials including ICRAF slide series and ASB Lecture Notes (which is a major undertaking).

The total budget from SEANAFE for 2003–04 is US $ 17,000 as per the following table. The budget is expected to be fully utilised.

	Budget US$	**%**
Network management		
NAFEC meeting (15 Aug,2003)	1,863	
NAFEC meeting No2. (end of February 2004)	1,737	
Office support	2,000	
Subtotal Network Management	5,600	33
National Activities		
Workshop on AF Teaching Methods and the guide for student practice, FOF, Vientiane	4,300	
Translation of ICRAF Slide series (1-5) and publications	1,000	
Print additional on AF Teaching Manuals (BSc MLC, Guide to Learning AF)	800	
Translation of Agroforestry on acid soils in the humid tropics and publication	800	
Training on agroforestry research methodology	3,300	
Subtotal national activities	10,200	60
Institutional Activities		
Upgrade DAFO and village staff for improving Agroforestry KSA/Support AF Demonstration plot	1,200	
Subtotal Institutional activities	1,200	7
Total, 2003–04	**17,000**	

Evaluation team's notes

The two faculties of NUOL, Forestry and Agriculture Faculties and the Northern Agriculture and Forestry Extension Centre (NAFETC) in Luang Prabang were visited during the course of evaluation.

- NUOL proposed for fellowship grants from SEANAFE for the thesis research of students, possibly to all students. Similar request was made for enhancing agroforestry and watershed management teaching capacity in the Faculty. It was keen to receive assistance for upgrading the training to M.Sc. level and for human resources development in the University.
- It was noted that other agencies had contributed to publications yielding synergy with SEANAFE including some Dutch assistance also through ICRAF.
- The present Coordinator of LaoNAFE had prepared a training manual for B.Sc. which included seven chapters including one on agroforestry systems.
- The main constraints of quality training in NUOL included: too many students per class; limited number of training handouts and reference materials in the library; and, insufficient training materials in Lao language.
- NAFTEC was offering separate 3-year Diploma courses in agriculture and livestock disciplines. Agroforestry was incorporated in both the courses. A number of interactions had taken place between this Centre and the National Agriculture and Forestry Research Institute, NAFRI, as well as the relevant institutions in Vietnam to share and learn from each other.
- There had been some debate, as reflected in the notes from the Committee meeting 1–2 March, 2004 with regard to management, quality and procedures.

Synthesis

LaoNAFE operates at quite a different level as compared to the national networks in the other countries which have all more members and more resources in many respects. Communication facilities alone, with the Faculty of Forestry from time to time having no access to a landline telephone, pose challenges.

In spite of these difficulties commendable achievements have been made with regard to much needed translation of material into Lao language, up-grading of curricula, etc.

Two issues may, however, be noted with regard to the work on training materials. Firstly, agreeing on a lump sum for translation and printing results in a very low number being printed. This is also a wider concern. Much work is done on translation, but within SEANAFE this is quite often not followed up by sufficient resources for reproduction of sufficient number of copies of the materials so developed. Secondly, some of the translated materials appear too theoretical with consideration to the level of studies and capability of students. This may be more of an issue in Laos than elsewhere as many member institutions are technical schools, etc.

The investment in demonstration plots managed by institutions made in Laos and elsewhere offers opportunities for SEANAFE to evaluate the value of such plots generally and perhaps, in addition, the quality of the plots. Management of such plots often poses difficulties, which was evidenced also in Laos, for example, water shortages, intrusion by villagers, etc. Demos on farmers' fields have their restrictions in terms of limited possibilities to undertake risky experiments, but on the other hand provide better guarantees for realism and offer opportunities for collaboration with farmers as well as for joint farmer-student evaluation.

The limited membership of LaoNAFE results in relatively much higher funding level per institution in Laos as compared to, for example, Indonesia or the Philippines. It can, on the one hand, be argued that this is not fair and that LaoNAFE gets too much funds. On the other hand, the needs of the Lao institutions are obvious while their access to funds from other sources is also limited. After consideration, the mission agrees with the decision made by the SEANAFE board to allocate the same amounts to all the national networks in spite of their different size and resource endowment.

Appendix 8. Details on PAFERN

Membership

Total 31 educational and training institutions, including 13 universities, 14 colleges, three institutes of science technology, and one technological school, has currently joined the SEANAFE membership in the Philippines. Their number was only 10 in 1999. A database with information on the member institutions is continuously updated.

Organisation

Institute of Agroforestry (IAF), which is based at the College of Forestry and Natural Resource Management within University of the Philippines at Los Baños, was established in 1998. It was followed by development of PAFERN in the same year. In 1999, SEANAFE came on board and significantly accelerated the stabilization of PAFERN as a national network for agroforestry, and at the same time performed as the Taskforce on Agroforestry Education (TAFE) and the Technical Panel for Agriculture Education (TPAE). In 2000, a National Workshop was conducted at Rizal State College, followed by a Congress of Agroforestry in the next year, which endorsed the proposal on the concept of Agroforestry Curriculum for recommending to the Commission on Higher Education for Curriculum Development (CHED).

In principle, the organization of PAFERN is similar to other NAFEs, but agroforestry development was found more advanced in the Philippines as compared to other SEANAFE member countries. It had already institutionalized a systematic mechanism for maintaining the network among national members. PAFERN organized regular Board Meetings, at least two times a year for discussion on the guidelines for graduate thesis support programs, for identifying collaborative Agroforestry research and extension projects, for formulation of strategies for resource mobilization, for discussion on membership and for other related activities. The full support of the Government through the CHED under Ministry of Education has influenced and accelerated the functioning of the network. This support has included some financial support.

PAFERN continuously serves as the Convener of the National Agroforestry Committee, which is a multisectoral committee formed to take a lead role in the working of the proposed National Agroforestry Development Program. It is lobbying for support to the institutionalization of agroforestry as a profession in the Philippines.

Activities in brief

2002

PAFERN has received substantial funding from SEANAFE from 2002 onwards. An assessment of the member institutions was carried out in 2002 with the aim to determine their capabilities and needs in agroforestry education, research and extension and to determine their weaknesses and strengths. The result of the assessment served as a guide for the planning of activities. Among other activities implemented in 2002 were

- The 2nd National Training of Agroforestry Teachers held May 5–11, 2002 at the Aklan State University, Banga. 26 agroforestry lecturers representing 21 member institutions participated.
- Support for establishment of agroforestry demonstration farms. Ten member institutions submitted proposals out of which four were approved for funding.
- Three thesis grants were approved

- Investigation of other non-member institutions offering agroforestry programmes
- Information dissemination through the quarterly publication of the Institute of Agroforestry, "The Agroforestry Monitor", in a separate section, *PAFERN Updates.*
- Preparation of lecture and laboratory syllabi for three agroforestry courses.
- Round-table discussion on the institutionalisation of agroforestry science and practice (November 2002).

SEANAFE allocated a total of US $ 25,000 for the operation of the network and implementation of activities during 2002, out of which US $ 24,628 were utilised.

2003–04

PAFERN Board met twice in 2003. The first meeting with a new set of Board of Directors was conducted at the Institute of Agroforestry, UPLB College Laguna, from May 12–13; and the second Board Meeting was held at the Northern Mindanao State Institute of Science and Technology in Butuan City, Mindanao, from August 27–29.

The following activities during 2003 are noted:

- PAFERN was the major sponsor of the first National Agroforestry Congress, which was held back-to-back with the second PAFERN General Assembly at the Leyte State University, Baybay from November 19–20, 2003. It was another significant milestone of agroforestry development in the Philippines. The Congress brought together people with different expertise in agroforestry from different sectors, including non-government and peoples' organizations, private industries, local and national government bodies, academic institutions, national and international research institutions, etc.
- PAFERN implemented the Board-approved Training Course on Agroforestry Research Design and Management in collaboration with the Department of Agriculture-Bureau of Agricultural Research in two batches in 2004. The first course, attended by 22 participants, was held at the College of Forestry and Natural Resources, UPLB from April 12–16 (with 22 participants), and the second at MOSCAT from April 26–30, 2004.
- Four PAFERN member institutions received the fund from SEANAFE for implementing their collaborative agroforestry research and extension projects as shown below:
- La Union Upland Agroforestry Development Project, proposed by the Don Mariano Marcos Memorial State University (DMMMSU), amount Peso 75,000
- Research and Extension Farmer: The Dingle Model for Upland Development, proposed by the Iloilo State College of Fisheries, Dingle Campus, amount Peso 50,000
- "Agroforestry sa Barangay", proposed by the Misamis Oriental State College of Agriculture and Technology (MOSCAT), amount Peso 50,000
- Formation of Agroforestry IEC Team through Academe-LGU-Farmer Partnership in Isabela, proposed by the Isabela State University-Cabagan Campus, amount Peso 50,000.
- Five undergraduate thesis proposals were approved by the PAFERN Board for funding under the SEANAFE grant at the rate of Peso 10,000 per proposal. The thesis proposals which received funding focus on nutrient status, management practices, farming systems, and soil erosion control in agroforestry systems.
- The lecture material on Introduction to Agroforestry syllabus has been compiled and reproduced in sufficient number for distribution to related faculties in member institutions. A technology manual in Agroforestry (in Filipino language) was reproduced and distributed by PAFERN to its 31 member institutions.

- The activities of information dissemination under SEANAFE were reported in the quarterly publication of the Institute of Agroforestry, the Agroforestry Monitor, in a separate section entitled *PAFERN Updates*.

The total budget from SEANAFE for 2003–04 is US $ 17,000 as per the following table. The budget is expected to be fully utilised.

PAFERN-Philippines Work Plan and Budget for 2003–4 (Updated on July 3, 2003)	**Budget US$**	**%**
Network management		
1. 2nd General Assembly	3,810	
2. 4th PAFERN Board Meeting	1,560	
Subtotal Network Management	5,370	32
National and Institutional Activities		
3. Training Course on Agroforestry Research Design and Management	2,860	
4. Collaborative Agroforestry research and extension projects	3,810	
5. Agroforestry teaching materials/references distribution and reproduction	789	
6. Undergraduate Thesis Support Program	2,857	
7. Professionalization of agroforestry	838	
8. Updating of PAFERN Database	95	
9. Circulation of monthly newsletter	381	
Subtotal national and institutional activities	11,630	68
Total	**17,000**	

Evaluation team's notes

Questionnaires were administered by the team to nine representative training institutions and in addition discussions were held with key people of PAFERN and member institutions during a visit to the Philippines. The information so generated is summarized in the following points:

- Most of the institutions dealt with agriculture and forestry and only a few with natural resources with the gender ratio ranging between 30–45% for male against 55–70% for female (except at MOSCAT where male accounted for 70% against 30% for female). Agroforestry was being taught under different arrangements: as a part of other subjects, as a major subject for Diploma, as a BS degree in common cases, and as M.Sc. and Ph.D. in the case of UPLB.

- Relationship and contact with ICRAF had strengthened through the activities of SEANAFE, since they received regular communication in the form of published reports, newsletters, books, flyers, leaflets and other documents. The agroforestry curriculum in member institutes has improved significantly through this continuous support with materials from SEANAFE.

- The member institutions consider the need for further continuation of the research support to undergraduate and postgraduate students, and the modality of grant award could be based on free competition, or under some internal mechanisms adopted by member institutions, or even through a joint research agenda with the SEANAFE. The currently adopted procedure for financial assistance was considered mostly fair.

- On the scope and definition of agroforestry, community forestry, social forestry, farm forestry, etc. there was still confusion among the member institutions. The matter needs further discussion to forge a common perception among the institution imparting training in agroforestry.

- Most of the member institutions have been in regular communication with PAFERN although not all may necessarily be attending its meetings on a regular basis due to budgetary constraints. Most if the member institutions were also well aware of SEANAFE. PAFERN was viewed as an effective and efficient secretariat at the national level and was responsive to their requests. It maintains a strong relationship with stakeholders and disseminates useful information to the members, besides acting positively for agroforestry education.
- As overall assessment our findings suggest that generally the member institutions lacked the fund for instruction material preparation, for research and extension, for agroforestry demonstration site development, for scholarship awards to students for thesis research, for procurement of textbooks and reference materials in agroforestry and related subjects, and in the absence of SEANAFE, the scope of activities of PAFERN would be significantly reduced.
- Declining enrolment of students for agroforestry education, uncertain employment opportunity to new graduates, and non-supportive policy and institutions of the government were other constraints put forth by the surveyed institutions.
- From the long-term perspective of agroforestry development, the SEANAFE secretariat should continue at least for some more years if not permanently, and the leadership role could be assigned to one country or rotate among the member countries.
- Procurement, compilation and reproduction of references materials including legislation, and human resources development for agroforestry education, research and development, and extension are the important issues that need the attention of national network in the future.

Syntheses

PAFERN as an agroforestry education and research network in the Philippines has been functioning effectively for facilitating improvement of the curriculum. Currently, it is in the process of standardization of the bachelors degree level agroforestry curriculum with the support of CHED Philippines.

The capacity of lecturers has been significantly increased together with their performance through sharing of knowledge and experiences among member institutions. At present, both foresters and agronomists view agroforestry as a common science and subject with links to both forestry and agriculture.

However, research results have not significantly reached the farmer as yet. Therefore, PAFERN must be concerned about how to involve universities, colleges, schools, R&D and extension agencies in fostering a mechanism for site-specific agroforestry prescriptions.

PAFERN needs to spearhead discussions on scientific and technological issues and endorse agroforestry as a new profession as a priority, targeting also job creation for fresh graduates in this field in the Philippines.

The group has been already active in changing policies affecting education, research and extension in agroforestry in the Philippines. The National Congress on Agroforestry, November 2003, has contributed to expand the PAFERN connection by linking with important national research groups in collaboration with Institute of Agroforestry (IAF).

Minor barriers and constraints were encountered during implementation of PAFERN activities. Among the crucial ones was lack of funds for supporting establishment of demonstration plots for training at the sub-watershed level, requested by MOSCAT, DMMMSU and BSU, and also for bringing the experts from one place to another for exchange of knowledge and experiences in agroforestry.

Appendix 9. Details on IndoNAFE

Membership

Total 20 academic institutions, 17 universities and 3 institutes, has currently joined the membership of SEANAFE from different parts of Indonesia. Their number was only six in 1999.

Organisation

The IndoNAFE was officially established in January 2002. Dr. Sambas Sabarurdin served as the chair in the early stages while from 2003 Dr. Ma'mun Sarma became his elected successor. The Secretariat of IndoNAFE was hosted in IPB Darmaga Campus, Bogor. A National Agroforestry Education Committee (NAFEC) had already been established before the official launching of IndoNAFE. It is comprised of 6 elected members i.e. UGM, IPB, Unmul, Unibraw, Unila, Unlam and the committee now guides the network operations in Indonesia.

IndoNAFE, locally known as PAFI (Jaringan Pendidikan Agroforestry Indonesia) operates as other national networks with support from SEANAFE. In addition, IndoNAFE has been involved in the establishment of a second national network, MAFI (Masyarakat Agroforestry Indonesia, or Indonesian Society of Agroforestry). MAFI focuses more on the general aspects of agroforestry beyond education. MAFI also attempts to integrate agroforestry into the national development system.

Activities in brief

2002

The activities implemented during 2002 included:

- A meeting (January 15, 2002) during which IndoNAFE was officially launched.
- NAFEC meetings. In conjunction with a NAFEC meeting on August 6–8, 2002, a charter for MAFI was finalised. This meeting was attended not only by the NAFEC members but also by numerous other interested parties, particularly from East Kalimantan.
- The first General Meeting of IndoNAFE was conducted on November 2, 2002 combined with a MAFI meeting on the same day. It was linked to a seminar on November 1 addressing "the strategic role of agroforestry on natural resource management" attended by 140 people and a field trip on November 3 to areas south of Yogjakarta. ICRAF presented its programmes and activities in Indonesia during these events. These meetings other than the seminar and the field trip were attended by 78 participants consisting of representatives of Universities, Local Government Institutions and NGOs. Numerous issues relating to extension, education and research were discussed and various needs were identified.
- Provision of some office support for a national secretariat. With the election of a new Chair, the secretariat moved to Bogor where some communication equipment was purchased to facilitate operations.
- Translation and production of an Indonesian version of "A Guide to learning agroforestry" was completed.
- Development of a newsletter for Indonesia. Three issues were produced during the year.

- Support to Student's thesis research. A total of 29 students from five Universities got US $ 50 each to help them with their thesis research on agroforestry. Resources had been set aside for 36 grants.
- Support to an agroforestry field plot at Nglanggeran near Wanagama University Forest. Here, 69 farmers were already members of a farmer group who had developed a 96 ha area with a good agroforestry system. An additional 3.5 ha was availed to the University for applied research with a focus on teak cultivation by farmers and on softwood cultivation for local handicraft. The latter will replace the villager's purchase from outside. Another two field plots ("laboratories") were also supported.

SEANAFE allocated a total of US $ 25,000 for the operation of the network and implementation of activities during 2002 out of which US $ 23,353 were utilised. The initial plan indicated a total of six field "laboratories" to be implemented but only three were actually completed.

2003–2004

IndoNAFE (PAFI) organized the second Country General Meeting (CGM) at IPB Bogor in March 2004 and two NAFEC meetings, one in August 2003 and the other in March 2004 all coordinated by IPB.

