



**Southeast Asian Network
for Agroforestry Education
(SEANAFE)**

Final Report

Resource Mobilization Workshop



Edited by Per G Rudebjer

**15-17 October 2003
Kasetsart University, Faculty of Forestry
Bangkok, Thailand**



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Workshop Report

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Preface

The Southeast Asian Network for Agroforestry Education (SEANAFE) was established in 1999, by 33 universities and colleges. In 2001, national sub-networks were set up in each of the five countries: Indonesia, Lao PDR, Philippines, Thailand and Vietnam. The membership increased to 76 institutions. Since its inception, SEANAFE is funded by the Swedish International Development Cooperation Agency (Sida) via a grant to the World Agroforestry Centre (ICRAF).

The current support from Sida ends in June 2004. This is a serious threat, at a stage when the national networks are rather fragile and when work remains to be done to respond to rapid changes of the SE Asian landscapes. The question arise: How can we broaden SEANAFE's financial resources base, in order to sustain the national and regional networks? We continuously need to revisit what we do and how we mobilize the resources we require.

Some national networks have already started to generate funds through membership fees or government contributions. SEANAFE's regional and national networks now need to mobilize resources in a more systematic way. There are many possible sources of funding: government, private foundations, international development cooperation and others. Tapping these resources requires skills and competencies in resource mobilization, project design and proposal writing.

The SEANAFE Resource Mobilization Workshop was held on October 15-17, 2003 at Kasetsart University, Faculty of Forestry (KUFF) Bangkok, Thailand. The forty-two participants represented 35 member institutions, 14 of them attending a regional SEANAFE meeting for the first time. Key note speakers and resource persons enriched the opening session. They represented SEANAFE's most important partners and stakeholders, including the African Network for Agroforestry Education (ANAFE); the Regional Community Forestry Training Centre (RECOFTC); the World Agroforestry Centre (ICRAF); the Swedish Environmental Secretariat for Asia (SENSA); Sida; the Department of National Parks, Wildlife and Plant Conservation, Thailand; and the Office of the President and the Faculty of Forestry of Kasetsart University.

During the workshop, participants learnt about resource mobilization. They then applied their knowledge by developing resource mobilization plans and project designs for the regional and national networks. We strongly believe that SEANAFE's mission is important: to influence the educational system in SEAsia, thus having an impact on the knowledge, skills and attitudes of future graduates. By mobilizing resources for this work, SEANAFE would ultimately contribute towards the dual goal of improving the livelihood of rural communities and conserving the environment in SEAsia.

Dr David Thomas
Senior Policy Analyst,
World Agroforestry Centre, Thailand

Acknowledgements

Organizing a large regional workshop is teamwork. First and foremost, SEANAFE is grateful to Kasetsart University, Faculty of Forestry (KUFF) for hosting and co-organizing the Resource Mobilization Workshop and the 3rd General Meeting of SEANAFE in a highly professional way. In spite of the complications added by the simultaneous Asia-Pacific Economic Cooperation (APEC) meeting, all arrangements were flawless. The organizing committee at KUFF, under the leadership of Dr Monton Jamroenprucksa worked hard to serve participants and resource persons alike, thus contributing significantly to the output of the workshop and to documenting it in this report.

ICRAF staff in Indonesia, Thailand and Philippines, and the staff of the Secretariat of the Philippine Agroforestry Education and Research Network (PAFERN) were most helpful in arranging participants' travel, as well as other administrative support.

The Swedish International Development Cooperation Agency (Sida) generously provided the financial resources required through its grant to SEANAFE. We also appreciate that Sida sent two senior staff members to attend the meeting.

Importantly, we would like to recognize SEANAFE member institutions—faculty and leadership—for contributing valuable staff time towards the work of SEANAFE. This is what is driving the network forward and has enabled SEANAFE to evolve to its present status in a relatively short time.

Finally, we wish to thank Fiona Chandler, consultant at ICRAF-SEAsia Regional Office, for sharing her knowledge on resource mobilization and project design.

Per G. Rudebjer
SEANAFE Technical Adviser

How this report is organized

This workshop report is a learning tool for resource mobilization and project design. Second, it is a working document for the on-going process of mobilizing resources for the regional and the five national networks which constitute SEANAFE. Thus, it is both an internal tool for SEANAFE members and a resource for anybody interested in learning more about how to mobilize resources. A brief description of the content may be helpful for the reader:

Section 1. Opening session and keynote speeches:

A series of welcome addresses and opening remarks and keynote speeches provides the background to SEANAFE and the context in which the network operates. For example, several speakers from Thailand pointed out the recent dramatic changes in both the Thai ministerial structure and in higher education. The Sida representative highlighted the importance of regional collaboration, but at the same time said that donors often prioritize bilateral development cooperation. The presentation from ICRAF highlighted how countries in the region are connected across boundaries and looked at the driving forces behind land use change. Finally, two presentations from other regional organizations in SEAsia and Africa, the Regional Community Forestry Training Centre (RECOFTC) and the African Network for Agroforestry Education (ANAFE), respectively, emphasized the importance of partnerships.

Section 2. Objectives, outputs and workshop process:

This section describes briefly what we did in the workshop and how we did it. Key elements of the resource mobilization process are presented: 1) SWOT analysis for the regional and national level; 2) The resource mobilization framework and 3) The process of developing program logics and project design, using Bennett's Hierarchy.

Section 3. Tutorials on resource mobilization and project design:

In a series of six short tutorials, Fiona Chandler, Consultant, ICRAF-SEAsia, shared her experiences on resource mobilization. These tutorials both provide a theoretical background and gives practical tips that readers can use in their own resource mobilization plans.

Section 4. National resource mobilization frameworks and project designs:

Each of the five county groups developed a project design based on a project idea. This had the dual purpose of practicing the use of Bennett's Hierarchy for designing a project and, second, to prepare drafts which the national networks later could develop into full proposals. This section presents the draft outputs of the national project designs. However, the reader should be aware that the national plans are work in progress.

Finally, among the **Annexes**, the reader might be interested to find a list of potential funders for capacity building projects.

SECTION 1. OPENING SESSION AND KEYNOTE SPEECHES

Master of Ceremony: **Dr Uthaiwan Sangwanit, KUFF**

Opening session

Welcome and opening

Dr. Mohamad Sambas Sabarnurdin

Chair of SEANAFE

Dr. Sornprach Thanisawanyangkura, Vice President for planning International Affairs of Kasetsart University,
Prof. Dr. Samakee Boonyawat, Associate Dean of Faculty of Forestry,
Dr. Komol Pragthong, Representative of Director General of DNWP,
Dr. David Thomas, Senior Policy Analyst, ICRAF Thailand,
Our friend from Africa, Dr. John Kaboggoza, Chair of ANAFE,
Distinguished delegates,

Good morning and may God bless us all,

On behalf of the SEANAFE board, I would like to convey our sincere appreciation and gratitude to the officials and staff of Kasetsart University for kindly hosting this meeting. We also like to express our thanks to all guests, collaborators and delegates for taking time to attend the opening of the Resource Mobilization Workshop and the 3rd General Meeting of the Southeast Asia Network Agroforestry Education (SEANAFE), which will be held here from 15 to 18 October 2003.

A common commitment among several agricultural forestry institutions in Southeast Asia to support agroforestry higher education in one side; and the Sida program in expanding its support to agroforestry development to Asia in the other side; has led to the establishment of SEANAFE. SEANAFE is designed to strengthen agroforestry education through a regional networking mechanism. We realize the existence of agroforestry and we also realize that agroforestry is being practiced by farmers, which we all know are the real integrators of all natural resources-related disciplines.

However, we also know that the system we are talking about has only obtained limited benefits from the existing sector-based agricultural development. In his remarks at the opening ceremony of the last GM in Bogor Indonesia, Hon. Harald Sandberg, Swedish Ambassador to Indonesia, stated that 'There is need for well trained scientists, educator, and development professionals with knowledge and skill of agroforestry to support them (the farmers) to develop integrated land use systems'.

It is time for us to produce a new breed of natural resource professional as well as scientists along those lines. We agree to sustain our network, on the basis of our

understanding that there will be no such kind of sustainable support from any donor. This workshop is one of our attempts to improve our capability to mobilize all resources available to suit our objectives. Let us take full advantage of this opportunity.

Thank you and again good morning to all!

Welcome remarks

Dr. David Thomas

Senior Policy Analyst, World Agroforestry Centre (ICRAF) -Thailand

Fellow speaker and SEANAFE colleagues, Good morning,

On behalf of ICRAF SE Asia's Regional Coordinator I would like to welcome all participants to this workshop. We are very pleased to see some familiar faces and some new ones as well.

SEANAFE is a very important part of ICRAF's activities in SE Asia. It is exciting trying to facilitate and support the development of SEANAFE as an important part of our research and development programs in the region. In fact, I think, as our programs in SE Asia become more complex and begin to mature, we are also seeking ways to improve the relationships and synergy among these different parts of our programs. The network that SEANAFE represents is important as a network. But it is also important in terms of being the main link among centers where concepts are developing, of the research and development processes. It is also important in terms of the training and education of the youth who are the future of the research.

Agroforestry as a field continues to change. And the more we change and the more we grow and mature, we find out that there are many things that are very old about agroforestry, that build on old traditions and groups that have been around in cultures of a long time. At the same time, there are a lot of new things and new ideas and high technologies that can be brought in as we try to understand and find ways to improve our management of agroforestry landscapes.

SEANAFE as an organization is maturing and developing rapidly, as we see. And this workshop marks a phase in that process. Because as the chairman just mentioned, the kind of support from SIDA has really been the key element in the development. We are also particularly pleased to see the relationship with representatives from ANAFE, the African counterpart. We are grateful for that. But as the organization matures and becomes hopefully a regional institution, it has to seek and find ways into the future so that it can diversify and maintain itself. And as part of that thinking process, we hope what comes out of the activities here would guide SEANAFE in that direction. I am looking forward to the results of this get-together.

Thank you all for coming.

Opening Remarks

Dr. Komon Pragtong

Representative of Director General, of the National Park, Wildlife and Plant Conservation Department

Chairman of the SEANAFE Board, Distinguished participants, Ladies and gentlemen,

First of all, I would like to inform that the Director General of the Department has an officially significant engagement and kindly asked me to convey his speech to this important international workshop.

On behalf of the Department of National Park, Wildlife and Plants Conservation, it is both a pleasure and an honor for me to address to the members and friends of the Southeast Asian Network for Agroforestry Education today.

Our department is just celebrated the first anniversary on this October 2. Due to the last restructuring of the Thai bureaucratic system, the Royal Forest Department (RFD) was divided into two divisions of the Royal forest Department (RFD) and the Department of National Park, Wildlife and Plants Conservation (DNWPC) under the Ministry of Natural Resource and Environment (MNRE). The Royal Forest Department (RFD) is responsible for the productive aspects in the economic forests while the Department of National Park, Wildlife and Plants Conservation (DNWP) is responsible for the conservation aspects in the protection forest. In order to involve with the local participation, the activities of agroforestry has been initiated in the forest land development programs of both divisions.

Since last decade, Thailand has met with the series of the economic changes which led to many program related to the support of the agroforestry to the farmers. Those programs are worth recording as follows:

1. The New Theory of Agriculture or self reliance agriculture under the initiative of His Majesty the King. The program is to support self sufficient farming to those jobs loosing and returning home farmers after the economic crisis.
2. The pilot project on sustainable agriculture development of the small farmers has been promoted in 19 ecological zones for self-reliance and non-chemical agriculture for 3 years.
3. The program to postpone farmers' debt payments to government banks has supported those farmers for 3 years to encourage reinvestment in agriculture.
4. The One Tumbol One Product (OTOP) program has been initiated in all villages all over the counties to find the best products to be marketed in a Tumbol. The products also include agroforestry products.
5. The pilot project on participatory forestry development in conservation forests in the national park, wildlife sanctuary and watershed head forest areas have been initiated with those farmers who live in the protective forests.

Those programmes are related to the promotion of different aspects of agroforestry, which need more study and research, such as cases studies in agroforestry. The Department of National Park, Wildlife and Plants Conservation (DNWPC) is willing to coordinate with the Kasetsart University in this work.

I have also noted that SEANAFE or Southeast Asian Network for Agroforestry Education, launched in 1999, aims to strengthen the tertiary education institutions related to agroforestry in the region as well as in Thailand. This will lead to a number of graduates qualified to work with people in the field of agroforestry.

On behalf of a user or stakeholder in this career, I am very pleased that this international workshop gathers agroforestry academia of this region to discuss the way to improve the agroforestry education network. I believe that this continued collaboration of the members will eventually lead to improvement of our forest resources and environment.

I wish you all having a fruitful meeting and enjoyable stay in Bangkok.
Thank you very much.

Opening and welcome remarks

Dr. Samakee Boonyawat

Associate Dean of the Faculty of Forestry, Kasetsart University

Chair of the SEANAFE Board, Vice President of Kasetsart University, Distinguished participants, Ladies and gentlemen,

On behalf of the Faculty of Forestry, it is great pleasure for me to welcome the delegations of SE Asian universities which are the members of SEANAFE.

Let me take this opportunity to introduce briefly our faculty: The Faculty of Forestry is the only one academic institution in Thailand offering higher education in forestry for Bachelor and Master of Sciences, and Doctor of Philosophy degrees. The Faculty consists of 6 departments, namely: Conservation, Silviculture, Forest Engineering, Forest Product, Forest Management and Forest Biology.

The Bachelor Degree in Forest has been divided into 4 majors, which are:

1. Forest Resources Management, with 3 options in watershed management, park and recreation and forest management
2. Forest Engineering
3. Forest Biological Sciences, with 3 options in forest biology, silviculture, and wildlife and range science
4. Social Forestry

The Faculty of Forestry also offers two wood products degree programs: wood science and technology; and pulp and paper technology.

The agroforestry subject has been offered in the silvicultural course since 1981. It is now becoming a core subject of the social forestry course. It was developed as a technology to solve the forestry problems in marginal land, emphasizing the restoration of degraded forest land and the improvement of the socio-economic conditions in the area. At present, integrating trees into different kinds of land-use systems to improve

watershed conditions is considered increasingly important, especially for sustaining agriculture systems in the long term.

Nowadays, networking among Thai universities related to agricultural sciences and environment has become an approach for research and education development. An education network, the so-called 'Council of Deans in Agricultural Sciences or CDAS' has been put in place. Its emphasis is to establish a forum for exchanging knowledge and sharing visions among scientists in sustainable natural resource management. The Faculty of Forestry has been a key institution in the network of CDAS since 1998. In this network, the CDAS Chair and committee are reestablished every two years, to coordinate and organize yearly network meetings. The location of those meetings rotates among different hosting university in the network. Coincidentally, the network meeting for this year will started tomorrow on October 16, 2003 for 3 days, with Khon Kaen University hosting the meeting.

As a member institution of SEANAFE, I feel very pleased and honoured in hosting this importance workshop of SEANAFE: the Resource Mobilization Workshop, on October 15-17 October, 2003; and back-to-back with the workshop, the 3rd General Meeting of SEANAFE on October 18, 2003. I have learnt that there are 35 participants from universities in Indonesia, Laos, Philippines, Vietnam and of course Thailand, to brainstorm on the issues regarding financial resources to sustain the networks and activities beyond June 2004.

