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# **Technical Assistance for REDD+ Implementation: Climate change mitigation through social forestry actions in ASEAN countries**

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# Climate change mitigation through social forestry actions in ASEAN countries

## Workplan and Budget

### (Switzerland contribution to UN-REDD Asia technical assistance<sup>1</sup>)

22 December 2021

## 1. Context

The role of forests and trees in Nationally Determined Contributions (NDCs) of member countries of the Association of Southeast Asian Nations (ASEAN), is significant. A regional analysis of NDCs in Asia found that around 82 percent of countries in the South-Eastern region included at least one or more mitigation policy or measure promoting mitigation on forest land<sup>2</sup>. The majority of the countries aim to reduce land use emissions and/or enhance removals on forest land by reducing degradation and promoting sustainable forest management (SFM) (82 percent of countries with mitigation in LULUCF), followed by afforestation/reforestation (73 percent) and reducing deforestation and improving forest conservation (73 percent). Other countries, as for example, Thailand, have not included forestry in their mitigation targets but instead included forestry as part of their NDC adaptation targets; “increase national forest cover to 40% through local community participation, including in particular headwater and mangrove forests to enhance adaptive capacities of related ecosystem”<sup>3</sup>. Countries in the region have recently started to update their NDCs, for example, Cambodia put increased weight on emission reduction from the forest sub-sector (59.1% of the overall reduction conditional on international support), through improved management and monitoring of forest resources and forest land use, strengthened implementation of sustainable forest management and approaches to reduce deforestation, build capacity, and engage stakeholders.

Social forestry involves local people in forestry activities with clear objectives on increasing livelihoods and providing direct benefit to the communities. It can include small-scale forest activities undertaken on common lands, community forestry, farm forestry on land managed by the farmers, rehabilitation of degraded and abandoned farmlands by individuals, communities, etc. While forests and trees gained a certain level of attention in the NDCs in the region, the connection to forest-dependent communities is however often still loose or not evident. Most countries – with limited exceptions as the case of Lao PDR - are still not well capturing such social forestry activities in their NDCs or national climate change frameworks. Even if zooming in Reducing Emissions from Deforestation and Forest Degradation (REDD+) – where consultations, stakeholder engagement and participation have been at the very essence of the process - integration of specific social forestry activities as concrete actions to reduce deforestation and related carbon emissions still did not get to its full potential.

Such limitation could be a reflection of the step wise approach of the REDD+ process the countries have followed/are following, where the initial focus (10 out of 12 Forest Reference Levels in Asia) for implementation has been on activities with the highest emissions reduction potential such as addressing and reducing large scale deforestation. Countries have also decided to initially focus efforts on activities where more data was at hand; due to costs involved and technological barriers to monitor more fine-grained activities at a national scale, and because social forestry mitigation actions were driven by other actors such as private sector or NGO’s with emission reductions achieved sold on the voluntary market not directly adding to the countries’ own contribution. An example of this is Thailand, which – even if referring to local community

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<sup>1</sup> ATLAS project 00125685

<sup>2</sup> FAO, 2020. Regional analysis of the nationally determined contributions in Asia – Gaps and opportunities in the agriculture and land use sectors. Environment and Natural Resources Management Working Paper No. 78. Rome, FAO. <https://doi.org/10.4060/ca7264en>. It is to be expected there will be periodic updates. In such an update we could explore to include a brief on inclusion of SF in NDCs.

<sup>3</sup> Thailand’s Intended Nationally Determined Contribution (INDC), 2015

participation in its NDC – in its recent submitted Forest Reference Levels and Forest Reference Emission Levels (FRL/FREL) to the UNFCCC it is initially and primarily focusing attentions in national parks and larger forest complexes, since the available data on private and farm forestry was quite limited. In the discussion on FRL, the technical working group has however already indicated interest to improve forest/tree data for individual farmers and companies and potentially look at domestic offsetting schemes to promote forest activities as part of the upcoming NDC. The issue of data limitation in the granularity applicable to social forestry, and related monitoring, is however progressing. Step forward to remove the barrier to include more fine-grained forest activities have been done by recent developments in the System for Earth Observation Data Access, Processing and Analysis for Land Monitoring ([SEPAL](#)) developed by FAO to help countries monitor and report on forests and land use, with access to satellite data, an easy-to-use interface, and cloud-based computing power, and by procurement of high-resolution imagery by NICFI<sup>4</sup> to support monitoring efforts to stop the destruction of the world's rainforests.

National and local capacities need to be strengthened to assess the potential contribution of social forestry management schemes towards climate change mitigation, develop the required monitoring systems suitable to local context and create the necessary enabling environment to include social forest mitigation efforts in implementing and further revising NDCs. Social forestry uptake across ASEAN faces significant capacity barriers to establish successful and self-sustaining enterprises, and for those that have been successful, the right financial tools are often not easily accessible. The evidence base for social forestry at scale in the ASEAN region needs to attract finance, particularly from the private sector, in support of the implementation of the NDCs.

The advantage of better linking social forestry to nationally determined contributions for countries in Asia-Pacific was already highlighted in 2019 ([“Forestry in NDCs of Asia-Pacific countries: 2020 vision”](#) and [side event](#)). The discussion also recommended for forest-dependent communities take advantage of opportunities, review negative consequences, and seek appropriate financial and technical support in connection to mitigation and adaptation policies and strategies in the NDCs. UN-REDD could come as a neutral broker at this purpose, providing technical, solid and scientific base support to countries at this purpose.

Nature-based solutions (NbS) and Ecosystem-based Approach (EbA) have received significant political attention as major response options that could generate about a third of the additional mitigation needed in the short term. Forest are the largest, Nature-based Solution and Ecosystem-based Approach ready to deliver large-scale emission reductions before 2030. As the Secretary-General underlined: “Drastically reducing deforestation and systematically restoring forests & other ecosystems is the single largest nature-based opportunity for climate mitigation”.

Forests have a massive mitigation potential of 4.1 – 6.5 GtCO<sub>2</sub>e by 2030<sup>[1]</sup>. This potential can only be fully realised by reducing emissions through halting deforestation and forest degradation, as well as removing carbon from the atmosphere through sustainable forest management, forest conservation and forest ecosystem restoration.

The [UN-REDD Programme Result Framework for 2021-2025](#) reflects the intended contribution of Forest-based Solutions (FbS) to the emerging Nature-based Solutions (NbS) movement, which gained a critical mass of political support at the 2019 Climate Action Summit. It recognizes forests as a unique natural capital, able to simultaneously address climate change, safeguard biodiversity, enhance rural livelihoods and sustain indigenous lifestyles. UN-REDD aspires to support countries unlocking FbS as key solution to the climate

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<sup>4</sup> NICFI has entered in a contract with partners to provide access to high-resolution satellite imagery for the tropics in order to support REDD+ efforts. This imagery is also available through SEPAL to allow for cloud-based analysis. See: <https://www.nicfi.no/current/new-satellite-images-to-allow-anyone-anywhere-to-monitor-tropical-deforestation/>

[1] Page 186 of the IPCC [Special Report on Climate Change and Land](#).

emergency, notably through REDD+. The Social Forestry initiative presented in this document will therefore build on and further leverage forest and Nature-based Solutions.

The “Climate change mitigation through social forestry actions in ASEAN countries” presented in this document (hereafter referred to as “UN-REDD ASEAN Social Forestry and NDCs initiative” or simply the “Initiative”) will be implemented in the framework of, and in support to, the achievement of the **UN-REDD Results Framework 2021-2025 Outcome 3 (Forest Solutions Enhanced)**, with specific contributions to the progress towards assessing, accelerating and enhancing NDCs mitigation actions in the forest and land-use sectors (3.1).

## 2. Geographic focus

The UN-REDD ASEAN Social Forestry and NDCs initiative will allow for the generation of evidence base for scaled up social forestry contribution to climate mitigation in/for a number of countries in the ASEAN region, building on ongoing programmes and lessons learnt from previous work. The Initiative will entail regional work in ASEAN (described in section 5. Summary of regional level engagement) as well as more directed/focused work in specific countries: **Cambodia, Indonesia, and Lao PDR**. The evidence generated will be shared with the ASEAN Working Group (AWG) on Social Forestry (AWG SF) and AWG Forest and Climate Change (AWG FCC) member states for dialogue and recommendation, which will inform preparation of guidelines and materials.

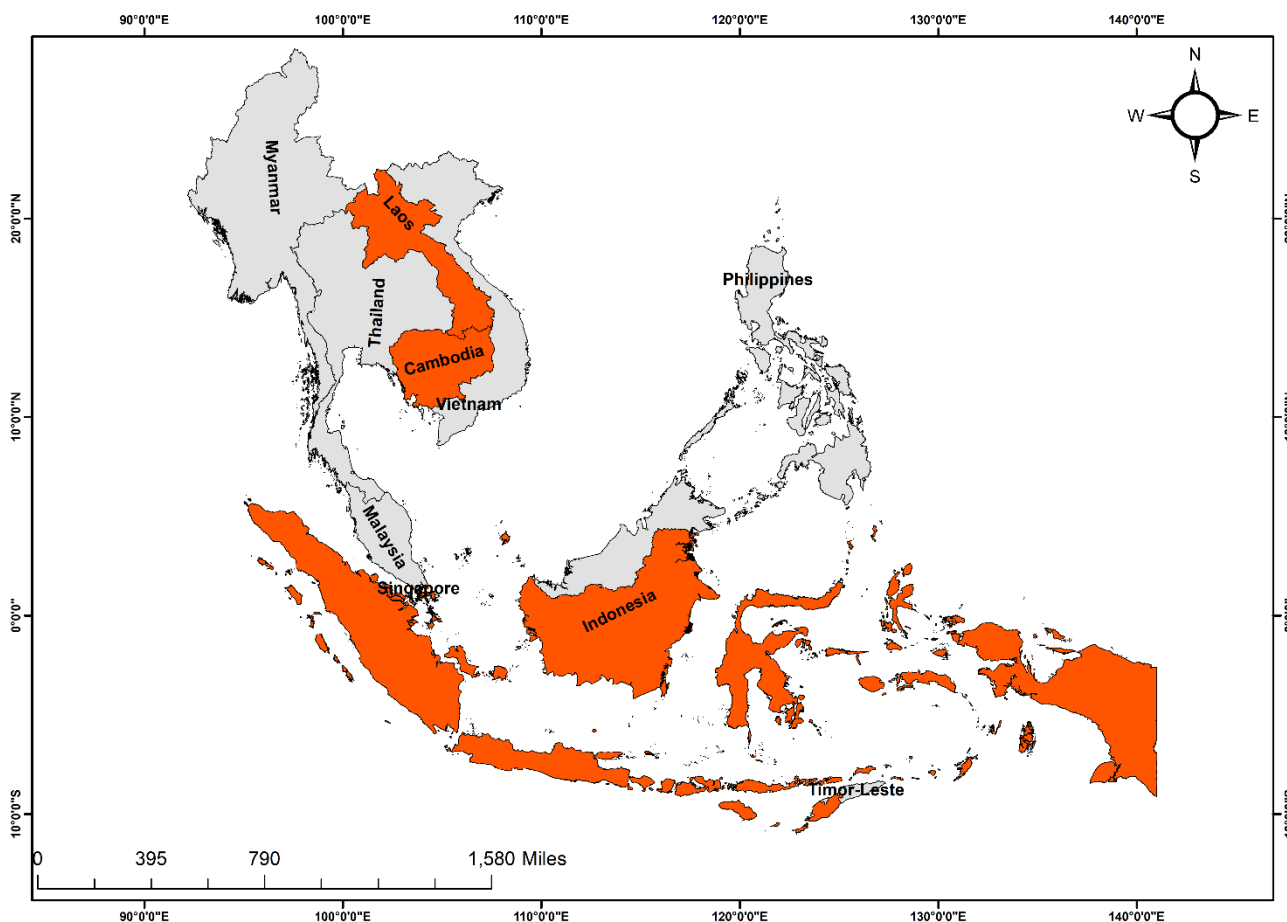


Figure 1 Focus countries: Cambodia, Indonesia, and Lao PDR

## **ASEAN – Association of South East Asian Nations**

Most of the ASEAN member states (AMS) are committed to advancing social forestry and have established ambitious targets for expanding social forestry significantly in the next decade<sup>5</sup>. To help achieve their targets, each country has put in place a range of policies and measures designed to support the expansion of social forestry and climate change.