The following activities during 2003 are noted:

- Two issues of the quarterly IndoNAFE newsletter were published during September and December of 2003 respectively. Two more issues were initially scheduled for publication by June 2004 but the current plan is to publish a combined issue of the Newsletter before the end of July 2004.
- Development of promotion materials on agroforestry was completed in attractive formats in March 2004.
- Training of Trainers (TOT) activity for the new member institution Tadulako was organized in February 2004. Other training activities would be organized at Mataram University in collaboration with UGM and IPB in August 2004.
- The next TOT course for college teachers, for ten Professors in Agriculture and Forestry Extension from Malang, Bogor, Sumatra and Sulawesi, would be organized to share the knowledge and experiences with one another at Unibraw in August 2004.
- The progress in agroforestry demonstration plots development at Department of Forest Management, IPB and University of Mulawarman was behind the schedule and now expected to be completed by the end of August 2004.
- The activity under agroforestry research is a compilation of an abstract from the information available in member universities, from the research works of students, scientists, and agroforestry practitioners. This task was assigned to the Faculty of Agriculture in IPB, which was expected to complete by the end of September 2004. These abstracts will appear in SEANAFE website and would serve as dissemination of research information on Agroforestry
- Translation of the ASB Lecture Note was also delayed, as two themes were still to be finished, i.e. Watershed theme and Land use theme. Therefore its printing has been rescheduled, either by the end of July or latest by August 2004. This activity was implemented through SEANAFE but funded by the Asian Development Bank, ADB.

The slow general progress was partly due to the over-loaded responsibility assigned to the Chair at IPB. The chair would now delegate his authority to suitable individuals in other two member institutions, i.e. University of Mulawarnan, Samarinda, and Faculty of Forestry, IPB. They would work in consultation with the Capacity Building Specialist of SEANAFE.

The total budget from SEANAFE for 2003–04 is US $ 17,000 as per the following table. Most of the planned activities are expected to be implemented but the training for college teachers is likely to be cancelled.

IndoNAFE Work Plan and Budget for 2003–4	Budget US$	%
Network management		
Country General Meeting	$3,200	
NAFEC meetings (two meeting per year)	$2,200	
Office support (NAFEC secretariat)	$500	
Subtotal Network Management	$5,900	35
National Activities		
Development of Newsletter for Indonesia (quarterly)	$500	
Development of promotion materials (AF education poster)	$1,000	
Training for College teachers (College of Agriculture Extension & College of Forestry Extension)	$1,000	
Teaching materials development for S1	$0	
Subtotal national activities	$2,500	15
Institutional activities		
Develop field laboratory for two universities	$1,500	
Agroforestry Research in Activity	$2,300	
Training of trainers in new member institutions: 4 institutions (US $ 1,000.00 for the institution and US $ 200 for Resource Person)	$4,800	
Policy advocacy	$0	
	$8,600	51
Total, 2003	**$17,000**	

Evaluation team's notes

Questionnaires were administered by the team to six member institutions and in addition discussions were held with key people. The information so gathered is summarized in the following points:

- Most of the member institutions were from the agriculture and forestry domain, where the ratio of male and female students was between 40–50% and 50–60%, respectively. In Indonesia, agroforestry is being taught at various levels of competencies such as elective, major subject, diploma, B.Sc. and M.Sc.
- The relation and contact with ICRAF was not so intensive, but SEANAFE activities has strengthened networking between the universities and ICRAF as they could now maintain a regular contact with one another and also receive ICRAF's publications in the form of reports, working papers, books, flyers, leaflets, etc. through SEANAFE. This type of material support has contributed to gradual improvement of the curriculum to match the local needs.
- The member institutions still consider the need for grants for thesis research to undergraduate, graduate and post-graduate students to be high. These could be awarded through open competition or internal institutional mechanism, or under some joint research agendas with ICRAF. The present procedure for awarding research grant has been considered too complicated, possibly due to limited flow of information and weak coordination at the national level. The prevailing problems of thesis research grant administration included the mis-match between academic calendar year and the time of grant disbursement, the lengthy process and time-lag for calling, reviewing and accepting the research proposals submitted by students, the slow initiative and action of the national member institutions, and other external factors.

- On the scope and definition of agroforestry, community forestry, social forestry, farm forestry etc. there is still some confusion among the member institutions. Therefore, this would need further discussion to forge a common perception among the institutions imparting agroforestry training in Indonesia.
- Most of the member institutions communicated regularly under the IndoNAFE umbrella and activities, although every member institution may not be attending all meetings due to budgetary constraints.
- The problems of coordination of activities were obvious. These could be due to weakness at the time of selection of the Chair, unfamiliarity with the requirement of the new task to be executed by the Chair, unforeseen budgetary constraints in hosting the IndoNAFE secretariat and only limited financial support available from SEANAFE. At the same, increasing number of member institutions added the workload in IndoNAFE, which should, however, improve as experience is gained in the future.
- Another crucial issue was that agroforestry was not yet stated as a B.Sc. level study program by the Ministry of Education. Therefore, it has not been acknowledged as a "profession" in Indonesia, although the need for agroforesters in the field is clearly visible. Currently, no positions are available for jobs as agroforesters, neither in the agriculture sector nor in the forestry sector. Therefore, first a market has to be created for this profession which would, however, be more difficult at the undergraduate level than at the M.Sc. level.
- Whether agroforestry and social forestry should be covered within one network or if separate networks are required remains an issue. Reproduction of reference materials in agroforestry, relevant legislation, management and development of human resources would be other important considerations of the national network in the future.

Other opinions expressed

From the long-term perspective of agroforestry development, the SEANAFE secretariat should continue at least for some more years if not permanently, and the leadership role could be assigned to one country or rotate among the member countries.

Syntheses

IndoNAFE has been established as a national network on education with a link to a broader agroforestry association, MAFI. While the current coordination of IndoNAFE is less effective and the communication with SEANAFE is not as extensive as would be desirable, the current development of IndoNAFE and MAFI in the country is coordinated with events often taking place back to back. IndoNAFE is still necessary as a useful mechanism for exchange of experiences among lecturers, for demonstration of the impact of implementation of different strategies in field level experimental works, for synergy from the limited resources of member institutions available and for solving crucial problems through consultation between member institutions.

IndoNAFE members want to make an inventory of the indigenous knowledge and practices from the western part to the eastern part of Indonesia, which would be a process for exploring and documenting the local, indigenous knowledge of agroforestry. The idea of having a demonstration plot in each region had originated with this objective with which all member institutions of IndoNAFE have agreed. However, it was also realized that selection of demonstration plots should be based on clear criteria, among others, the commitment of the institution that would be willing to manage them.

Barrier to agroforestry development in Indonesia was partly the internal organizational structure of

partner universities, and partly the existing National Curriculum and the National Consortium of Sciences. Each university, however, seek to remove the present barriers in their own way, by establishing an agroforestry advisory group comprised of interested researchers and scientists or an Agroforestry Forum consisting of Deans and related faculties aimed at creation of a mechanism for communication among the disciplines relevant to agroforestry for a holistic approach of integrated natural resources management.

SEANAFE was successful in stimulating and encouraging curriculum development. It contributed with relevant textbooks, lecture materials, references, including the ASB lecture notes and their translation. The publication *Buku Ajar* in Indonesia language was, however, assisted by DSO but also through ICRAF. These materials were found very useful for teaching agroforestry in Indonesia. It is highly recommended that similar efforts are made also to develop training materials on subjects such as: "Economics of Agroforestry"`, "Agroforestry Business", "Agribusiness Entrepreneurship", etc.

Other concerns of the partner universities were production of leaflets, flyers, information sheets, etc. and establishment of demonstration plots with the participation of farmers under different strategies and crop-mix. Additional information materials would also be of use to farmers for learning new techniques related to new plant species, including seed procurement and storage, propagation of seedlings and planting materials, etc.

The current requirement of submitting too many financial and administrative reports was considered an undesirable burden by most IndoNAFE members since their existing staff is not capable of handling such additional workload.

Appendix 10. Additional details on VACB

Time sequence and magnitude of Sida support

The Vietnam Agroforestry Capacity-Building (VACB) Project was initiated in May 1998 with the support from Sida. The first phase of work continued through December 1999, with a total funding of SEK 3,260,000 (US$ 418,000 approx.). Progress during this period included establishing an informal VACB network of 15 key Vietnamese institutions involved in research related to agroforestry and alternatives to slash-and-burn (ASB) agriculture, as well as further strengthening of the collaboration and partnership with several partner institutions and bilateral projects in Vietnam.

Based on the achievements made, ICRAF formulated a new project proposal for a five-year period and submitted the same to Sida with a request for funding in April 2000. However, it took a considerable period of time before the proposal could be finally approved by Sida, in April 2001. Therefore to carry on the already initiated agroforestry capacity development activities in Vietnam, Sida agreed to provide two bridging grants, primarily for avoiding any likely gaps in the development efforts during the transition phase from January 2000 through June 2001. The first grant amounted to SEK 1,500,000 (approx. US$ 150,000) for a one-year period, from January through December 2000, and the second grant amounted to SEK 750.000 (approx. 72,000) for another six months, between January through June 2001. According to ICRAF, one instalment was, however, never disbursed to ICRAF as ICRAF requested payment too late.

Host institution

The Vietnam Agricultural Science Institute (VASI) was assigned the role of coordinator for implementation the VACB activities in Vietnam. VASI is a national institution having a large number of qualified staff members, including those holding doctors, masters and bachelors degrees in different fields of agricultural sciences. Currently, VASI is responsible for coordinating two National Programmes on Research and Advance Technology Transfer for Agriculture and Rural Development in Central Costal Areas and in the Northern Midlands and Mountainous Regions, as well as more than 30 projects. The priority research projects under VASI include, among others, breeding and development of hybrid rice, speciality rice, legumes, root crops, wheat, barley; basic research on plant genetics, pathology, microbiology, biotechnology, sustainable cultivation and environmental protection etc. Besides, VASI also coordinates two other networks: the Plant Genetic Resources Network, and the Agricultural Microbiological Germplasm Network.

Goals

The objectives of first phase VACB were:

- To link Vietnam with ICRAF-Southeast Asia (SEA) activities and the global ASB programme.
- To enhance Vietnamese capacity to conduct agroforestry research, development and training.
- To help Vietnam develop and disseminate alternatives to unsustainable slash-and-burn.

Comments on project document

The concept proposal of VACB was developed by ICRAF-SEA primarily with the aim of linking Vietnam with the global Alternatives to Slash-and-Burn (ASB) programme and other ICRAF activities in agroforestry research and development, which seems to match with the interest of Sida in strengthening the capacity of Vietnamese institutions, scientists, and practitioners in natural resources management, including agroforestry. Through this project, it was also envisaged to establish linkages between Vietnam and ongoing ICRAF programmes and initiatives, as well as with the key partners in neighbouring countries, such as the University of the Philippines, Los Banos (UPLB), and Chiang Mai University, (CMU), Thailand.

The proposal submitted to Sida by ICRAF to support the agroforestry capacity-building initiatives in Vietnam explains the basis for formulating the VACB project, which relied on the preliminary assessment of existing agroforestry research and development capacity during the visits of ICRAF staff in Vietnam. It was noticed that common steps of project preparation and appraisal seems not to have been followed while preparing and approving this project by any party, including Sida. The conceptual proposal does not include any list of activities that were to be implemented during the envisaged 18 months life of VACB. Instead, it gave ICRAF a free hand to field its experts in Vietnam for discussion with key partner institutions and to find out with whom to collaborate in implementing the project, including formulation of the work plans and allocation of the budget. Sida regarded the initiative as a support to the on-going bilateral activities, anticipating that strengthened research on agroforestry including ASB would yield technical know-how needed in implementing the bilateral programmes in Vietnam. It appears as if Sida and ICRAF regarded at least the initial grant to VACB as seed money that could be availed without too specific plans for the implementation being worked out in the project document. Instead, the detailed planning was left to the partner organisations.

Activities in brief

The first VACB planning workshop was held from 31 July to 1 August 1998 in Hanoi. Seven key areas of collaboration emerged:

- Information dissemination
- Training in agroforestry and ASB
- Policy development for sustainable upland systems
- Indigenous fallow management
- Conservation farming on sloping lands
- Tree domestication and germplasm dissemination
- Modelling of complex agroecosystems.

Information dissemination

- *Core agroforestry information packages.* ICRAF and VASI reproduced and sent a set of Vietnamese and English publications on agroforestry and ASB to network members, including the libraries of 12 key institutions. These included publications both, from ICRAF as well as from the Resources for the Future – many books on natural resources were obtained for distribution to partners in Vietnam and elsewhere in Southeast Asia.

- *Vietnam Agroforestry Today.* Four issues of the Vietnamese version of ICRAF's Agroforestry Today were published and distributed widely by VASI in Vietnam. Besides the translated articles from ICRAF's newsletter it also included the original contributions from Vietnamese scientists.

- *Training materials production*. Support for desktop publishing equipments was provided to VASI and Thu Duc University of Agriculture and Forestry, Ho Chi Min City under this project. With this support, Thu Duc colleagues adapted training materials for the national ToT course in Cho Don (held during October 1999), including the Vietnamese version of the FAO/IIRR information kit on *Resource management for upland areas in Southeast Asia*. Similarly, ICRAF's Training and Education Report No. 32, *Approaches to agroforestry curriculum development*, was translated in Vietnamese. Other training materials were also multiplied and distributed to network institutions.

- *Writing workshop*. A writing workshop was held during 28–30 March 2001 at VASI in Hanoi to edit and improve materials that would be used in the VACB Working Paper Series (in English and in Vietnamese).

- *ACB publications*. During 1998–2001, the following reports and publications were produced with VACB support:
  – *Conservation farming on sloping lands: summary and highlights from a roving workshop, 1–8 November 1998, Mindanao, Philippines*. C.K. Lai and M.D.N. Yabut (compilers). VACB Project, ICRAF, Los Banos.
  – *Charting the course in Hue: Summary report of the 2nd VACB project planning workshop, 1–3 March 1999*. C.K. Lai and M.D.N. Yabut (compilers). VACB Project, ICRAF, Los Banos.
  – *Staying the course in Quy Nhon: Summary report of the 3rd VACB project planning workshop, 3–5 August 2000*. C.K. Lai and M.D.N. Yabut (compilers). VACB Working Paper No. 1. VACB Project, ICRAF, Los Banos.
  – *Agroforestry and Improved Land-Use Systems in Vietnam: Highlights from a National Training-of-Trainers Course*. Dang Kim Vui, Nguyen Van So, Pham Quang Vinh, Le Quoc Doanh, Ha Dinh Tuan and Nguyen Thanh Thuy (compilers). VACB Working Paper No. 2 (in English and Vietnamese). ICRAF, Los Banos and VASI, Hanoi.
  – *Proceedings of the National Workshop on Indigenous Fallow Management in Vietnam: 14–16 November 2000, Bac Kan*. (in Vietnamese). Hanoi Agricultural University.
  – *Participatory Methods for Upland Systems Research and Development: Highlights from a Training Course in the Philippines*. Chun K. Lai, Ma. Dolores N. Yabut, Jesus C. Fernandez and Wilfredo H. Libunao (compilers). ICRAF and SEAMEO-SEARCA. Los Banos.

Training in agroforestry and ASB

- *DSO/ICRAF regional training-of-trainers course*. Nine Vietnamese participated in the ToT course held in Chiang Mai, from 8–20 March 1999 with the support from DSO. The Vietnamese group formulated their follow-up plan for a national ToT course for implementation under the VACB project.

- *National ToT course on agroforestry for ASB*. This follow-up course was co-organized by VASI, Thai Nguyen CAF, Thu Duc CAF and Xuan Mai Forestry University in Cho Don, Bac Kan Province from 22–30 October 1999. 36 participants from provincial extension, research and training organizations and other development projects in Vietnam attended. Three of the Vietnamese participants who had attended the Chiang Mai ToT course served as the key course organizers and resource persons in Cho Don. Follow-up activities at the provincial and district levels for the 4 key eco-regions in Vietnam were formulated by the participants.

- *ICRAF/SEARCA training course on participatory R&D methods for upland agroforestry systems and watershed resources management in SEA*. A team of five Vietnamese colleagues attended this course in the Philippines, held during 14–28 November 1999 with the support from VACB, SEANAFE and other projects.

Policy development for sustainable upland systems

- *Regional workshops on relevant policy issues.* VACB supported senior colleagues from the Policy Department of the Ministry of Agriculture and Rural Development (MARD) to attend and present papers at: 1) the FAO/RECOFTC/DENR Regional seminar on decentralization and devolution of forest management, held 30.11–4.12 1998 in Davao, Philippines; and, 2) the Methodology workshop on environmental services & land use change: Bridging the gap between policy & research in Southeast Asia, organized by ICRAF in Chiang Mai from 30.5–2.6 1999.

- *Study to assess policies affecting upland agroforestry development.* Support was provided in two instalments (in 1999 and 2000), to the Policy Department of MARD to collect and analyze policies promulgated since 1990 that affected agroforestry development in the upland areas of Vietnam. A database in Vietnamese, including some 200 policies, was designed and established – sorting the policies by year of issuance and by sub-sector (forestry, agriculture, rural development and water resources). These policies were then assessed and evaluated in terms of whether they were currently applied, outdated, overlapping with other policies, or inconsistent with other policies. The database can be updated each year to include new policies issued. A CD-ROM version of the database was produced, and 100 copies made for distribution to policy-makers and other interested parties. A hard copy version of it (about 2,000 pages) has been produced but funding was being sought for its printing and distribution to provincial and district level users.

- *Training on policy analysis matrix (PAM).* A proposal was prepared by the MARD Policy Development, with ICRAF collaboration, to organize training and follow-on applications for Vietnamese policy-makers and researchers on using PAM as a policy analysis tool. This proposal was funded by the Ford Foundation, and activities were carried out as planned during 2001.