I wish you all having a fruitful meeting and welcome you to our Faculty of Forestry.

Thank you.

Welcome and Opening Address

Dr. Sornprach Thanisawanyankura

Vice President, Kasetsart University

Chairman of SEANAFE Board, distinguished participants, ladies and gentlemen,

On behalf of Kasetsart University, I would like to cordially welcome all of you to the international workshop on SEANAFE's (Southeast Asian Network for Agroforestry Education) Resource Mobilization, on 15-17 October 2003' and then to the General Meeting on 18 October 2003.

Kasetsart University was founded on 2nd February 1943. It is the first university in Thailand to offer degree programs in agricultural sciences. Such offering was dictated primarily by the large demand for well-trained manpower for the development of agriculture and related fields in the country. The large increase in the need for degree holders in many other fields in addition to agriculture and related sciences led Kasetsart University to develop into a full-fledged university. At present there are 21 Faculties including the Graduate School, with 2,033 academic staff and the total enrollment of 39,142 in academic year 2003. There are also a number of institutions and offices. Kasetsart University has established strong national, regional and global networks with

formal agreement for faculty and student exchanges, joint research, collaborative implementation of academic programs and conferences with 57 regional and international organizations and 167 universities and institutes in 31 countries worldwide.

I am very happy to learn that this international gathering is the result of cooperation among academies of ASEAN and World Agroforestry Center sponsored by Sida (the Swedish International Development Cooperation Agency). I am sure that this workshop will be the venue for the exchange of knowledge and experience of participants in order to find the means of sustaining the network for agroforestry education in Southeast Asia. I am absolutely confident that the goodwill and spirits of cooperation among the scientists and people involved in SEANAFE activities would establish a strong network. We shall work together for sustainable development and the benefits of our future generations. The ASEAN Leaders in the APEC meeting to be held soon this and next week on October 17-21, 2003 does confirm the importance of regional cooperation.

I would like to thank the World Agroforestry Center and the SEANAFE Board as well as the Faculty of Forestry of Kasetsart University who jointly organize this important workshop. Special thanks are given to Sida for their sponsorship as well as to all participants of this international workshop. It is my great honor and pleasure to associate with you. On behalf of Kasetsart University, I look forward to having more cooperation with you in this important endeavor.

I wish you all a fruitful meeting and enjoyable stay in KU Home as well as a safe and sound journey back to your home country. With that, I am pleased to declare open the International Workshop on SEANAFE Resource Mobilization.

Thank you.

Keynote speeches

Some current trends in agroforestry research and development

Dr. David Thomas

Senior Policy Analyst, ICRAF-Thailand

Please, refer to PowerPoint presentation in Annex 1.

Regional cooperation makes sense – A presentation of the SENSEA¹ Office

Bo Göhl

Regional Adviser-Environment, Sida-Bangkok

Ladies and Gentlemen!

Sida has a long history of supporting development efforts in Southeast Asia. Traditionally this support has been in the form of cooperation through bilateral agreements with individual countries. There are only a few examples where the support is aimed to the region rather than to countries, even though regional support sometimes seems to be a more attractive option. There are many valid reasons why the regional option usually takes the backseat when deciding how cooperation shall be organized:

- The Sida administration is built around a system of country strategies and negotiations with governments rather than regional entities and governments.
- Cooperating governments usually prefer to have all support for themselves rather than sharing it with organizations where their influence is limited. Also,
- Foreign aid is under the stewardship of the Ministry of Foreign Affairs and their network is built upon embassies to countries, not on representations to regional bodies.

In the Southeast Asian region itself, however, there is a growing interest in regional cooperation. Economic and political integration has progressed fast during the past few years. Cambodia, Laos, Vietnam and Myanmar have become members of the Association of Southeast Asian Nations – ASEAN – and the Mekong riparian countries have agreed to share regional infrastructure developments under the Greater Mekong Sub-regional – GMS in short - program of the Asian Development Bank. These include a regional power grid and a system of development corridors. However, environmental issues are not part of these regional discussions and are not really integrated in the economic development plans despite the lessons learned from the past that there are costly environmental trade-offs of large-scale development projects.

A year ago, Sida established a small secretariat with two professionals in Bangkok to assist Sida to better integrate environmental issues in its cooperation programs. The secretariat – the Swedish Environment Secretariat in Asia, or SENSEA for short- is not taking over any functions from the Sida Headquarters, nor has it mandate to fund projects. The role is entirely advisory and limited to regional environmental issues. To establish the secretariat at this time seems very timely as it reflects a growing concern among people in Southeast Asia about degradation of their environment they see take place across the board – from highland forests and freshwater to marine resources. Many environmental issues are regional in nature and can only be addressed by regional and transboundary cooperation. Two such regional environmental issues will be addressed by SENSEA during the coming year: depletion of natural forests and upstream/downstream environmental cooperation in the Mekong river basin. You are all aware of the problem with illegal logging that has plagued the region for many years

¹ The Swedish Environmental Secretariat in Asia

and there is no need for me to repeat all the tragic facts. Of course there can be no sustainable forestry until illegal logging is under control. The root of the problem is the enormous demand for timber in China, Thailand and Vietnam and the logging ban instituted by these countries. Instead logging has moved the weaker neighbours Myanmar, Laos and Cambodia where it can continue under a blanket of secrecy.

Much has been written in the newspapers about the concern about downstream environmental security as China continues with the construction of dams in the mainstream of the Mekong and blasting the Mekong's rapids in order to increase commercial shipping between China and Thailand. The main concern here is concentrated on the breeding areas for migratory fish species, the necessary annual flooding of the Ton Le Sap lake and salt intrusion in the very productive Cuu Long delta area.

The future may not be as bleak as it appears at first sight. Many of the components needed to mitigate the problems are already there. There are international agreements and norms governments in the region have signed and agreed to and all governments have participated in important consultative processes ranging from the Rio Conference on Sustainable Development to the World Commission on Dams. More important, there are examples in the region how regional issues can be addressed. One model for regional cooperation is the Haze Technical Task Force set up by ASEAN to solve the problem with haze – the infamous Asian Brown Cloud - that persist over Southeast Asia. Another model is the 'Track II' discussions that take place in parallel with ASEAN 'Track I' ministerial processes. The unofficial Track II talks include participants from academia and government staff who participates in their personal capacity. They can address issues that the official Track I talks are not yet ready to address. A third place to start injecting regional environmental cooperation would be through the GMS development scheme. If funding from the Bank for the development corridors include transboundary environmental conditions these would most likely be adhered to. One would think that transboundary effects automatically should be considered in the planning of large development schemes, but that is not the case at present. Nor is there a supranational mechanism to monitor impact across national borders.

Participative processes and access to environmental information would be one of the cornerstones in such a process. Also here much has happened during the past few years. The Asian Development Bank itself has opened up its archives to the public and most documents are now published on their web-site. However, the Bank has rightly been criticized that only already decided projects are published. Analysis and discussions on project formulations are still entirely internal to the bank and without any possibility for outsiders to influence the result. The Bank was, as you know, severely criticized for its recent forest policy that was formulated without participation of anybody outside its own staff. Individual countries are gradually accepting to release at least some environmental information. The new Thai constitution has provisions for public access to information held by the government, even if the present government seems to be backtracking on this.

Access to information may well become the next battleground in the war against environmental abuse. One can expect that citizens soon will demand that government attitude shall change from forced disclosure of selected pieces of information to one of

systematic information collection and willing disclosure in order to increase the opportunities for its citizens to participate in planning. Not until then can one hope that the significant gap between environmental laws and its implementation will begin to close. Transparency will also be one of the keys to combat illegal logging. Illegal logging can only occur in areas where the public has no insight into what happens. SENSA is doing its best to work along these lines.

Capacity building in community forestry

Dr. Yam Malla

Executive Director, RECOFTC

Background of RECOFTC

The Regional Community Forestry Training Centre (RECOFTC) was established in 1987 as a training centre in Community Forestry (CF). During 1988-1993, RECOFTC offered a six-month certificate course in CF. It had a Documentation Centre and was the regional host of the FAO Forests, Trees and People Project.

The period 1993- 1997 saw an expansion of the training program. Four other international courses were offered: Community Forestry Extension; Conflict Management; Marketing of NTFPs; and Protected Area Management

In 1998 - 2000, the context of CF had changed. RECOFTC was doing innovative work on forestry projects and organizations. We had a training responsibility at national level. Also, there were requests for technical support from RECOFTC.

This period saw new challenges and opportunities for RECOFTC:

- Community Forestry certificate course (4 months & then 2 months)
- Extension or facilitation of skills development
- Conflict management and collaborative forest management?
- Community-based tourism
- New strategic plan with collaborative country support program (CCSP) and a regional support program (RSP)
- Partnerships

In 2000 – 2003 RECOFTC emerged as an international organization. A new institutional structure was created with four 4 units:

- Collaborative Country Support Program
- Regional Support Program
- Corporate Services
- Strategic Management

Field projects, partnerships with GOs, NGOs & forestry projects, and training as part of the regional support programme were established. Four new training programmes were offered:

- The Power of the Pen
- Decentralised Forest Management Planning: Improving the Impact

- Participatory Action Research for CBNRM
- Good Forest Governance & Institutional Structure

RECOFTC's Vision and Mission

RECOFTC's vision and mission statements are:

Vision:

The livelihoods of local people in Asia are improved through greater access and control over the forest resources on which they depend, and they have the ability to exercise their rights to sustainably manage these resources in a supportive policy and institutional environment.

Mission:

RECOFTC is an international organization that closely collaborates with partners to actively support community forestry. As a learning organization, RECOFTC designs and facilitates learning processes and systems that support the development of capacities of actors in community forestry. RECOFTC seeks to constructively promote dialogue between multi-stakeholders to ensure improved governance and equitable management of forest resources.

The environment in which RECOFTC operates can be illustrated as follows:

Governance:

Governance is the processes and arrangements by which decisions are made and implemented. Forest governance, then, is the processes and arrangements by which forest related decisions are made and implemented. Governance refers not to formal arrangements about how decisions should be made, but to what actually happens. Power fits in here, i.e., the ability to make decisions (or influence decision-making) and implement decisions.

Local innovations: What degree of authority and decision-making power should local communities have? How are policies influencing 'the process of innovation' at the local level? How can accountability and transparency between communities and other stakeholders be ensured? What is an equitable benefit sharing arrangement & how can these be reached? How can we help user groups to develop viable enterprises? How could we improve local management practices and silviculture to become more productive?

Capacity building and networking

Capacity building and networking are all of the following:

- Equipping individuals with the understanding, skills and knowledge to perform effectively.
- Adapting to management structures, processes and procedures in the own organization, and relating to other organizations.
- Partnership building: providing access to knowledge & skills & proven methodologies; networking; joint learning & improving collaboration between different organizations

Thus, capacity building goes beyond just the training. There is need to consider the organizational functions, the management processes and skills needed to do a particular activity. Capacity is a central element in the process of organizational and institutional change. Without a supportive environment to encourage people to learn and apply skills, there will be little change. RECOFTC aims to explore three elements of capacity building and networking:

- Community forestry education
- Community forestry training for change
- Networking & information management

Community forestry education: Some key challenges include:

- How can forestry education contribute to effectively addressing the real challenges facing forest sector management?
- What strategies can encourage the use of a system-based approach to curriculum dev. & learning in forestry education?
- Who should be involved in developing & setting the forestry education agenda?

Community forestry training for change: issues and challenges:

- Training seen as an end, not a means. Training is often seen as a solution to the problem, rather than a support tool to contribute to a solution.
- Training design: not adapted to field conditions. Training is planned and designed at central level and rarely takes field experience into account.
- Training is seen as a cost, not as development. There is a need to better integrate training into wider programs of institutional change.

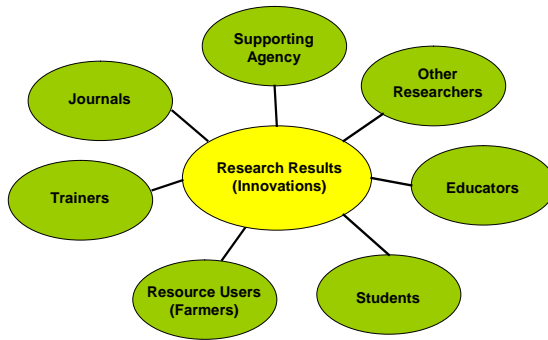
Key questions:

- How can we improve the training design and standards?
- What contributions could training make to reform the forestry education system as a whole?
- How can we combine training programmes with other strategies to build individual & organizational capacity for community forestry dev.?

Networking and Information Management:

- Two-way sharing of information, experiences, power and/or resources between previously distinct or discrete entities (persons or groups) having a common objective.
- Processes and systems that engage people to design, generate, collect, process, package and disseminate information products and services to a designated target audience based on their needs.

Networking and Information Management



Concluding remarks

Within a short span, RECOFTC has come a long way. The new strategic plan is more holistic. There is need to consider capacity building of both individuals and organizations. The community forest context has been changing all the time, presenting both new challenges and new opportunities for RECOFTC. There is need to build its own capacity to meet with the new demands. We need to ask ourselves: to what extent has the work on improving the governance, capacity, etc., addressed the livelihood and forest management issues?

Resource mobilisation: ANAFE's experience

Dr. John R.S. Kaboggoza

Chairperson, ANAFE Steering Committee

In this presentation, I would like to share some experiences in Resource Mobilization in the African Network for Agroforestry Education (ANAFE). Like SEANAFE, we are largely funded by Sida since our inception in 1993. This support will come to an end in 2005, and we are determined to mobilize new resources to sustain ANAFE.

1. Why resource mobilisation became essential for the African Network for Agroforestry Education (ANAFE)

- Growing network in terms of number of institutions and educators.
- Rising requests for support.
- Donor resolved to terminate support in 2005 (we are in our last phase, 2003-2005).

2. Essentials of resource mobilisation

- Securing a name: credibility as a viable network.
- Having clear links with development agenda.
- Developing a clear strategy for the network.

3. Resource mobilisation process of ANAFE.

- Training on resource mobilization principles.

- Training on project proposal writing (African Coordination Unit (ACU) + consultant.
- Write-shops for project proposals (Regional Agroforestry Training groups, RAFTS)
- Developing databases on potential donors (ACU + RAFTS).
- Donor contacts by ACU
- Final project proposals (ACU + RAFTS).

4. Challenges

- Good selection of project areas.
- Committing time for good proposal writing.
- Good follow up with donors.
- Implementation of projects and reporting mechanisms.
- Financial control

In the end, resources go to institutions. It may be useful if several institutions come together to sign documents on collaboration.

Mobilizing resources for SEANAFE

Per G Rudebjer

SEANAFE Technical Adviser

I would like to start by giving a background to SEANAFE, for the benefit of institutions that are joining a regional SEANAFE meeting for the first time. We started in 1998 with a status and needs assessment. But even prior to that, in 1994, an international round-table discussion on agroforestry education pointed out the needs for regional networking and collaboration.