With significant support from the ASEAN-Swiss Partnership on Social Forestry & Climate Change (ASFCC), social forestry is now widely recognized within ASEAN and AMS as a viable and positive approach for achieving sustainable forest management, including delivery of important climate change related benefits. The main goal of ASFCC was to contribute to food security through sustainable, efficient and effective use of land, forest, water and aquatic resources by minimizing the risks and impacts of, and the contributions to climate change. It had two specific objectives:

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

Despite significant progress certain challenges remain. Key hindering factors identified in final evaluation of the ASEAN-Swiss Partnership on Social Forestry & Climate Change (ASFCC): (i) slow application of policies in many AMS; (ii) lack of a comprehensive monitoring, evaluation and learning system; (iii) frequent turn-over of AWG-SF focal points; and (iv) resource limits. Another key challenge that remain is the lack of reliable data in some AMS, hindering monitoring and evaluation of social forestry progress; data and assessments are essential for tracking the contributions of social forestry to sustainable forest management and climate change mitigation and adaptation, as well ensuring impacts of climate actions<sup>3</sup>. The Initiative also takes note that while good progress has been made in most AMS over the past decade, there has also been occasional stagnation of progress and backsliding as a result of inconsistent policies, eroding political commitment, and that data collection and reporting at AMS levels often lack the rigor and comprehensiveness needed to effectively track the benefits and impacts of social forestry, something that becomes even more apparent when discussing social forestry contribution to national mitigation targets, or incentive mechanisms.

The UN-REDD ASEAN Social Forestry and NDCs initiative links to objective 1 of the ASFCC, and it specifically ties into Phase III (Consolidation and institutionalization of social forestry into national climate change adaptation programs and REDD+, NDCs and regional cooperation initiatives). Key positive lessons will be taken forward by this UN-REDD ASEAN Social Forestry and NDCs initiative, such as ensuring sustained commitment over time, working closely with and where applicable through formal ASEAN mechanisms, providing policy advice grounded by practical field implementation experiences such as through the proposed work in 3 focus countries, and maintaining the dialogue with AWG-SF and furthering dialogues with AWG-FCC and the ASEAN Senior Officials on Forestry (ASOF).

The UN-REDD ASEAN Social Forestry and NDCs initiative is expected to contribute to the ASEAN Economic Community (AEC) Blueprint 2025 in particular measures under C.5 food, agriculture and forestry and strategic plan of action (SPA) for ASEAN cooperation in forestry 2016-2025 on increasing resilience to climate change, natural disasters and other shocks and further enhancing sustainable forest management. Specifically, the initiative also complements and supports the implementation of POA for ASEAN cooperation in social forestry 2021-2025 and POA for ASEAN cooperation in forest and climate change 2021-2025 (detail in annex 3).

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<sup>5</sup> [ASEAN-Swiss Partnership on Social Forestry & Climate Change \(ASFCC\): Final Evaluation Summary](#)

This initiative was initially presented at the 24<sup>th</sup> ASEAN Senior Officials on Forestry Meeting held virtually on 8<sup>th</sup> September 2021. The ASOF noted the initiative and encouraged the development of a proposal with implementation arrangement and to discuss with the ASEAN Secretariat for further facilitation with AMS.

### 3. Outcome, outputs, activities

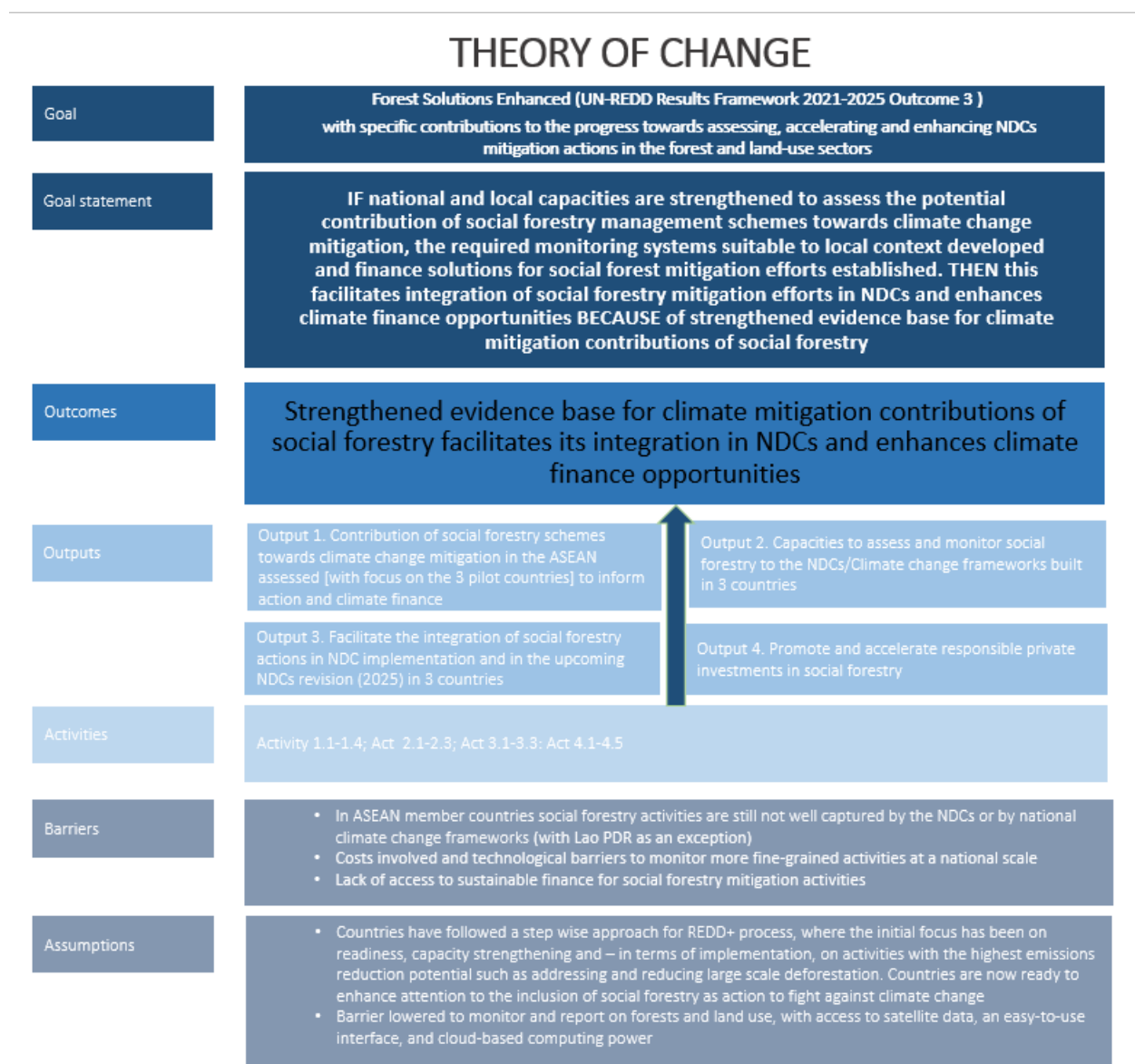


Figure 2 Theory of Change

The main outcome of the initiative will be a strengthened evidence base for climate mitigation contributions of social forestry that facilitates integration of related actions in NDCs and that enhances climate finance opportunities.

The outcome will be achieved with the achievement of four outputs:

**Output 1. Contribution of social forestry schemes towards climate change mitigation in the ASEAN assessed to inform action and climate finance**

The aim of this output is to assess the potential extent of social forestry interventions and potential mitigation contribution in the ASEAN, with particular focus on the 3 pilot countries [see Geographical focus], in order to provide the ASEAN working group on Social Forestry (AWG-SF) and AWG Forest and Climate Change (AWG-FCC) recommendations to scale up social forestry interventions in contribution to climate change mitigation. The output also aims to attract climate finance and to provide support to mobilize investment in two/[three] identified social forestry mitigation programmes by creating required information/evidence.

**Output 2. Capacities to assess and monitor social forestry to the NDCs/Climate change frameworks built in 3 countries**

The aim of output 2 is to enhance existing capacities<sup>6</sup> in 3 pilot countries to capture climate change mitigation contributions of various social forestry interventions. The capacities will be built within the National Forest Monitoring Systems established to report on REDD+. Scalable methods will be applied to monitor social forestry interventions and capacities of both national governments and local stakeholders build. The ASEAN working group on Social Forestry (AWG-SF) and AWG Forest and Climate Change (AGG-FCC) will be involved in the discussion on methods as well as lessons learned.

**Output 3. Facilitate the integration of social forestry actions in NDC implementation and in the upcoming NDCs revision (2025) in 3 countries**

The aim of output 3 is to facilitate the integration of social forestry actions in NDC implementation and in the upcoming NDCs revision. Dialogues on forest-related targets and actions will be facilitated and supported. The output will also support enabling aspects in support of forest related NDC investments, advocacy on customary tenure rights in forest landscapes to ensure long-term mitigation actions, and support 3 countries to develop and/or strengthen incentive schemes that would encourage social forest mitigation actions.

**Output 4. Promote and accelerate responsible private investments in social forestry**

The aim of this output is to identify successful social forestry enterprises in the 3 pilot countries, develop business and financing case studies for promising social forestry activities, to construct blueprints that can be replicated for bottom-up engagement between the social forestry sector and the private financial actors.

**Output 5. Capacities of ASEAN Member States to quantify benefits, connect partners and operationalise Nature-based Solutions and Ecosystem-based Approach in the context of social forestry enhanced.**

The aim of output 5 is to identify and enhance capacities on NbS and EbA for forest sector interventions within ASEAN Member States (AMS). Capacities will be built in tandem with key relevant ASEAN Working Groups under the Food, Agriculture and Forestry (FAF) sectors. Regional-Guidelines will be developed to facilitate the design of policies, programmes, and investments within AMS, where NbS, EbA, and FbS in the specific, is expected to figure and mainstream prominently in ASEAN's post pandemic economic recovery initiatives.