Indigenous fallow management

- *Study on IFM in Vietnam.* Nine institutions contributed to the literature review, institutional survey and preparation of synthesis report of IFM in Vietnam. The Hanoi Agricultural University's Department of Agroecology and Environmental Science was responsible for compiling the synthesis report, which consisted of 4 main chapters: 1) introduction to swidden agriculture and fallows; 2) shifting cultivation and fallows in Vietnam; 3) alternatives to shifting cultivation; and 4) government policies related to fallow management in Vietnam, and conclusions and recommendations.

- *National IFM workshop.* During 14–16 November 2000, a workshop on *Indigenous Fallow Management in Vietnam* was held in Bac Kan Province in northern Vietnam. In attendance were some 30 participants from different parts of the country, representing swidden farming communities, research institutions, policy-makers, provincial departments of agriculture and rural development, NGOs, and international organizations and projects. The workshop aimed to: evaluate the present status of swidden farming and fallow management in Vietnam; identify superior fallow management practices; increase the awareness of policy-makers on the importance of fallow management; formulate possible future activities in IFM research and development; and publish an IFM synthesis report and workshop proceedings. Highlights of the workshop included: overview and case study presentations on IFM policies, research activities and promising practices in Vietnam – including perspectives from swidden farmers; field visits to see IFM activities in Cho Don District; and working group deliberations on future IFM directions and activities.

Conservation farming on sloping lands

- *Roving workshop on conservation farming in the Philippines.* During 1–8 November 1998, 14 Vietnamese scientists participated in a 'roving workshop' to visit conservation farming sites and Landcare farmer groups in northern Mindanao, Philippines, presented 10 papers on Vietnamese experiences in conservation farming, followed by brainstorming and work planning.

- *Impact assessment of conservation farming projects in Vietnam*. As a follow-up to the roving workshop on conservation farming, a study was designed and implemented by VASI, Thai Nguyen CAF, Xuan Mai FU, Hue CAF and Western Agricultural Science Institute. The purpose was to assess the impact of conservation farming projects in five selected provinces – Ha Giang, Lang Son, Hoa Binh, Thua Thien-Hue, and Dak Lak – with a different partner institution taking the lead in each. Secondary data was collected on past and ongoing conservation farming projects and initiatives. Assessment of impact was carried out through field surveys with farmers and local managers with a view toward capturing the major experiences and lessons learned. The final report in Vietnamese was compiled by VASI.

Domestication of agroforestry trees and germplasm dissemination

- *Evaluation mission to Vietnam*. During December 1998, an ICRAF mission (comprising Mr. James Roshetko and Prof. HPM Gunasena) visited Vietnam to evaluate the current tree domestication capacity and to help identify specific domestication and germplasm topics to be supported by VACB project. Potential collaborators were identified, including Forest Science Institute of Vietnam, Xuan Mai Forestry University, and Thu Duc College of Agriculture and Forestry, and some proposal ideas were developed for further consideration at the second VACB planning workshop.

- *Domestication of* Madhuca pasquieri *by branch marcotting method in homegardens*. This trial was conducted in Tam Quy commune, Ha Trung district, Thanh Hoa province and led by a research group from Xuan Mai Forestry University. Field training on branch marcotting techniques was given to 15 households. From a natural forest stand of *M. pasquieri*, 1,200 marcotted branches were obtained and allocated to households for tending. Rooting and survival rate of the marcotted branches was found to be about 80%. During spring 2000, after the branches produced secondary roots, farmers were guided on how to plant and maintain the branches in their homegardens.

- *Domestication of cashew (*Anacardium occidental*) tree varieties in Vietnam*. This activity was carried out by the Agricultural Research Center for Coastal South Central Vietnam. The Center organized three training courses for a total of 100 farmers on grafted cashew nut production techniques. About 10,000 grafted cashew plants were provided to farmers in Quang Tri, Binh Dinh and Gia Lai provinces. The Center also organized a visit for 40 people to the farmer demonstration areas. The grafted cashew plants were reported growing well.

- *Production of planting material for agroforestry development*. Led by Thu Duc UAF, this activity aimed to produce planting material of promising agroforestry species for distribution to farmers and extension workers participating in CAF-organized trainings. Thu Duc UAF allocated 3 ha from its experimental farm in Dong Nai province for use as a seed stand. One hectare each of three species – *Indigofera teysmanii*, *Gliricidia sepium* and *Flemingia macrophylla* – have been reported successfully established, and seed were distributed to farmers and extension workers involved in the training from 2000 onwards.

Modelling tools to analyze complex agroecosystems

- *Training workshop on WaNuLCAS model*. Two young researchers, from National Institute of Soils and Fertilizers (NISF) and Institute of Agricultural Science of the South (IAS), were supported through the VACB project to attend a workshop on Water, Nutrient and Light Capture in Agroforestry Systems (WaNuLCAS) model, held from 23–27 November 1998 at SESAM-UPLB, Philippines. Dr. Meine van Noordwijk and Ms. Betha Luciana of ICRAF-SEA, and Mr. Desi Suyatmo of IC-SEA, from Bogor served as the principle resource persons and facilitated the training.

- *Data collection*. Data for WaNuLCAS applications were collected by NISF from the SAREC-supported experimental site on *Agroforestry systems in North Vietnam as an alternative to short-fallow shifting cultivation* at Lam Son, Luong Son, Hoa Binh Province, as well as by IAS for a site in southern Vietnam. Two Vietnamese colleagues brought these data sets to ICRAF-Bogor for hands-on training and applications through WaNuLCAS.
- *Hands-on training on WaNuLCAS model*. Two researchers from IAS and NISF were supported by VACB to visit ICRAF-SEA in Bogor to learn more about the WaNuLCAS model. This hands-on training took place 30 March to 8 April 1999 and was organized by Dr. van Noordwijk and Ms. Luciana of ICRAF-SEA. The Vietnamese colleagues had opportunities to run WaNuLCAS with their datasets, and also to plan for the in-country modelling training course.
- *WaNuLCAS training in Vietnam*. A national training workshop on the WaNuLCAS model was co-organized by IAS and Thu Duc University of Agriculture and Forestry, held at the computer center of the latter during 11–15 October 1999. A total of 24 participants from 13 institutions attended the training, for which Dr. van Noordwijk and Mr. Suyatmo served as the principle resource persons. The participants were exposed to Stella, HYPAR and WaNuLCAS, and worked in 5 groups to construct and test models for 5 different agroforestry systems. There was interest expressed to further test WaNuLCAS using real datasets, as well as to maintain an informal network of colleagues interested in modelling applications in Vietnam.

Documentation

The review team was provided with one set of following reports in hard copies, having relevance to VACB:

- Agroforestry Capacity-Building in Vietnam to Develop Alternatives to Slash-and-Burn: A concept proposal submitted to Sida by ICRAF to support initiatives in Vietnam during 1998–1999 (VACB concept proposal)
- Vietnam Agroforestry Capacity-Building (VACB) Project, Project Completion Report: May 1998 to June 2001

Besides the named documents, one CD ROM containing progress reports of VACB for the year 1998, 1999 and 2000 and copies of related communications between the Senior Capacity-Building Specialist (Consultant) of ICRAF-SEA and others were also provided to the review team. Further, the review team briefly reviewed the Vietnamese Agroforestry Today and four out of the six VACB publications mentioned above.

The VACB concept proposal lacked as noted earlier a clear indication on expected activities, outputs, indicators and planned means of verification. In the Project Completion Report the project management could thus quite freely report on what was done. This could be regarded as a weakness, but it could also be taken as a sign that Sida and ICRAF had agreed that this was seed money set aside for development of a more long-term undertaking and that a flexible process approach was acceptable to all parties during the rather short implementation period that was envisaged.

Appendix 11. Additional details on ASP V & L

Time sequences of Sida support

A new expanded phase of the former VACB, renamed as *Agroforestry Support Project for Vietnam and Laos (ASP-V&L)*, was developed by ICRAF for an additional 5 years and submitted to Sida for funding in April 2000. ICRAF was notified by Sida through a note dated 28 June 2001 of its approval of the new ASP-V&L project for the next 18 months, from July 2001 through December 2002. The total additional funding amounted to SEK 3,900,000. No-cost extensions were subsequently granted by Sida up to August 2003, but few activities were implemented after March 2003.

The expanded proposal aimed to build upon the solid foundation, network and achievements of the first phase VACB and includes new components to initiate collaborative activities with relevant institutions and partners also in Laos, besides further strengthening the linkages among partners in the Montane Mainland Southeast Asia eco-region (Vietnam, Laos and northern Thailand, and possibly in southern China in the future).

Host institutions

In Vietnam, the Vietnam Agricultural Science Institute (VASI) continued to serve as the national host institution, whereas, the National Agriculture and Forestry Research Institute (NAFRI) under the Ministry of Agriculture and Forestry (MAF) acted as host institution in Laos.

NAFRI was established in 1999 by combining existing agriculture, forestry, livestock, and fisheries research centres, and it is placed at par with other line departs under MAF. The mandate assigned to NAFRI is to carry out technical research on agriculture, forestry, meteorology and hydrology-related fields and provide related information, technologies and results/findings to contribute to formulation of policies, better planning and success of agriculture and forestry development. It has three supporting divisions located at the headquarters, and eight research centres scattered in different parts of the country, including one Northern Agriculture and Forestry Research Center (NAFRC) at Luang Prabang. The Lao-Swedish Upland Agriculture and Forestry Research Programme is also hosted at NAFRI

Goals

The ASP-V&L's development objective was:

To support sustainable agroforestry development that will directly benefit poor households as well as enhance agroecosystem resiliency in the upland areas of Vietnam and Lao PDR through networking, collaborative research and development, and strengthening the capacity of institutions from grassroots to national level.

The specific objectives were:

- To enhance capacity in agroforestry R&D, especially on practices and processes that can contribute to sustainable management of upland systems.
- To support the development and delivery of appropriate agroforestry training, information dissemination and extension activities that can effectively reach and benefit grassroots institutions and farmer households.
- To improve the understanding and capacity to analyze key policies and factors affecting agroforestry development, particularly in poor, mountainous areas.

- To facilitate useful collaboration among relevant Vietnamese and Lao institutions and ICRAF partners on participatory watershed management and relationships between agroforestry and watershed services.

Comments on the project document

The project proposal of ASP-V&L categorically states the intention of this second phase project to build upon the foundation and achievement of the first phase VACB project. However, ICRAF-SEA, besides its request to Sida for financing the follow up phase project, also conceived an overarching program proposal for Vietnam and Laos for seeking additional financial assistance (complimentary to Sida) from SDC, Danida, Ford Foundation, IFAD and other potential partners. This message was clearly stated by ICRAF-SEA in the project proposal of ASP-V&L. The document further states that ICRAF had made a significant progress in securing resources from different partners in support of the activities within the MMSEA region.

The document identifies activities in Vietnam (*Vietnam Agroforestry Capacity Development Phase II*) and Laos (*Lao Agroforestry Capacity Development Phase I*) as two separate components of the project. The third component, *Regional Linkages and Collaboration* is the feature that makes it a regional project. In the document project activities to be implemented were divided into four thrust areas: *Field-based upland agroforestry system R&D*; *Participatory watershed management*; *Policy analysis and dialogue* and *Training activities and information exchange*.

However, the task of developing and deciding on annual work plans and budget covering the specific thrust areas was left to the annual review and work planning workshops, for activities to be implemented, both at the regional and national levels. Therefore, no details on activities, outputs, and verifiable indicators were provided in the project document. One could view it as a built-in flexibility in project design, which could also be viewed as a free hand given to project implementers that could also by pass the national agenda and priority of forestry, agriculture and agroforestry R&D at the national level.

Activities in brief

Commencing in July 2001, the ASP-V&L project was supported up to December 2002, with a subsequent no-cost extension through August 2003. During this time, project partners in Vietnam were able to carry out follow-up activities (such as a series of training-of-trainers events) as well as launch some new initiatives. The ASP-V&L project facilitated activities involving Lao institutions and a number of exchange activities between Lao and Vietnamese partners were supported.

To progress toward the project's objectives, collaborative and priority activities were identified by key partners and implemented under the following four thematic areas:

- Field-based upland agroforestry systems R&D
- Participatory watershed management
- Policy analysis and dialogue
- Training activities and information exchange

In addition, ASP-V&L also supported selected exchange activities between Vietnam and Lao partners to strengthen the bilateral cooperation.

The specific activities implemented under the four thematic areas are provided below. It should be noted that some of the activities were funded by other organisations and it may be doubtful if they should be regarded as outputs of ASP V&L.

Field-based upland agroforestry systems R&D

- *National workshop on agroforestry research methods*, jointly supported by ASP-V&L and SEANAFE, organized by Hue University of Agriculture and Forestry from 27–29 March 2002 at Hue City. The workshop aimed to facilitate exchange and sharing of experiences on agroforestry research methods in different ecosystems, discuss and agree on research process in agroforestry research among the universities and research institutions in Vietnam and develop an agroforestry research collaboration strategy for the universities and research institutions. Thirty participants attended the workshop.
- *National workshop on sustainable upland agricultural R&D*, conducted during 6–8 November 2002 in Yen Bai Province. Its objective was to identify problems and research priorities in upland agriculture, as well as the appropriate methods of technology transfer. About 80 participants from Yen Bai Province, various national research institutions and international organizations were in attendance.
- *Documentation of innovative farmer extension system*, implemented by VASI in collaboration with the Extension Station in Hoang Su Phi District, Ha Giang Province, and Vietnam Television Network, documentation – both written and video – was made of the innovative mechanism of utilizing farmer extensionists in upland communes of Hoang Su Phi. This activity was funded by the IFAD/ICRAF Innovations Project, with technical support from ASP-V&L partners.

Participatory watershed management

- MMSEA workshop, a training workshop on *Landscape-level Agroforestry, Livelihoods and Governance in Montane Mainland Southeast Asia (MMSEA)*, held in Xishuangbanna, Yunnan, China during 5–14 November 2002. Twenty-three participants coming from Vietnam, Laos, Thailand and China attended the workshop. The workshop enabled the participants and organizers to advance their collective knowledge, experience and insights on landscape-level agroforestry, livelihoods and governance concerns in MMSEA. It provided an opportunity to jointly identify priorities and plans for future collaboration.

Policy analysis and dialogue

- *Dissemination of information on agroforestry for more effective policy formulation.* Spearheaded by the Information Centre of Agriculture and Rural Development (ICARD) under MARD, the main objective was to support the provision and dissemination of relevant agroforestry information to facilitate the process of policy formulation. The following specific activities were supported:
  – Agroforestry policy and development web page: <http://www.agroviet.gov.vn/vnagroforestry>. Displayed in Vietnamese, the web page provides information on Vietnam's agroforestry-related policy issues. It also provides up-to-date information on agroforestry from the *Production and Marketing for Agriculture and Rural Development Bulletin*. Also provides Information about ICRAF, VASI and ICARD.
  – Inserts on policy in ICARD Bulletins. Two supplementary sections dedicated to agroforestry policy were produced and released in the 3rd issue of the Forestry Bulletin.
  – Policy seminar series. With REPSI and ASP-V&L support, ICARD launched a seminar series aimed at bringing researchers and policy makers together to share information on key topics.
- *Workshop and study tour on wood processing enterprises*, held at Can Tho province, at Song Ha – a state forestry enterprise during 17–20 March 2003, included representatives from different government offices (MARD, Forest Department, research institutes, provincial People's Committee of 12 provinces along the Mekong River Delta, enterprises as well as some outstanding farmers). The study tour site for the participants to see a successful enterprise making boards from the wood shavings was at Quang Tri Province.

Training activities and information exchange

- *Regional training-of-trainers' (ToT) courses*. As follow-up activities to the national ToT course on agroforestry for better land use held in Bac Kan Province in 1999, two ToT courses organized at regional level by VASI and partners were conducted in Pleiku, Gia Lam Province (3–8 December 2001) and in Ha Giang Province (20–27 May 2002). The Pleiku ToT involved 42 trainees coming from different provinces of the Central Highlands of Vietnam. About 45 trainees from the northern provinces attended the Ha Giang ToT, which was co-funded by the ICRAF-IFAD Innovations Project.
- *Curriculum development for ToT at grassroots level*. Held during 16–18 September 2002 in Thai Nguyen, this workshop aimed to develop a curriculum guide for agroforestry ToT at district and commune levels. Attended by 35 participants, the workshop was organized by Thai Nguyen University of Agriculture and Forestry in collaboration with a number of Vietnamese universities and agencies.
- *Grassroots-level ToT in Hoang Su Phi*. A ToT on agroforestry techniques at the commune level was held in Hoang Su Phi District, Ha Giang Province, during 24 February to 1 March 2003. The activity was a follow-up to the previously held national and regional ToT courses in Vietnam, where the need to transfer promising agroforestry technologies to the grassroots level was raised and given a high priority.
- *ToT course on agroforestry techniques in Lang Son*. This ToT focused on increasing land-use efficiency in the uplands of north-eastern Vietnam. Held in Lang Son Province during 18–23 March 2003 with some 35 participants, comprising teachers from Voctech 1, extension workers from Bac Giang and Lang Son Provinces, and staff from Huu Lung Forest Enterprise. The focus was on different agroforestry systems and techniques and training material development, and included exercises on curriculum development, PRA and field trips.
- *ToT course on learner-centred teaching methods in Xuan Mai*. This course was designed to improve the capacity of teachers and extensionists in northern Vietnam on appropriate methods for teaching and transferring agroforestry techniques. The ToT targeted younger agroforestry teachers, as well as extensionists from both the provincial and district level. The activity was led by the Social Forestry Center of the Forestry University of Vietnam, and held during 24–28 March in Xuan Mai.
- *IUARP farmer cross-visit to Xaiyabouli Province*. In collaboration with the IUARP in Luang Prabang, a farmer cross-visit was organized during 29–31 October 2002. The cross-visit aimed to increase IUARP farmers' understanding of upland agriculture situations in other parts of Lao; expose farmers to promising upland technologies developed by the CIRAD-supported project farmers in Xaiyabouli; and explore the different types of technologies that farmers may opt to try.