In 1999, SEANAFE was inaugurated at its 1st General Meeting in Los Banos, the Philippines. There were 33 founding members institutions. At the second General Meeting, in 2001, in Bogor, Indonesia, SEANAFE decided to decentralize and to set up five national sub-networks. That later led to an increase in membership to 76 institutions, and an increase in activities across the board (figure 1).

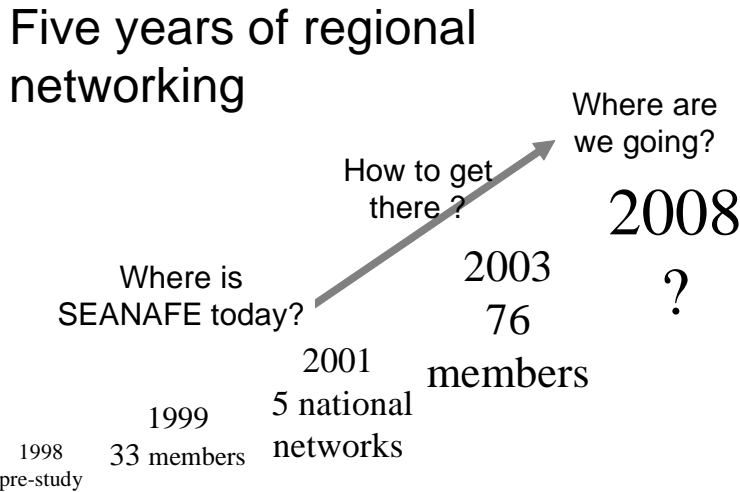


Figure 1. SEANAFE yesterday, today and tomorrow.

In a sense, this is the second resource mobilization workshop of SEANAFE. A ‘Fellows Workshop’ was held 1998, at ICRAF-Bogor, where the result of the status and needs assessment in the five countries was analysed. The outcome was the project proposal for the first Phase of SEANAFE, which was subsequently approved by the Swedish International Development Cooperation Agency, (Sida) for the period 1999-2002. This support was then extended until June 2004.

SEANAFE’s vision was formulated as follows:

‘Through improvement of agroforestry education and training, contribute towards socioeconomic improvement of farming communities and sustainable natural resource management in the region’

After a restructuring in 2001, SEANAFE set up five national networks, giving the network its current structure (Figure 2).

Perhaps SEANAFE’s most important resources are the member universities and colleges and our key partners and sponsors. But a network also needs good ideas, champions who can take the lead, a strategy and people who devote time to the network.

SEANAFE's structure

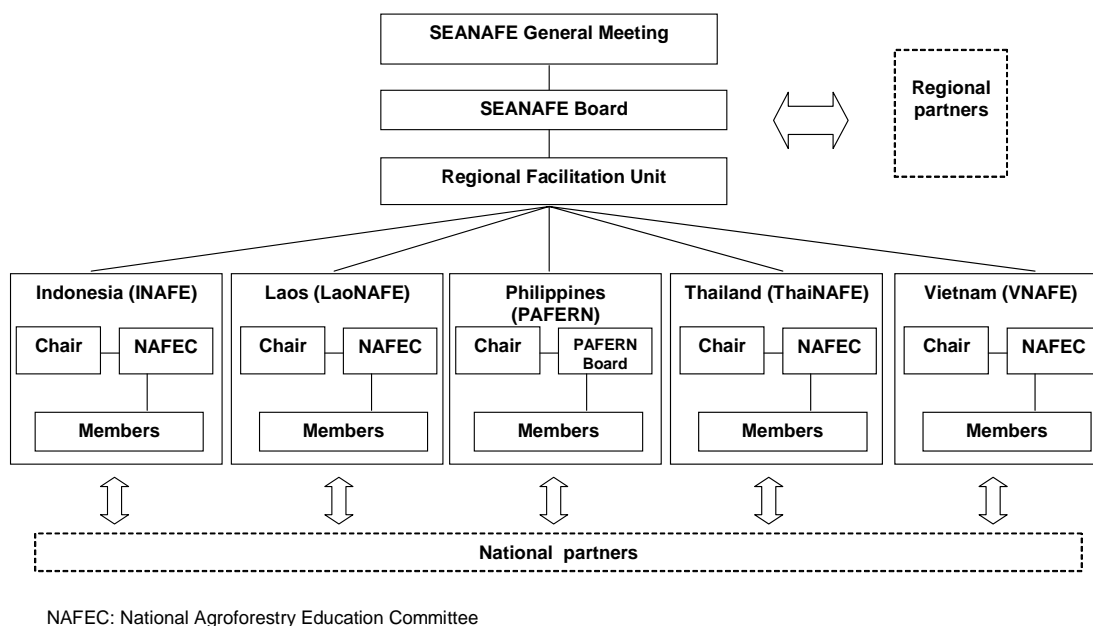


Figure 2. SEANAFE's structure

What has the network achieved during its first Phase? Table 1 lists the main issues and how the network addressed them.

Table 1. Regional issues and SEANAFE's response during 1999-2003

Issue	What we did
1. Common needs but limited mechanisms for collaboration	<ul style="list-style-type: none"> • 1999: Regional network of 33 members universities and colleges • 2001: five national networks • 2003: 76 members
2. Agroforestry curricula outdated	<ul style="list-style-type: none"> • Participation in CD process • Regional guide for agroforestry curriculum development • National guides: adapted and translated
3. Shortage of training materials	<ul style="list-style-type: none"> • 114 titles of books, lecture notes, CD, slide series distributed to libraries • National networks wrote and translated materials in local language
4. Research capacity at graduate level	<ul style="list-style-type: none"> • 1 MSc, 5 BSc theses in Indonesia and Philippines • Thailand: 5 institutions carried out 10 research projects • Vietnam: 3 institutions conducted Agroforestry research projects

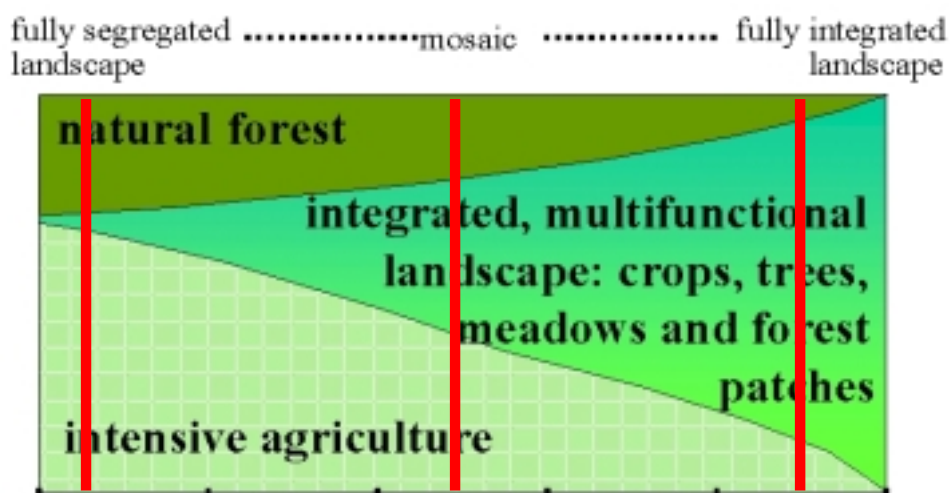
5. Lecturers' training on agroforestry research	<ul style="list-style-type: none"> • Regional courses • Regional training courses (with ICRAF/DSO) • On-farm agroforestry experimentation • >10 National training courses (2-3 per country)
6. Inadequate links to the field	<ul style="list-style-type: none"> • 16 institutions developed agroforestry demonstration plots
7. Agroforestry not recognized as specialization	<ul style="list-style-type: none"> • National networks engage in policy dialogue
8. Survey of T&E needs; government jobs ?	<ul style="list-style-type: none"> • Study on demand and placement of agroforestry graduates conducted in Indonesia and Philippines

The indirect impact

In addition to the tangible outputs of the network, SEANAFE's work has also contributed to:

- Understanding of key issues that influence agroforestry education in SEAsia
- Integration and collaboration between institutions of multiple disciplines; regionally and nationally
- Teamwork within universities
- Policy influence, for instance regarding national curricula

One example of SEANAFE's role is to convey a changing view of agroforestry to universities and colleges. Today, researchers are analysing how the integrated landscape works. Agroforestry in its many forms is important for the function of the whole landscape. This is quite different from the segregation between agriculture and forestry that is common in the education system and as well as in government structure, but it is also different from the 'classic' plot level view of agroforestry (figure 3).



The integrated agroforestry landscape

Figure 3. The integrated agroforestry landscape

Where is SEANAFE today? Is sufficient capacity now built? Have farmers livelihood improved? Are environmental services maintained? Or, is there perhaps still work to be done in these areas? As of 2003, what remains to be done? What is SEANAFE comparative advantage? Where do we go from here? This resource mobilization workshop is about working together, nationally and regionally, to answer these questions and to build arguments for mobilizing the resources required for implementing our plans.

SECTION 2. WORKSHOP OBJECTIVES, PROCESS AND OUTPUTS

Objectives

The SEANAFE Resource Mobilization (RM) workshop had three **objectives**:

1. Resource mobilization frameworks created for SEANAFE's regional and national networks
2. National and regional project designs developed
3. Concept notes for national and regional projects drafted

The workshop programme included the following **activities** (Annex 3):

- Keynote presentations on the changing view of agroforestry and on resource mobilization for agroforestry capacity building.
- SWOT analysis of national and regional network
- Creating resource mobilization frameworks
- Developing project design
- Developing concept notes for real project proposals
- Planning for post-workshop follow-up action

The expected **output** was:

- SEANAFE's strengths, weaknesses, opportunities and treats identified at the national and regional level
- Resource Mobilization Frameworks at national and regional level
- Project designs and concepts notes for potential proposals

The **outcome** of these efforts would be that SEANAFE's regional and national networks are able to keep addressing national and regional need for agroforestry capacity building beyond June 2004.

A 3-day workshop can only start this process towards a broad, sustainable resource base for the national and regional network. A lot of **post-workshop activities** would be required. After the workshop, the national networks and the National Agroforestry Education Committees (NAFEC) will further develop the concept notes into full-fledged proposals for submission to national or international donors. The SEANAFE Board will play a key role in mobilizing resources for the regional level, as well as assisting the national networks, as required.

Workshop process

Fiona Chandler

Consultant, ICRAF SEAsia

The goal of this workshop is to strategically plan for the changing environment of funding agroforestry education in Southeast Asia. The workshop process includes six modules:

Module 1 – Analyzing your position

- Analyzing SEANAFE’s current position by undertaking a SWOT analysis to determine the strengths, weaknesses, opportunities and threats
- Do a SWOT analysis for each of the national networks

Module 2 - Planning your strategic resource mobilization framework

- Defining the aims and purpose of your RM efforts
- Determine your advantage or ‘why is SEANAFE best placed to deliver agroforestry education’
- Set your boundaries – the areas you will deal in and the areas you won’t
- Establishing priorities
- Testing the strategic framework
- Communicating your RM strategy clearly

Module 3 – Implementing your RM framework

- What activities will be undertaken and how will these be prioritized?
- Who will be responsible?
Setting milestones and time targets
- Recording progress
- Motivating people
- Monitoring performance

Module 4 – Principles of Proposal Development

- Funding trends
- What is a proposal?
- Elements of a competitive, ‘winning’ proposal
- Proposal packaging

Module 5 – Funders and Finding Funds

- Types of funding sources
- Where to look for funding—the Internet, databases, standard publications
- What to look for
- Resources
- Practice

Module 6 – Project Design

- Program Logic
- Use of Bennett’s Hierarchy to design a project

Post-workshop, a series of activities will be organized to follow up on the outcome from this workshop. The SEANAFE Board and Facilitation Unit will take the lead at the regional level. The national network committees will take responsibility for following up at the national level.

The workshop process and post-workshop activities are illustrated in Figure 4.

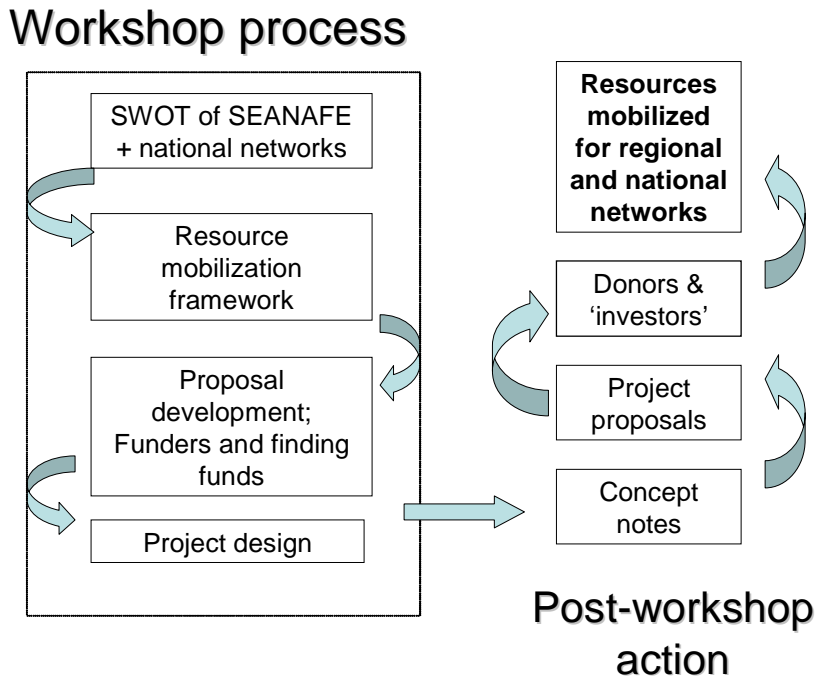


Figure 4. Workshop process and post-workshop activities.

Sharing and agreeing on our expectations

The participants wrote down their expectation(s) on pieces of paper. Each person was asked to read out his/her expectation(s), which then were posted on the wall.

Participants' expectations were:

Resource mobilization skills:

- Get a common understanding on how to mobilize resources for the network
- Better resource mobilization
- To come up with a resource mobilization plan for our national network
- To be able to package research, development and education programmes for our school, for the Philippine Agroforestry Education and Research Network (PAFERN) and SEANAFE.