#### 4. Overall activities

Indicative activities are outlined in the following table:

*Table 2 Indicative activities*

<b>Output 1. Contribution of social forestry schemes towards climate change mitigation in the ASEAN assessed to inform action and climate finance</b>
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<sup>6</sup> FAO has developed a national forest monitoring system (NFMS) assessment tool, and assessments were conducted in Cambodia (simplified), Lao PDR, and a similar session is planned for in Indonesia. Results in Cambodia and Lao will be evaluated for use in connection to this initiative, the assessment in Indonesia can be connected to the initiative from the start



<p>1.1 In the 3 pilot countries, comparative assessment of mitigation contribution of different social forestry models, including potential of community forestry, private social forest initiatives, and different forest management practices and tenure regimes.</p>	<p>Undertaking assessment of the current state of social forestry models in the target countries to build an accurate picture of (i) the current social forestry models being implemented across Indonesia, Cambodia and Lao PDR; (ii) the different forest management practices and tenure regimes (iii) the potential mitigation contribution (in combination with local or regional growth models and removal factors)</p>
<p>1.2 In the 3 pilot countries, assessment of the potential extent of social forestry interventions (including: type, area, tenure regime, political ambition, gaps and enabling environment).</p>	<p>Undertaking assessment of potential extent of implementing social forestry interventions in the targets countries including (i) an assessment of current capacity supporting the implementation of social forestry model (ii) area potential for different social forestry regimes (iii) tenure regime (iv) political ambition, (v) gaps and (vi) enabling environment that would support social forestry climate change mitigation</p>
<p>1.3 At the ASEAN regional level, recommendations on social forestry interventions to contribute to climate change mitigation defined through exchange between ASEAN working group on Social Forestry (AWG-SF) and AWG Forest and Climate Change (AWG-FCC).</p>	<p>Based on the result of the assessments undertaken under 1.1 and 1.2, and in contribution to other AWG member states, dialogues will be facilitated with the AWG-SF and AWG-FCC to produce concrete recommendations on social forestry interventions to contribute to climate change mitigation. Recommendations will be documented. A specific contribution to support the AWG-SF in terms of human resources (one expert) is envisaged.</p>
<p>1.4 Build the relevant evidence base to attract climate finance (private sector, GCF, others) and provide support to mobilize investment in two identified social forestry mitigation programmes.</p>	<p>Based on the dialogues with AWG-SF and AWG-FCC for two identified social forestry mitigation programmes the initiative will provide support to mobilize investment, including development of concept note, seeking partnerships and contributing to baseline information necessary to attract climate finance.</p>

<p><b>Output 2. Capacities to assess and monitor social forestry to the NDCs/Climate change frameworks built</b></p>	
<p>2.1 In the 3 pilot countries, facilitate participatory discussions to decide on methods and the integration of social forestry monitoring in National Forest Monitoring Systems.</p>	<p>Scalable methods will be applied to monitor social forestry interventions. Based on finding under output 1, consultations will be organized to decide on methods to integrate social forestry monitoring in National Forest Monitoring Systems.</p>
<p>2.2 In the 3 pilot countries, building system and human capacities of national governments to enable social forestry monitoring within the NFMS.</p>	<p>National capacities and National Forest Monitoring Systems need to be strengthened in the target countries to assess the potential contribution of social forestry management schemes towards climate change mitigation. Recently the barrier to monitor more fine-grained forest activities has been lowered by the accessibility of high-resolution satellite data. FAO has developed SEPAL (System for Earth</p>

	Observation Data Access, Processing and Analysis for Land Monitoring) to help countries monitor and report on forests and land use, with access to satellite data, an easy-to-use interface, and cloud-based computing power. It has shown to be valuable tool and is already in use by a large number of countries in their processing chain to report on forest and land use data. Social forestry monitoring would benefit from the processing power and the scalability that SEPAL can offer, allowing the countries and the initiative to process higher resolution data and analyse more fine-grained information.
2.3 In the 3 pilot countries, building local capacities on social forestry monitoring in line with the agreed NFMS.	At the field level capacities will also be strengthened to support monitoring of the mitigation of social forestry interventions. For [two/three] identified social forestry mitigation programmes the initiative will provide support to build local capacities on monitoring.
2.4 At the ASEAN regional level facilitate participatory discussions to inform on methods and the integration of social forestry monitoring in National Forest Monitoring Systems.	Based on finding under output 1, and parallel to the country discussion under 2.1, the ASEAN working group on Social Forestry (AWG-SF) and AWG Forest and Climate Change (AWG-FCC) will be involved in the discussion on methods to integrate social forestry monitoring in National Forest Monitoring Systems. Lessons from implementation under 2.2 and 2.3 will be documented and shared with AWG-SF and AWG-FCC to facilitate a dialogue.

<b>Output 3. Facilitate the integration of social forestry actions in NDC implementation and in the upcoming NDCs revision (2025) in 3 pilot countries</b>	
3.1 Assist countries in identifying and including specific social forestry interventions as mitigation and adaptation actions in the implementation of NDCs and their future revision.	Building on the identification of the potential extent of implementing social forestry interventions in the target countries, the potential mitigation contribution of selected social forestry interventions, as well as the monitoring of the intervention and the potential investment potential in the interventions, support will be provided to the target countries.
3.2 Promote tenure security and user's right: advocacy and pilots to foster recognition of (customary) tenure rights in forest landscapes to ensure long-term mitigation actions, building on experiences in the region.	Building on previous support e.g previous assessments on the community forest guidelines and support to use the Voluntary Guidelines on the Responsible Governance of Tenure (VGGT) <sup>7</sup> and good practices identified to enhance tenure and rights and the benefits of social forestry as part of ASFCC <sup>8</sup> , support will be provided to the target countries to promote tenure security in support of long- term

<sup>7</sup> FAO project TCP/RAS/3506 on "Strengthening Forest Tenure for Sustaining Livelihoods and Generating Income"

<sup>8</sup> <https://www.recoftc.org/publications/0000387>

	investments by stakeholders in Social Forestry based mitigation actions in support of the NDC commitments.
3.3. Assess actual and potential incentives for social forestry mitigation actions, and support 3 countries to develop incentive schemes that support climate-friendly and socially responsible forestry.	Most countries in the region that work toward REDD+ have had discussions on the benefit sharing mechanisms on how to use the proceeds of national emission reductions, or more recently how nested systems could work where several project/sub-national scale initiatives together achieve national commitments. Social Forestry, as is often more operated at sub-national scale, should also be seen in light of nesting and an appropriate incentive mechanism should be in place that could award these actions if they contribute to national emission reductions. Support will be provided to further these discussions and assess actual and potential incentives for social forestry mitigation actions.
3.4 At the ASEAN regional level, online knowledge exchange sessions will be organized to facilitate AMS interaction on identifying and including specific social forestry interventions as mitigation and adaptation actions in country NDCs.	As part of the knowledge management and AWGs capacity to act as hubs to facilitate interaction and dialogue between AMS, knowledge exchange sessions will be organized to facilitate integration of social forestry interventions in country NDCs. Interaction will be with both the ASEAN working group on Social Forestry (AWG-SF) and AWG Forest and Climate Change (AGG-FCC), and build on the lesson under outputs of this initiative to assist AMS in identifying and to include social forestry interventions in the future NDCs. Lessons will be summarized in an ASEAN brief with recommendations how to integrate Social Forestry in NDCs.

**Output 4. Promote and accelerate responsible private investments in social forestry**

4.1 Stocktaking of actors (social forestry programmes, incubators/accelerators, etc) in the 3 pilot countries.	On the basis of/in collaboration with the activity 1.1 and the resulting accurate picture of current social forestry models being implemented across Indonesia, Cambodia and Lao PDR (1.1. - i), activity 4.1 will further deepen research to identify (i) the models that have demonstrated success; (ii) the key market intermediaries and market access providers that can act as off takers and investors, linking social forestry enterprises with more lucrative distant markets; (iii) government support offered to enterprise and households; (iv) incubators/accelerators, financing programmes and other financial stakeholders supporting the implementation of social forestry across the three countries.
4.2 Enterprise assessment of the economic and business potential of selected social forestry models in the 3 pilot countries, including their capital requirements, capacity	Through partnership with the social forestry programmes, incubators and accelerators a detailed analysis of social forestry models will be conducted to build the business case and financing case for social forestry in each of the three

<p>shortfalls and their ability to attract private finance (due diligence).</p>	<p>countries. This will involve understand the strengths and weaknesses of their business model, for example, (i) market analysis: to understand the depth of their market and the scale of their revenue; (ii) go-to-market strategy: to demonstrate with what degree of success the enterprise has been able to commercialize forest products and to what degree of have they been able to access lucrative markets or market intermediaries, in order to highlight opportunities for accessing higher value customer segments by introducing better links to market; (iii) regulations and operations: to ensure that enterprises are compliant with regulations and to understand opportunities for improvements and the adoption of best practices; (iv) human resources/legal, tax and insurance: to show the current legal structure relating to employment, land ownership, tax compliance, insurance and supplier and customer contracts; (v) accounting &amp; financial: to review business planning documentation, any record of historic financial performance and financial projections, to understand growth plans and identify future capital shortfalls or, financing needs.</p>
<p>4.3 Scoping of possible private investment sources for social forestry programmes in the 3 pilot countries.</p>	<p>Based on the capital and capacity requirements identified in activity 4.2, match selected social forestry programmes to the appropriate market and/or financial intermediary to support engagement on business development and achieving finance.</p> <p>The aim of is activity is to broker a transaction between 3 social forestry programmes (one in each pilot country) and the capital provider in order to understand, (i) the different financing options available and provide guidance to the social forestry enterprise in accessing finance and; (ii) the requirements and barriers to investment in social forestry.</p> <p>This activity will be driven by intermediaries’ traditional financing activities, government policy and regulation, and how it incentivizes or deters lending or investment in social forestry.</p> <p>Where there is a mismatch or a shortage of appropriate financing options, recommendations will be developed to propose to banking authorities and institutions to incentivise or enable lending/investment to social forestry.</p>
<p>4.4 Development of ‘blueprints’ as financing case studies for 3 selected social forestry programmes in the pilot countries.</p>	<p>Considering ASEAN guidelines or principles related to private investment in social forestry, blueprints will, (i) highlight the relevant characteristics of the social forestry programmes/models and financial terms provided to support them, laying out the steps of developing a sustainable financial product that matches the needs of</p>

	social forest programmes; (ii) articulate the requirements of the financiers and; (iii) highlight areas for targeted capacity development to make social programmes 'more bankable'.
4.5 Engagement with AMSs and dissemination and promotion of 'blueprints' and recommendations to enable and incentivise lending and investment to social forestry in the ASEAN region.	<p>This output will make use of existing regional platforms and networks to engage with ASEAN Member States at regional level. In particular:</p> <ul style="list-style-type: none"> <li>- The stocktaking of actors in the 3 pilot countries will be done in consultation with AMSs and could make use of the '<a href="#">Knowledge Tree</a>', a knowledge platform created by the ASFCC to generate interactive online knowledge exchange among ASEAN with inputs from AWGs and technical partners;</li> <li>- The identification of possible private investment sources will also be done in consultation with AMSs. The project could build upon lessons from ASFCC and work with a 'regular learning group network' (among AMSs). This learning tool could help AMS better understand and scale up financing opportunities for responsible private investment and business development through social forestry process;</li> <li>- Building on the 'blueprints' developed throughout output 4, dialogue and capacity building will be facilitated with the AWG-SF and AWG-FCC as well as the regional investor community through regional roundtable consultations, webinars and online fora as appropriate.</li> </ul>

<b>Output 5. Enhance capacities of ASEAN Member States to quantify benefits, connect partners and operationalise Nature-based Solutions and Ecosystem-based Approach in the context of social forestry.</b>	
5.1 Development of ASEAN NBS and EbA action pathways and quantified benefits	ASEAN guidelines on NBS and EbA, including decarbonisation efforts in forestry sector will be developed to facilitate the design of policies, programmes, and investments within AMS. Dialogue will be facilitated with the ASEC, and relevant working groups in ASEAN to produce concrete recommendations on NBS and EbA interventions and decarbonisation efforts in their respective sectors. Dedicated attention will be placed on the potential role of NBS and EbA in ASEAN's post pandemic economic recovery initiatives and decarbonisation efforts. The detailed Guidelines will be developed under ASEAN Secretariat's guidance and instruction.
5.2 Strengthen knowledge, capacity and partnerships on NBS and EbA in ASEAN	In line with ASEAN NBS and EbA guidelines for the forestry sectors (developed under activity 5.1), the initiative will organize a knowledge sharing event/workshop/conference

	<p>and develop most appropriate material to cross-fertilize experiences across AMS, including by making best use of material developed for the "Unlocking the Potential of Nature-based Solutions and Ecosystem Based Approach for Climate Action and Green Recovery" ASEAN virtual training, and materials developed under this UN-REDD initiative. The detailed programmes and agenda of the event will be led by the ASEAN Secretariat.</p>
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## 5. Partners for implementation

The UN-REDD ASEAN Social Forestry and NDC initiative will be implemented with a number of other partners at the national and regional level. Basing on its experience, lessons learnt and comparative advantage RECOFTC has been identified as a key partner already in the preparatory phase. Other partners will be identified during inception phase and throughout the implementation of the initiative.