The ASP-V&L also encouraged and supported partner institutions to produce information materials in order to share agroforestry technological advances, research results and reports from activities such as ToT courses. ICRAF also periodically distributed copies of selected publications in English to Vietnamese and Lao partners, such as:

- *Vietnam Agroforestry Today*. ASP-V&L continued to support VASI in the production and distribution of the Vietnamese version of *Agroforestry Today*.
- *VACB Working Paper series in Vietnamese*. Led by VASI, the Working Paper series disseminated relevant information and results from agroforestry research, development and training activities supported by the project.
- *Summary Report of the Workshop on Research and Application of Technological Advances for the Sustainable Upland Agricultural Production*. An output of the workshop held in Bac Kan province during October 2001, the report was produced by ICARD and VASI and featured the different papers presented during the workshop.

- *Proceedings of the National Workshop on Sustainable Upland Agricultural Research and Development.* Proceedings of the workshop held in Yen Bai province during 6–8 November 2002 were produced and distributed to partners throughout Vietnam. This included papers presented by workshop participants on issues concerning technical, socio-economic and cultural aspects of mountainous agricultural systems and rural development.

Regional linkages and collaboration

To strengthen the regional linkages and exchange of information particularly between Vietnam and Laos, the ASP-V&L project supported the following activities:

- *Lao colleagues attended food security symposium.* ASP-V&L supported the participation of three Lao colleagues in the international symposium on food security, held 8–11 January 2002 in Chiang Mai, Thailand. The Lao delegates also were able to meet with the ICRAF-Chiang Mai and WRI/REPSI team to discuss how to strengthen and further collaboration in Laos.
- *Vietnamese colleagues attended IUARP technical meeting.* During 4–6 February 2002, three Vietnamese colleagues participated in the IUARP technical meeting, and met with colleagues from NAFRI to discuss and plan for future collaborative activities between the two countries.
- *NAFRI visit to Vietnam.* Following the initial bilateral agreement between NAFRI and VASI, eight NAFRI centre directors went to Vietnam during 1–9 June 2002. The team visited various agricultural and forestry research and production models, such as hybrid maize in Moc Chau District, Son La Province. Moreover, MoUs identifying areas of collaboration and forms of cooperation were drafted and signed with four Vietnamese counterpart research institutes: the National Maize Research Institute, the Research Institute of Fruits and Vegetables of Vietnam, the National Institute of Animal Husbandry and the Forestry Science Institute of Vietnam.
- *Lao agroforestry study tour.* During 11–15 September 2002, 12 colleagues from Laos participated in a study tour on agroforestry to Cho Don District, Bac Kan Province in northern Vietnam. The visit was organized by VASI, NAFRI, ICRAF, the Lao-IRRI Program, and the Centre de Coopération Internationale en Recherche Agronomique pour le Développement (CIRAD). The participants visited the Mountainous Agrarian Systems (SAM) project sites to observe different agroforestry and upland agricultural technologies, interacted with farmers, exchanged knowledge and experiences, and drafted an action plan for future collaboration among colleagues from Laos, Vietnam and the international partner organizations.
- *VASI's visit to Laos.* During 19–26 October 2002, a 15-member delegation from Vietnam, composed of scientists and researchers from VASI and MARD, visited Laos as a follow-up to the cross-visit made by NAFRI officials to Vietnam in June 2002. The purpose of this visit was to facilitate and consolidate a plan of collaborative action between NAFRI and VASI and also to ensure exchanges of resources and information.

Documentation

The review team was provided with following reports having relevance to ASP-V&L:

- Agroforestry Support Programme for Vietnam and Lao PDR: A Proposal, April 2001
- Agroforestry Support project for Vietnam and Lao PDR (ASP-V&L), Project Completion Report: July 2001–March 2003
- One CD ROM comprising of different reports, including proposal of different project phases, project reports, and communications between ICRAF-SEA and Sida, etc.

Comments on the weaknesses of the project document were made above.

The final report contains a brief summary of the activities, some comments on impacts, lessons learned and implications of those, total about 10 pp. with the VACB report annexed. The level of ambition in the reporting is not so impressive considering the size of the grant.

Appendix 12. Details on the research capacity building component within "Integrating Natural Resource Management Capacity (INCA) in Southeast Asia"

Time sequences of Sida support

This is one of the two components of a joint one-year extended phase of earlier two separate projects entitled: 1) Southeast Asian Network for Agroforestry Education (SEANAFE); and 2) Agroforestry Support Programme-Vietnam and Laos (ASP-V&L).

The initially proposed duration of this merged project was from January 1 to December 31, 2003. At the time of Sida's decision, in June 2003, the project duration was agreed to cover April 2003–June 2004. A no-cost extension was later agreed until December 2004.

The total budget, including both components, for the duration of the project was SEK 4,800,000 (about US $ 600,000)

Host institution

For the research and development component of INCA (in the following called INCA R&D); which can be seen as a continuation of ASB-V&L) in Vietnam and Laos, the same institutions which served earlier (i.e. VASI in Vietnam, and NAFRI in Laos) continue to serve as national host institutions.

Goals

The project goal for the one-year period (January 2003–December 2003) that directly refers to INCA R&D is to:

- Strengthen institutional capacity for agroforestry and INRM research and development, with special emphasis on Vietnam and Laos

The project objectives referring to INCA R&D are:

- Enhanced agroforestry and INRM training capacity of development partners (GOs, NGOs, farmer groups, schools)
- Improved national capacity for research and development (R&D) related to participatory watershed management
- Strengthened national capacity for policy analysis and dialogue with respect to agroforestry and INRM.

Comments on project document

The document highlights the importance of and presents justification for agroforestry in Southeast Asia, and also explains the role of ICRAF-SEA and other partners in its development. It also provides a table highlighting on the capacity-related problems in Southeast Asia.

The document includes a logframe where planned activities and expected outputs are clearly indicated.

Two activities were specified under the objective *Enhanced agroforestry and INRM training capacity of development partners (GOs, NGOs, farmer groups, schools)*

- Conduct training of trainers courses and develop training materials for these courses
- Develop, produce and distribute extension materials based on research findings

Another three activities were included under the objective *Improved national capacity for research and development (R&D) related to participatory watershed management.*

- Analyze land-use change and options at watershed level emphasizing link between farmers' land management and environmental services provided by upland farmers.
- Test, adapt and apply methods and tools (e.g. GIS) for landscape analysis
- Provide training in current tools and methods for watershed research

Three more activities were included under objective *Strengthened national capacity for policy analysis and dialogue with respect to agroforestry and INRM.*

- Conduct policy workshops and forums with stakeholders
- Carry out studies related to agroforestry and INRM policy and governance
- Provide training in applying policy analytical methods and tools.

The understanding that the team could form after reviewing the document suggest that through this project ICRAF intends to communicate an integrated, landscape perspective on agroforestry and NRM. The key areas identified for this are: Technical and economic information; Policy analysis and dialogue; Watershed management; Agroforestry adoption and scaling up. All these are important aspects, no doubt, for a thorough study, analysis, strategy and program formulation and implementation in upland slash-and-burn areas, but most of these issues would require continued assistance and a long-time horizon. It is, in the opinion of the team, doubtful if a one-year continuation and merger of the earlier separate components will be able to achieve the intended objectives.

Activities in brief

The information received from the two national coordinators did provide some insight about the types of activities being implemented in the two countries.

- Vietnam reported on its in-country preparations for the receipt a Laos delegation represented by the staff of NUL and NAFRI in a joint planning workshop on Cooperative Agroforestry Research and Development in Vietnam and Laos, 21–22 March 2003.
- Vietnam received a 13 member delegation from the Ministry of Agriculture and Forestry, Laos, for an observation tour from 21–26 September 2003.
- The Central Forestry Vocational Technical School No.1 (Votech1) had implemented a TOT course in agroforestry techniques for sloping land in the Northeast region, from 18–23 March 2003. From this school 4 teachers had also gone to Cho Don District for observing the SAM model in field, from 9–11 January 2004. The school had designed four models of agroforestry which were being implemented in the near by upland areas with financial assistance of this project through VASI. The team was taken to observe some of these models and the task was expected to complete by December 2004.

Six different activities of agroforestry R&D are under implementation, ranging from impact study on conservation farming, research on local agroforestry models in the upland areas, national workshops on low- and up-land linkages (ASB) and extension and education, and cross visit of Lao partners to Vietnam. VASI was committed to carrying on the coordination it has been assigned through the project

for matters related to capacity building for agroforestry R&D and extension even after termination of the INCA project, which was a positive sign of moving towards achieving sustainability.

In Laos the on-going activities of INCA were few but rather substantial, including the translation and adaptation of ASB lecture notes and initiation of GIS application for landscape analysis and monitoring of watershed conditions. In financial terms, these two activities are planned to require approximately US $ 28,000 out of a total budget amounting to 40,000 US $ for Laos under this component.

The work on analyzing land-use change in the upland areas was initiated in collaboration with ICRAF-Chiang Mai in the Northern Agriculture and Forestry Research Centre (NAFREC). At the time of evaluation team's visit to Luang Prabang, it was observed that NAFREC had provided the needed space for office that would house the hardware and software needed for GIS application for landscape analysis. The GIS component had a larger interest of internal partner institutions. Application of GIS for landscape analysis and land use planning would, however, appear to be a longer term undertaking that should preferably be extended beyond the current project period if training of groups outside the core group of researchers should be included. Therefore, possibility of seeking additional funds for continuing this activity for some time may be explored from within the ongoing bilateral project of Sida in NAFRI. The design of a next phase of this project is currently in progress.

VASI also reported that it had developed a comprehensive capacity building proposal for initiating cooperative action in Laos for a period 2003–2005, under the development-assistance ("ODA") budget of the Government of Vietnam. However, these capacity building activities did not fall under the current priority of the Vietnamese Government and remained pending. The institutions were uncertain about the likelihood of the activities being implemented soon, if at all.

The understanding the present evaluation Team is that INCA now embraces an expanded scope of agroforestry and that ICRAF-SEA intends to communicate an integrated landscape perspective of agroforestry in NRM. The present thrust of ICRAF-SEA incorporates: a) Technical and economic information; b) Policy analysis and dialogue; c) Watershed management; and, d) Agroforestry adoption and Scaling up.

Without any doubt, these important aspects which call further studies, analyses, formulation of polices, strategies and programs for implementation in the upland slash-and-burn areas of Southeast area and that would justify a long term commitment and financing to deliver efficient outputs. Ad hoc and scattered activities would raise awareness but could not ensure efficiency of the costs against outputs delivered.

Reports

The following written documentation was reviewed:

- Proposal: Integrating natural Resource Management Capacity in Southeast Asia, One-year extension of Southeast Asian Network for Agroforestry Education (SEANAFE), and Agroforestry Support Programme – Vietnam and Laos (ASP –V&L)
- Narrative Report: Integrating natural Resource Management Capacity in Southeast Asia, Activity period April 1–December 31, 2003 (in CD ROM version), ICRAF-SEA, 31 March 2004.
- Plan of Work for 2003 for Vietnam, including indicative budget and dates.
- SEA Capacity Building Programme 1-year budget sheet (January–December 2003, estimate of November 2000 with May 2003 Revision.
- Reports from Laos and Vietnam programme coordinators in loose sheets, for some of the activities implemented by them during 2003–2004.

Appendix 13. A Chinese Perspective on China's networking regarding agroforestry research and education.

A summary of a paper prepared for Sida by Yu Miao and Han Deng

1. How agroforestry is understood in China

Definition

Agroforestry is the biological production synthesis under certain natural geographical condition and within certain socio-economic background and that is defined as "organic combination of perennial plant, agriculture and livestock husbandry in tempo-spatial sequence in the same land".[1]

Agroforestry is a kind of managerial system for natural resources based on ecology. By means of growing trees etc. on farmland or pasturing land to diversify production and realize sustainable development, it permits land users from different levels to benefit more socio-economical and environmental values. As a land management system, agroforestry differs from conventional mono-agriculture or mono-forestry system. As opposed to a monoculture, agroforestry is an integrated, open and holistic multi-faceted eco-system with an organic combination of agriculture, forestry, fishery, etc.[2]

Agroforestry is an artificial ecosystem with the holistic or partial combination of agriculture, forest, fishery etc. in time and spatial sequence and in accordance with ecological law.[3]

Spread and adoption of the concept

There is a long history of intercropping and alternative cropping in China. According to the book of Qi Min Yao Su (Important Technology of Qi Dynasty, 533–544 A.D.), the practice of intercropping mulberry and pea started from the 5th century. The practice of intercropping Cryptomeria spp. and cereal crops began in Song Dynasty.[4] In 1970s–1980s, three-dimensional forestry, ecological forestry etc. were thriving concepts, creating a number of agroforestry models, e.g. forest-paddy-fishery compound system in the plain of Jiangsu Province, three-dimensional forest management in northern Fujian Province etc.[5]

In early 1980s, Nanjing University carried out study on agroforestry in Lixiahe River region of Jiangsu Province and an international workshop on agricultural and forest compound system was held in 1986, together with another international workshop on forest and livestock husbandry, held in 1992. These workshops successfully drew international attention to China's agroforestry. Meanwhile, the state has paid effort on agroforestry study at different levels, e.g. study on Shelterbelt Forest net on farmland in North China etc. organized by Chinese Academy, Northeast Forestry University etc. since the 6th five year plan. Guangdong Forestry Academy has launched study on the coastland forest and agriculture compound system since the 8th five year plan. Provinces like Shandong, Henan, Jilin and Loess Plateau Regions have finalized different types of agroforestry models. Some of them work well in practice.[6]

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[1] AF's Function to Economically Sustainable Development of Mountainous Areas of Yunnan Province, Mrs. Hou Yunping, Mr. Wang Weibin, Mr. Zhang Jingfeng, Yunnan Forestry Science Academy, Journal of Soil and Water Conservation, Vol. 16 No.5 Oct. 2002

[2] AF Practice of Tropical Mountaineous Community and the Study of Its Cause & Mechanism, Mrs. Zeng Yiqun etc. Yunnan University, Xishuangbanna Tropical Botanic Garden, the Chinese Academy of Sciences, 2001 Suppl. XIII: 101-112A Acta Botanica Yunnanica

[3] Mr. Xiong Wenyu, Nanjing Forestry University, 1988

[4] General Exploration of The History of AF, Mr. Yu Bainan, Mr. Ye Gongfu, Mr. Ye Changrong, Fujian Forestry Science Academy, 21 (2): 46-49 1994, Jour of Fujian Forestry Sci&Tech

[5] General Exploration of The History of AF, Mr. Yu Bainan, Mr. Ye Gongfu, Mr. Ye Changrong, Fujian Forestry Science Academy, 21 (2): 46-49 1994, Jour of Fujian Forestry Sci&Tech

[6] AF and Its Application, Mr. Liu Shiyan etc. Panjin Forestry Bureau, Liaoning Province, Northeast University, Liaoning Province, Protection Forest Science and technology No. 4 (Sum No. 57), Nov. 2004

2. Agroforestry in the Chinese Policy Environment

General

To this point, a vital state document, i.e. Decision of the CPC Central Committee and the State Council on Accelerating the Development of Forestry[7] must be noted. The document, firstly gazetted by Xinhua News Agency in Sep. 11th, 2003, is considered as a signal and milestone of the state's resolution of developing sustainable forestry. In the document, together with the initiatives of re-adjusting forest ownership (trial activities are planned in a project "From Logging Ban to Sustainable Use of Forests" which is planned for implementation in the Southwestern part of Sichuan Province; project concepts and plans developed together with Swedish expertise), the development of agroforestry is mentioned under a minor point (Article 7, point 21). So it could be justified agroforestry would not be troublesome in the future. My understanding is that agroforestry is more close to a concrete set of techs and if good cases are demonstrated, it can be highlighted and incorporated into different forestry policies.

Vice President of Chinese Academy of Science interviewed Dr. Dennis P Garrity, DG of ICRAF, in July 27th. An organization of International Mountain Eco-system Research Center was newly founded by ICRAF, Chinese Academy of Science and Kunming Institute of Botany. Consensus was achieved on the function of agroforestry to conservation of eco-system and poverty alleviation to mountain dwellers, etc.

More clues for the significance of agroforestry to conservation of eco-system, to the state reform on forestry, to sustainable development and to the development of minority communities can be found in the paper presented earlier, e.g. in the article of Soil Conservation is the Precondition of Sustainable Development of the West and Yangtse River[8], in which the vital function of agroforestry to sustainable socio-economic development is mentioned.

China's Grain for Green policy and its impacts

In August 1998, following a summer of devastating floods of the Yangtse River (Some 400 million people, or nearly a third of China's total, live in the river valley. The river's ecological environment is vital for sustainable economic development of the region.), the Chinese government announced immediate logging bans in natural forest in 17 provinces and accelerated its formulation of a nationwide Natural Forest Protection Program (NFPP). State-owned logging companies have been shut down permanently or moved toward adoption of sustainable forest management. This shift in policy is complemented by an alternative Grain-to-Green policy, initiated since 1999, which aims to restore hillside agricultural lands (The steepness criterion means that the program in southwest China targets land with 25 degrees of slope or more to participate. In the northwest the program targets land with 15 degrees of slope or more.) into forest by giving grain subsidies to local communities in exchange for planting trees.