Proposal writing skills:

- Learn how to write a good proposal and get funding
- Learn how to write 'winning proposals' for my institution/network
- The process to write a good proposal for SEANAFE
- After workshop, I hope I will able to write good proposal to get fund for SEANAFE
- To learn important tips on how to prepare a good and a winning project proposal.
- Become a good proposal writer

Concept notes:

- Create and write concept notes that are appropriate to country needs and conditions, and that are matching funding bodies' programmes

Draft proposals:

- To get a good proposal for SEANAFE for the next 5 years
- Good proposal for the network until 2008
- Draft proposal for future network at, e.g., Asian level
- To have a realistic proposal for PAFERN and SEANAFE for improved agroforestry education
- Produce good proposal
- To prepare a feasible proposal
- A national / regional project which will benefit agroforestry in tropical countries
- Competitive proposal and project and effective implementation
- To come up with a proposal possible for securing funds
- Good proposal to get funds

Funding sources:

- Learn how to write a good proposal for the network and where to find funding
- Ability to write a good proposal and succeed to get donors
- How to get project proposals funded
- To be able to effectively and efficiently source funds
- Learn how to market SEANAFE's strengths

Strategic planning:

- Strategic plan for national and regional agroforestry education
- Good ideas and ways to get funds for sustaining our work
- Planning projects and fund raising
- Produce a good proposal to sustain the network
- Better network in 5 years
- To get good proposal funded for the next 10 years

Networking:

- I expect to learn from this gathering about significant programs and experiences that can stimulate my proposal
- Knowing each other for future collaboration
- To find the best way of good networking and SEANAFE collaboration

Workshop process:

- Start and finish on time
- Everybody participates
- Good 'holiday'

Module 1. Analysing our position: SWOT of SEANAFE

SWOT: Regional network

After four years of regional networking, SEANAFE has gained a lot of experiences both regarding its own strengths and weaknesses as a network, but also regarding the opportunities and threats in the external environment in which SEANAFE operates. A SWOT analysis is a good starting point in developing a resource mobilization plan. A short tutorial by Fiona Chandler started off this analysis (please refer to Tutorial 1). Working in plenary, the participants then identified the Strengths, Weaknesses, Opportunities and Threats of the regional level of SEANAFE (tables 2 and 3).

Table 2. SEANAFE's strengths and weaknesses at the regional level

STRENGTHS <i>What do we do right; What are we good at?</i>	WEAKNESSES <i>What do we do lack; what do we do poorly compared to others?</i>
<p>Decentralized network:</p> <ul style="list-style-type: none"> • 76 members from 5 national networks • Member agencies are bonded by common interest and mandate of agroforestry development • Many agroforestry institutions in SEAsia • Good communication among members <p>Leadership and expertise:</p> <ul style="list-style-type: none"> • Human resources are strong and available • It has the cream of experts because it is a network of academic institutions • Dynamic leadership • Many resource persons <p>Good reputation in outcomes of networking:</p> <ul style="list-style-type: none"> • Good record and experiences in the past (1st Phase of SEANAFE) • SEANAFE has very strong networking • Successful in raising resources (with Sida) <p>Partnerships:</p> <ul style="list-style-type: none"> • Effective partnership with ICRAF and other institution <p>Diversity of SEANAFE:</p> <ul style="list-style-type: none"> • Institutions of different disciplines work together <p>Available agroforestry curricula:</p> <ul style="list-style-type: none"> • Agroforestry education programmes available • Agroforestry curricula established in 5 countries of SEAsia • SEANAFE is globally oriented re. environmental concerns <p>Available sites:</p> <ul style="list-style-type: none"> • Agroforestry field sites available • Experimental sites available • Agroforestry offers alternative land use management <p>Approaches and strategies for improved NRM:</p> <ul style="list-style-type: none"> • Learner-centered approaches in education adopted by SEANAFE 	<p>Institutional gaps:</p> <ul style="list-style-type: none"> • There is a gap of knowledge among the institutions in SEANAFE, in the region and nationally • SEANAFE's member institutions are at different level <p>Time constraints:</p> <ul style="list-style-type: none"> • Time constraints: Little available time for SEANAFE members to engage in network activities <p>Communication not well developed:</p> <ul style="list-style-type: none"> • Inefficient public relations • Weak communication among member institutions' representatives • No linkage to policy makers <p>Administration and incentives:</p> <ul style="list-style-type: none"> • Different administration in each institution • Not enough incentives for networking • Confined partnership <p>Regional linkages:</p> <ul style="list-style-type: none"> • Insufficiently close relations among SEANAFE's national networks • Not enough links to the regional network • Reductionism • Lack of common determination • Individualism at institute and member levels • SEANAFE's vision not clear to all members • What is happening at national level may not be relevant for the regional level • Limited representation to the regional network (gender)

Table 3. SEANAFE’s opportunities and threats at the regional level

<p>OPPORTUNITIES <i>What is our potential to develop a unique position/advantage? What is a realistic avenue for our future development?</i></p>	<p>THREATS <i>What could lead to a decline in our future performance?</i></p>
<p>Preference and support for agroforestry and agroforestry education:</p> <ul style="list-style-type: none"> • Supports form different organizations • International policies support agroforestry research and development • Agroforestry preference at regional, national and grass-roots’ level • Some NGOs like to support agroforestry education • The regional network can conduct research and development activities to attract fund and support • SEANAFE’s vision & mission serves the real need of society <p>Agroforestry is an attractive option to fund: it provides solutions:</p> <ul style="list-style-type: none"> • The richness of biodiversity: it needs to be preserved by implementing agroforestry • Need for restoration of degraded land • Trend towards a more effective use of the national resources • Agroforestry becomes landscape-oriented • Agroforestry is a solution for sustainable development in agriculture • Agroforestry education and development is important for reversing natural degradation <p>Job market for agroforestry graduates:</p> <ul style="list-style-type: none"> • There are markets for graduates of agroforestry education <p>Existing use of agroforestry in communities:</p> <ul style="list-style-type: none"> • Practice of traditional agroforestry in the community • Ecological knowledge of agroforestry is already established in SEAsia • Existing effective research in agroforestry <p>Partnerships and collaboration available:</p> <ul style="list-style-type: none"> • Existence of regional and national networks • Existence of other agroforestry network, including the national networks • To collaborate with other regional and global networks on R&D projects (including ICRAF) • Many international organizations, regional network, agencies and NGOs with an interest in agroforestry • Major donors are searching for new and better project dimensions: agroforestry can fit in. 	<p>Outside funding:</p> <ul style="list-style-type: none"> • Dependency on one donor • SEANAFE may run out of financial support and become lean on external funds • Strict requirements of funding agencies • Insufficient resource allocation to the network <p>National funds:</p> <ul style="list-style-type: none"> • Differences of policies among countries regarding contributions to the network <p>Competition for funds with other agroforestry organization of other sectors:</p> <ul style="list-style-type: none"> • National networks are competing for the same resources • Competition of resource with other projects: competitors seeking fund from same donors • Competition from many regional networks looking for funding <p>Land use and environmental threats:</p> <ul style="list-style-type: none"> • Degraded environment, forest and agricultural farm land • Inadequate land for the practice of agroforestry • Competition with other land use systems: monocultures • Agroforestry products may not be able to compete with conventional production • Intensification of farming system, monoculture oriented for economical value

SWOT: National networks

The second step of the SWOT analysis dealt with the national level of SEANAFE. Divided in five country groups, participants analysed the five national networks. The analysis was build around the experiences gained over the past two years, since the establishment of national networks in 2001. The five national SWOTS are presented in tables 4-8.

Table 4. SWOT analysis: Philippine Agroforestry Education and Research Network (PAFERN)

<p>STRENGTHS</p> <ul style="list-style-type: none"> • Strong, organized, credible and cohesive network • Effective, efficient & strategic resource mobilization • Availability of agroforestry programs offered by members • Global environmental concerns addressed 	<p>WEAKNESSES</p> <ul style="list-style-type: none"> • Poor communication • Limited membership • Insufficient funds • Inadequate staff • Lukewarm support of some administrators to agroforestry concerns
<p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • There is a recognized problem in the uplands to be addressed by the Network • Potential partnership with LGUs, NGOs, POs and other development agencies • Potential employment of agroforestry graduates 	<p>THREATS</p> <ul style="list-style-type: none"> • Competition with other networks/ organizations • Diminishing funding support • Political intervention • Negative attitude detrimental to the environment

LGU—Local government units

NGO—Non-government organizations

PO—Public organizations

Table 5. SWOT analysis: Indonesian Network for Agroforestry Education (INAFE)

<p>STRENGTHS</p> <ul style="list-style-type: none"> • Agroforestry curricula • Research/field sites available • Multidisciplinary collaboration • Strong commitment 	<p>WEAKNESSES</p> <ul style="list-style-type: none"> • High dependence on outside assistance • Limited time and budget • Insufficient research publications • Lack of database • Limited communication • Lack of skills in writing proposals
<p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • Available expertise • Funding resources from national, regional, and international agencies • Supported educational facilities and infrastructure • High biodiversity • Ecological knowledge availability • Collaboration between research and national, regional and international agencies • Job opportunities • Local government decentralization 	<p>THREATS</p> <ul style="list-style-type: none"> • Lack of support from the national policy • Lack of recognition of agroforestry as a profession • Dependence on one single donor • The environment is being degraded • Competition in getting funds • Agriculture intensification and monocultures for economic value

Table 6. SWOT analysis: Vietnam Network for Agroforestry Education (VNAFE)

<p>STRENGTHS</p> <ul style="list-style-type: none"> • Active participation • Working at several levels • Interdisciplinary team • Links among research, education and extension • Well-working network • Members from different ecological zones of Vietnam • Materials already produced: PCD in agroforestry; agroforestry workbook, teaching materials • Learner-centered teaching methods 	<p>WEAKNESSES</p> <ul style="list-style-type: none"> • Number of member institutions is limited • Time constraints • Weak links with policy makers • Gap between junior- and senior-level persons • Inadequate sharing of experiences, knowledge and skills in education and training • Inadequate support to students
<p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • Needs and demand from society • Going along with government policy in rural development • Appropriate policy environment for agroforestry education • Government and NGO support 	<p>THREATS</p> <ul style="list-style-type: none"> • Dependency on outside fund • Competition from other projects, trends, disciplines • Weak links between production and consumption (processing, marketing)

PCD—Participatory Curriculum Development

Table 7. SWOT analysis: Lao Network for Agroforestry Education (LaoNAFE)

<p>STRENGTHS</p> <ul style="list-style-type: none"> • Agroforestry network developed (national and regional) • Collaboration between NUOL-NAFRI, NAFES, PAFO, DAFO • Agroforestry teaching materials/ manuals were developed and published • Extended agroforestry demo plots related to the transfer of technologies to the local community/ authority • Capacity at all levels improved through many means (ToT, on-farm research, etc.) • Agroforestry technologies applied at certain levels in the field • Agroforestry contributes to the implement of the government policy 	<p>WEAKNESSES</p> <ul style="list-style-type: none"> • Lack of competent / professional agroforestry teachers • Limited agroforestry expertise and experiences in transferring to farmers • Limited agroforestry network • Inadequate agroforestry teaching materials • Limited agroforestry demonstration plot model
<p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • Government policy for sustainable land use • Agroforestry supported by international organizations/ projects (including NGOs) • Agroforestry is solution for sustainable upland development • Trend of agroforestry in the landscape • Agroforestry preference of local communities • Trend for cooperation with neighbouring countries in the regional • Degraded environment and degraded forest 	<p>THREATS</p> <ul style="list-style-type: none"> • Limited linkages between agroforestry education, research, development and extension • Insufficient resource (financial and human resources) • High competition with conventional agricultural production • National communication is weak (network contacts) • Limited of agroforestry research activities in the country

NUOL—National University of Laos

NAFRI—National Agriculture and Forestry Research Institute

NAFES—National Agriculture and Forestry Extension Service

PAFO—Province Agriculture and Forestry Office

DAFO—District Agriculture and Forestry Office

Table 8. SWOT analysis: Thai Network for Agroforestry Education (ThaiNAFE)

<p>STRENGTHS</p> <ul style="list-style-type: none"> • Geographic representative of each institutions in the network) • Diversity of agroforestry in the country • Government and privatization restructuring program • Local wisdom in agroforestry production getting into curricula • Good ICT system • Network coordination • Networking supports understanding of the importance of agroforestry, and creates incentives 	<p>WEAKNESSES</p> <ul style="list-style-type: none"> • Weak academic cooperation among and within institutions • Lack of agroforestry network empowerment • No proposal to gain more funding • Ineffective publicity • Few research projects in AF • Inadequate materials and teaching teams • High work load of human resources and lack of full time personal • Inadequate economic studies on AF • Lack of integrated implementation in AF
<p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • Education reform at different levels • OTOP policy • Sustainable development is a national policy • CDAS is well-established • UNINET promoted • A lot of research and development funds available • World Agroforestry Centre-Thailand exists • Technology and training opportunities supported by SEANAFE • Agroforestry is key solution for local and environmental problems 	<p>THREATS</p> <ul style="list-style-type: none"> • No potential successors in agroforestry, due to limited enrolment • Commercial agriculture limits the agroforestry expansion • Zero growth policy in government personnel • SEANAFE financial support might terminate • Low-priority support to agroforestry by administrators • Some confusion regarding agroforestry vs. social forestry

ICT—Information and Communication Technology

OTOP—One Tumbon, One Product

UNINET—Network of universities in Thailand

Module 2 & 3. Planning and implementing the resource mobilization framework

What is a Resource Mobilization Framework? It is not the proposals you are sending to potential funders. Rather, it is the set of activities that makes you able to write winning proposals, identify potential funders, select your 'niche' for your work, and to market your work with the donors. In other words, the RM framework describes your specific resource mobilization activities, which are different from your project activities.

After a short tutorial (Tutorial 2 in the next section), a plenary session developed the Regional RM Framework, using flip charts and index cards. We used a group brainstorming to analyse why SEANAFE needs to develop a strategy for resource mobilization. Two guiding questions were: *What are the threats? What are our comparative advantages and resources?*

The following list of ideas that came up:

- SEANAFE has not achieved its goals, but we have good track record and credibility
- The network contributes to poverty alleviation
- Dependence on one donor
- Funds to June 2004 only: we are late to seek long-term funding
- Lack of growth of membership due to resource limitations, but there is a demand.
- Needs for SEANAFE to connect the national networks, for sustainability
- Agroforestry is an attractive option for rehabilitating degraded land
- We have not achieved our goals, but we do have a good track record and credibility
- Addressing global environmental concerns
- Promotion of labour intensive production systems
- To build consensus among communities regarding agroforestry
- SEANAFE's activities will empower communities
- Potential to address gender inequity issues
- The integrated NRM approach is well established and we contribute to that
- Need to build broad-based institutional partnership. Engage with our partners
- To set standards for agroforestry education and improve curricula
- Agroforestry graduates will contribute towards increased and improved production in SEAsia
- Potential to duplicate SEANAFE's success in new countries
- SEANAFE can bridge gaps between ASEAN countries
- Raise the level of agroforestry education across the countries
- To strengthen policy advocacy of SEANAFE

Further analysis lead to the identification of three broad, **regional Resource Mobilization objectives for SEANAFE:**

1. Raising funds
2. Attract donors
3. To work with donors

The next step was to agree on the **basic principles of the RM framework**. *What will guide our approach? Setting the boundaries!*

Overall, SEANAFE Charter provides the overall principles for our resource mobilizations efforts. This workshop also suggested a few additional principles:

- Responsive to the needs for agroforestry education in the region.
- SEANAFE establishes and maintains links to global environmental concerns
- Transparency and principles of good governance/accountability
- Be collaborative and engage in partnerships
- Client/customer oriented
- Decentralized resource mobilization encouraged

SEANAFE’s regional resource mobilization framework

Having agreed on Resource Mobilization objectives and basic principles, the next step was to identify areas of primary focus of SEANAFE’s resource mobilization efforts. These strategies and activities were captured in a **regional resource mobilization framework** (table 9).