RECOFTC (The Centre for People and Forests) on the basis of its cumulated experience on the subject matter and the key role played in boosting social forestry progress in the region, has been identified as a key partner for the implementation of activities 1.2, 1.4, 2.3, 3.2. The partnership with RECOFTC will also contribute to inform interactions with the ASEAN working group on Social Forestry. The collaboration with RECOFTC, at the regional level, and where appropriate through its country programmes, will allow the initiative to leverage their extensive experience of social forestry in the region. With more than 30 years of experience working with people and forests, RECOFTC has built trusting relationships with partners at all levels. Its influence and partnerships extend from multilateral institutions to governments, private sector and local communities. RECOFTC has also engaged within the ASEAN framework to expand and improve social forestry in AMS since 2009, supporting the development of AWG-SF as one of five implementing partners of the ASEAN-Swiss Partnership on Social Forestry and Climate Change. RECOFTC delivered various activities towards the achievement of the ASFCC outcomes, including providing capacity development programs, facilitating knowledge sharing and dissemination platforms, and strengthening national social forestry working groups in ASEAN Member States. One legacy of the project is the Knowledge Tree<sup>9</sup> a rich source of information about social forestry practices in Southeast Asia. At the moment RECOFTC is an implementing partner of the SDC-funded Mekong Region Land Governance programme's regional workstream on the Recognition of Customary Tenure (2020-2022), RECOFTC is leading and coordinating strategic analyses of different mechanisms for the recognition of customary tenure to inform and support policy reform in Cambodia, Lao PDR, Myanmar, Thailand and Viet Nam. RECOFTC is an implementing partner for the Asia region of the upcoming SDC-funded global project "Transforming Land Investment" led by CIFOR. This project aims to deliver the following impacts over the 10-year period: More sustainable food systems, with gender-transformative and socially inclusive improvements in land tenure security, livelihoods, resilience and ecosystem health, among populations in Ethiopia, Mozambique, Ghana, Laos, Myanmar and beyond.

## 6. Budget and timeline

Total contribution: 3 million USD, to support delivery of the proposed technical assistance in 3 years (starting from the date of transfer of funds from the MPTF to FAO and UNEP).

<sup>9</sup> <https://www.recoftc.org/social-forestry-knowledge-tree>

Table 2 Total budget

UN-REDD Results Framework 2021-2025 Outcome 3 (Forest Solutions Enhanced; ATLAS project 00125685)										
	Year 1			Year 2			Year 3			
UNDG Harmonised Categories	FAO	UNEP	Year 1 Total	FAO	UNEP	Year 2 Total	FAO	UNEP	Year 3 Total	Grand Total
Staff and other personnel costs	320,000	101,000	421,000	310,000	66,000	376,000	222,500	65,000	287,500	1,084,500
Travel	30,000	13,400	43,400	40,000	16,400	56,400	40,000	20,000	60,000	159,800
Equipment, Vehicle & Furniture	10,000		10,000	60,000		60,000	-		0	70,000
Transfers & Grants to counterparts	380,000	124,000	454,000	370,000	154,000	474,000	205,000	65,000	220,000	1,148,000
Supplies, Commodities, Materials	37,500		37,500	45,000		45,000	45,000		45,000	127,500
Gen Operating & Other direct costs	5,000		5,000	15,000		15,000	15,000	30,000	45,000	65,000
<b>Subtotal Direct Costs</b>	<b>782,500</b>	<b>238,400</b>	<b>1,020,900</b>	<b>840,000</b>	<b>236,400</b>	<b>1,076,400</b>	<b>527,500</b>	<b>180,000</b>	<b>707,500</b>	<b>2,804,800</b>
Indirect Support Costs (7%)	54,775	16,688	71,463	58,800	16,548	75,348	36,925	12,600	49,525	196,336
<b>Grand Total<sup>10</sup></b>	<b>837,275</b>	<b>255,088</b>	<b>1,092,363</b>	<b>898,800</b>	<b>252,948</b>	<b>1,151,748</b>	<b>564,425</b>	<b>192,600</b>	<b>757,025</b>	<b>3,001,136</b>

Note: Before the implementation of the project with Indonesia, specific implementation arrangements between UN-REDD and Indonesia may be discussed based on the need from Indonesia.

<sup>10</sup> Indicatively USD 2,143,025 for predominantly country activities/components and USD 858,111 for predominantly regional activities/components.

## Annexes

### Annex 1. Summary of regional level engagement

In its regional component and for output 5, the “UN-REDD ASEAN Social Forestry and NDC initiative” will be implemented with the ASEAN Secretariat.

#### ASEAN relevant background information

ASEAN has put a strong emphasis on the role of forestry in support of measurable positive climate adaptation and mitigation benefits that have human development and biodiversity co-benefits. The vision of ASEAN Cooperation in Forestry (2025) is: “Forest resources are sustainably managed at the landscape level to meet societal needs, both socio-economically and culturally, of the present and future generations and contribute positively to sustainable development”. The goal is to enhance Sustainable Forest Management (SFM) for the continuous production of forest goods and services in balanced way and ensuring forest protection and biological diversity conservation as well as optimize their utilization, compatible with social and ecological sustainability.

Priority areas of forestry cooperation include enhancing Sustainable Forest Management; Trade Facilitation, Economic Integration and Market Access; Forestry Sector Resilience and Role in Climate Change; Institutional Strengthening and Human Resources Development; Joint Approaches on Regional and International Issues Affecting the Forestry Sector. ASEAN also recognizes the value of forest, and nature at large, in support of a recovery strategy post-COVID 19 (e.g. SFM, wildlife, climate change).

The ASEAN Senior Officials on Forestry (ASOF) body was established by the ASEAN Ministers on Agriculture and Forestry (AMAF) and Senior Officials Meeting (SOM-AMAF) as one of the subsidiary bodies under the ASEAN Cooperation in Food, Agriculture and Forestry. The ASOF meets annually to formulate and implement regional cooperation activities and provide policy recommendations related to sustainable forest management, forest law enforcement and governance (FLEG), forest and climate change, forest products development, wildlife enforcement and social forestry.

In delivering its mandate, ASOF is supported by five working groups namely, i) AWG on Forest Products Development (AWG- FPD), ii) AWG on Forest Management (AWG-FM), iii) AWG on Forest and Climate Change (AWG-FCC), iv) AWG on Social Forestry (AWG-SF), and v) AWG on CITES and Wildlife Enforcement (AWG-CITES & WE).

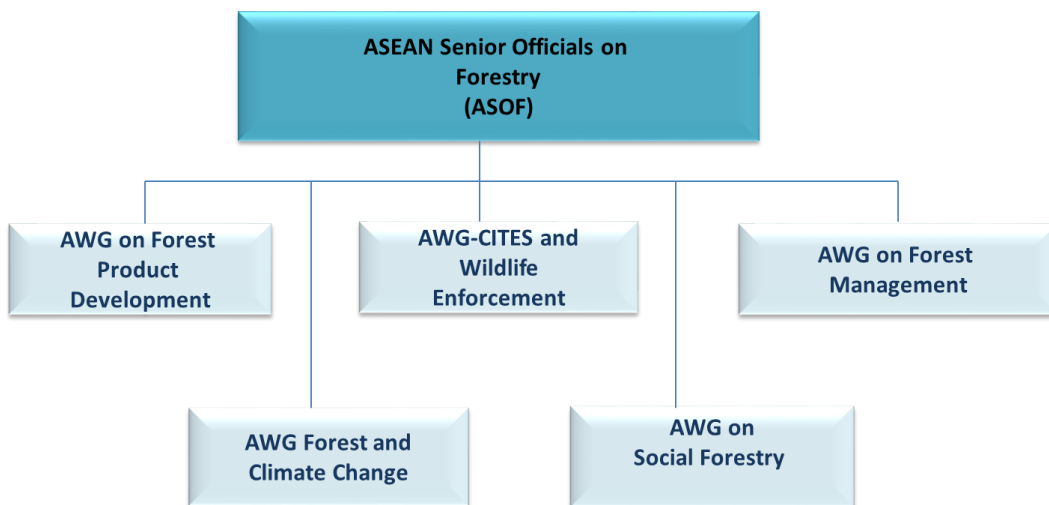


Figure 3 ASEAN institutional mechanism



Previously the ASEAN-Swiss Partnership on Social Forestry & Climate Change (ASFCC) supported the AWG-SF Secretariat to the AWG-SF. Post ASFCC support, as in interim arrangement, the support to the AWG-SF Secretariat was arranged through RECOFTC.

### Support to ASEAN Secretariat/working groups and summary of regional activities

The UN-REDD ASEAN Social Forestry and NDCs initiative is closely aligned to the Plan of Action over the period 2021-2025 of both the AWG-SF and the AWG-FCC. Details are provided in annex 2. List of actions against ASEAN SF & Forest and CC Plan of Actions (POAs).

The ASFCC approach has been appreciated by ASEAN Member states (AMS) because the consultative process in support of the Plan of Action, which allowed social forestry to increase its profile in ASEAN with its achievements. This mechanism has ensured trust from AMS, political support from host/ lead country and allowed incorporation into ASEAN mechanisms. To ensure similar coordination and level of ownership, the UN-REDD ‘climate change mitigation through social forestry actions in ASEAN countries’ initiative aims to continue to support the AWG-SF, but at the same time extend this support to the AWG-FCC, as the target of the initiative are both AWG-SF and AWG-FCC. The initiative will also support the ASEAN secretariat on NBS and EbA under output 5. Some staffing – i.e. the support of an expert to the AWGSF - and some operation costs are be covered by the initiative.

A key role of the support to the secretariat of AWG-SF and AWG-FCC is to support Knowledge management and Dissemination between AMS and other stakeholders from experience and upscaling to all AMS. Series of consultations are necessary to guarantee the implementation and ownership of the knowledge products/ guidelines/protocols, etc.