This project aims to support the implementation of the national policy of Converting Steep Cultivated Land to Forest (Grain for Green) in the Upper Reaches of the Yangtze River and the Upper and Middle Reaches of the Yellow River (According to related regulations. The program offers three types of compensation to farmers: grain, cash and free seedlings. According to program rules, each year farmers receive 1500 to 2250 kilograms of grain per hectare of farmland they surrender per year, or in cash equivalent terms about 2100 to 3150 yuan. The farmers also receive a cash payment of 300 yuan per hectare per year. Finally, forestry agencies supply free seedlings to farmers at the beginning of the conversion program. The compensation is given only if the farmer passes an annual inspection carried out by the local Grain for Green project implementation office. The regulations also point out that farmers who plant trees should be beneficiaries of the afforested area[9]. The scale of Grain for Green

[7] http://big5.china.com.cn/e-gongbao/gazette/2003e/gb2003-36e-1.htm
[8] China Water Conservancy, July 23rd, 2002
[9] People's Daily Monday, August 07, 2000, updated at 11:02(GMT+8)

makes the program one of the world's largest conservation projects. When completed, officials in charge of Grain for Green plan to convert around 14.67 million hectares of cropland, 4.4 million of which are to be on cultivated land that has a slope of at least 25 degrees (World Wildlife Fund 2003). During the first three years, the program has spread to 20 provinces and 27 thousand villages and so far more than 15 million farmers have set aside their land in the program and received payments. The implementation of the program is designed to reduce China's long practice of cultivation on steep slopes[10].

WWF has conducted case studies and established integrated planning and management information systems in pilot areas. They found that the project combined tools such as Remote Sensing (RS) and Geographical Information System (GIS) with face-to-face social tools such as Participatory Rural Appraisal (PRA). WWF found that the longer-term sustainability of the programme and its ability to prevent erosion and restore forests were uncertain. This project also helped local governments to devise more effective ways to implement and monitor the Grain for Green programme. This has resulted in the clear mapping of distribution, ownership and productivity of affected lands; direct involvement of farmers in programme design; and participatory methods of development of clear ecological, economic and social objectives.

3. Highlights on agroforestry education

Examples of agroforestry courses offered in Southwest China

The curricula of selected educational institutions or educational programmes were reviewed[11].

Kunming agricultural/forestry university

There is an undergraduate elective course on agroforestry offered at College of Forestry of Northwest Agriculture and Forestry Science University comprising 170 hours lectures and 24 hours of practical yielding 8.5 credits. There is also a 3-credit elective course offered to undergraduate students (3 years with a major in Community Forestry) at the Southwest Forestry College. A 2-credit elective course is offered as a part of the post-graduated course with a major on Forest Breeding by Shenyang Agriculture University.

Graduate Student Training Program for Southeast Asia
(Xishuangbanna Tropical Botanical Garden Chinese Academy of Sciences)

Xishuangbanna Tropical Botanical Garden, Chinese Academy of Sciences (hereafter referred to as XTBG) was founded in 1959. It is located within Mengla County of Yunnan Province where it covers an area of 900 ha. It has also a section in Kunming. There are three research centres with focuses on conservation biology, forest ecology, and economic botany as well as two field research stations (Xishuangbanna Tropical Forest Ecosystem Research Station and Ailaoshan Subtropical Forest Ecosystem Research Station).

XTBG has been recruiting postgraduate students since 1986, and offering Ph.D. in ecology, M.Sc. in ecology and botany. Student exchanges and collaborations have been established with foreign universities including Wageningen University (Netherlands), University of Miami (USA), Chiangmai University (Thailand). Long-term research collaboration partners including National Tropical Botanical Garden (USA), Queen Sirikit Botanical Garden (Thailand), National Natural History Museum, Smithsonian Institution (USA), etc.

[10] Grain for Green: Cost-effectiveness and Sustainability of China's Conservation Set-aside Program, Emi Uchida, Jintao Xu and Scott Rozelle

[11] Dr. Horst of ICRAF Kunming also introduced that Agriculture University of China, Beijing are advanced in AF education and research.

In order to take the academic advantages of XTBG for human resource development, and promote collaboration and exchanges with Southeast Asian countries, push forward effective biodiversity conservation and the sustainable socio-economic development in the region, XTBG offers opportunities for postgraduate studies (Ph.D. and M.Sc.) to Southeast Asian countries. A maximum of 15 students will be recruited in 2004, 2007 and 2010 respectively. Scholarships will be awarded to qualified applicants.

The ecological research at XTBG mainly focuses on the structure, functionality and dynamics of tropical and subtropical forest ecosystems. Major aspects of research include species diversity and its maintenance mechanisms, succession and regeneration of forest communities, restoration techniques of disturbed ecosystems, the ecological processes and molecular mechanisms in the interactions and co-evolution of important species, and gradually to extend the scale of research from ecosystem level to landscape level, therefore to make further contribution to the ecological environment construction to the tropical and subtropical regions in the world.

Tropical botanical research at XTBG include plant physiology, genetics, taxonomy and the interaction between plants with physical environment, so as to provide solid basis for the introduction and domestication of tropical plants, for forest ecosystem research, biodiversity conservation as well as sustainable use of plant resources.

Yunnan Forestry Vocational School, Kunming

The school is good at its forestry professional education which includes agroforestry. They also have cooperation with the Netherlands regarding a forestry project in which there are agroforestry elements.

Literature used/available in Chinese/English

The Southwest Forestry College use Basic Theory and Practice of Agroforestry[12], Professor Lai Qingkui, Cao Guangxia, July 1995. In addition there is a considerable selection of other literature. Some is reflected in footnotes to this document.

Networking/contact within China (among educational institutions)

As far as we know, the networking between China's educational institutions regarding agroforestry remains poor, e.g. in Southwest Forestry College, the contact with other Chinese institutions primarily focuses on community forestry (may include element of agroforestry, but not specified as pure agroforestry. A professor of Southwest Forestry College argues that the major reason for this is lack of special fund to support. Dr. Weyerhaeuser of ICRAF Kunming is of similar opinion. However, Dr. Weyerhaeuser argues that China does have a fairly good contact with the international arena, e.g. by participating in MMSEA Training Workshop, Nov. 5-12, Xishuangbanna, Yunnan China and by attending the 25th anniversary of ICRAF in Kenya, etc.

4. Agroforestry research in Southwest China

Highlights from Yunnan and Sichuan Provinces

ICRAF has initiated several agroforestry projects in Yunnan. They include a collaboration project with Southwest Forestry College, known as Agroforestry Model Research in Lujing Prefecture. The project has already survived one year. It is a small research project (ICRAF support small money for a school professor to carry out activities locally, most of the money is used for trip, per diem and local labour cost, as well as some subsidy to local farmers). However, after one year's implementation there are problems concerning local people's real participation. Local people who showed great interests at the beginning might be less concerned about the fruit trees they planted but still as interested as before in herbal-medicine production. A professor of Southwest Forestry College argues that there are various reasons for that: (i) fruit trees are primarily grown at the foot of mountain while local community

[12] It is used as textbook of graduate student and undergraduate student

(Lishu People) traditionally live higher up. There is, thus, a considerable amount of work for them in irrigation and fertilisation; (ii) Backward local awareness (e.g. since fruit trees will fruit after certain years, the relative long time required to care of young seedlings deters local interest). (iii) Competition of other projects (The Prefecture Medicine Company offers incentives for local people growing medicinal herb, such as continued management subsidy besides labour payment when planting, while in the ICRAF-supported project there is only payment for labour at the time of planting).

Although some studies concerning agroforestry have been conducted in China, the systematic and holistic theory is not yet well established in the country. More of the studies still remain as finalization and qualitative description of previous experiences. Realizations are generally superficial so that the concept of agroforestry is often regarded as simple integration of agriculture and forestry. Moreover, the studies of agroforestry between different regions are of great imbalance[13].

The following contents are the summary of major types of current agroforestry practices in Yunnan acquainted through investigation. It is noted that there are few uniform categorization criteria for agroforestry. Different scholars have different standards. Below the taxonomy focuses on different parts of plants being utilized[14].

Agroforestry system primarily harvesting leaves and branches, etc.

Main and perennial crops: Tea, *Eucommia ulmoides* and *Bombax malabaricum*

Other crops: Maize, rape seed, wheat, pea, Tibetan barley, sugarcane, vegetables, buckwheat and paddy, intercropped with *Alnus* spp., Yunnan pine, eucalypt, fir, etc. It is popular in mountainous area or hilly sides of Yunnan Province. People employ such practice in areas with relevantly good soil condition or near homesteads.

Agroforestry system primarily harvesting edible fruit

Main crops: Walnut, chestnut, plum, cherry, pear, apple, persimmon. In different seasons, other species like tea, wheat, maize, rape seed, pea, vegetables and herbal medicine can be intercropped. Such practice is common all around the Province.

Agroforestry system primarily harvesting fruit with other purpose beyond food

Main crops: Spice plants or plant for raw materials, like tung tree, *Litsea* spp.., cinnamon, etc.

Other crops: Maize, wheat, sweat potato and *Canna edulis*. Popular in the whole Province

Agroforestry system primarily for harvesting timber

Timber production is the major purpose. Trees will be cleared after certain period and that will result in change of the nature of the whole system. Popular sub-types include forest-grain (all regions in the Province), forest-herb (north regions like Zhaotong), forest-fungus, forest-grass (south).

Agroforestry system focusing on agriculture

This is the practice of planting trees alongside roads, rivers, canals, homesteads, field ridges, etc.

Networking/contact within China and (research)

In general the situation is not very good. The contacts within China are just as few as those with regard to education. The following are some examples on contacts domestically or abroad that we noted:

[13] Analyses of China's Current Situation of AF, Hebei Agriculture University Mr. Zhang Gang, 1996

[14] AF's Function to Economically Sustainable Development of Mountainous Areas of Yunnan Province, Mrs. Hou Yunping, Mr. Wang Weibin, Mr. Zhang Jingfeng, Yunnan Forestry Science Academy Journal of Soil and Water Conservation, Vol. 16 No.5 Oct. 2002

Kunming Institute of Botany, Chinese Academy of Sciences visit to ICRAF

Invited by Secretary Mr. Dennis P Garrity, Deputy Director Mr. Yang Yongping and Director Assistant Mr. Gan Fanyuan visited ICRAF in Nairobi, from Oct. 30 to Nov. 8. During the visit, the delegation attended the 25th anniversary of ICRAF and widely communicated with other representatives and associates. In the name of Chinese Academy of Sciences, the cooperation agreement on the establishment of Environment and Ecology Center between Chinese Academy of Sciences in the name of Chinese Government and ICRAF was endorsed.

The Centre for Biodiversity and Indigenous Knowledge

The Centre for Biodiversity and Indigenous Knowledge (CBIK) was established in 1995 as a non-profit membership organization, based in Kunming, Southwest China. It has more than 100 members from 20 different Chinese institutions including research professionals of natural and social sciences as well as development practitioners. It focuses on the issues of biodiversity conservation and community development. Its main emphasis is the relevance of indigenous knowledge and innovations related to resource governance and management at community and watershed levels. CBIK aims to explore alternative development approaches like the support to indigenous initiatives and practice them with indigenous people and rural communities. CBIK has twelve full-time staff (six females) and 18 part-time staff (8 females), as well as about 118 members from various institutions specializing in the fields of anthropology, ethnobotany, ecology, resource management, forestry, agroforestry, community development and watershed management.

CBIK's regional focus is mainly Southwest China – consisting of three provinces, Yunnan, Guizhou and Southwest Sichuan, and two autonomous Regions, Western Guangxi and Southeast Tibet (Xizang), a unique eco-cultural region. In Yunnan, CBIK particularly emphasizes Southeast Yunnan, the "Green Triangle" areas of Yunnan, Vietnam and Laos, and Northwest Yunnan, the Eastern Himalayan Region, which can be defined as global hot-spots for biological and cultural diversity.

CBIK is a partner of the network Montane Mainland Southeast Asia (MMSEA). CBIK has international contacts with ICRAF as well as with the wider Alternatives to Slash and Burn programme through this partnership.

CBIK pays special attention to the serious uncertainties that indigenous people and their cultures face as they strive to use, nurture and sustain the diverse landscapes in which they live and depend on in the process of socio-cultural change and globalization. Local cultures and biodiversity are embedded in a field of multiple forces of local and global character. Among these, government policies and the expansion of regional, national and international markets have often a positive impact but in some cases not.

5. Dialogue with ICRAF office in Kuming

Why the office was established

There were two reasons for an office to be set up in Kunming:

- ICRAF has long tradition of carrying out activities in SE Asia. The condition of Yunnan is quite similar to that of SE Asia.
- ICRAF Kunming office is virtually a project office. ICRAF and State Ministry of Forestry and Chinese Academy of Forestry have agreement on cooperation. The office is thus set up as the consequence of the invitation of Mrs. Jiang Zehui, President of Chinese Academy of Forestry for analyzing and preparing for the cooperation. However, it is not yet specified when the cooperation project will be launched. Presently, the office receives little financial support from the Chinese Government.

Links with Chinese organizations

ICRAF Kunming has maintained very good cooperation relationship with many Chinese organizations, e.g. Yunnan University, Yunnan Agriculture University, Southwest Forestry College, Xishuangbannan Botanic Garden and different levels of Chinese Government, e.g. it collaborates with State Ministry of Forestry on research tech regarding Grain for Green, and it collaborates with Yunnan Provincial Forestry Bureau in an agroforestry project now underway in Baoshan Prefecture. In the project, implemented in a local township named as Yangliu Village, ICRAF Kunming maintains good cooperation relationship with local grass-root government.

Contacts between Chinese universities/institutes and the international agroforestry community

Dr. Weyerhaeuser of ICRAF Kunming holds optimistic to this point and he cited examples to support it, e.g. the presence of Chinese in several international conferences and activities exemplified above.

Current situation regarding China's agroforestry

ICRAF staff argues that the current situation is fairly good both academically and practically (in terms of practice, the success of Xishuangbanna Botanic Garden and the project that ICRAF supports in Yunnan were cited as examples) ! In reality, the situation may be better than that of SE Asian countries although the latter countries already have some years experience of being recipient of external grants for agroforestry projects. Colleges like Southwest Forestry College have considerable and qualified human resources and experience in the field.

Prospect of China's agroforestry

The prospects of China's agroforestry are also very promising according to ICRAF. There is strong policy support evidenced by, for example, the large scale shelter belt projects to support Beijing Olympic Games 2008 in north China desert fringe, and Grain for Green. There are also many good agroforestry practices in place in China (however, few of them are clearly called agroforestry although they should be considered as agroforestry).

6. Conclusion/comment on relevance of further networking

To conclude from the above, there is a great similarity between southwest China and SE Asian countries regarding agroforestry education and agroforestry research. And China is good at agroforestry for individual institution and university academically; however the networking does not proportionally match with individual progress. We think it would be very useful for China to strengthen its own international link by getting involved in a larger networking system like SEANAFE, etc.

On the aspect of agroforestry application and practice, although Dr. Weyerhaeuser holds it is very good in China, we summarize as below:

- It is obvious agroforestry is largely in accordance with China's overall forest and agriculture policy (with very few exceptions though, like within the context of Grain for Green, intercropping of trees and crops, especially annual crops are not permitted). The policy trend is towards further encouragement of agroforestry practices such as those in the re-adjusted forest management plan aiming at phasing out the logging ban. It must also be noted that ICRAF has already a close link with the Chinese central government (cooperation relationship, without ICRAF receiving any financial support or support in kind from the Chinese part).
- Both at policy-level and at folk level, agroforestry is not a prevailing buzz word. Although we know there does exist lots of agroforestry related practices, but neither the government nor local communities get accustomed to call it agroforestry. Popularisation of the concept in China is needed. The ICRAF office in Kunming regards it as one of their tasks.

- Currently, there is little collaboration between governmental agricultural sector and forestry sector for the common issue of agroforestry.
- We don't find many agroforestry application in large scale has been undertaken through organization of the government, on the contrary, many of the cases are more limited to pilot research or of spontaneous nature by local community and they are less regulated and supported, whereas, Dr. Weyerhaeuser argued and explained that it depends on how you regard it, for example, grain for green programme and shelter belt project in north China were such applications, and the only difference is one can not find the word of agroforestry from the project titles.

More international concern may trigger more emphasis on agroforestry by the Chinese Government. The lack of domestic contact regarding agroforestry is partly due to less external donors and that in turn reduces the influence of agroforestry domestically, especially if we taking the fact that agroforestry is usually integrated into larger forestry initiatives, like community forestry, watershed management etc. into account.

Further, on a more general note, in China, it is difficult to ignore the presence of Government for most agroforestry initiatives. To align with both overall strategy and specified state policy is a precondition of any agroforestry activity (the situation was not explicitly clear as to whether the promotion of the agroforestry concept would be a priority of the Government. So our suggestion to judge the policy trend of the Government is to prove it from official document or speech of authorities. So far, we are not aware of that sort of slogan regarding upholding the flag of separately specified agroforestry. For such initiatives as agroforestry it might be good to have very good dialogue or cooperation with the Government.

7. People met

We collected views from various people via various means (face-to-face dialogue and telephone): From Southwest Forestry College (Professor Lai Qingkui and Wang Lianchun, Mr. Yang Song, Mr. Cai Nianhui), Chinese Academy of Microorganism (Research Fellow. Liu Chao Yang), Yunnan Forest Inventory and Planning Academy (Mr. Wang Ge and Mr. Guozhikun), Yunnan Forestry Vocational School (Mr. Wu Xunfeng of Holland funded FCCDP office), Yunnan Forestry Technical School (Mr. Ling Wangang), Capital Normal University (Professor Li Hong), Chinese Academy of Forestry (Professor Tang Shouzheng) and ICRAF Kunming (Dr. Weyerhaeuser).