Table 9. SEANAFE resource mobilization framework: strategies and activities

Area of primary focus (Strategy)	Activity
1. Proposal writing	<ul style="list-style-type: none"> • Writing project proposals
2. Capacity Building	<ul style="list-style-type: none"> • Capacity building (CB) on resource mobilization • CB on writing proposals • CB on project packaging/design
3. Information and communication	<ul style="list-style-type: none"> • Document success stories of SEANAFE’s regional and national networks • Use a mix of media: e.g., publications, inviting donors to demonstration farms; symposium etc. • Monitoring and evaluation of impact
4. Donor relations	<ul style="list-style-type: none"> • Dialogue and meetings with donors • Inventory, database of donors • Knowledge about donors • Briefing donors • Work with a range of donors, e.g. NGOs, private foundations, multilateral organizations, • Approach new international donors, e.g. JICA, AUSAID

JICA—Japan International Cooperation Agency

AUSAID—Australian Agency for International Development

This draft regional RM Framework will be finalized, including time frames and responsible persons, and gradually implemented under the leadership of the SEANAFE Board and the Regional Facilitation Unit.

The national RM frameworks

In a second step, the five national groups prepared **national RM framework**. The regional RM framework (rationale, objectives, basic principles, areas of primary focus) was used as a starting point, and modified as deemed suitable by each national network. Given the limited time available, this activity was conducted in parallel with the **Project Design** (see next section).

The national RM frameworks will be completed after the workshop, under the leadership of the National Agroforestry Education Committee (NAFEC) in each country.

Module 4 – Principles of proposal development

Module 4 was a tutorial dealing with

- Funding trends
- What is a proposal?
- Elements of a competitive, ‘winning’ proposal
- Proposal packaging

Please refer to Tutorial 4 in Section II of this report.

Module 5 – Funders and Finding Funds

Module 5, too, was a tutorial, looking at:

- Types of funding sources
- Where to look for funding— the Internet, databases, standard publications
- What to look for
- Resources
- Practice

Please refer to Tutorial 5 in Section II.

Module 6 – Project design

The final tutorial of this workshop discussed:

- Program Logic
- How to use of Bennett’s Hierarchy to design a project

Please refer to Tutorial 6 in Section II.

National project designs

The participants then applied their knowledge in a group work session to design national project designs. The project design is the backbone of any project and a logic and clear project design makes the subsequent proposal writing much easier. In this session, each of the five national groups developed a project design, base on an idea from within the group (table 10).

This had the dual purpose of 1) practicing how to develop a Bennett’s Hierarchy for designing a project and; 2) to prepare a draft project design which the national networks later could develop further into real proposals. Although work in progress, the draft designs are presented in Section 4 of this report.

Table 10. Title of national project designs

Country	Project title
Indonesia	<ul style="list-style-type: none"> Capacity building to establish agroforestry extension workers in Indonesia
Laos	<ul style="list-style-type: none"> Effective agroforestry technologies: linking farmers, students and teachers
Philippines	<ul style="list-style-type: none"> Agroforestry field learning and education project
Thailand	<ul style="list-style-type: none"> Strengthening of the Thai Network for Agroforestry Education (ThaiNAFE)
Vietnam	<ul style="list-style-type: none"> Agroforestry forum for strengthening linkages among education, research and extension in Vietnam

The following exercise was carried out to develop a Bennett’s Hierarchy for designing a project:

Developing a Bennett’s Hierarchy for designing a project

Materials needed: Worksheet 1, Worksheet 2

Process: Divide into national groups to go through each of the levels of the hierarchy using your own concept notes or project ideas to develop your own project design.

Remember to reflect back on the information from the SWOT analysis in doing this.

1. Clarifying the outcomes of your project – Worksheet 1:

You will be expected to provide details of whom your project is targeting. Depending on the nature of your project, these might be the people who participate in the activities or the people who will use the research findings. Using worksheet 1 identify the stakeholders of your project. From this list then from this list determine (1) those that are the next users (those that you will target your project activities/research findings towards and those whom you want to see a change), (2) which of stakeholders you will target your communication about the project to, and (3) which of the stakeholders you need to have involved from the onset of your project.

Complete the other questions on the worksheet.

2. Designing a project using Bennett’s Hierarchy – Worksheet 2:
From the work you did in identifying next uses (Worksheet 1), place your next users at level 5 of your Bennett’s Hierarchy (Worksheet 2).

Write down the greater outcome that the project is hoping to achieve in level 1.
Consider the broader outcomes in terms of consequences for the individual, industry and state.

Work down the hierarchy and record what you would expect success to look like at each level of the hierarchy, and list any gaps or assumptions.

Worksheet 1 Clarifying the Outcomes

1. Who are the stakeholders of your project?

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1a. Which of the stakeholders are the next users? (Those you will target your project activities/research findings towards and those in whom you want to see a change)

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1b. Which of the stakeholders will you target your communication strategy towards?

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1c. Which of the stakeholders do you need to have involved from the onset of your project? (Collaborators)

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1d. Is there anything that you need to doing order to engage your next users?
(Overcome barriers to adoption)

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2. What would success look like for your project? What will the next users be doing differently as a direct result of achieving the objectives? Success at this level should describe what your project is fully responsible for.

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3. How does the above success at the project level contribute towards greater goals?

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Worksheet 2 – Bennett’s Hierarchy

Level	Description	Anticipated outcomes	Gaps and Assumptions
1 SEE	Identification of potential social, economic & environmental conditions expected from the use of improved practices & technologies		
2 Practice Changes	Participant adoption of improved practices and technologies		
3 KASA	Change in participant knowledge, attitudes, skills and aspirations associated with participation in activities		
4 Reactions	Participant ratings of their involvement in the activities and the potential benefits		

Level	Description	Anticipated outcomes	Gaps and Assumptions
5 Next users	Who are the next users and what are their characteristics and requirements		
6 Activities	Strategies, methods and scope of the project		
7 Resources	Staff time, money, materials and existing knowledge		

SEE — social, economic, and environmental conditions

KASA— knowledge, attitudes, skills and aspirations

SECTION 3. TUTORIALS ON RESOURCE MOBILIZATION AND PROJECT DESIGN

Fiona Chandler

Consultant, ICRAF-SEAsia

A series of six short tutorials were presented by the facilitator of this workshop, Fiona Chandler, Consultant at ICRAF SEAsia. These tutorials gave a theoretical and practical backbone to the work of developing SEANAFE's resource mobilization framework and project designs. The tutorials are summarized in this chapter, providing a source book for resource mobilization.

Tutorial 1: Doing a SWOT Analysis

Definition

SWOT analysis is a common tool used in organizational planning and strategy development. The basic assumption of a SWOT analysis is that organizations must align internal activities with external realities to be successful. Its longevity as a planning tool speaks to its usefulness in thinking about organizational strategy.

SWOT stands for Strengths, Weaknesses, Opportunities and Threats. Using a simple 2 by 2 matrix as a starting point, organizations can identify a number of important issues relevant to strategy development. The first two factors, Strengths and Weaknesses, involve specific organizational issues — both positive and negative. The second group of factors, Opportunities and Threats, relate to influence in the organization's environment — once again both positive and negative.

A SWOT analysis does not generate an organization's strategy; it identifies issues that are important in the creation of an organization's strategy. Factors that affect the organization should not be confused with organizational objectives.

Purpose

The goals of a SWOT analysis are:

1. identify strategies that fit an organisation's resources, capabilities (or competencies) to its external environment;
2. generate alternatives that apply an organisation's strengths to exploit opportunities and counter threats; and
3. offer strategies to correct an organisation's weaknesses

Remembering the Differences

To keep clear how to apply a SWOT, remember this matrix

	+	-
Internal	Strength	Weakness
External	Opportunity	Threat

Guidelines

- A **strength** could be a capability, a resource or a competence. It is something an organization is doing right or is good at. It may be a skill, a competence, or a competitive advantage the organization has over others. List all the strengths your organization possesses. You might begin by brainstorming words that characterize your organization and writing them down as fast as people say them. Then use those ideas to construct a profile of your organisation's strengths.
- A **weakness** is often relative to a competitor's strength — i.e., a strength of one organization is another organisation's weakness. It is something an organization lacks or does poorly as compared to others, or a condition that puts it at a disadvantage to being successful. List weaknesses, areas your organization lacks or doesn't have the personnel to cover well. Be honest. It's better to face the bad news now rather than construct an unrealistic plan that is doomed to failure.
- **Opportunities.** A realistic avenue for future development and where an organization has the most potential to develop a unique position or advantage. When you look at the market, what do you see? What AREN'T your competitors doing that your clients/customers need? Look for gaps. What you see as an opportunity today may not exist in three months. A SWOT analysis is only a snapshot in time, not a permanent document.
- **Threat** - an external environmental factor, which can lead to a decline in an organization's future performance. Threats can stem from the emergence of cheaper technologies, introduction of new or better products, the entry of low-cost competitors, new regulations, etc. List **threats** to your business. What trends do you see that could wipe you out or make your service or product obsolete? What are your competitors doing to push themselves ahead?

List 2-6 items for each of S,W,O,T; not 20. If you think there are 20, pick the most important 6.

Strength vs. success; weakness vs. failure

If strength is an attribute of an organization (e.g. its distinctive competence), this is not the same as success, which is a result or outcome. A strength can help explain a success, and often a success gives you a clue as to a strength. Similarly a failure is not a weakness, but may have been caused by a weakness.

Sometimes success leads to a strength, but you need to explain why. An organization that has high market share may have high brand name recognition, excellent distribution, or enjoy economies of scale when compared to its smaller rivals.

Remember something is a resource, capability or a distinctive competency only if it leads to some form of competitive advantage

Past, present and future

SWOT analysis is never about the past, but always about the present or future. A battle that's been fought and lost may have previously been a threat, but if there's nothing left to lose (e.g. you've cancelled the product line) it isn't a threat anymore. Similar, a past failure might reflect a weakness — a weakness that the organization had — but you need to explain what is today's weakness (or strength, opportunity or threat) and how it affects the organization going forward.

A compilation of material from:

- Web Marketing Today, Issue 74, March 13, 2000
- Ambire's Toolkit SWOT Analysis
- San Jose State University – Doing a SWOT Analysis

Tutorial 2. Planning the resource mobilization framework

Planning the Resource Mobilization Framework

The four stages of planning the resource mobilization framework are:

1. Rationale
2. Stating the objectives
3. Strategic approaches
 - a. Principles
 - b. Areas of primary focus
4. Estimate the resources required to implement the RM Framework

1. Rationale

- Why is there a need to improve resource mobilization efforts?
- What are the external threats to resources?
- Describe the network's comparative advantage
 - What sets it apart from others?
 - Think of the future

2. Objectives

- Create definitive statements of future goals
- Must fit in with the strategic aims of organisation
- Involve others
- Should be brief and clear, to the point and action oriented
 - Example: Necessary resources will be raised for SEANAFE's priority and collaborative programmes

3. Strategic approaches

- Basic principles

- What will guide the strategic approach used to raise and attract resources?
- Setting boundaries
 - Planning what not to do is as vital as planning what to do!
 - Avoids wasting time and energy chasing opportunities that aren't what you or your clients want

4. Choosing areas of primary focus

- Where you should allocate time and resources?
- Establishing priorities – consider what is needed to be successful
- Be realistic – remember that resources for new areas much come from somewhere
- Review the areas of primary focus to stay relevant
- Each area of primary focus should have its own strategic approach

Tutorial 3. Implementing the Resource Mobilization Framework

Implementing the RM framework

Having developed the rationale, objectives and strategy for your RM framework and set aside time and budget for the work (Tutorial 2), the next step is to decide how to implement it:

- Break down each strategic approach into a plan of action
- Allocate responsibility
- Set time, targets and milestones for actions
- Record progress and monitor performance
- Motivating people
 - Review roles and responsibilities
 - Invest in training
 - Rewarding people and recognizing efforts

Plan of action: An example

Strategy	Activity	Time frame	Responsible unit	Remarks
1. Brief donors on network programmes	<ul style="list-style-type: none"> • Hold meeting to discuss priority programmes • Discuss during visits to donor's offices 	Nov 2003 – Jan 2004	Network focal points	
2. Provide orientation to focal points on RM and actions needed at national level to mobilize resources	<ul style="list-style-type: none"> • Organize orientation seminar • Organize exchange of successful experiences 	Jan 2004	SEANAFE to coordinate	

Tutorial 4. Principles of proposal development

Successful proposal writing requires an understanding of basic principles of competitive proposal development, marketing and writing. This tutorial covers four topics:

1. Funding trends
2. What is a proposal?
3. Elements of a competitive, 'winning' proposal
4. Proposal packaging

Funding trends

- Declining funds from traditional sources, or mechanisms
- Increased competition for all funding
- Devolving of funding to national institutions and to the grassroots
- Emphasis on multidisciplinary approaches & multi-institutional teams
- Emphasis both on partnership in problem solving and in funding: leveraging & cost sharing
- Emphasis on gender issues, children & households, equity, indigenous knowledge and intellectual property rights
- Research ethics: conflict of interest, protection from research risk, data integrity
- Shorter proposals
- Preliminary proposals
- Electronic commerce

What is a proposal?

- It is NOT a scholarly or technical paper written to academic peers.
- It is NOT a request for charity.
- It is NOT fiction.
- It is NOT a project design.
- It is NOT something someone wants to read!
- It IS a marketing document
- Plan of action and budget
- Legal and binding contract
- Answer book to application guidelines
- Communication process
- First example of the quality of your work
- It is the future of your organization!

Successful proposals:

- Are not all the same
- Responsive
- Verifiable
- Familiar
- Accurate and business-like
- Benefit oriented

The proposal:

- Each proposal will be different – there is no ‘one size fits all’
- Read and understand the proposal request as it has been designed by the funder
- Write your proposal following the guidelines given by the funder
- Don’t improvise – the funder will not appreciate it and probably won’t fund your proposal

Elements of a competitive, ‘winning’ proposal

The proposal outline:

- Cover letter
- Title
- Project description/summary
- The challenge/statement of the problem
- Project Strategy
 - Goal(s)
 - Objectives
 - Significance of the proposed research
 - Methods
 - Staff/Administration
- Evaluation
- Available resources
- Needed resources/Budget
 - Personnel
 - Facilities
 - Equipment
 - Supplies
 - Budget
- Conclusion
- Appendices
 - Timeline
 - Resumes
 - Literature cited

Proposal packaging

Here are some further tips for the packaging of your proposal:

Project title:

- The title is your project in a nutshell
- Short, crisp and appealing – summarizes the entire proposal in a few words
- Single sentence or use subtitle
- Give priority to the words that carry the most importance
- Consider including geographic focus and year of implementation (if priority to funder)

The summary:

- The most important section of your project proposal
- Must give a clear idea of what is contained in the proposal
- Should be specific, short and concise

- Addressing the following questions
 - What do you intend to do? What problem(s) do you intend to solve?
 - Why is the work important?
 - How are you going to do the work? How will you solve the problem?
 - How long will it take?
 - How much funding is needed?