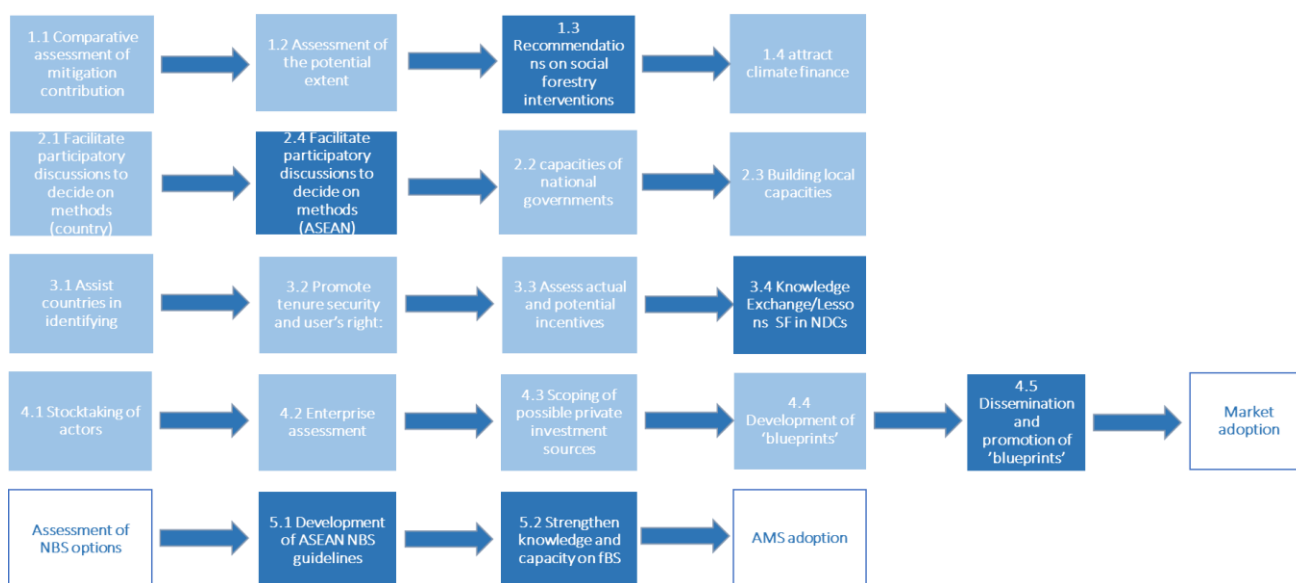


Figure 4 Graphical illustration how predominately country level activities (light blue) interact with predominantly ASEAN level activities (dark blue), or lead to subsequent knowledge transfer.

The design of the UN-REDD initiative has both activities that provide opportunity for member states to learn from certain practises and assessments, as well as activities where member states provide recommendation from the onsets (see figure 3) The lessons from activities in the three proposed focus countries not only benefit the three countries, the achievements and progress from this initiative will also benefit the other ASEAN members states, vice versa other countries contribute to the dialogue to inform implementation in the target countries.

The project could also build on the ‘[Knowledge Tree](#)’, a knowledge platform, hosted by RECOFTC, created by the ASFCC to generate interactive online knowledge exchange among ASEAN with inputs from AWGs and technical partners.

## Summary of regional activities

The following is a summary of the regional activities as presented above.

**1.3:** Based on the result of the assessments undertaken under 1.1 and 1.2, and in contribution to other AWG member states, dialogues will be facilitated with the AWG-SF and AWG-FCC to produce concrete recommendations on social forestry interventions to contribute to climate change mitigation. Recommendations will be documented.

**2.4:** Based on finding under output 1, and parallel to the country discussion under 2.1, the ASEAN working group on Social Forestry (AWG-SF) and AWG Forest and Climate Change (AWG-FCC) will be involved in the discussion on methods to integrate social forestry monitoring in National Forest Monitoring Systems. Lessons from implementation under 2.2 and 2.3 will be documented and shared with AWG-SF and AWG-FCC to facilitate a dialogue.

**3.4:** As part of the Knowledge management and AWG capacity to act as hubs to facilitate interaction and dialogue between AMS, knowledge exchange sessions will be organized to facilitate integration of social forestry interventions in country NDCs. Interaction will be with both the ASEAN working group on Social Forestry (AWG-SF) and AWG Forest and Climate Change (AGG-FCC), and build on the lesson under outputs of this initiative to assist AMS in identifying and to include social forestry interventions in the future NDCs. Lessons will be summarized in an ASEAN brief with recommendations how to integrate Social Forestry in NDCs.

**4.5:** Engagement with AMSs and dissemination and promotion of 'blueprints' and recommendations to enable and incentivise lending and investment to social forestry in the ASEAN region. Output 4 will make use of existing regional platforms and networks to engage with ASEAN Member States at regional level. In particular:

- The stocktaking of actors in the 3 pilot countries will be done in consultation with AMSs and could make use of the '[Knowledge Tree](#)', a knowledge platform created by the ASFCC to generate interactive online knowledge exchange among ASEAN with inputs from AWGs and technical partners;
- The identification of possible private investment sources will also be done in consultation with AMSs. The project could build upon lessons from ASFCC and work with a 'regular learning group network' (among AMSs). This learning tool could help AMS better understand and scale up financing opportunities for responsible private investment and business development through social forestry process;

Building on the 'blueprints' developed throughout output 4, dialogue and capacity building will be facilitated with the AWG-SF and AWG-FCC as well as the regional investor community through regional roundtable consultations, webinars and online fora as appropriate.

**5:** Enhance capacities of ASEAN Member States to quantify benefits, connect partners and operationalise and mainstreaming Nature-based Solutions and Ecosystem-based Approach in the context of social forestry as well as the role of social forestry in decarbonisation. This will be done by developing of ASEAN NBS and EbA action pathways and quantified benefits; as well as strengthening knowledge, capacity and partnerships on NBS and EbA in ASEAN. This activities will be led by the ASEAN Secretariat with a budget of 150,000 USD.

## Annex 2. Cambodia background/baseline information and activities

In Cambodia, roughly 80% of the population is rural and forests play an important role in people's lives, as a source of food, medicine and building products, as a source of materials and goods for small business ventures and representing an important source of livelihoods to many communities.

Forest management in Cambodia falls under the jurisdiction of the Ministry of Agriculture Forestry and Fisheries (MAFF) and the Ministry of Environment (MOE), respectively on production and conservation. The Government is committed to implement Social Forestry (SF), although the role out of social forestry has been relatively slow. In the mid-1990s, the government piloted small projects on SF with the support of international and national NGOs<sup>11</sup>. In 2000, Cambodia started to reform the forestry sector through the introduction of community-based natural resource management (CBNRM) through two main forms: community forestry (CF) and community protected areas (CPAs)<sup>12</sup>. In 2003, the Community Forestry Sub-Decree (CFSD) was established, allowing community involvement in sustainable forest management in the Cambodia<sup>13</sup>. An important provision of the CFSD, which is also enshrined in the Forestry Law, states that any person who plants trees on his/her private land or on state forestland to which they have been granted user rights, has the right to maintain, develop, use, sell, or distribute the products<sup>14</sup>. As of 2019<sup>15</sup> it is estimated that around 18% of the target of 2,000,000 Ha of forest area managed by local people by 2030 in Cambodia was achieved (noting these figures might not include the areas managed as CPA under mandate of MOE).

There are several SF models in Cambodia, though the main approach is community forest in the production forests under the MAFF's jurisdiction. In addition, local communities with recognized traditional use are permitted to establish CPAs in special zones within the protected areas administered by the MOE.

While Cambodia has substantive laws on SF, there are perceived weaknesses in its implementation, such that it is time consuming, costly and beyond capacity for most communities to establish community forests<sup>16</sup>. At the moment there is no precedent of legal timber harvests from CF areas due to the absence of technical and legal guidelines for harvesting timber. It is also challenging for the Non-Wood Forest Production harvesting and processing sourced from social forests in the sense that the thresholds of customary and commercial uses are not clear enough. The FAO EU FLEGT programme is working with FA to develop legal and technical procedures for harvesting timber in the CF context. The development will draw upon previous efforts, namely recommendations on possible updates to the regulations governing CFs<sup>17</sup>, and may include approval processes, benefit-sharing mechanisms, and market analyses to sell harvested timber.

The Government of Cambodia considers REDD+ an effective mechanism to contribute to mitigating impacts of climate change<sup>18</sup>. To prepare for REDD+, Cambodia joined the UN-REDD programme, and received both readiness support through the UN-REDD programme, and the Forest Carbon Partnership Facility (FCPF) of the World Bank. With this support Cambodia has established the four Warsaw elements, most of which are accessible on the UNFCCC REDD+ Portal<sup>19</sup>. An Initial Forest Reference Level (FRL) was submitted in 2016, with a modification in 2017 following suggestions by the UNFCCC Technical assessment team, and results were reporting in 2020 as part of Biennial Update Report in a REDD+ technical annex. A second Forest reference level was submitted in 2021.

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<sup>11</sup> Kurashima et al. 2015

<sup>12</sup> Chanthou 2014

<sup>13</sup> Oberndorf 2006

<sup>14</sup> Oberndorf 2006

<sup>15</sup> RECOFTC, 2020

<sup>16</sup> Kurashima et al. 2015

<sup>17</sup> FAO-EU FLEGT Programme, 2021

<sup>18</sup> RGC, 2017

<sup>19</sup> <https://redd.unfccc.int/submissions.html?country=khm>

At the base of the forest reference levels and result reporting lies the National Forest Monitoring System (NFMS) which was established in 2015. It follows the principles of a phased approach, starting with the use of the most important information, then develop NFMS into a more comprehensive structure. At the moment Cambodia's NFMS includes information relevant to measurement, reporting and verification (MRV) of REDD+ activities, and support broader forest sector policies and program, but does not zoom in on specific social forestry activities, and contributions of social forestry activities to mitigations. Once more monitoring capacities are developed the attribution of social forestry activities could be estimated.

In its NDC<sup>20</sup> Cambodia has set the conditional target to halve the deforestation rate by 2030, in line with the REDD+ strategy strategic objectives:

- 1) Improve management and monitoring of forest resources and forest land use;
- 2) Strengthen implementation of sustainable forest management, and
- 3) Approaches to reduce deforestation, build capacity, and engage stakeholder

Under these strategic objectives of the REDD+ strategy, several strategies link to social forestry. The key strategies are listed below:

Strategic Objective 1: Improve management and monitoring of forest resources and forest land use

- Promote forest land tenure security
- Strengthen capacity for data management and establish decision support systems for forest and land use sector.

Strategic Objective 2: Strengthen implementation of sustainable forest management

- Strengthen and scale up community-based forest management
- Identify and implement alternative and sustainable livelihood development programmes for local communities most dependent on forest resources.

Strategic Objective 3: Mainstream approaches to reduce deforestation, build capacity and engage stakeholders

- Strengthen capacity, knowledge and awareness of stakeholders to enhance their contribution to reducing deforestation and forest degradation
- Encourage public engagement, participation and consultations in forestry and land use planning, and promote the involvement of multiple stakeholders

In terms of tenure, a tenure assessment conducted by the FAO found that there are more weaknesses than strengths in the current policies of Cambodia in terms of tenure security for communities and individual households. These have to be addressed through the amendment of current policies or through the creation of new policies<sup>21</sup>. Compounding the problem is the lack of a comprehensive land use plan at the national level that will identify which areas are suitable to a given land use or allocation, such as community forestry, although the Cambodia is working on 2020 Land use map which will be the basis of a national land use plan.

To generate income, more emphasis could also be given in establishing community enterprises or benefit sharing mechanisms as a form of incentive that will provide the much-needed livelihood support, which will eventually lead to the sustainable management of forest resources.

Cambodia has a state-owned specialised bank – the Rural Development Bank - which main mandate is to provide service and refinance loans to licensed financial institutions, associations, development communities and small and medium-sized enterprises that take part in rural development in Cambodia. However, typically

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<sup>20</sup> RGC, 2020

<sup>21</sup> Yasmi et al. 2016

enterprises do not take advantage of this option due to the burdensome loan requirements and administrative procedures. In many parts rural savings funds lodged with a local government have provided a successful model for supporting social forestry and other livelihoods-based activities<sup>22</sup>.