Appendix 14. An attempt to score developments over time, performance of actors and the fulfilment of objectives with key comments

Table 1. Scoring SEANAFE over time

Project	Time/Period	Relevance at entry	Relevance now	Effectiveness ("Did the right thing?")	Efficiency ("Did the things right?")	Impact	Sustainability of results	Outcome score[1]
SEANAFE	Status and needs assessment	5	xxx	4	5	xxx	xxx	4.5
	Phase I pre midterm review	xxx	xxx	4	3	xxx	xxx	3.5
	Mid-term review–December 2002	xxx	xxx	4	5	xxx	xxx	4.5
	January–August 2003	xxx	xxx	1	1	xxx	xxx	1
	SEANAFE in INCA	xxx	5	4	5	4	4	4.3
Aggregate score[2]		5	5	3.6	3.8	4	4	xxx

Notes:
1. The outcome score is the average that takes into account the ratings of effectiveness, efficiency, impact and sustainability.
2. The aggregate score = Average score down the columns.

Scores:
The performance indicators are rated on a scale ranging from 1 to 5, with 1 indicating highly unsatisfactory and 5 indicating highly satisfactory.

Key comments:

- Seen over the whole period the performance is good with the exception of the Period January–August 2003 during which the project lacked operational funds.
- The efficiency pre-midterm review was lower than after the same due to costly arrangements with regional "secretariats" both at Bogor and Los Baños.
- January–August 2003 can be characterised as a waste of time. No funds were available and the project management was to an extent occupied by explaining to all actors why no budgets were released and thus no activities could be implemented.

Table 2. Scoring SEANFE per component and actor

Project	Component/ Actor	Relevance at entry	Relevance now	Effectiveness ("Did the right thing?")	Efficiency ("Did the things right?")	Impact	Sustainability of results	Outcome score[1]
SEANAFE	ICRAF/Regional level	5	5	5	3	4	4	4.3
	National networks generally	5	5	4	4	4	4	4.3
	ThaiNAFE	3	3	5	5	4	5	4.2
	VNAFE	5	5	5	4	4	5	4.7
	LaoNAFE	5	5	3	4	4	4	4.2
	IndoNAFE	5	5	2	2	3	4	3.5
	PAFERN	4	4	4	4	5	4	4.2
	Institution level	xxx	xxx	4	4	4	4	4
	Sida	xxx	xxx	4	2	xxx	xxx	3
Aggregate score[2.]	xxxx	4.6	4.6	3.8	3.6	4	4.3	xxx

Notes:
[1.] The outcome score is the average that takes into account the ratings of relevance, effectiveness, efficiency, impact and sustainability.
[2.] The aggregate score = Average score down the columns.

Scores:
The performance indicators are rated on a scale ranging from 1 to 5, with 1 indicating highly unsatisfactory and 5 indicating highly satisfactory.

Key comments:

- The overall performance is good. PAFERN has been performing well but may be regarded as less relevant than other networks since there was already an institutional set up in the country as opposed to in the other countries. ThaiNAFE has also performed well but this may also relate to generally higher levels of resource endowment than in countries like Laos and Vietnam.
- VNAFE is especially relevant as the standard with regard to agroforestry education among the national institutions is highly varied.
- LaoNAFE operates in an environment that is weak in terms of institutions and communication infrastructure, but has managed relatively well with these constraints taken into account.
- IndoNAFE was and is highly relevant but has operated less effectively than other networks.
- Sida operated reasonably well with the exception of the gap that was created between phase I and INCA (January–August 2003) which reduced the efficiency.

Table 3. Scoring VACB, ASP V & L and the R & D Component of INCA over time

Project	Time/Period	Relevance at entry	Relevance now	Effectiveness ("Did the right thing?")	Efficiency ("Did the things right?")	Impact	Sustainability of results	Outcome score[1]
VACB	1998–99	5	xxx	4	3	4	4	3.8
	2000–June 2001	xxx	xxx	3	1	2	4	2.5
ASP V & L	July 2001–December 2002	5	xxx	4	2	4	4	3.5
	January–August 2003	1	xxx	1	1	1	xxx	1
R & D in INCA	Mid 2003–December 2004	2	4	4	4	3	3	3.5
Aggregate score[2].	xxxx	3.3	4	3.2	2.2	2.8	3.8	xxx

Notes:
[1.] The outcome score is the average that takes into account effectiveness, efficiency, impact and sustainability.
[2.] The aggregate score = Average score down the columns.

Scores:
The performance indicators are rated on a scale ranging from 1 to 5, with 1 indicating highly unsatisfactory and 5 indicating highly satisfactory.

Key comments:

- By and large the project has contributed to research and development links between Vietnam and Laos as well as within these two countries.
- The system with bridging funds and no-cost extension caused an unfavourable development in terms of efficiency. What was achieved could have been achieved quicker and cheaper. The efficiency eroded gradually during VACB and ASP V & L from a reasonable level at first.
- The performance during the period January–August 2003 was seriously hampered by lack of operational funds and uncertainty.
- The project was highly relevant initially as well as at the initiation of ASP V & L. The two countries needed to establish stronger international research contacts on natural resources management and the support to research links between the two countries was timely as it coincided with a favourable political context.
- R & D in INCA may be seen as less relevant at entry than VACB and ASP V&L as contacts between Vietnam and Laos had already been quite firmly established.
- However, the R & D within INCA gained relevance through an interesting GIS component that may be continued under another funding arrangement and through useful links being established with ICRAF Chiang Mai.

Table 4. Scoring VACB, ASP V & L and the R & D Component of INCA per component and actor

Project	Time/Period	Relevance at entry	Relevance now	Effectiveness ("Did the right thing?")	Efficiency ("Did the things right?")	Impact	Sustainability of results	Outcome score[1]
VACB, ASP V&L and R & D in INCA	VASI/Vietnam	4	4	4	3	3	4	3.5
VACB, ASP V&L and R & D in INCA	NAFRI/Laos	4	4	4	3	3	4	3.5
VACB, ASP V&L and R & D in INCA	ICRAF	4	4	3	2	xxx	xxx	2.5
VACB, ASP V&L and R & D in INCA	Sida	xxx	xxx	3	1	xxx	xxx	2
Aggregate score[2].	xxxx	4	2.7	3.5	2.3	3	4	xxx

Notes:
1. The outcome score is the average that takes into account the ratings of effectiveness, efficiency, impact and sustainability.
2. The aggregate score = Average score down the columns.

Scores:
The performance indicators are rated on a scale ranging from 1 to 5, with 1 indicating highly unsatisfactory and 5 indicating highly satisfactory.

Key comments:

- Sida and ICRAF have to share some responsibility for the relatively poor efficiency. Sida's erratic style caused uncertainty and ICRAF did not manage the uncertain environment in an optimal way, all resulting in unnecessarily high costs for coordination during periods when very few activities were implemented. ICRAF should however also be acknowledged for bearing some expenditure during a critical period.
- The actors at the national level performed quite well.
- NAFRI´s entry was by mid-2001.

Table 5. Scoring the achievement of the SEANAFE objectives for Phase I
(Objectives as per the revised LFA in Inception Report)

To support agroforestry curriculum development and reviews	5
To make available relevant teaching materials in agroforestry	3
To create awareness among stakeholders through agroforestry workshops/studies	3
To provide training opportunities for teaching staff in agroforestry theory and practice	4
To provide thesis research opportunities in agroforestry for graduate students	4
To establish and coordinate SEANAFE	5

Scores:
The performance indicators are rated on a scale ranging from 1 to 5, with 1 highly unsatisfactory achievement and 5 indicating highly satisfactory achievement.

Key comments:

- The performance was generally good or satisfactory, but facilitation of research connectivity proved to be a harder task than anticipated.
- Linking agroforestry education to the extension system and practice in the field could have been worked harder upon. The main approach was support to demonstration plots on institution's land, which does however not yield strong contacts with farmers. Little cooperation was initiated with the extension system at national level. Training materials could be a hands-on topic to approach jointly with the extension system.

Table 6. Scoring the achievement of the network objectives for SEANAFE in INCA

Improved capacity of tertiary education institutions to develop and deliver agroforestry and Integrated Natural Resource Management (INRM) programmes	4
Effective links between SEANAFE's national networks and the national research and development systems	3
Presence of a regional mechanism for capturing regional and global experiences and sharing those among SEANAFE member institutions.	5

Scores:
The performance indicators are rated on a scale ranging from 1 to 5, with 1 highly unsatisfactory achievement and 5 indicating highly satisfactory achievement.

Key comments:

- Good performance although the connection with the research and development systems remains relatively weaker.

Table 7. Scoring the achievement in relation to the objectives for VACB

To link Vietnam with ICRAF-Southeast Asia (SEA) activities and the global ASB program.	4
To enhance Vietnamese capacity to conduct agroforestry research, development and training.	3
To help Vietnam develop and disseminate alternatives to unsustainable slash-and-burn.	2

Scores:
The performance indicators are rated on a scale ranging from 1 to 5, with 1 highly unsatisfactory achievement and 5 indicating highly satisfactory achievement.

Key comments:

- VACB was generally successful but the extra time awarded did not contribute to efficiency (This does, however, not reflect here).

Table 8. Scoring the achievement in relation to the objectives for ASP V & L

To enhance capacity in agroforestry research & development, especially on practices and processes (biophysical and socio-economic) that can contribute to sustainable management of upland systems.	3
To support the development and delivery of appropriate agroforestry training, information dissemination and extension activities that can effectively reach and benefit grassroots institutions and farmer households.	2
To improve the understanding and capacity to analyze key policies and factors affecting the development of agroforestry, particularly in poor, mountainous areas.	3
To facilitate useful collaboration among relevant Vietnamese and Lao institutions and ICRAF partners on participatory watershed management and relationships between agroforestry and watershed services.	5

Scores:
The performance indicators are rated on a scale ranging from 1 to 5, with 1 highly unsatisfactory achievement and 5 indicating highly satisfactory achievement.

Key comments:

- ASP V & L was reasonably successful (but the extra time awarded did not contribute to efficiency).
- ASP V & L and to some extent also VACB had ambitious plans related to training and especially to training materials, media and publication production targeting the grass-root institutions and household level. These proved to be slightly unrealistic, and it could be questioned if this was a design flaw rather than an implementation flaw. The implementing institutions are national scientific institutions primarily with other primary mandates than extension at grass-root level.

Table 9. Scoring the achievement in relation to the objectives for the R & D component of INCA

Goal	Strengthen institutional capacity for agroforestry and INRM research and development, with special emphasis on Vietnam and Laos	3
Objectives	Enhanced agroforestry and INRM training capacity of development partners (GOs, NGOs, farmer groups, schools)	2
	Improved national capacity for research and development (R&D) related to participatory watershed management	4
	Strengthened national capacity for policy analysis and dialogue with respect to agroforestry and INRM.	2

Scores:
The performance indicators are rated on a scale ranging from 1 to 5, with 1 highly unsatisfactory achievement and 5 indicating highly satisfactory achievement.

Key comments:

- Few initiatives seem to be taken to address the first objective. ICRAF and its implementation partners may not have comparative advantages in this respect, thus a design flaw rather than an implementation weakness?
- The GIS project will be a useful contribution towards the second objective, especially if it can be sustained for a longer time than this project phase. It is a suitable component in the bilateral co-operation between Laos and Vietnam.

Appendix 15. ICRAF's response to the Sida's evaluation 'Integrating Natural Resource Management Capacity in Southeast Asia'

Background

The World Agroforestry Centre (ICRAF) wishes to recognize that Sida has been our major donor for agroforestry capacity building in Southeast Asia during 1998–2004. The support has been instrumental for sharing agroforestry research results and approaches, generated via ICRAF's Southeast Asia Regional Programme in the past decade.

ICRAF SEAsia was formed in 1993. Three regional benchmark sites under the global Alternatives to Slash-And-Burn (ASB) project were set up: in Indonesia, Philippines and Thailand. Global public goods emerging from ASB includes the 'Integrated Natural Resource Management (INRM)' paradigm. Most national agriculture research, education and extension institutions in the region employ a sectoral approach. These institutions gradually embrace agroforestry and INRM concepts that may stand a better chance to address the complex problems at the interface of environment and poverty in the upland areas of SEAsia.

Sida's support has contributed to sharing such concepts among 76 universities and colleges in five countries Indonesia, Laos, Philippines Thailand and Vietnam.

Second, the support has facilitated a national dialogue on agroforestry research and development in Vietnam and Laos and between the two countries.

We believe that these processes will have a long-lasting impact on the view of agroforestry among R&D professionals in Vietnam and Laos and on future graduates in SEAsia.

ICRAF's response to Sida's evaluation 'Integrating Natural Resource Management Capacity in Southeast Asia'

This response is in three sections:

1) The Southeast Asian Network for Agroforestry Education (SEANAFE). Please also refer to the response by the SEANAFE Board (Appendix 15A).

2) Research and development capacity in Vietnam and Laos

3) Our interest in following up on the recommendations of the evaluation to analyse the 'scope for a major restart with focus on upland policy and research with links to identified suitable institutions in Thailand, Laos, Vietnam and China'.

1. The Southeast Asian Network for Agroforestry Education (SEANAFE)

The main conclusions from the evaluation (section 4.1 of the report)	**ICRAF response**
1. Institutionalization of agroforestry training, both formal and informal, at different levels calls for a long-term commitment from all concerned parties. Therefore, SEANAFE is still badly needed to support the national networking while they are in the process of getting stable and well organized.	• The Southeast Asian Network for Agroforestry Education (SEANAFE) supports the institutionalization of agroforestry education in SEAsia since 1999. At present, 76 universities and technical colleges in five countries take part in this process. Since 2002 they are organized in five national networks, which are lead by representatives of the member institutions. ICRAF is pleased to have hosted the SEANAFE's Regional Facilitation Unit within our regional programme in SEAsia, while recognizing the need for a separate identity for the network. • ICRAF agrees with the Evaluation Team that continued support to SEANAFE is needed for it to deliver what it has been designed for. In particular, the regional networking aspect needs continued funding. Most national networks are still too weak to stand on their own. They need technical advice and assistance in resource mobilization. The regional level will facilitate and coordinate regional projects and strengthen partnerships with other regional institutions, including RECOFTC. • A final multi-year support from Sida would be required for SEANAFE to succeed in a well-planned transition towards an expanded network funded by multiple donors.
2. Support is needed for example to accelerate activities for the advocacy in agroforestry, to support meetings for sharing of knowledge and experiences at the regional level, to support information dissemination through electronic and printed educational materials, for exchange of lecturers within SEA and even to South Asia and Africa, to assist the development of a new curriculum on policy issues on people-cantered natural resources management and to support comparative studies for promoting South to South development and West to East development.	• We agree, provided all these aspects will be contextualized in agroforestry • Key functions of SEANAFE, regionally and nationally, are to share knowledge and to take joint action on priority issues related to education in natural resource management. In SE Asia a very rapid change occurs in this field and new knowledge on these processes materialize rapidly. At the same time there are barriers, especially language barriers that restrict knowledge sharing in the region. SEANAFE represents a regional forum that can overcome some of these obstacles.
What subject matter should SEANAFE address?	
3. The Evaluation Team observed that the perception of what agroforestry is differs considerably between ICRAF and the institutions in the network.	• It is normal for the development of educational materials and curricula to fall a little behind research. Agroforestry is not a fixed science. We started with arrangements of trees, crops and animals in time and space. Today we are talking about systems and mosaics on landscapes. These concepts take time to enter the classroom. • In the last few years, ICRAF's research in SE Asia increasingly involves concepts such as 'landscape agroforestry' or 'Rewarding Upland Poor for Environmental Services (RUPES). Such aspects of agroforestry are only beginning to reach out to a wider range of universities and colleges. The on-going translation of lecture notes on Alternatives to Slash-and-Burn, in which SEANAFE participates, is a step in this direction, but a lot remains to be done. The Board is leading a shift towards including this broader view of agroforestry in SEANAFE's agenda. New focal areas will also include the links between markets and tenure, and the teaching of global and national policy processes on natural resource management.

Increasing portfolio, quality control and funding	
4. The Evaluation Team noted that the decentralization of SEANAFE led to increasing portfolio, but that there are new challenges regarding quality control and long-term funding base.	**ICRAF agrees to this observation:** • The national networks have carried out a range of activities since 2002: training of trainers, translation and adaptation of teaching materials and curriculum guides, developing agroforestry demonstration plots, research support and development of information materials. Policy advocacy was also addressed, particularly in the Philippines. However, with increasing number of activities, the link with the regional level, including ICRAF's regional programme, became somewhat weak. This may have led to less innovation, as focus turned towards national, rather than regional, issues. • SEANAFE's Regional Facilitation Unit did not have the human resources required to carry out detailed supervision of national activities. Thus monitoring of quality was handled by the nationally elected leadership, resulting in somewhat different standards. The way forward is to develop monitoring tools that all national networks use. The Board is already taking action on this issue. • The long-term funding base is a key issue. The SEANAFE Board and the national networks are gradually getting involved in resource mobilization. But for the time being, the dependency on Sida's assistance is high, particularly for the regional networking component. There are good opportunities for additional funding for specific activities, both at regional and national levels. New projects will be gradually developed towards this end, and this work has already been initiated. However, funding for the regional networking component will be needed for several years to come to support these efforts.
Network performance	
5. The Evaluation Team commented on the differences between countries in terms of network performance.	• ICRAF recognizes that the differences among the five countries in the network are indeed significant. The network in the Philippines is very well organized and is already registered as an NGO. Other national networks have a less formal set up. The human capacity also differs among countries. The national networks are expected to move at different paces because of the diversity among countries was one reason behind the setting up of national networks in 2002. It is important to note that 'weaker' countries benefit from regional exchange with 'stronger' ones. • The national networks do not hire full time staff, and that the National Chairs do not receive honoraria. Only limited financial support was provided for national network management. Some countries used these funds to cover part-time staff, others did not. Member institutions contribute staff time for administration and implementation of activities, which in itself is a proof that member institutions value the network. • The performance of national networks also depends on their leadership. It is important that national networks elect a chair who is good leader.