Challenges:

- Defines the problem the project aims to solve
- Should be presented in a logical and easily understandable way
- Demonstrate urgency – justification for funding
- Realistic about what can be accomplished
- Data presented needs to be accurate and directly relevant to the problem statement
- Present the problem in a manner that allows for a possible solution – don't use the absence of a solution as the actual problem

Project strategy:

- Start with a basic and thorough introduction to the substance of the project
- Outline the project's goal, objectives and strategy for achieving them
- Include a tentative sequence or timetable for the project

Note: Most donors are in the business of funding solutions – so it is important that your project demonstrate the ability of your solution to make a real difference

Goals are:

- Conceptual
- Broad based
- Not subject to measurement
- The end toward which effort is directed
- The basis of your relationship with your potential funder

Objectives are:

- The specific and measurable steps in reaching your goal.
- Specify a result (a change) NOT an activity
- Describe one result
- Are operational, measurable and verifiable
- Crucial to the success of a proposal

What, How and Why?

- What are you going to do to achieve objectives? Activities, tasks, sub-tasks
- How are you going to do it? Methods & approach
- Why are you doing it this way? Justification

Evaluation:

- To assess whether or not the project has met the objectives
- As a learning tool
- Measure the outcomes or products of your project
- Indicate how you plan to collect and analyse data on the project's impact

- Indicate how you will disseminate information on the success and content of your project

Conclusion:

- Every proposal should have a concluding paragraph or two
- Briefly reiterate what the project seeks to achieve and why it is important
- Reinforce that your organization and partners are in the best position to undertake the project

Before you send the proposal:

- Pay attention to grammar and spelling, avoid abbreviations, number the pages
- Double check all facts and figures
- Clear the budget with Finance Officer
- Be sure to have at least two other people read your proposal
- Make sure it is sent on time
- **Be sure that you have followed any and all instructions (including page limitations!) specified by the potential funding source!**

The project design is the key! Remember these basic principles:

- Project design is the first step in proposal development
- Project designing is iterative and collaborative
- Project design is NOT a proposal
- One project design could lead to many proposal

The core project design should include:

- Problem/research issue statement
- Goal, objectives, methods (plus their rationale--justification), outputs, potential impacts

For more information on Project Design, please check Tutorial 6!

Tutorial 5. Funders and finding funds

Where is the money? This tutorial provides tips and techniques for locating potential funding sources. Topics of this tutorial:

- Why proposals succeed or fail
- Funding sources and what they fund
- Where and how to look
- What to look for: advice from a funder

Why proposals succeed or fail

Factors for grant success

Four factors in grant success, for example for SEANAFE, are:

1. Quality the organization seeking funds—its reputation and its ability and reputation for making good on its promises.
2. Innovative nature and/or critical importance of the proposed project.

3. Appropriateness of a funding source for the project or organization.
4. Skills of the grant-writer in building a compelling case, and the presentation and marketing of the proposal.

Why proposals fail

Doing Your Homework:

‘We get dozens of proposals from organizations that clearly never did a lick of homework, and waste our time and the precious funds of their members by sending out hopeless proposals to the wrong funders. I often wonder if these same people try to buy their groceries in the hardware store.’

Executive Director of the C.S. Fund, quoted in *How Foundations Work: What Grantseekers Need to Know about the Many Faces of Foundations*, 1998

Why proposals fail....

- Deadline for proposal submission was not met.
- Guidelines for proposal content, format and length were not followed exactly:
- Overall, the most striking reason for low-marked proposals was the consistent failure of universities to be fully responsive to what was asked for in the grant documentation.
- Proposals are not organized such that their distinct sections can easily be matched up against the grant documentation evaluation criteria.
- Proposed research question, research design, and/or research methods were completely traditional. The proposed project offered nothing unusual, intriguing, or clever and/or lacked significance.
- Study or project was not a priority topic to the funder or the sponsoring agency.

Funding sources and what they fund

Funders

Types of funders—public:

- Official development assistance agencies (ODA)—BMZ, DFID, CIDA, Sida, USAID, NORAD, JICA...
- Government sources— These are the departments or ministries of education, agriculture, science and technology of governments around the world.

Other public funding sources

- Associations of Governments—multilateral agencies such as OPEC, the development banks, the UN, NATO
- Research Councils
- Environmental NGOs

Types of funders—private

- Foundations—International, Special Interest, Family, Community
- Corporations—through corporation itself and through established corporate foundation
- Associations
- Individuals—as individuals or through foundation

What they fund... and why they give

What they fund....

- Programs and projects
- Operating expenses (general support)
- Endowment funds
- Capital improvements (bricks and mortar)
- Technical assistance
- Basic and applied research
- Planning and coordination
- Publications
- Individual support
- Fellowships and training

Where & how to look

- Internet
- Electronic Databases
- E-mail Alert Services
- Standard Directories
- Personal Contacts
- Newspapers
- The Internet—US Government
- <http://www.fedbizopps.gov/>
- The Federal Register
- The Commerce Business Daily
- The Catalogue of Federal Domestic Assistance <http://www.cfda.gov>
- Agency Home Pages
- The Internet—European Governments & Associations of Governments
- Virtual Library on International Development http://w3.acdi-cida.gc.ca/Virtual.nsf/pages/index_e.htm
- <http://www.europa.eu.int/>
- Home Pages

Databases:

- The Foundation Center—at <http://www.fdncenter.org>
- The European Foundation Centre—at <http://www.efc.be> and www.fundersonline.org
- Grantselect from Oryx Press—at <http://www.grantselect.com>
- Community of Science

Standard directories:

- Taft Corporate Giving Directory
- Directory of International Corporate Giving
- Taft Foundation Reporter
- Environmental Grantmaking Foundations
- European GrantMakers
- And More coming.....

What to look for—advice from a funder

There are always two kinds of homework that an applicant must do before writing a proposal: homework about the project and homework about the foundation to which the proposal will be submitted.

The homework about the project is quite important: Has anyone else tried something similar? If so what were the results? Are there any potential partners for this work? Are they interested in becoming partners? What other funders might support this work? All this information is necessary in order to place the grant in a context

Advice.....

- The homework regarding the foundation is not trivial. Is the foundation interested in this topic? Has it founded similar projects in the past? Might the proposed project be improved by lessons from those past efforts?
- It is discouraging to receive requests sent on speculation that make empty claims about their uniqueness yet were clearly written as generic requests sent on to as many possible funders as possible.
- ‘A good proposal describes the context of the idea and directly relates its context to the foundation's programming interests’

Joel J. Orosz, Senior Program Manager, WW Kellogg Foundation

What to look for....

- What is the funder's mission, specific areas or problems of interest...including geographical focus?
- What is the funding pattern?
- What types of organizations have been previously funded?
- Does the funder have special requirements or interests?
- What types of projects has it previously funded?
- Is there a proposal application process?
- What are the biographical profiles of funder staff members and Board Directors?

Strategies to get funding

- Networking, networking, networking
- Be proactive, help develop strategies, don't wait until everything has been decided
- Consider your research priorities
- Consider co-funding
- Maintain a good reputation with the funder by keeping to contracts and deadlines

Tutorial 6. Project Design

What is program logic?

Program logic is a project's theory of action. It identifies the cause-effect relationships between outputs, intermediate outcomes, and ultimate outcomes. Unlike a flow diagram, it does not map the sequence of events, but instead shows series of expected consequences. In the international literature this tool is usually referred to as 'program logic'. However program logic can be applied at the project, sub-project or even initiative level.

There are various methods of program logic and each method has a slightly different emphasis. A method used for over two decades in agriculture and agriculture extension is *Bennett's Hierarchy*.

Why do program logic?

There are two main reasons for developing a program logic model:

- To evaluate or clarify the logic of the project intervention – often when the project is in a stage of development or re-development
- To provide a framework to evaluate the performance of a project

Drawing up a program logic model can help to:

- Clarify the project objectives
- Identify and describe the major project elements
- Identify expected cause-effect relationships
- Identify key areas for evaluation

Who develops the program theory for a project?

While it is possible for one person to develop program theory, based on program documentation, their own experience and knowledge, and research on other programs, there are enormous benefits in drawing up program theory in a team – these include:

- Helping the team to gain a shared vision of what the project is trying to achieve
- Gaining a shared understanding how the sub-projects fit together to bring about overarching outcomes
- Helping staff understand how their work fits in with the bigger picture
- Joint identification of areas of project plans that need re-design means that any action taken will be more likely to be understood and shared

The benefits of using Bennett's Hierarchy

Bennett's Hierarchy is often the preferred choice of program logic as:

- It requires us to think of people, their characteristics including attitudes, aspirations, values and so on, and how these might influence adoption/technology hand over
- Previous experience has shown that it is easy to use, and people find it quicker to apply than other forms of program logic
- It can be used in planning, guiding evaluation and reporting

- It offers a way of aggregating information from sub-project to key project and key project to strategy level

What is Bennett's Hierarchy?

Bennett's Hierarchy is a widely used framework in project planning/development and evaluation, and is a postulated outcome hierarchy for agricultural extension. Bennett describes a simplified chain of events assumed to characterize most projects. This chain of events is depicted as a hierarchy of objectives and evidence for project development and evaluation. When planning a project, planners start by describing the big picture outcome and work down the hierarchy, describing the outcome at each level. Eventually the activities and the inputs necessary to achieve the 'big picture' outcome are identified. One of the benefits in following this process is that it clarifies the assumptions we make when designing a project.

Seven levels

This hierarchy describes a cause and effect chain through the identification of outcomes at seven levels. The first level identifies social, economic and environmental conditions that need improving. Improving these **social, economic, and environmental** conditions, or SEE conditions, constitutes the highest aim of programs. So, SEE conditions are at the top of the 'programming staircase'.

In order to improve the identified SEE condition(s), individuals and groups must use practices that improve the conditions. Therefore, in project planning, you target the specific practice use (often referred to as the short-term impact) that is necessary to achieve the targeted social, economic, and environmental condition(s).

You then focus on the **knowledge, attitudes, skills and aspirations** (KASA) required to achieve the practice changes that have been targeted. Practices changes as people increase their knowledge, modify their attitudes, improve their skills, and raise their aspirations, and then apply these KASA changes in their own living and working situations.

Project participants change their KASA through participating in the project activities. So, one target the types of reactions needed to ensure sufficient participants in activities that promote the desired KASAs. Finally resources that support the implementation of the project activities are identified and acquired.

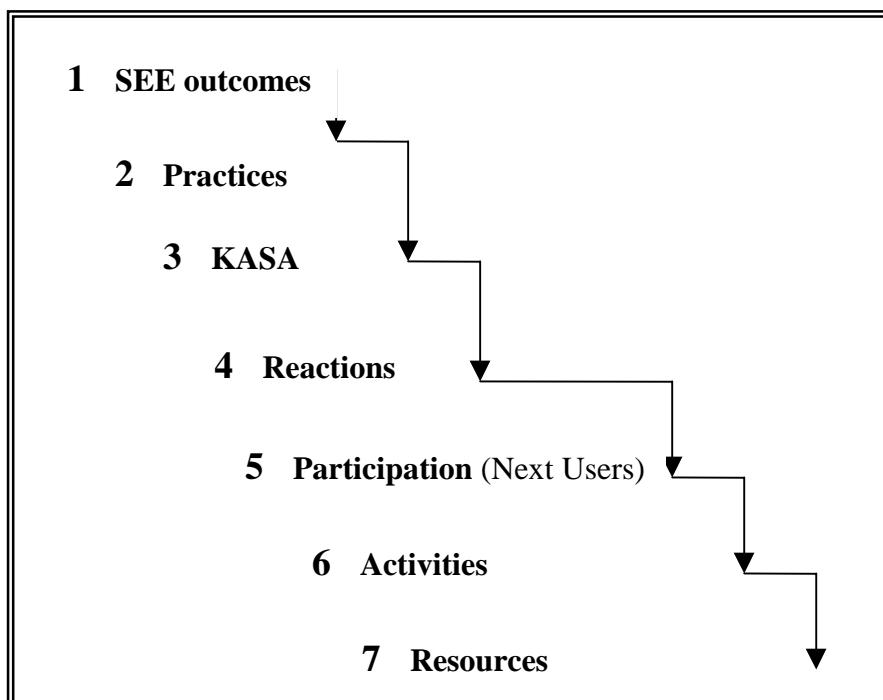


Figure 5. Bennett's Hierarchy in project design

The logical chain of events can be described as:

1. Social, economic and environmental (SEE) conditions or situations that may need improvement
2. Practices: patterns of behaviors, procedures, or actions that influence SEE
3. KASA: Knowledge, Attitudes, Skills, Attitudes that influence the adoption of selected practices & technologies to help achieve SEE
4. Reactions: reflection of participant's involvement in the activities and potential benefits
5. Project participants include individuals, families, groups, organizations or communities. Must be sufficiently involved in project activities to acquire KASA and adopt practices needed to improve SEE.
6. Activities: strategies and events, methods and scope targeted at participants with the aim of getting a positive reaction
7. Resources: time, money, staff used to plan, promote, implement and evaluate projects.

Table 11 will give you some tips on how to develop a Bennett's Hierarchy. You may also find it useful to go back to Module 6 – Project Design, where additional practical advice can be found, including two Worksheets.

Table 11. Using Bennet's Hierarchy

	Outcome hierarchy and examples of planning questions
1. SEE conditions	<ul style="list-style-type: none"> • Social, economic and environmental conditions achieved through use of improved practices and technologies • How do the present social, economic and environmental conditions compare with the desired SEE conditions? • What public and private program benefits are needed? • What will be the consequences for the participants?
2. Practice change	<ul style="list-style-type: none"> • Participant adoption of improved practices and technologies • What practices must participants adopt to bring about the SEE targets? • How do necessary practices compare with current baseline practices?
3. KASA	<ul style="list-style-type: none"> • Change in participant knowledge, attitudes, skills and aspirations associated with participation in activities • What do participants need to know to achieve the practice change? What re their current knowledge levels? • What types of attitudes are needed to bring about the practice change? What are their current attitudes? • What skills do participants to bring about the practice change? What are their current skill levels? • What desires, hopes, or ambitions are needed to bring about the practice change? What are their current aspirations?
4. Reactions	<ul style="list-style-type: none"> • Participant ratings of their involvement in the activities and the potential benefits • How are the participants likely to react to the activities? • What kind of promotional activities are needed to attract the targeted participants? • How likely is it that the project activities will engage and retain the interest of the targeted participants?
5. Participation (next users)	<ul style="list-style-type: none"> • Participants must be sufficiently involved in the project activities to acquire KASA and adopt practices needed to improve SEE conditions. Scope, duration and intensity of participant involvement in the activities all contribute to amount of KASA change • Who participates: what are their characteristics and requirements?
6. Activities	<ul style="list-style-type: none"> • The various strategies and events, the methods and scope. Project activities are determined by requirements to obtain positive reactions from participants s well as other factors needed to achieve desired changes in KASA and practices
7. Resources	<ul style="list-style-type: none"> • Time, money, and staff used to plan, promote, implement and evaluate the project. Also research-based educational materials, organizational maintenance, communication technologies and transportation.

Material sourced from: Department of Natural Resources, Victoria, Australia and Beyond the Edge Pty Ltd.