*Activities to be implemented in Cambodia*<sup>23</sup>:

**Output 1 – Contribution of social forestry schemes towards climate change mitigation in the ASEAN assessed to inform action and climate finance**

1.1 Comparative assessment of mitigation contribution of different social forestry models, including potential of community forestry, private social forest initiatives, and different forest management practices and tenure regimes

1.2 Assessment of the potential extent of social forestry interventions (including: type, area, tenure regime, political ambition, gaps and enabling environment)<sup>24</sup>

**Potentially** 1.4 build the relevant evidence base to attract climate finance (private sector, GCF, others) and provide support to mobilize investment in two identified social forestry mitigation programmes

**Output 2 – Capacities to assess and monitor social forestry to the NDCs/Climate change frameworks built**

2.1 Facilitate participatory discussions to decide on methods and the integration of social forestry monitoring in National Forest Monitoring Systems.

2.2 Building system and human capacities of national governments to enable social forestry monitoring within the NFMS

2.3 Building local capacities on social forestry monitoring in line with the agreed NFMS.

**Output 3 - Facilitate the integration of social forestry actions in NDC implementation and in the upcoming NDCs revision (2025) in 3 pilot countries**

3.1 Assist in identifying and including specific social forestry interventions as mitigation and adaptation actions in the implementation of NDCs and their future revision

3.2 Promote tenure security and user's right: advocacy and pilots to foster recognition of (customary) tenure rights in forest landscapes to ensure long-term mitigation actions

3.3. Assess actual and potential incentives for social forestry mitigation actions, and support the country to develop incentive schemes that support climate-friendly and socially responsible forestry

**Output 4 – Promote and accelerate responsible private investments in social forestry**

4.1 Stocktaking of actors (social forestry programmes, incubators/accelerators, etc)

4.2 Enterprise assessment of the economic and business potential of selected social forestry models, including their capital requirements, capacity shortfalls and their ability to attract private finance

4.3 Scoping of possible private investment sources for 1 social forestry programme

4.4 Development of 'blueprint' as financing case studies for 1 selected social forestry programme

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<sup>22</sup> In person communication with Nola Andaya NTFP EP, July 8<sup>th</sup> 2021

<sup>23</sup> Fine tuning and further details of the activity might be developed at inception phase and in consultation with the country counterpart.

<sup>24</sup> In Cambodia, for instance there are private forest partnerships.

**Box: Contribution of community forestry to COVID-19 responses and recovery**

In 2021, FAO partnered with RECOFTC to conduct a study to understand if and how community forestry contributed to the resilience of communities that depend on forests during the ongoing COVID-19 pandemic and how this possible contribution and the community forestry approach could be strengthened.

It showed there are optimistic signs that communities with the rights to use and manage a nearby forest have better weathered the storm of COVID-19. The pandemic is far from over, and the study shows that strengthening community forests now will help build the resilience of marginalized people to endure the ongoing social and economic disruption.

In Cambodia, in particular, almost 96 percent of the surveyed respondents reported impacts from the COVID-19-related lockdown, the largest proportion of any among the seven countries surveyed. And 23 percent of the respondents reported an increase in forest crimes as a major concern. Non-community forest members reported growing more food as a coping strategy more than the community forest members did. They also requested food donations or reduced-price food as a most needed form of assistance, much more than community forest members did. Overall, non-community forest members in Cambodia reported using coping mechanisms at much higher frequency than did community forest members.

The study showed that community forests have boosted people's resilience. Although travel restrictions prevented people from accessing markets and selling forest products, they did not prevent most people from accessing and harvesting forests for subsistence use. It showed that community forest provide important safety nets during a crisis, especially when certain enabling factors are present. However, community forests are not meeting their full potential to do so universally because of a range of interacting external and internal factors. The study highlights the importance of expanding community forests and ramping up capacity development programs for community forests so that they can raise and manage more funds, restore and improve the quality of the forest resources they manage, recognize and address social disparities and find ways to help their communities endure through the remainder of the COVID-19 pandemic and any future disasters that may strike.

Source: RECOFTC. June 2021. Contributions of community forestry to COVID-19 response and recovery in seven Asian countries. Bangkok

<https://www.recoftc.org/publications/0000391>

### Annex 3. Indonesia background/baseline information and activities

Indonesia launched the [Net Sink FOLU 2030 target](#) that will be achieved through 3 strategies, namely 1) reduce emission from deforestation and forest degradation; 2) increase carbon stock from forest rehabilitation and 3) manage forest fires.

The country has set an ambitious goal of giving forest-dependent communities access to 12.7 million hectares of forests through the issuance of social forestry permits<sup>25</sup>. To date, the program has supported 4,500,293 hectares through 6,892 social forestry permits. This area is divided into a number of schemes – Village Forests (1,706,326.15 hectares), Community Forests (820,318.81 hectares), Community Plantation Forests (354,202.68 hectares), Forestry Partnerships which are divided into Recognition and Protection of Forestry Partnerships (441,209.75 hectares) and Utilization Permits Social Forestry Forest (30,579.49 hectares), and Customary Forests (1,147,657.00 hectares).

In addition to lagging permit distribution numbers, those households and communities that have been awarded permits face a number of problems, resulting from a low capacity to set up self-sustaining enterprises and establish and implement a business plan that afford them access to improved market access to sell their products. They face inadequate access to finance for expansion and other business needs. As a result, many households and communities that have received permits have not reported significant livelihood improvements and economic gains.

To increase enterprise capacity, the MoEF has developed agencies to support social forestry enterprises with human resources and business development capacity. However, support has been limited due to a number of internal challenges (e.g. recruitment regulation) and more recently due to restrictions on budget and field work and travel due to COVID-19.

To help increase finance to promote social forestry enterprises, the MoEF has provided permit-holding farmers access to financial facilities, funded by the state budget<sup>26</sup>. However, uptake was limited by high interest rates and high collateral requirements that were out of reach of many enterprises.

In addition to the government loan window, finance to social forestry enterprises in Indonesia is provided through grants from international NGOs and more recently through impact finance facilities (e.g., the [Tropical Landscapes Finance Facility](#)). Indonesia also has a strong movement of credit unions that can provide access to finance for communities. For example, the women's institution provides financing to small enterprises<sup>27</sup>. However, while this is being progressively resolved, investment remains limited due to low capacity of communities and enterprises and a mismatch between the target investment size of impact investment funds and the requirements of the social enterprises<sup>28</sup>.

*Activities to be implemented in Indonesia<sup>29</sup>:*

#### **Output 1 – Contribution of social forestry schemes towards climate change mitigation in the ASEAN assessed to inform action and climate finance**

- 1.1 Comparative assessment of mitigation contribution of different social forestry models, including potential of community forestry, private social forest initiatives, and different forest management practices and tenure regimes

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<sup>25</sup> <https://www.cgiar.org/news-events/news/taking-stock-indonesias-social-forestry-program/>

<sup>26</sup> <https://forestsnews.cifor.org/58344/taking-stock-of-indonesias-social-forestry-program?fnl=en>

<sup>27</sup> In person communication with Crissy Guerrero NTFP EP 8<sup>th</sup> July 2021

<sup>28</sup> In person communication with Femy Pinto Executive Director NTFP 8<sup>th</sup> July 2021.

<sup>29</sup> Fine tuning and further depths of details of the activities might be developed at inception phase and in consultation with the country counterparts.

1.2 Assessment of the potential extent of social forestry interventions (including: type, area, tenure regime, political ambition, gaps and enabling environment)

Potentially 1.4 build the relevant evidence base to attract climate finance (private sector, GCF, others) and provide support to mobilize investment in two identified social forestry mitigation programmes

**Output 2 – Capacities to assess and monitor social forestry to the NDCs/Climate change frameworks built**

2.1 Facilitate participatory discussions to decide on methods and the integration of social forestry monitoring in National Forest Monitoring Systems.

2.2 Building system and human capacities of national governments to enable social forestry monitoring within the NFMS

2.3 Building local capacities on social forestry monitoring in line with the agreed NFMS.

**Output 3 - Facilitate the integration of social forestry actions in NDC implementation and in the upcoming NDCs revision (2025) in 3 pilot countries**

3.1 Assist in identifying and including specific social forestry interventions as mitigation and adaptation actions in the implementation of NDCs and their future revision

3.2 Promote tenure security and user's right: advocacy and pilots to foster recognition of (customary) tenure rights in forest landscapes to ensure long-term mitigation actions

3.3. Assess actual and potential incentives for social forestry mitigation actions, and support the country to develop incentive schemes that support climate-friendly and socially responsible forestry

**Output 4 – Promote and accelerate responsible private investments in social forestry**

4.1 Stocktaking of actors (social forestry programmes, incubators/accelerators, etc.)

4.2 Enterprise assessment of the economic and business potential of selected social forestry models, including their capital requirements, capacity shortfalls and their ability to attract private finance

4.3 Scoping of possible private investment sources for 1 social forestry programme

4.4 Development of 'blueprint' as financing case studies for 1 selected social forestry programme



## Annex 4. Lao PDR background/baseline information and activities

In Lao PDR, social forestry has become a key aspect of the rural development strategy, based on the belief that local people securing management and user rights over their local forests will facilitate long-term poverty reduction alongside environmental conservation<sup>30</sup>. Village forestry, or social forestry, is a key program of the government. Its target was to achieve the formulation of 1,500 village forestry management plans (VFMPs) by year 2020<sup>31</sup>, and also for the next five year plan (2020-2025) the Government aims to achieve at least 1,200 village forest management plans.

The National Master Plan for Land Allocation and Use of Lao PDR (2018) designates approximately 70% of the national territory as forestland. Village forestry is the management practice where villages, as the lowest level administrative unit of the government, "takes leadership in the management, protection, development and utilization of forests within their boundary with the aim of making village forests more abundant and strengthening the village to become a 'forest development village'"<sup>32</sup>. Village forestry can take place inside the three management categories of forestlands i.e., Production Forest Areas (PFAs), Protection Forest Areas, and National Protected Areas (NPAs, also known as Conservation forests) which together make up the aforementioned 70%. Village forestry can also take place outside of these areas where forests occur outside forestland. Although hard statistics are not available, village forestry is currently the predominant form of active forest management practiced in the country, where other forms of forest management cannot be budgeted for<sup>33</sup>.

Village forestry is enshrined in the Forestry Law (2019) and is implemented through the establishment of Village Forest Management Plans (VFMPs) and contracts. Roughly less than half of the villages with village forestry potential currently have an active VFMP, according to information from the Department of Forestry's Village Forestry and Non-timber-Forest Products Management Division. Village forestry is identified as one of the five domestic sources of timber to enter into the legal supply chain, as is being clarified in the Timber Legality Definition on "Village use forests and natural trees from private lands" of the country's Timber Legality Assurance System being negotiated under Forest Law Enforcement, Governance and Trade (FLEGT) towards a Voluntary Partnership Agreement (VPA) with the EU. Importantly, the Forestry Law (2019) opened an avenue for the use of timber for commercial purposes including those coming from village use forests<sup>34</sup>, whereas previously timber from village forestry was limited to customary use for non-commercial purposes.

Underpinning the sustainability of village forestry is land tenure security. So far, forestlands have not been systematically included in the land registration and titling initiatives of the government, including in very recent internationally funded projects, for the reason that legal clarity for registering land tenure in forestlands is weak. While there is some progress for certain land uses within forestlands, a significant gap exists for legal clarity around securing tenure for customarily and collectively used forestlands, including shifting cultivation areas, as for example fallow land/fallow forest.