Role of Regional Level

6. The Evaluation Team concluded that the regional level needs to assist national networks with ideas and to inject new knowledge. Production of educational materials was mentioned as a particular priority

- **ICRAF agrees with the observation** that, as a result of the decentralization, the regional level spent more time on administration, and less on technical assistance. The network needed initial support in setting up the new administrative routines.
- In 2002, the Technical Adviser attended all national planning meetings. In 2003, the national networks planned their work more independently. Thus, they were not directly guided by SEANAFE's regional level. Perhaps this was a price one needed to pay for achieving local ownership and broad participation in the establishment phase of the national networks.
- For the future innovation of SEANAFE, the network will seek to take joint action on specific regional issues – and seek separate funding for new targeted projects. This approach will combine the strength of being a regional network with the opportunity of having national and institutional impact through the national networks.
- A key role of the regional level is to support sharing of knowledge and experience on these specific regional issues. A range of tools and methods are needed, including regional synthesis of knowledge, production and provision of teaching materials, regional training courses, and curriculum development. The specific set of activities will of course depend on the topic being addressed. National networks will focus on adapting these tools and methods to the national context and on 'scaling out' to SEANAFE's 76 member institutions.
- The regional level of SEANAFE also provides a link between the agriculture and forestry universities in the region and CGIAR overall. Initiatives such as the CGIAR Global Open Agriculture and Food University, and Online Learning Resources initiative can be 'scaled up' via SEANAFE. Several open universities are already members of SEANAFE. Many of their students are employed in extension organizations, thus providing an opportunity for rapid impact of investments in capacity building.

Recommendations re SEANAFE

The need for solid educational materials on the subject agroforestry

7. The team recommends SEANAFE to build capacity at the regional level in order to effectively assist in the production of educational material. There is a considerable discrepancy with regard to the understanding of what the subject agroforestry actually may cover, both between institutions and individuals in a country and between the countries. Much of the existing agroforestry practices adopted by farmers in their fields are still not incorporated in prevailing teaching and teaching materials, at least in some institutions. A serious effort towards the production of educational materials would, if approached in a suitable manner, help to delineate the borders in relation to other subjects.

- The social capital that has been created in SEANAFE is an asset for future sharing of knowledge on agroforestry and natural resource management in SEAsia. This structure can now be mobilized to address a range of new topics of regional significance. Developing teaching materials will be a central element of this strategy.

Better linkages to the extension systems as well as to other development projects	
8. SEANAFE has tried actively to promote links between educational institutions and research. But links between educational institutions and extension systems appear to remain rather weak or, in some instances, even non-existing. Educational materials for, for example, B. Sc. or Higher Diploma level would be of direct use for extension workers too and if co-produced with extension staff there would be economy of scale that would justify production of many copies and thus proper lay-out and printing.	• We agree completely. Future leaders need competence about the interface between environmental conservation and poverty alleviation. The challenge for agriculture and forestry institutions is to handle such integrated issues: global issues related to the environment, and the local issues related to poverty alleviation. This requires understanding of policies as well as of socio-economic issues, including gender. SEANAFE is well placed to assist the major universities in this change, especially by sharing information on current tools and methods that facilitates participation. Universities and colleges will then integrate these into teaching and learning and into their work with communities. • SEANAFE's national networks have also started to engage with extension organizations, and in some cases opened up membership for such organizations.
Use SEANAFE to address some new topics that may not be well addressed in education so far	
9. Issues like tenure, biodiversity in agricultural landscapes, carbon sequestration, equity issues between upland and lowland populations, "pay for environmental services"-schemes, international conventions, aspects related directly or indirectly to illegal logging, markets and marketing, poverty, gender and many others are areas where there is rapid development of both concepts, practices and knowledge. Several of these issues could be addressed under the scope of agroforestry as per the ICRAF SE Asia agenda. These are important areas that SEANAFE could focus upon, and possibly even attract additional funding for. Ideally, such issues could be addressed by SEANAFE through the production of new educational materials or procurement and distribution of existing materials, through training courses and perhaps by availing specialist services from time to time to institutions that show interest. Poverty and gender are examples of socio-economic issues which have in general not been a real domain of SEANAFE so far. Current member institutions are, by and large, forestry or agricultural institutions. Innovative thinking is required in order to find methods to emphasize such issues through SEANAFE.	• The beauty of agroforestry is that it can be expanded to include many topics. The suggested areas are quite important to the concept of integrated natural resource management. Increasingly, SEANAFE has established that agroforestry cannot be taught alone as 'a discipline', but rather as a science and practice that brings several disciplines together. So the suggestion of the evaluation team is quite pertinent.
A more pro-active role of SEANAFE at the regional level	
10. Some member institutions expressed a desire for SEANAFE at the regional level to be more active. Chiang Mai appears to be suitable at this point in time.	• SEANAFE's desire to be more active at regional level was limited during the last two years or so because of its determination to build national networks. The limited resources available would not have sufficed for both country and regional needs

The future role of SEANAFE at the regional level may include the following functions:	
11. Information clearing house – that has capacity to compile and disseminate information on science and technology in agroforestry and related issues of people-cantered INRM. Having a proactive role to lobby the parliament and government in member countries on the impact of agroforestry as a science and technology for the natural resource and environmental management. Provision of fund for the adaptation program to implement agroforestry concepts at each member country, such as training courses development and review, establishment of demonstration or financial support for the production and dissemination of educational materials. SEANAFE can pull expertise in agroforestry to be hired as regional experts (senior fellows) to share their experience with local counterparts in agroforestry development and or exchange.	• We agree, these are central roles for SEANAFE, regionally and nationally. Networks can bridge the barriers to knowledge sharing, which are common in SEAsia due to the linguistic and political and cultural diversity of the region.
Coordination meeting with RECOFTC	
12. As per its strategic plan RECOFTC has ambitions to embark on more intensive collaboration with selected universities. Synergies could be achieved and possible overlaps avoided by ensuring a good sharing of responsibilities between SEANAFE and RECOFTC. Cooperation on training materials may be one area where synergies could be achieved. A meeting between RECOFTC and SEANAFE is recommended to examine these possibilities.	• We agree. We would like to include other regional networks, programmes and institutions dealing with agriculture and environment. Discussions with RECOFTC have already been initiated.
Inviting Chinese participation in SEANAFE	
13. The scope for a Chinese participation has been examined through the separate study linked to this evaluation. The outcome is positive. The team would suggest ICRAF to invite Chinese participation primarily in SEANAFE, but perhaps also to some other components of INCA provided that ICRAF can secure a longer-time financial support to these activities. The forms and content of such participation need in that case to be discussed with the Chinese authorities.	• We think that China does have a very high potential. Our clear role is to help them to understand agroforestry as a science and practice (they are already doing the latter). Thus initial inputs may be in the form of training courses, awareness programmes and materials. • We will explore further the extent to which China's participation in the network can add value and perhaps be funded from their own resources.

2. Research and development capacity in Vietnam and Laos (VACB/ASP-V&L/Capacity building within INCA, 1998–2004)

The main conclusions of the evaluation (section 4.2 of the report)	**ICRAF response**
1. The activities have, indeed, contributed to better linkages between officials from forestry and agricultural research institutions in the two countries, to some extent also with the grass-root level and with the different programmes implemented by ICRAF SE Asia. The project started apparently off rather well and achieved good momentum in 1999.	• At the outset of the VACB project in 1998, Vietnam was characterized by a scattered institutional set up for agroforestry R&D. A fairly large number of universities, research centres and extension organizations were involved in, or were taking interest in agroforestry, but they lacked links among them. Furthermore, the institutions had very limited contacts with the regional agroforestry R&D community. The VACB project aimed at bringing institutions in the country together and exposing them to regional experiences, as a way to influence their programmes, build their capacity and identify promising areas for collaboration. ICRAF is of the opinion that this type of needs assessment probably would have been difficult to describe in detail in a log frame analysis (LFA).
2. After that period, however, the cost-efficiency seems to have deteriorated quite badly. This can, to a large extent, be attributed to lack of consistent behaviour from the donor, but ICRAF also shares responsibility by not taking action but to allow the project to continue in spite of most resources periodically being consumed by project management.	• The second phase of the project also included Laos. Then named ASP V&L, the project covered July 2001 – December 2002. ICRAF agrees with the evaluators that the quality of this project document was not up to normal standard. The specific experiences and lessons learned from the first phase (VACB) should have been better analysed and built upon. Perhaps the negotiation process between Sida and ICRAF, if handled differently, could have contributed to an overall more focused project document and better results? As it was, the 5-year project proposal was approved but only for 18 months, and without changes in the project document. • In its final phase, R&D is now one component of the INCA project – the other component being SEANAFE. At the request by Sida, the two projects were merged. The challenge was to blend the two rather different projects into one project document. ICRAF acknowledges that the project document is to some extent a patchwork. It was not possible to radically change the way that the R&D component in Vietnam and Laos had been programmed.
3. Both donor and implementing organizations ought to have initiated a review of the activities at an earlier stage	• As a final comment on this issue, what stands out is that the 6-year period included three projects, one 'bridging grant' and three no-cost extensions. It seems likely that an un-proportional amount of time – ICRAF's, Sida's and our partners' – was spent on dialogue about the next short phase. Is this a chicken-and-egg situation? Because of poor documents, the funding became short-term? And because of short-term funding, there was not enough time and resources committed to prepare a high-quality document? • ICRAF Senior Leadership Team has now set up a much stricter routine for project development and review, to avoid situations like this in future.

Socio-economic issues, poverty and gender	ICRAF agrees with the observations made by the Evaluation Team:
4. Weak involvement of socio-economic disciplines: 'Research capacity appears to have been built among researchers dealing with crops and trees, but less among researchers primarily dealing with people'	• Socio-economic competence in Vietnamese agriculture and forestry institutions is quite weak. While such competence does exist in other institutions, their links with ICRAF's key partner, the Vietnam Agriculture Science Institute (VASI) seem also weak. Multidisciplinary research teams are rare in Vietnam. In a country where ICRAF do not have resident staff to run a programme, ICRAF depends to a large extent on the policies, views and aspirations of our key partners. VASI is guided by the prevailing extension paradigm in Vietnam, which favours the dissemination of 'agroforestry blueprints (models)'. However, in the 2004 activities in Vietnam, these issues have been raised in several workshops, and socio-economic issues are to some extent included in current research programmes.
5. 'The Team did not find any clear strategy that ensured that the poorer segments of the mountain populations were the primary beneficiaries'…. 'On the other hand, though, it is also noted that households in most upland areas on average are poor'…	• VACB and its successors clearly focused on the upland areas of Vietnam. For example, in 2004, the main research project includes sites in Yen Bai, Ha Giang and Lang Son Provinces, all of them among Vietnam's poorest provinces. But when looking at individual targeting within an activity, the observation in the evaluation is probably correct, namely that activities did not target the poorest segments of the population. But it should also be said that this was not primarily a poverty alleviation project, it was a capacity building project for developing agroforestry in the uplands.
6. 'The team did not find activities that had been embarked upon with the specific aim to address the situation of women'.	• Gender: Vietnamese institutions are among the most male-dominated in SEAsia. Institutions usually assign senior or mid-career staff with good English competence to be responsible for international collaboration. There are very few women in this category. Female participants in workshops and other activities tended to be younger and in the beginning of their professional career. In other cases the females were administrative staff. This situation, combined with the weak socio-economic competence discussed above, also contributed to the absence of specific gender-related agroforestry activities.

Costs efficiency

7. Cost efficiency of planning and coordination:

- Efficiency of planning workshop (3 workshops cost US$23,000)
- VASI handled a fraction of budget and was poorly informed about total budgetary picture
- VASI coordination was more costly than the activities it coordinated, planning cost 3.6% were of the same magnitude as implementation cost 3.4%.
- Senior Capacity Building Specialist cost escalated from US$2,268 in 1999 to US$ 5,130 in first half 2001 (high cost with few activities), as well as during ASP V&L
- ICRAF seems not to have had capacity to intervene and supervise in the deteriorating situation and finally lost financially when the last disbursement was not approved by SIDA.
- The team noted that it was hard or impossible to know the expenditure per activity based on the information that was easily available. 'It is also apparent from the financial statement that the ASP V&L remained heavily biased towards Vietnam with activity costs in Laos being a mere 1% of those recorded in Vietnam.'

- **ICRAF shares the concerns** of the evaluation team regarding the ratio of costs for project coordination and operational costs during the periods of uncertainty over project continuation. Reviewing the figures quoted in the evaluation we would like to make the following comments:
- One problem in the financial analysis in the Evaluation (tables on p 25-29) is that staff costs are combined with administration costs and travel, and in the table on p 29, also the planning workshop. One could make the case that, for example, travel partly was to facilitate specific activities, and that national planning was an integrated part of activities that followed, rather than 'coordination'.
- We acknowledge the incomplete relationship between the financial reporting categories and the breakdown that the evaluators would have liked to see to judge cost effectiveness.
- The Lao participation was, however, more extensive than these figures imply since there was a considerable expenditure recorded on "Regional Linkages and Collaboration".

Use of partner's time

8. 'It was repeatedly stated in Vietnam that a small group of knowledgeable professionals were too busy attending workshops. …this project, with its rather modest budget … used 285 person days, largely from this group of busy senior people, on planning workshops during 1999 and 2000. … should the planning procedure have been more efficient by involving fewer people and/or by taking a shorter time?'

- As a general comment, it is a correct observation that in Vietnam, professionals attend a lot of workshops. There are several reasons why. One is financial: people get paid for attending workshops, supplementing their meagre government salaries. Then, seniority matters. Busy people in Vietnam seem to prefer to attend workshops themselves, rather than sending a less busy younger staff member.
- This project specifically, held annual planning workshops of 3 days each. They had the dual purpose of creating a forum for staff in different institutions to meet, and plan and prioritize activities for the coming year. The evaluation question would be how valuable the networking objective was in relation to the planning objective? This is no clear answer to this question. But ICRAF wish to emphasize that creating links and promote collaboration among Vietnamese institutions was one of the objectives of the project.

Lack of mid-term review

9. No significant mid-term review or evaluation was commissioned until the present evaluation

- The 5-year ASP V&L project document envisaged an external mid-term review in year 3 to review progress and suggest ways to improve project performance. However, as the 5 year project was reduced to 18 months, this item was not included.
- In retrospect, ICRAF tends to agree with the evaluators that a mid-term review in 2001 would have benefited the latter part of the project. But this was never brought up in the dialogue between ICRAF and Sida.

Evaluation Recommendations on this component	
10. Seek funding for the GIS project in Laos through bilateral sources	• We are pleased to report that some progress was made on this issue after the review.
11. Explore if VACB and its successors have resulted in a foundation that can be utilized for development of new activities with a longer time horizon and with clearer ambitions, and which would fit the MMSEA programme in a way that is easy to comprehend.	• A number of broader initiatives currently developed in Vietnam by ICRAF and international partners (incl. RUPES and CIFOR) reach out to other national partners beyond those involved in VACB and ASP&VL, but certainly build on the basis and relationships that were formed. These new initiatives relate to the broader issues of 'tree and markets'; farmers' land management options for the uplands; environmental services in multifunctional landscapes; and governance issues (including options for pro-poor environmental service reward mechanisms).
12. ICRAF ought to look into possibilities for a deeper multi-disciplinarily in implementation of future activities, also involving social sciences, and as a result, possibly also involving other institutions than has been the case so far, especially in Vietnam. Development of a collaborative research agenda addressing poverty and production issues in the mountainous mainland of SE Asia by building further on the contacts between ICRAF and the research organizations that have a focus on mountain areas in Vietnam, Laos, China (CBIK) and Thailand	• We agree. To study such issues, multiple disciplines–both social and natural sciences—need to work together.

3. Scope for a major restart with focus on upland policy and research with links to identified suitable institutions in Thailand, Laos, Vietnam and China.

ICRAF response

We agree with and appreciate the evaluation team's suggestion regarding a possible 'restart' of our research programmes in Vietnam and Laos, with a focus on upland policy and research with links to identified suitable institutions in Thailand, Laos, Vietnam and China.

Indeed, ICRAF is already working on ideas and explorations aimed at developing a framework for more systematic study of mountain area agroforestry landscapes in the context of local livelihoods and environmental services within and among these four countries. Three dimensions of the emerging focus of this framework include:

1. Thematic Focus

Given the mandate of ICRAF and its global and regional strategic priorities and plans, we are seeking to move toward improved focus and regional coherence of our research and development programme in mainland Southeast Asia. Our interactions and dialogues in all countries of the region have consistently indicated that the highest priority for our research and development programme should be on mountain area regions where there is a convergence of concerns about rural poverty and environmental sustainability. Accordingly, we are placing the primary focus our research and development programmes on the role of trees in rural livelihoods and landscapes in the 'Montane Mainland Southeast Asia' (MMSEA) eco-region. This is where most of the rural poor and ethnic minority communities are located, and where complex landscapes with mosaic patterns of agriculture and forestry are expected to provide environmental services – especially watershed functions and biodiversity – that are seen as having critical importance for the future sustainability of downstream and other wider levels of society. Thus, we also are viewing MMSEA within the context of the region's river basins, protected areas, and evolving economic systems.

Given this fairly broad thematic focus, we are now in the process of seeking to sharpen the institutional and geographic focus of our programmes in each country. As part of this process, we are seeking to identify the more specific themes that reflect priorities in each country. Comparison of more specific and operational themes across countries will allow us to make further iterations at the regional level to further sharpen our overall focus and assure that it continues to evolve in directions that are most appropriate and useful for all partners involved.