Bennett's Hierarchy: Crop Estimation in the Grapecheque Project

Example from the Department of Natural Resources, Victoria, Australia

Outcome	<ul style="list-style-type: none"> • In the year 2005 growers participating in grapecheque will be able to accurately predict their yield to manage grape quality and supply an accurate estimate to the winery
Practices	<ul style="list-style-type: none"> • 75% of growers using a validated crop estimation technique • 50% of growers using the technique will estimate yield within 20% of actual
KASA	<ul style="list-style-type: none"> • Knowledge – Growers will know how to use crop forecasting systems. Understand the limitations of the techniques. What yield their district can support per variety and trellis type. • Attitude – Growers will feel that crop forecasting is essential to growing grapes to specifications, and running an efficient winery. The amount of effort put in will generate rewards. • Skills – Growers will be able to: <ul style="list-style-type: none"> • Generate random numbers • Calculate the estimate • Count bunches • Use a sampling ladder • Record the data and compare with previous year's results to recalibrate berry/bunch weights • Sample berries, bunches and vines randomly post-harvest, compare projected yield with actual yield and analyse where differences occur and why • Aspirations – To grow grapes to specifications using crop forecasting to predict yield to within 20% of what is harvested
Reactions	<ul style="list-style-type: none"> •
Participation	<ul style="list-style-type: none"> • Grape growers, wine maker, service providers, company viticulturists, researchers
Activity	<ul style="list-style-type: none"> • Three linked sessions throughout the season • Practical sessions on random numbers, calculations, sampling, recording and interpretation • Defining target yields • Wineries to explain the costs of miscalculations in winery intake • Participation in potential RtoP module • Determining how, when and what to thin
Resources	<ul style="list-style-type: none"> • Resource people: Grapecheque facilitators, winery staff, researchers • Resources: Crop estimation kit, case studies, research facilities, \$150,000

SECTION 4. NATIONAL RESOURCE MOBILIZATION FRAMEWORKS AND PROJECT DESIGNS

This section presents draft project designs developed by five national working groups. Each group agreed on one project for which they prepared a design, using the Bennett's Hierarchy. The main purpose of the exercise was to practice how to design a project, for the benefit of the national resource mobilization plans. These draft designs will be further developed by the National Agroforestry Education Committee in each country.

Indonesia

Project design: Capacity building to establish agroforestry extension workers in Indonesia

Stakeholders of the project:

- Extension workers (under the Departments of Forestry And Agriculture)
- Agroforestry farmers
- Civil society: Local NGO's (KUD/Cooperative Village Unit, BPD/Representative of Village Community, and *Kelompok Tani*/Farmers' Group, KTH/Forestry Farmers' Group)
- University lecturers and school teachers
- Research institutions
- Local governments: villages, sub-districts, districts, provinces
- Private sectors (companies)
- Potential donors (governments, private sectors, NGOs: national and international)

Ia. Participants/Next users:

- Extension workers (under the Departments of Forestry and Agriculture)
- Agroforestry farmers

Ib. Target stakeholders for future communication:

- Donors: Departments of Agriculture and Forestry, local government, potential donors (International funding agencies)

Ic. Collaborators:

- Local government, Dept. of Agriculture, and Dept. of Forestry

Id. Barriers to be overcome in adopting the project:

- Clear policy at local government level
- Financial support
- Educational background

II. Expectations from the next users

- Enhance the knowledge, skill, and attitude of extension workers
- Appropriate methods to delivery of extension materials by extension workers
- Extension curricula
- Extension monitoring and evaluation process

III. Contribution to the greater goals

- Increase of the ability of farmers to implement the proper technologies in Agroforestry
- Increase of farmers income and prosperity
- Increase of Agroforestry areas in rural landscape

Table 12. Bennett's Hierarchy of the project

No	Level	Anticipated outcomes	Gaps and Assumptions
1	SEE	<ul style="list-style-type: none"> • Increase of the ability of farmers to implement the proper technologies in agroforestry • Increase of farmers income and prosperity • Increase of agroforestry areas in rural landscape 	<p>Gaps</p> <ul style="list-style-type: none"> • Low educational background • Poor agroforestry practices <p>Assumptions</p> <ul style="list-style-type: none"> • Agroforestry is being practised in the field • Availability of indigenous knowledge in supporting agroforestry practices
2	Practice changes	<ul style="list-style-type: none"> • Improve the ability of agroforestry skill of the extension workers • Improve the ability of farmers in practicing agroforestry 	<p>Gaps</p> <ul style="list-style-type: none"> • Extension workers have limitation of agroforestry skill and knowledge of AF • Variety of educational background <p>Assumptions</p> <ul style="list-style-type: none"> • Fully attendance, actively participated and fully involved to the training • Extension workers have ability to adopt training materials
3	KASA	<p>K: Extension workers will fully understand the agroforestry techniques and how to deliver its</p> <p>A: Extension workers will feel that agroforestry techniques are important to be delivered to farmers</p> <p>S: Extension workers will be able to explain agroforestry technologies, delivery method, agroforestry planning → suitable to agroforestry landscape in the area</p> <p>A: The skill and knowledge of agroforestry of extension workers will be increased</p>	<p>Gaps</p> <p>K: Variety of educational background</p> <p>A: Low motivation on beyond the duty</p> <p>S: Lack of supporting facilities</p> <p>A: Different expectations between extension workers 's and farmers</p> <p>Assumptions</p> <p>K: Adequate educational background</p> <p>A: Fully participated and involved</p> <p>S: Potential skill background</p> <p>A: Improvement of knowledge, skill, and empathy</p>

		(20%). More responsible for balancing of Natural Resources Management	
4	Reactions	<ul style="list-style-type: none"> Extension workers will establish training materials/modules suitable for their local agroforestry landscape 	<p>Gaps</p> <ul style="list-style-type: none"> Change positions of extension workers Insufficient of facilities Land use changes <p>Assumptions</p> <ul style="list-style-type: none"> Support from local government Good response from Farmers
5	Participation	<ul style="list-style-type: none"> Potential donors (Governments, private sectors, NGO's: national and international) Instructors (Universities based institution): delivery materials and modules of training Extension workers (from Dept. of Ag, Fr, NGO's and local govt): to participate in the trainings Farmers: object/ targeted for improving agroforestry practices 	<p>Gaps</p> <ul style="list-style-type: none"> Low appreciation of agroforestry practices to the benefit of agroforestry <p>Assumptions</p> <ul style="list-style-type: none"> Availability of resources Supporting policy from local government
6	Activities	<ul style="list-style-type: none"> TNA Campaign Comparative studies Publications Trainings M&E 	<p>Gaps</p> <ul style="list-style-type: none"> Limitation of resources (time, human resources, and financial) <p>Assumptions</p> <ul style="list-style-type: none"> Availability of required facilities
7	Resources	<p>Time:</p> <ul style="list-style-type: none"> Preparation, Implementation, M&E→ 6 months <p>Funds:</p> <ul style="list-style-type: none"> TNA Promotion: campaign, publications Training Implementation (30 person/batch) M&E <p>Staff:</p> <ul style="list-style-type: none"> Steering Committee (3-5 persons) Organizing Committee (20 persons) 	<p>Gaps</p> <ul style="list-style-type: none"> Limitation of resources (time, human resources, financial) <p>Assumptions</p> <ul style="list-style-type: none"> Availability of required facilities

Laos

Project Design: Effective agroforestry technologies: linking farmers, students and teachers

1. Who are the stakeholders of your project?	<ul style="list-style-type: none"> • ME, MAF, NUOL • LaoNAFE members • NAFRI, NAFES, PAFO, DAFO • Donors • Agroforestry enterprises • Interested persons • Farmers • Local authorities • Policy makers
2. Who are the next users?	<ul style="list-style-type: none"> • Students (BSc, MLC, from FoF, FoA, Agriculture and Forestry schools) • Extension workers • Farmers, local authorities • Agroforestry entrepreneurs or interested persons
3. Target communication strategy towards:	<ul style="list-style-type: none"> • Students, teachers/lecturers • Farmers • Extension workers
4. Stakeholders involved from onset:	<ul style="list-style-type: none"> • Donors (Lao Gov. NGOs, JICA, Sida, DICA, GTZ, AUSAid and other agencies) • Policy makers, (MAF, ME) • PAFO, DAFO • Farmers
5. Outputs	<ul style="list-style-type: none"> • Publications (agroforestry manuals) • Agroforestry curriculum development • Development of agroforestry teaching materials • Training/workshop seminars study tours • Agroforestry demonstration plots • Agroforestry research
6. What would success look like?	<ul style="list-style-type: none"> • Teachers, students have gained KASA in agroforestry • Agroforestry curricula developed • Teaching materials developed • Demonstration plots on agroforestry effectively developed • Agroforestry research results and publications • Sustainable land use and environmental management • Farmers apply agroforestry technologies • Sustainability of farmers income generation • Model farmers for sustainable land use by various agroforestry technologies
7. How does success at project level contribute towards greater goals	<ul style="list-style-type: none"> • Copy of the agroforestry systems and technologies • People preferring chemical-free products

Project logics

1. Social, economic and environmental (SEE) conditions:

2006: 36 farmers from 6 districts; 900 students and 18 teachers have good understanding of, and implement sound and effective agroforestry technologies

2. Practice change:

Farmers: Implementing

Students: Have learnt and understood

Teachers: Taught and understood

3. KASA of the project

	Knowledge	Attitudes	Skills	Aspirations
Farmers	<ul style="list-style-type: none"> Know about tree species, crops and animals 	<ul style="list-style-type: none"> Trust belief in new agroforestry technology 	<ul style="list-style-type: none"> Tree growing Animal raising Soil improvement Accounting Reporting 	<ul style="list-style-type: none"> Want a better and more sustainable livelihood
Students	<ul style="list-style-type: none"> How agroforestry systems can help farmers 	<ul style="list-style-type: none"> Want to help farmers 	<ul style="list-style-type: none"> Develop agroforestry design 	<ul style="list-style-type: none"> Hope for a better future for the family
Teachers	<ul style="list-style-type: none"> To increase their knowledge on agroforestry systems Agroforestry component Agroforestry classification Agroforestry research design 	<ul style="list-style-type: none"> Interested, willing 	<ul style="list-style-type: none"> Computer presentation skills Production of teaching aids in agroforestry 	<ul style="list-style-type: none"> To help students develop

4. Reactions:

- Generate positive attitude

5. Participants (next users)

- 36 farmers: middle aged, both men and women, primary educated, low income
- 900 students: high school graduates, undergraduates
- 18 teachers: mostly men, security of tenure

6. Activists and resources

- Many activities
- Methods: presentation; discussion; brain storming; field visits
- Staff: Bounthene, Viravong, Khamphouy, Thangchanh, Somphanh

Philippines

PAFERN plan of action – resource mobilization framework, October 2003 to March 2004

Participants: Alex, Rafi, Wency, Ron, Johnny, Paul, Gil, Gie, Nold, Eugie & Buboy

Strategy No.	Strategy	Activity	Time Frame	Responsibility	Remarks/Budget
1	Organize Project Development task force	<ul style="list-style-type: none"> Organize task force 	Oct – Nov 2003	PAFERN Board	PhP 50,000
2	Donor Relations	<ul style="list-style-type: none"> Inventory & database of donors to include development agenda Dialogue with donors/ meet donors Link with funders 	Nov 2003 – Jan 2004 Jan – Mar 2004 Jan – Mar 2004	Secretariat Proj. Dev't Task force	PhP 50,000
3	Capacity Building	<ul style="list-style-type: none"> Resource mobilization workshop 	Mar 2004	PAFERN; Task Force	Need additional budget of PhP200,000.00
4	Writing and packaging proposals ²	<ul style="list-style-type: none"> Writing project proposals 	On-going	PAFERN Members and task force	PhP 50,000
5	Information and communication	<ul style="list-style-type: none"> Document success stories among existing networks Information Education & Communication, re: PAFERN and its accomplishment to donors and partners Monitoring and evaluation 	On-going On-going On-going	PAFERN Secretariat PAFERN Secretariat PAFERN Secretariat	National Agroforestry Congress, Nov. 19-20, 2003; PAFERN Assembly Nov. 21, 2003

² The National Agroforestry Congress will develop agenda for the National Agroforestry Development Plan

Project Design: Agroforestry Field Learning and Education Project (AFLEP)

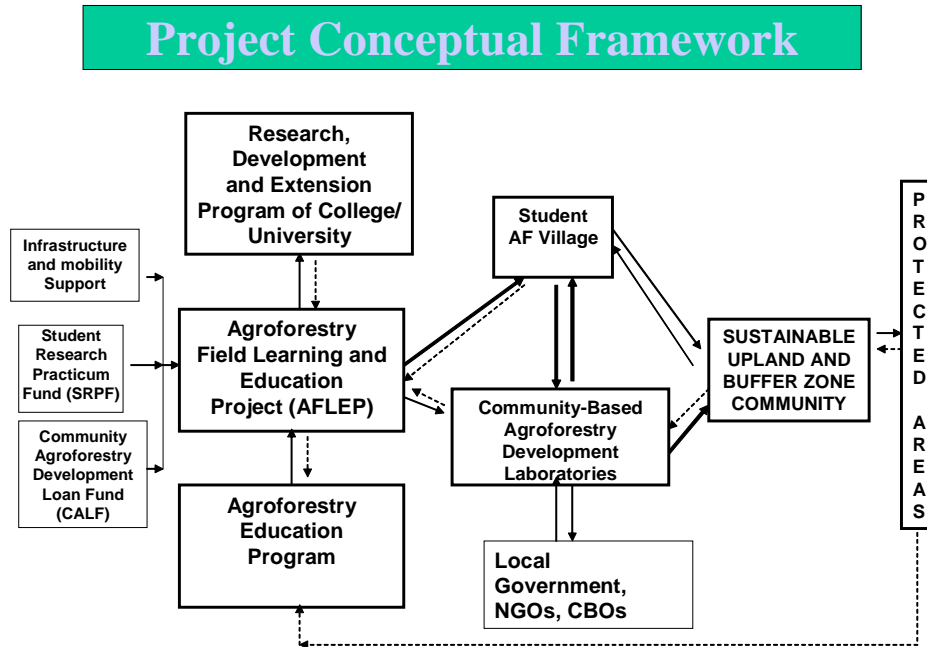


Figure 6. Project Conceptual Framework

1. Stakeholders

1. Who are the stakeholders of your project?

- a. Students
- b. Faculty
- c. Learning laboratory community
- d. LGUs, POs, Buffer zone communities

1.a. Which of the stakeholders are the next users?

- a. Students
- b. Faculty
- c. Learning laboratory community

1.b. Which of the stakeholders will you target your communication strategy towards?

- a. Students
- b. Faculty
- c. Learning Laboratory Community

1.c. Which of the stakeholders need to have been involved from the onset of the project?