Shifting cultivation, including both pioneering and rotational forms, is practiced widely throughout the country, and is a main contributing driver to forest loss, despite government efforts for its stabilization. Under the VFMP, such land would be identified as either agriculture production land, or village use forests, depending on its status of use at the time of planning, and intended use for the period of the future plan. Under Lao PDR's National Forest Monitoring System (NFMS), during fallow periods such land falls under the national forest class

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<sup>30</sup> RECOFTC, 2014, Community Forestry Adaptation Roadmap to 2020 for Lao PDR. RECOFTC – The Center for People and Forests, Bangkok, Thailand

<sup>31</sup> DoF's five year plan 2015 to 2020

<sup>32</sup> Forestry Law 2019.

<sup>33</sup> There is a moratorium on logging in natural forests in place, which prevents the generation of revenue from timber, as a main source of forest income and state forestry budget.

<sup>34</sup> Village use forests is the name of forests designated for production use, within the overall village forestry management regime.

“potential forests” -- specifically, the “regenerating vegetation” class. The NFMS monitors land use change including the dynamics of these forest classes through national forest inventory campaigns and forest and land cover mapping exercises. Nationally, the area of the regenerating vegetation class shifted slightly from 26.4% in 2005, to 25.3% in 2010, 26.3% in 2015 and 26.4% in 2019, not presenting any remarkable trends. However, in the north of the country, where shifting cultivation is most prominently practiced, a trend can be gleaned in reducing areas of regenerating vegetation in the last decade.

Lao’s first NDC of March 2021 puts social forestry related interventions centrally under its unconditional and conditional mitigation measures, whereby the total abatement contribution from the LULUCF sector is targeted at 45,000ktCO<sub>2</sub>e/year between 2020 and 2030 under its conditional scenario, and 1,100ktCO<sub>2</sub>e under its unconditional scenario. Two forestry projects which have already been confirmed for international funding are mentioned in the NDC, both of which centrally work around village forestry and specifically the establishment, implementation and monitoring of VFMPs and contracts. Village level land use planning (i.e. a precursor to VFMPs) as well as forest land data management and accessibility are also mentioned as approaches through which forest management improvements will be made.

*Activities to be implemented in Lao PDR<sup>35</sup>:*

#### **Output 1 – Contribution of social forestry schemes towards climate change mitigation in the ASEAN assessed to inform action and climate finance**

- 1.1 Comparative assessment of mitigation contribution of different social forestry models, including potential of community forestry, private social forest initiatives, and different forest management practices and tenure regimes
- 1.2 Assessment of the potential extent of social forestry interventions (including: type, area, tenure regime, political ambition, gaps and enabling environment)

**Potentially** 1.4 build the relevant evidence base to attract climate finance (private sector, GCF, others) and provide support to mobilize investment in two identified social forestry mitigation programmes

#### **Output 2 – Capacities to assess and monitor social forestry to the NDCs/Climate change frameworks built**

- 2.1 Facilitate participatory discussions to decide on methods and the integration of social forestry monitoring in National Forest Monitoring Systems.
- 2.2 Building system and human capacities of national governments to enable social forestry monitoring within the NFMS
- 2.3 Building local capacities on social forestry monitoring in line with the agreed NFMS.

#### **Output 3 - Facilitate the integration of social forestry actions in NDC implementation and in the upcoming NDCs revision (2025) in 3 pilot countries**

- 3.1 Assist in identifying and including specific social forestry interventions as mitigation and adaptation actions in the implementation of NDCs and their future revision
- 3.2 Promote tenure security and user’s right: advocacy and pilots to foster recognition of (customary) tenure rights in forest landscapes to ensure long-term mitigation actions
- 3.3. Assess actual and potential incentives for social forestry mitigation actions, and support the country to develop incentive schemes that support climate-friendly and socially responsible forestry

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<sup>35</sup> Fine tuning and further details of the activities might be developed at inception phase and in consultation with the country counterparts.

**Output 4 – Promote and accelerate responsible private investments in social forestry**

- 4.1 Stocktaking of actors (social forestry programmes, incubators/accelerators, etc.)
- 4.2 Enterprise assessment of the economic and business potential of selected social forestry models, including their capital requirements, capacity shortfalls and their ability to attract private finance
- 4.3 Scoping of possible private investment sources for 1 social forestry programme
- 4.4 Development of 'blueprint' as financing case studies for 1 selected social forestry programme

## Annex 5. List of relevant projects/initiatives

In addition to the ASEAN-Swiss Partnership on Social Forestry & Climate Change (ASFCC) already mentioned in the body of the text, and the information included in the background section, the proposal builds upon other existing plans and initiatives, specifically:

- **Plan of Action (POA) for the ASEAN Cooperation in Social Forestry, specifically on the following sub-activities:**
  - (Action programme 1.1) Development of inclusive business model for social forestry.
  - (Action programme 1.1). Increase community involvement in SF activities.
  - (Action programme 1.1.). Develop ASEAN Guidelines for Customary Tenure Recognition.
  - (Action programme 1.1.). Develop guidelines on good community forestry practices.
  - (Action programme 1.1.). Development of a SF activity database system.
  - (Action programme 1.3.). Sustain flexible funding mechanism for social forestry.
  - (Action programme 3.1.). Reforestation programme in vulnerable areas.
  - (Action programme 3.1). Develop ASEAN guidelines on integrating social forestry in NDCs.
  - (Action programme 3.1). National and regional exchange, workshops to strengthen understanding of international and regional issues, especially on climate change, focusing on impacts on community forest users and enterprises.
  - (Action programme 4.1). Development of capacity in securing tenure and right of local people
  - Increase competitiveness of timber forest products from communities in international markets.
- **FAO-FLEGT, Forest and Farm facility (FFF) and Forest landscapes restoration mechanism (FLRM) experience**
- **Previous FAO support to SWISS-ASEAN partnership on social forestry, as well as support to ASEAN Working Group on Forests and Climate Change.** FAO has worked closely with the ASEAN-SWISS partnership on Social Forestry and climate change, including organization of events (e.g. Asia-Pacific Forestry Week), mobilization of FAO's Technical cooperation programme and development of knowledge products. FAORAP has developed a work plan with ASEAN, covering a relevant themes beyond forestry, including food security, agroforestry, disaster management and responsible investments.
- **UN-REDD Programme:** linkages with other UN-REDD ongoing efforts, experiences and networks in the region (and beyond) have been identified.
  - Output 2 and 4 especially align with the "[Sustainable Forest Trade in the Low Mekong region \(SFT-LMR\) initiative](#)". In the specific – and in relation to complementarity with output 4 of this new proposed technical assistance, one output of the SFT-LMR is to develop a collaboration platform to help capital providers reduce their exposure to illegal and unsustainable logging and land conversion and, therefore, to divert investments away from unsustainable forest activities. The platform will support awareness raising, capacity building and information exchange between banks and investors in the Lower-Mekong region to help them identify illegal and unsustainable logging and forest conversion. The objective is to enable capital providers to pool their collective capacity and to align on issues relating to forest degradation and conversion, promoting industry best practices across the region and importantly, limiting the potential for market fragmentation – whereby a portion of the market, the leaders, adopt more progressive or stringent policies and principles, while the laggards continue to finance unsustainable or damaging activities as usual, leading to no significant overall improvement.
  - In addition, UN-REDD is also analysing landscapes and stakeholders in Laos, Vietnam and Thailand (with Norwegian support) to stimulate the development of sustainable investment and financing

opportunities among forest enterprises. The objective is to develop an incubation project that will work with forest enterprises and SMEs to increase their capacity to execute their business models so that they are able to attract commercial finance or investment and achieve scale. Output 4 will highly benefit from lessons drawn from this project.

- The assessment of social forestry programmes will enhance the opportunities for sustainable and responsible private investment sources into the forestry sector, which could be promoted under the finance platform. Under the same project, UN-REDD will also conduct a context analysis to identify synergies with other initiatives working with sustainable forestry enterprises that are operating in the Lower Mekong Region, including, but not limited to: the Forest Farm Facility, Land Accelerator, Dutch Fund for Climate and Development, and the Finance Platform. Results of this analysis will be available at the time activities under Output 4 start.
  
- **GEF CBIT projects:** ongoing efforts to strengthen the monitoring and reporting systems to meet the requirements of the Paris Agreement Enhanced Transparency Framework (ETF) in Lao PDR, Thailand on Forestry, and Cambodia on the Agriculture and Land Use sub-sectors.

Table 3. Ongoing FAO and/or UN-REDD activities in ASEAN countries related to community forestry and land management and Enhanced transparency Framework (ETF), upon which the project can be build.

COUNTRY	PROGRAMME/PROJECT /FUNDING	DESCRIPTION
CAMBODIA	FLEGT and UN-REDD SFT-LMR initiative	<ul style="list-style-type: none"> <li>• Pilot demonstration of legal timber harvesting in Community Forest areas</li> <li>• Participation of smallholders in sustainable and legal supply chains</li> <li>• Assessment of Covid19 impacts on forest communities</li> </ul>
	GEF (GCP/CMB/036/LDF)	<ul style="list-style-type: none"> <li>• Building adaptive capacity of rural communities and reducing their vulnerability to climate change and variability through integrated micro watershed management and climate resilient agriculture practices, including social forestry practices.</li> </ul>
	GEF-CBIT AFOLU	<ul style="list-style-type: none"> <li>• Supporting Cambodia to develop and strengthen the monitoring and reporting systems of its climate action, and to meet the requirements of the Paris Agreement Enhanced Transparency Framework (ETF) for two key sectors, the agriculture and land-use sectors</li> </ul>
	FAO corporate funding	<ul style="list-style-type: none"> <li>• Roadmaps for agroforestry development and field testing</li> </ul>
	FLRM	<ul style="list-style-type: none"> <li>• Support to Community Forest and Landscape restoration activities</li> </ul>
INDONESIA	FLEGT	<ul style="list-style-type: none"> <li>• Community-based forest monitoring for legality: indigenous and local community involvement in integrated forest monitoring, from forest area to industries/exporters. Advocacy about the effectiveness and efficiency of the involvement of indigenous/ local communities in forest surveillance. They know better the situation, can do the monitoring in longer period, and have stronger power to report to law enforcement institution any violations that has an impact in their land/ sacred forest.Support to small-scale timber and wood enterprises; Capacity of Local Communities/Indigenous People, Local Government, and Industry Players to Strengthen the Implementation of Timber Legality Verification System</li> <li>• Assessment of Covid19 impacts on forest communities</li> </ul>
	IP	<ul style="list-style-type: none"> <li>• Customary Forest Recognition of Indonesia’s Indigenous Communities</li> </ul>
LAO PDR	Various	<ul style="list-style-type: none"> <li>• Development and promotion of green (deforestation-free) and sustainable (community/locally-integrated) supply chains of ‘forest-friendly’ production of agri/forestry commodities.</li> <li>• Roadmaps for agroforestry development and field testing</li> </ul>