2. Institutional Focus

As part of efforts by governments in this region to strengthen analyses and support services for improved livelihoods and land use in upland areas, we are seeing the emergence of new institutional units with mandates focused on issues and needs of upland communities and landscapes. These centres are all physically located in mountainous areas of the MMSEA eco-region and are all at least potentially well positioned to link with policy decision makers at multiple levels of each country. Moreover, since they are a reflection of major policies and strategic plans in each country, they also provide a strategic level for practical substantive interaction and collaboration among people and institutions in all four countries working to understand similar sets of issues and develop processes that can more effectively address location-specific problems in the complex context of mountain area landscapes. Thus, ICRAF is seeking to explore how we can best engage with and support work with these intermediate-level institutions, and facilitate effective collaborative linkages with other key actors both within and beyond national boundaries.

- In Vietnam, the Northern Mountainous Agriculture Research Centre (NoMARC) has been established at Yen Bai, under the Vietnam Agricultural Science Institute (VASI). This centre is seen as a focal point for problem-solving research and linkages with extension programmes relevant for upland areas, especially in the Red River basin. The last phase of Sida-supported activity has included a range of studies and workshops aimed at developing an upland research strategy for NoMARC. The emerging establishment of an over-arching structure under the Ministry of Agriculture and Rural Development (MARD) that will link VASI more closely with units such as the National Institute of Soils and Fertilizers (NISF), with which ICRAF has also been collaborating, as well as with units focused on other important dimensions such as fruit trees and perhaps agricultural economics, may help to facilitate improved collaboration needed in addressing complex issues in mountain area agroforestry landscapes. We are also exploring with Hanoi Agriculture University how we can build collaborative partnerships that can help bring additional creativity and wider disciplinary inputs into these efforts, and have begun an informal dialogue with the new Ministry of Natural Resources and Environment. At the same time, we are collaborating with Hue University of Agriculture and Forestry (HUAF) and various international partners in exploring approaches for addressing environmental service concerns in a river basin context.
- In Laos, the Northern Agriculture and Forestry Research Centre (NAFReC) has been established in Luang Prabang by the National Agriculture and Forestry Research Institute (NAFRI) of the Ministry of Agriculture and Forestry (MAF). At the request of MAF, most of ICRAF's efforts in Laos have focused on collaboration with NAFRI's Integrated Upland Agriculture and Forestry Research Project (IUARP) in Luang Prabang, and under the last phase of Sida-supported activity ICRAF began collaborating in efforts to build capacity at NAFReC to utilize spatial information systems as an important tool in their programmes, including links with both local pilot projects and policy levels in Vientiane. During 2003, ICRAF also collaborated with NAFRI in conducting a review of upland policies for upland areas of northern Laos for IFAD. We are now seeking to coordinate future planning with efforts to design a new follow-on phase of Sida support for development of programmes at NAFRI and its linkages with extension systems.

- In Thailand, the new Ministry of Natural Resources and Environment (MoNRE) has established a northern regional watershed research office, and is developing regional-level capacity related to management of forest and water resources. It is also charged with a high-priority effort to develop multi-level, multi-sectoral management organizations and integrated development programmes for the Ping River Basin, which is to serve as the leading pilot project for developing similar organizations and programmes for the other 24 official river basins of the country. ICRAF action research programmes in northern Thailand are making significant contributions to these efforts, and the Senior Policy Analyst at ICRAF Chiang Mai has been engaged by MoNRE as a consultant for planning the Ping Basin programme. Moreover, the ICRAF Chiang Mai office is located within Chiang Mai University, and its programmes have also included very active collaboration with Thai non-governmental organizations and Royal projects.

- In China, a new centre for international cooperation has been established under the Chinese Academy of Science (CAS), located on the main campus of the Kunming Institute of Botany (KIB). At the invitation of CAS, ICRAF has recently moved its office to this new centre, from which it is continuing to build its network of collaborative relationships in Yunnan.

These evolving institutional relationships are still a 'work in progress'. We are aware of various institutional and disciplinary gaps in each country – some of which are mentioned in the evaluation report – and we are actively seeking to explore ways to address these issues.

3. Geographical Focus

ICRAF programmes across mainland Southeast Asia have a primary focus on agroforestry landscapes in mountain area regions where most of the rural poor and ethnic minority communities are located. In order to provide further focus for the diverse range of activities necessary to strengthen the types of systematic interdisciplinary and multi-institutional research and development activities needed, we are seeking to identify 'benchmark' areas in each country:

- In Thailand, we have already achieved very substantial progress by focusing a wide range of research and development activities within the 4,000 square kilometre Mae Chaem sub-basin of northern Thailand's Ping River Basin, which has served as our 'benchmark' research site. Building on the results of this integrated work, ICRAF and our partners in Thailand are now beginning a process of expanding our systematic analyses to the wider Upper Ping Basin, which covers about 25,000 square kilometres.

- In China, our much newer programme in Yunnan province is developing a 'benchmark' area for research and development in Baoshan, in the upper Salween river basin, as well as a somewhat less intensive site in the Xishuanbanna portion of the Mekong river basin.

- In Laos, the Pak Oud district of Luang Prabang has served as the primary 'benchmark' site for our collaboration during the last few years. We are now seeking to collaborate with NAFRI and their Sida-supported technical assistance project in exploring strategic approaches for systematic expansion of this benchmark area during coming years.

- In Vietnam, we are currently exploring two areas for possible establishment of complementary 'benchmark' sites. Ha Giang province has strong potential for providing a 'benchmark' site for work in upland areas of the Red River valley in northern Vietnam, which could include linkages with strategically important development programmes supported by Sida and IFAD. The second possible site in Hue province could provide a site in a much smaller river basin that still includes a substantial range of stakeholders and complexity, which could be suitable for pilot action-oriented research on innovative ways to manage and maintain environmental services.

The view of the evaluation team is encouraging for our continuing efforts. While our efforts are anchored in the local-to-national concerns of our partners, a very important part of what we can bring to these partnerships centres on exchange, interaction, and collaboration at the regional level.

These evolving dimensions of focus for our programmes are also well matched with directions at the overall Southeast Asia level. The ICRAF Southeast Asia programme allows us to provide linkages with additional experience in Indonesia and the Philippines, and provides a venue within which ICRAF and our partners are building various 'toolkits' useful in addressing many of the issues that are high priorities for our partners. And, of course, still wider interaction and channels for adaptation and dissemination in the region is also provided by SEANAFE and its national networks of educational institutions.

ICRAF would welcome further dialogue regarding aspects of how our evolving regional approach might match with Sida's evolving priorities in the region.

Appendix 15A: SEANAFE Board's response to Sida's evaluation

Prepared by the SEANAFE Board, 2–4 November, 2004

General remarks and observations

The Board of the Southeast Asian Network for Agroforestry Education (SEANAFE) noted with appreciation that Sida has supported the network since its inception in April 1999, as well as the needs assessment that preceded SEANAFE. Sida's support has created a regional forum for sharing knowledge on agroforestry and natural resource management that would otherwise not have existed.

In 2002 SEANAFE established five national sub-networks, following the recommendations of a mid-term review. The Board appreciates the Evaluation's observation that SEANAFE responded vigorously to most of the recommendations of the 2001 mid-term review.

The national networks are now fully functional, but are not yet able to raise substantial funds for their activities. During their first years, the national networks have worked rather independently, addressing their respective national priorities. With the national networks now in place, SEANAFE will in future shift focus towards important regional issues. SEANAFE will aim at jointly analyse regional problems and sharing knowledge among countries and institutions. Partnership with regional institutions will become increasingly important.

SEANAFE has become known internationally and is represented on the Steering Committee of the International Partnership on Forestry Education (IPFE), since 2003. SEANAFE has started to generate international public goods, e.g., by implementing a regional FAO study on forestry education. The Board also noted that institutions in Malaysia and southern China have expressed an interest in joining SEANAFE.

The Evaluation observed that facilitation of research connectivity proved to be a harder task than anticipated, and that linking agroforestry education to the extension system and practice in the field could have been worked harder upon. The SEANAFE Board agrees with the evaluators that research and extension are core elements of capacity building. SEANAFE has made in both areas, but at a slower pace than expected. For example, the language barriers in SEAsia are a constraint to writing solid research proposals that can be reviewed regionally. The national networks has over the past 2–3 years created a platform from which both research and extension links can be better addressed.

The Board finally noted that the focus of SEANAFE is changing from the initial establishment of regional and national networks, towards:

1. A regional networking function that can facilitate resource mobilization, provide technical assistance, teaching materials support and coordination of joint regional projects. These projects would: (a) translate global/regional issues and analyse local implications in the respective countries; (b) compile research results, new knowledge and experiences; and (c) facilitate sharing among members.

2. Regional projects to address specific, targeted problems at the interface between poverty alleviation and environmental conservation, in order to build the capacity of the future leaders in Southeast Asia. These projects will deal with agroforestry in the context of natural resource management. These projects will be implemented jointly by national networks. Separate funding for such projects will gradually be mobilized from national and international sources, thus broadening the networks' funding base.

Comments on recommendations to SEANAFE

The Board reviewed the evaluation's recommendations to SEANAFE. The Board's response in provided below:

Recommendation 1. The need for solid educational materials

SEANAFE Board's Response

- The Board confirmed that teaching materials development in agroforestry is a main thrust of SEANAFE. The Network will continue addressing this need with attention paid to the rapidly changing environment in the management of SEAsian landscapes. To include global issues, such as the Agenda 21 conventions, in such materials will be important.

- The Board recognizes that SEANAFE is a channel for sharing knowledge regionally. SEANAFE will link with other regional initiatives in SEAsia, such as the Alternatives to Slash-and-burn (ASB).

- The meaning of 'solid educational materials' will need to be defined in dialogue with member universities and national networks, to assure that materials are demand-driven.

- Text books are important. But they need to be flexible so that new research results can be easily included, and national context be taken into account. Case studies, CDs, etc., will be important complements to written materials. Therefore, an 'evolutionary' type of material, rather than a fixed textbook may be a better option. Modular products are also more easy to translate.

- For post-graduate programmes, it is important to make scientific journals available. It is important to share information of free scientific journals that are now available via the Web.

Recommendation 2. The subject agroforestry

SEANAFE Board's Response

- The Board confirms the observation that the understanding of agroforestry is diverse and that teaching materials will help clarify the broader concept.

- SEANAFE has already started to address this issue, through training of trainers. But some faculty, especially younger staff , may not have been exposed to this training.

- SEANAFE should analyse the reasons why the understanding of agroforestry differs among institutions and countries. SEANAFE should produce 'Frequently Asked Questions on Agroforestry', to be widely distributed in printed format, as well as electronically.

- The Board observed that the view of agroforestry is also influenced by other, sometimes conservative, disciplines related to land use. There is need to better integrate agroforestry with related subjects such as animal science, etc. But SEANAFE may not have the capacity/time to interact with the large number of lecturers and students in member institutions.

Recommendation 3.
Better linkages to the extension systems as well as to other development projects

SEANAFE Board's Response

- The creation of SEANAFE's national networks in 2002 improved the ability to link with extension. The work has just started. For example: in the Philippines, PAFERN decided in 2003 to accept extension organizations and NGOs as associate members. In Vietnam, one provincial extension centre is now a member of SEANAFE.
- Some institutions have good links with local government units and communities. SEANAFE will compile such experiences and share them nationally and regionally.
- Universities provide service to the extension system, by offering training courses. Open universities have particular important links to the extension: their students are often employees of extension organizations. SEANAFE will trace these experiences in a more systematic manner.
- The Board recognizes that links with extension systems and communities provide a venue for field learning experience for students. Working with local communities near campus or via demonstration farms/forests is important.

Recommendation 4.
Use SEANAFE to address some new topics that may not be well addressed in education so far

SEANAFE Board's Response

- The Board confirmed that addressing new issues that relate to agroforestry and NRM is a main strategy for SEANAFE.
- Agroforestry is becoming a major strategy for the development of uplands, where poverty is concentrated. SEANAFE contributes to policy implementation by educating future leaders. This, in turn will help nations attain the Millennium Development Goals.
- SEANAFE has a comparative advantage in compiling and sharing knowledge, e.g. through teaching materials, case studies on the link between poverty alleviation, and environmental conservation.
- The Board emphasized the need for continued links with ICRAF, to stay tuned with research results. SEANAFE will also continue and intensify collaboration with FAO and RECOFTC.
- The Board agrees to the observation that gender analysis has been week in SEANAFE, reflecting the high male/female ratio among senior lecturers and university leaders in the region. In future projects, gender analysis must be integrated in project design and implementation.

Recommendation 5. A more proactive role of SEANAFE at the regional level

SEANAFE Board's Response

- The SEANAFE Board emphazises that national networks do need more support from the region. The national structure and organization is in place, but regional exchange and support is needed to add value.

Recommendation 6. The future role of SEANAFE at the regional level

SEANAFE Board's Response

- The Board agrees that sharing knowledge is an primary function of SEANAFE's regional level.
- The regional and national levels have different, but complementary roles in the lobbying regarding agroforestry and NRM.
- SEANAFE can compile and analyse international/ regional issues and share such information with the National networks. The national networks provide a link to the national policy process. Second, they will also build capacity regarding the national policy process
- Resource mobilization at regional level, and assistance to national resource mobilization will be important tasks for the regional SEANAFE in the future.
- The Board emphasizes that regional exchange of expertise is important.

Recommendation 7. Coordination meeting with RECOFTC

SEANAFE Board's Response

- SEANAFE Board will set up a meeting with RECOFTC leadership. The Board noted that some of SEANAFE members already work with RECOFTC. Conflict management and facilitation skills, gender analysis and participatory tools and methods are among the strong areas of RECOFTC.
- Other regional centres, such as FAO, SEARCA, IIRR, CIFOR are also important regional partners. SEANAFE will seek to strengthen these links.

Recommendation 8. Inviting Chinese participation in SEANAFE

SEANAFE Board's Response

- The SEANAFE Board welcomes collaboration with institutions in Southern China. The Board further noted that RECOFTC also works with Southern provinces of China. Collaboration with Malaysia as well as other ASEAN countries (particularly Cambodia, East Timor, Myanmar) is also of interest.

Recommendation 9. National networks are encouraged to follow the PAFERN example by trying to secure additional funds from sources other than Sida/ICRAF.

- The Board emphasized that the work to mobilize financial resources nationally has just started. More time is needed to make significant progress.

Chiang Mai, November 4, 2004,

Dr Monton Jamroenprucksa	*Dr Virgilio Villancio*
SEANAFE Chair	SEANAFE Vice Chair

Appendix 16. Sida's management response to the evaluation "Integrating Natural Resource Management Capacity in Southeast Asia"

Background

Sida has supported the World Agroforestry Centre, ICRAF in Southeast Asia since 1997 mainly through the projects Vietnam Agroforestry Capacity Building Project (VACB), Agroforestry Support Project for Vietnam and Laos (ASP V & L) and the Southeast Asian Network for Agroforestry Education (SEANAFE). The purpose of the present evaluation has been to study how the projects have fulfilled its objectives and draw conclusions for Sida in Sida's work to re-formulate the support to regional activities.

Conclusions from the evaluation

The evaluation concludes that the projects have performed fairly well and that the supported activities remain relevant both from a Swedish policy perspective and from a perspective of the countries in the region. However, the evaluation shows that implementation and progress at certain times was slowed down due to weak input from Sida as an active dialogue partner (both in terms of management and subject matter/technical issues) and long term commitment from Sida. This in turn resulted in uncertainty and hesitance within the projects. . The main contributing factor for this was the delay of Sida response to an application to prolong the project during 2003 and 2004. Sida can only regret that heavy workload and staff turnover sometimes have resulted in poor management and, specifically, delays in processing applications. At the same time, it should also be noted that the implementing organisation, ICRAF, with its large "in-house" capacity and competence, should be able to, to a certain extent, manage and pursue the projects and their issues well without too much management input from Sida.

The evaluators point at the fact that the cost for project coordination has been quite high, especially for VACB and ASP V&L. Sida shares the evaluators' concern, but would also like to point at the fact that the results partly depend on how expenses are categorised. ICRAF has to a great extent worked with capacity building of agroforestry institutions and networking. Thus, what sometimes can be viewed as a coordinating and administrative task has really been part of the planned project activities in order to achieve project goals.

Lessons learnt

The rapid and diverse social development in the South East Asia region during the 1990s was both difficult to predict and to plan for. Projects supported by Sida under the cooperation with ICRAF were designed with flexibility in mind to study these changes of which the projects also were part. Due to the nature of the rapidly changing environment in SEA, Sida should have paid much more close attention to the "ICRAF projects", not only for the projects' sake themselves but also for channelling the interesting and important information, coming out of the projects, into the Sida bilateral support in the region.

At the same time, it is evident that the "ICRAF projects" have had a positive impact on the institutions in the region in which the projects have operated. Although Sida specific activities, supported by bilateral channels, might not have benefited to the full potential, other institutions and organisations have benefited from the activities and the issue of policy research has been receiving increased interest from other stake-holders in the region.

In addition to building local (regional) capacity in the field of policy research, it is also important for Sida to review its priorities for involvement in activities such as the projects supported under ICRAF. With the transformation of the Sida organisation, where the field is given most of the responsibility for planning, implementing and follow-up of the bilateral Swedish support, it is very important that sector departments in Sida/HQ carefully review the issue of becoming "centre of excellence" for the subject matter they are responsible for within Sida. In light of this, supporting and taking an active and learning role in the implementation of projects focusing on policy and policy research is vital for Sida in order to be able to provide valuable support to the Sida field offices. This is, however, a resource demanding role difficult to fulfil when capacity is scarce and turnover of staff is high.

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