	(incl. UN-REDD, SFT-LMR, FLEGT, FAO corporate funding, ...)	<p>Technical advisory:</p> <ul style="list-style-type: none"> <li>• Forest and land tenure: Study on the impact of land tenure security on forest cover</li> <li>• Multi-stakeholder dialogues: Support to the Village Forest and NTFP working group; Engaging smallholders in commercial forest plantations (outgrowers' schemes)</li> <li>• Trade: Support to the engagement of FLEGT impact on rural livelihoods and supply chains via CSOs; Reducing barriers to certification for smallholders and MSMEs</li> <li>• Legal framework support: Support to the revision of the Forestry and Land laws with specific focus around customary tenure recognition</li> <li>• RAI: Introduction and mainstreaming of the ASEAN RAI guidelines; Capacity building to sub-national level government agencies to mainstream RAI principles into project approval</li> <li>• Other: Assessment of Covid19 impacts on forest communities</li> </ul>
	GEF CBIT-Forest	<ul style="list-style-type: none"> <li>• Capacity development related to NFI data analysis</li> </ul>
	UN-REDD SFM-LMR	<ul style="list-style-type: none"> <li>• Under LMR initiative in Laos: Technical assistance provided to one forest enterprise to provide support in: (i) development of a business/investment plan for implementing or scaling sustainable forest activities; (ii) identification of the appropriate financial institution or fund structure; (iii) engagement with the financial institution or fund and submission of the business plan; (iv) ongoing engagement process with the financial institution or fund helping to ensure the development of the appropriate financial product to support the enterprise.</li> </ul>
MALAYSIA	FLEGT	<ul style="list-style-type: none"> <li>• Support to VPA readiness of the Sabah timber industry, particularly SMEs.</li> <li>• Rapid country assessment to identify opportunities for a more targeted and relevant support to the timber private sector, in particular SMEs.</li> <li>• CIFOR research on SMEs<sup>36</sup></li> </ul>
	GCF Readiness	<ul style="list-style-type: none"> <li>• Assess the feasibility of land use investments to achieve REDD+ objectives conducting technical, market and economic analysis of priority activities/projects to establish feasibility of each activity and identify financial characteristics and capital requirements to bring activity to required scale.</li> </ul>

<sup>36</sup> <https://www.cifor.org/annualreport2019/a-new-era-of-small-scale-forestry-in-southeast-asia>

		<ul style="list-style-type: none"> <li>• Developing financing strategy for the priority activities, that includes investment proposal/brief. Each investment brief will detail the project/activity characteristics, the capital requirement, typical counterparty and appropriate financial instrument, as well as projected returns at the activity or project level.</li> <li>• Developing a strategy for attracting private investors. This includes identifying the barriers to private investment and recommending a range of appropriate solutions to make the investments more attractive to private sector capital providers.</li> <li>• Recommendations for nationally coordinated policy and fiscal reform measures and actions to promote and incentivize private investment</li> </ul>
MYANMAR	<p>(1) NFI / NFMIS – HRBA, Finland</p> <p>(2) UN-REDD Mangroves technical assistance</p> <p>(3) GEF- Sustainable cropland and forest management in priority agro-ecosystems of Myanmar.</p> <p>(4) GCF. Climate-resilient agriculture, forestry and land use in the Chindwin River Basin.</p>	<ul style="list-style-type: none"> <li>• (1) Although not specifically focused on CF, due to the heavy focus on Conflict Sensitivity and HRBA the project will strongly engage and foster participation with stakeholders including at the community level and ethnic groups. FPIC Process, transparency and open data policies will ensure strong community participation.</li> <li>• (2) Strong focus on community level work on sustainable management and restoration of mangrove ecosystems including development of ecosystem based District level forest management plans and Land Use Plans. Output 4 of the project, not yet funded, focuses on certification of community conservation areas, community forests and Community Forest Enterprises.</li> <li>• (3) Capacity development of farming and forestry stakeholders to mitigate climate change and improve land condition by adopting climate smart agriculture (CSA) and sustainable forest management (SFM) policies and practices at all levels, including communities.</li> <li>• (4) Proposal for submission in October). The project will demonstrate the effectiveness and efficiency of a subnational approach to low-emission, climate-resilient and sustainable agriculture, forestry and land use. The project will also establish a jurisdictional-scale enhanced transparency framework.</li> </ul>
	FLEGT	<ul style="list-style-type: none"> <li>• FLEGT preparedness for community timber producers; Development of forest management plans.</li> <li>• Assessment of Covid19 impacts on forest communities</li> </ul>
	FAO Corporate funding	<ul style="list-style-type: none"> <li>• Roadmaps for agroforestry development and field testing</li> </ul>
PHILIPPINES	FLEGT	<ul style="list-style-type: none"> <li>• Certification, timber legality, SFM</li> </ul>
	FLRM	<ul style="list-style-type: none"> <li>• ANR, Community Forest and landscape restoration activities</li> </ul>



THAILAND	UN-REDD SFM-LMR	<ul style="list-style-type: none"> <li>• Community-based groups and smallholders to access forest product value chains;</li> <li>• Trainings on tree registration in plantations including ToT to community representatives.</li> </ul>
	GEF CBIT-Forest	<ul style="list-style-type: none"> <li>• Capacity development events related to data analysis and fieldwork, efforts to make NFI metadata publicly available and updating the NFMS documentation</li> </ul>
	FLEGT	<ul style="list-style-type: none"> <li>• Assessment of Covid19 impacts on forest communities</li> </ul>
VIETNAM	UN-REDD (including SFT-LMR)	<ul style="list-style-type: none"> <li>• PES schemes (including but not limited to REDD+) around forest and landscape ecosystems, as a basis for alternative incomes sources to compensate for communities' role in NRM.</li> <li>• Forest and land allocation to communities and households</li> <li>• Small holder group forest certification and sustainable supply chains</li> </ul>
	UN-REDD SFM-LMR	<ul style="list-style-type: none"> <li>• Community-based groups and smallholders to access forest product value chains;</li> <li>• Trainings on tree registration in plantations including ToT to community representatives.</li> </ul>
	FFF	<ul style="list-style-type: none"> <li>• Support to 35 forest-and-farm producer organizations (FFPO), with multiple value chains (i.e. FSC certified timber, timber processing, bamboo, organic cinnamon, star anise, mulberry, silk, honey, organic and non-organic vegetables and rice, sticky rice, herbs, aquaculture, pomelo and other fruit trees, mushrooms, animal husbandry and community tourism.</li> <li>• Business incubation for FFPO.</li> <li>• Establishment of linkages between FFPO and private sector (IKEA)</li> </ul>
	FLEGT	<ul style="list-style-type: none"> <li>• Registration and facilitation of informal wood households to comply with timber legality; Small business.</li> <li>• Assessment of Covid19 impacts on forest communities</li> </ul>
Regional (and Cambodia, Laos, Myanmar)	TCP/RAS/3705 - scaling up agroforestry in the ASEAN region for food security and environmental benefits.	<p>ASEAN level (regional)</p> <ul style="list-style-type: none"> <li>• ASEAN Economic Community Framework</li> <li>• Vision and Strategic Plan for ASEAN Cooperation in Food, Agriculture and Forestry 2016 – 2025</li> <li>• ASEAN Guidelines for Agroforestry Development</li> </ul>

		<p>Cambodia - market access and information for rural people</p> <p>Lao PDR - Enhanced capacity for policy analysis and planning on agricultural economics and market</p> <p>Myanmar - Institutional capacities and governance strengthened.</p>
	FLEGT	<ul style="list-style-type: none"> <li>• Assessment of Covid19 impacts on forest communities</li> </ul>
	UN-REDD SFM-LMR	<ul style="list-style-type: none"> <li>• Regional finance platform for collaborating on illegal and illicit activities in the Lower Mekong; finance transition roadmap with guidance for implementation with revised investor and lending guidelines for forest activities; Training conducted with at least 10 financial actors engaged in investment and finance in the forest sector across the LMR to implement revised investor and lending guidelines for forest activities.</li> </ul>

## Annex 6. List of actions against ASEAN SF & Forest and CC Plan of Actions (POAs)

<b>Output 1. Contribution of social forestry schemes towards climate change mitigation in the ASEAN assessed [with focus on 3 pilot countries] to inform action and climate finance</b>		
<b>Activity</b>	<b>POA Social Forestry 2021-2025</b>	<b>POA Forest and Climate Change 2021-2025</b>
1.1 Comparative assessment of mitigation contribution of different social forestry models, including potential of community forestry, private social forest initiatives, and different forest management practices and tenure regimes.	1.1.4	3.1.6; 3.3.1
1.2 Assessment of the potential extent of social forestry interventions in the ASEAN/3 pilot countries (including: type, area, tenure regime, political ambition, gaps and enabling environment).	1.1.4; 3.1.1	3.1.6
1.3 Recommendations on social forestry interventions to contribute to climate change mitigation defined through exchange between ASEAN working group on Social Forestry (AWG-SF) and AWG Forest and Climate Change (AWG-FCC).	1.1.1; 3.1.1; 3.1.4	3.1.1; 3.1.3; 3.1.4; 5.1.1; 5.2.1
1.4. Building the relevant evidence base to attract climate finance (private sector, GCF, others) and provide support to mobilize investment in two identified social forestry mitigation programmes.	1.1.1	3.1.5; 3.1.6; 3.1.7
<b>Output 2. Capacities to assess and monitor social forestry to the NDCs/Climate change frameworks built in 3 countries</b>		
<b>Activity</b>	<b>POA Social Forestry 2021-2025</b>	<b>POA Forest and Climate Change 2021-2025</b>
2.1 Facilitate participatory discussions to decide on methods and the integration of social forestry monitoring in National Forest Monitoring Systems.	3.1.4	3.3.1; 5.2.1
2.2 Building system and human capacities of national governments to enable social forestry monitoring within the NFMS.		3.3.1
2.3 Building local capacities on social forestry monitoring in line with the agreed NFMS.		
2.4 At the ASEAN regional level facilitate participatory discussions to inform on methods and the integration of social forestry monitoring in National Forest Monitoring Systems.	3.1.4	3.3.1; 5.2.1
<b>Output 3. Facilitate the integration of social forestry actions in NDC implementation and in the upcoming NDCs revision (2025) in 3 countries</b>		

Activity	POA Social Forestry 2021-2025	POA Forest and Climate Change 2021-2025
3.1 Assist countries in identifying and including specific social forestry interventions as mitigation and adaptation actions in the implementation of NDCs and their future revision.	3.1.3	3.1.1; 3.1.3; 3.1.4;
3.2 Promote tenure security and user's right: advocacy and pilots to foster recognition of customary tenure rights in forest landscapes to ensure long-term mitigation actions, building on experiences in Viet Nam and Lao PDR, and other countries.	1.1.3	5.2.1
3.3. Assess actual and potential incentives for social forestry mitigation actions, and support 3 countries to develop incentive schemes that support climate-friendly and socially responsible forestry.	1.3.4	5.2.1
3.4 At the ASEAN regional level, online knowledge exchange sessions will be organized to facilitate AMS interaction on identifying and including specific social forestry interventions as mitigation and adaptation actions in country NDCs.	3.1.3	3.1.1; 3.1.3; 3.1.4;
<b>Output 4. Promote and accelerate responsible private investments in social forestry</b>		
Activity	POA Social Forestry 2021-2025	POA Forest and Climate Change 2021-2025
4.1 Stocktaking of actors (social forestry programmes, incubators/accelerators, etc.)		3.1.5
4.2 Enterprise assessment of the economic and business potential of selected social forestry models, including their capital requirements, capacity shortfalls and their ability to attract private finance (due diligence).	1.3.3	3.1.5
4.3 Scoping of possible private investment sources for social forestry programmes	1.3.3	3.1.5
4.4 Development of 'blueprints' as financing case studies for 3 selected social forestry programmes	1.3.3	3.1.5; 3.1.6
4.5 Engagement with AMSs and dissemination and promotion of 'blueprints' and recommendations to enable and incentivise lending and investment to social forestry in the ASEAN region.	1.3.3	3.1.5; 5.2.1