- a. Students
- b. Faculty
- c. Learning Laboratory Community
- d. LGUs, POs

1.d. Is there anything you want to do in order to engage your next users? YES

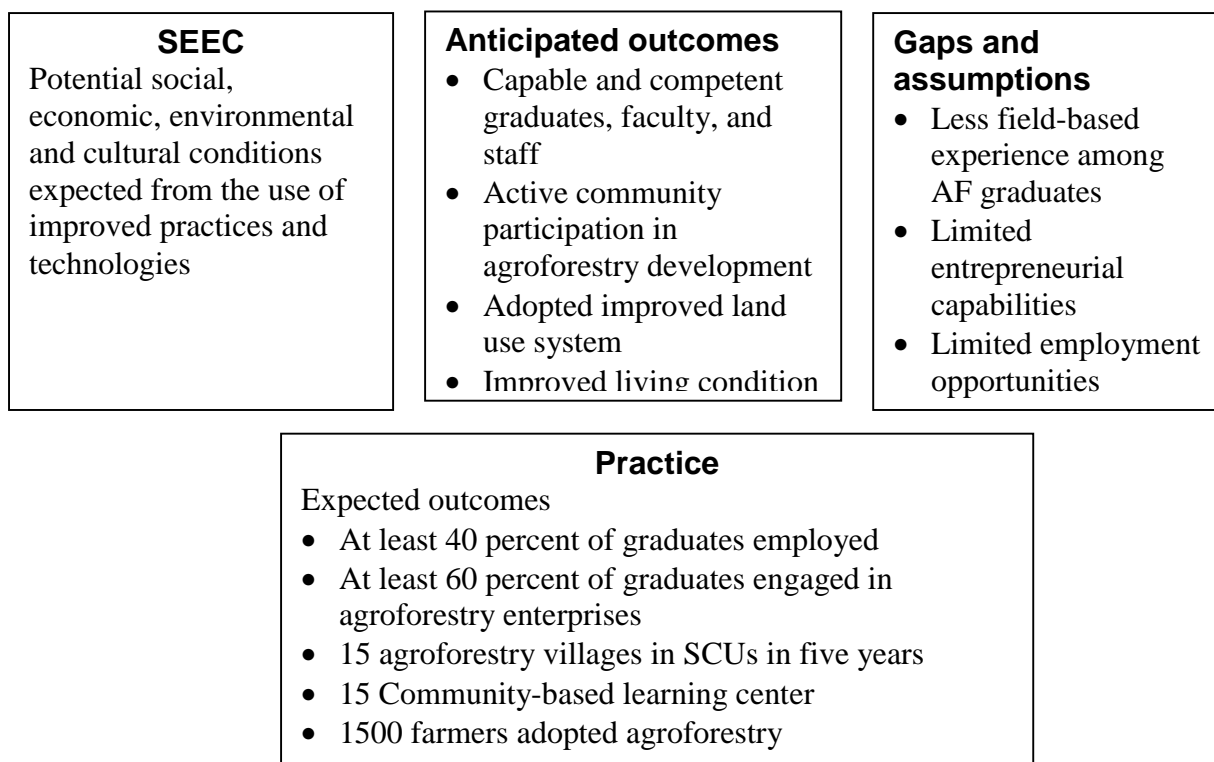
- Improvement of a unified agroforestry education curriculum
- Capacity building of faculty and staff
- Establishment of the student agroforestry village within the campus
- Planning and implementation of viable agroforestry enterprises
- Establishment of community based agroforestry learning laboratories
- Design and conduct participatory agroforestry R&E activities
- Planning and implementation of community-based agroforestry enterprise

2. What would success look like for your project?

- Unified agroforestry education curriculum
- Highly capable agroforestry graduates, faculty and staff
- Viable student agroforestry village within the campus
- Viable agroforestry enterprises
- Operational community based agroforestry learning laboratories
- Active participation in participatory agroforestry R&E activities
- Sustainable Community-based agroforestry enterprise

3. How does the above success at the project level contribute towards greater goals?

- Development of capable and competent graduates, faculty, and staff who could be effective and efficient in the planning and implementation of community-based agroforestry projects which would contribute for the:
 - development of viable agroforestry enterprises for the alleviation of upland poverty;
 - development of buffer zone as important component in integrated protected area management.
 - enhancing environmental services for greater societal welfare



KASA	<p>Knowledge:</p> <ul style="list-style-type: none"> • Basic concepts of agroforestry, sustainable agriculture and enterprise development <p>Attitude:</p> <ul style="list-style-type: none"> • Appreciation of the value of agroforestry for livelihood and for environmental sustainability <p>Skills:</p> <ul style="list-style-type: none"> • Plan and implement agroforestry enterprises <p>Aspiration:</p> <ul style="list-style-type: none"> • Viable agroforestry enterprises
Reactions	<p>Expected outcome:</p> <ul style="list-style-type: none"> • Positive reaction is expected since the project addresses students' demand for more field experiences, thus • Provide opportunities for farmers, academe, LGUs and other organizations to work together
Next users	<ul style="list-style-type: none"> • Students, faculty and staff: field experiences in planning and implementing agroforestry projects • Farmers
Activities	<ul style="list-style-type: none"> • Improvement of a unified Agroforestry Education Curriculum; • Capacity building of faculty and staff; • Establishment of the student agroforestry village within the campus; • Planning and implementation of viable agroforestry enterprises; • Establishment of community based agroforestry learning laboratories; • Design and conduct participatory agroforestry R&E activities; • Planning and implementation of community-based Agroforestry enterprise.
Resources	See figure 7.

RESOURCES

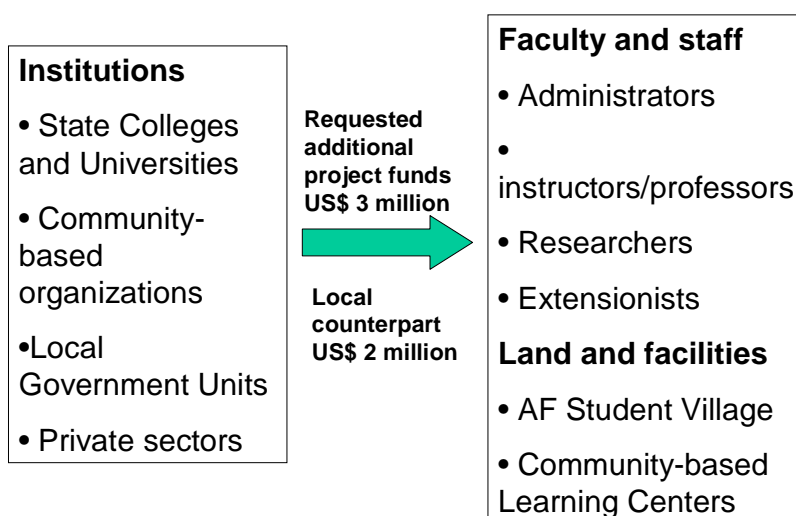


Figure 7. Resources required.

Thailand

Project design: Strengthening of the Thai Network for Agroforestry Education

1. Who are the stakeholders of your project?

- Village
- Community
- University
- Agriculture collage
- Agriculture and environmental organization
- Donors agency
- International R&D agency

1a. What of the stakeholders are the next users? (Those you will target your project activities/research findings towards and those in whom you want to see a change)

- Lecturer/Teacher
- Researcher
- Student
- Extension officer
- Farmer
- Villager
- Policy maker
- Community
- University
- Agriculture college
- Agriculture and environmental organization
- Donors agency
- International R&D agency

1b. Which of the stakeholders will you target your communication strategy towards?

- University CEO
- Politicians
- Mass media and publisher
- MOA
- Natural resource and (NRE)

1c. Which of the stakeholders do you need to have involved from the onset of your project? (Collaborators)

- ThaiNAFE members
- Local wisdom network
- R&D institution
- NGO

1d. Is there anything that you need to do in order to engage your next user? (Overcome barriers to adoption)

- Personal contacts
- IT
- MOU
- Establishment of steering committee
- Working group/committee

2. What would success look like for your project? What will the next users be doing differently as a direct result of achieving the objectives? Success at this level should describe what your project is fully responsible for.

- Curriculum
- Agroforestry project development
- Agroforestry staff development
- MIS
- Development impact in local level
- Strengthen ThaiNAFE network
- Increasing qualified personnel in agroforestry

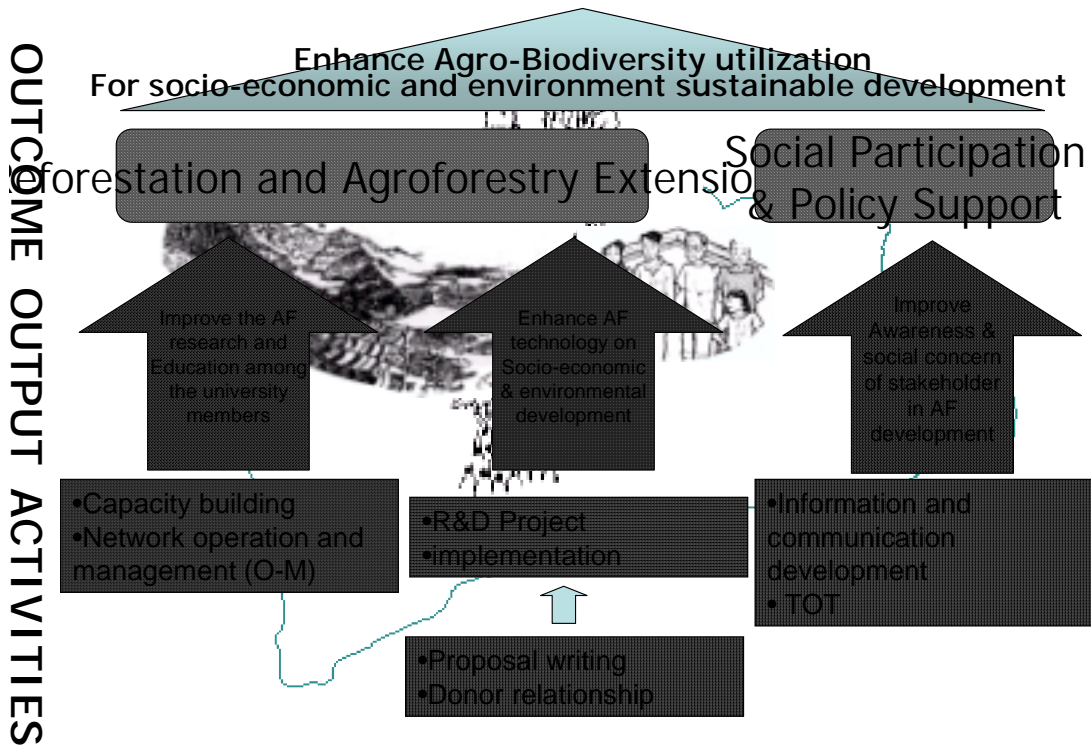
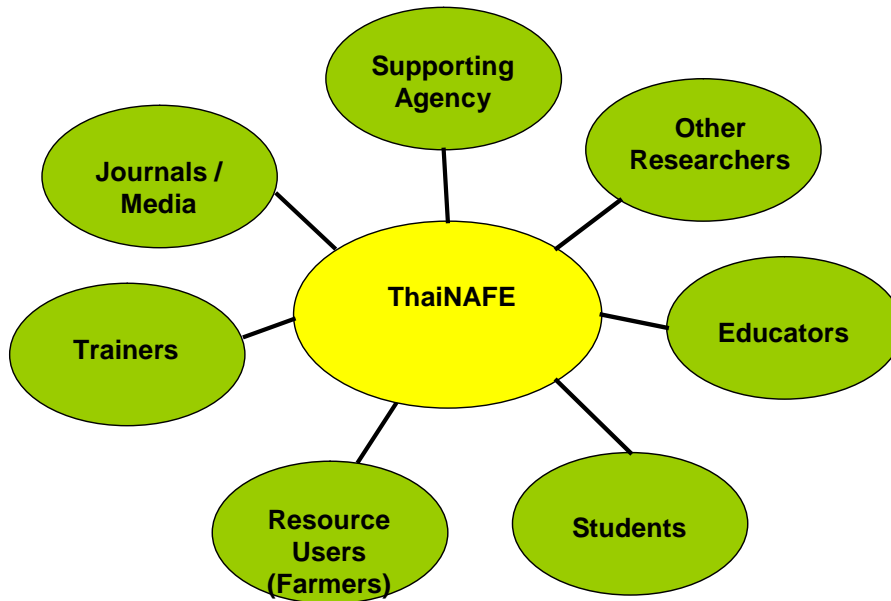
3. How does the above success at the project level contribute towards greater goals?

- Improve awareness of stakeholder in agroforestry development
- Enhance Social concern on Socio-economic and environmental development
- Improve the agroforestry research and education among the university members

Level	Anticipated outcomes	Gaps and assumptions
1. SEE	<ul style="list-style-type: none"> • Improved awareness of stakeholder in agroforestry development • Enhanced social concerns on socioeconomic and environmental development • Improved agroforestry research and education among the university members 	
2. Practice changes	<ul style="list-style-type: none"> • Integrated management • National resource mobilization • Networking • Training • Seminar/workshop • Knowledge management • Public relation 	
3. KASA	<ul style="list-style-type: none"> • INRM through agroforestry(K) • Mutual forest-tree-people interrelations (A) • Tree crop, animal (S) • Sustainability, forest production and resource utilization (A) 	
4. Reactions	<ul style="list-style-type: none"> • Workshop • Research conference • Staff exchange 	

	<ul style="list-style-type: none"> • Participatory Action Research (PAR) and appreciation influence control (AIC) • Change in farming practices • Appreciation accreditation system / SIA 	
5. Next users	<ul style="list-style-type: none"> • Lecturers/teachers • Researchers • Students • Extension officers • Farmers • Villagers • Policy makers • Communities • Universities • Agriculture colleges • Agriculture and environmental organizations • Donors agencies • International R&D agencies 	
6. Activities	<ul style="list-style-type: none"> • Training of trainers (ToT) • Proposal writing • Capacity building • Information and communication development • Donor relationship • Network operation and management 	
7 Resources	<ul style="list-style-type: none"> • Institution coordinator • Supporting staff • Secretariat • Seed money from SEANAFE • Contribution budget from others • Annual time management 	

Networking Logical Stakeholder Framework



Expected output and outcome of the Thainafe project



Vietnam

Project design: Agroforestry forum for strengthening linkages among education, research and extension in Vietnam

Outcome

In the year 2006 there will be sustainable landscape management, improving rural community livelihood, sharing and managing sustainable agroforestry knowledge, improving of agroforestry education, research and development in Vietnam

Practices

- 5 Agriculture and Forestry research institutions, 9 Agriculture & forestry universities, 9 technical/vocational schools, 9 provincial extension centers, 9 provincial farmer associations using learner centred teaching methods (LCTM) and participatory technology development (PTD), sharing appropriate innovations, planning to work together.
- 7 community-based training centers established in 7 ecological zones of Vietnam for learning/sharing of agroforestry innovations.
- Researchers, extensionists, educators will be able to apply new approaches in their work. Vietnam Agroforestry Website established, over 5,000 people yearly accessing it.

KASA

Knowledge – Our target group knows how to use LCTM, PTD, PAR, and community-based approaches; understands the bio- and cultural diversity of the Vietnamese landscape management; knows how to access to higher policy makers in order to feedback people's needs; knows how to manage agroforestry knowledge

Attitude – Target groups will improve their relationships and working behavior with farmers/communities and among three actors; target groups will have higher awareness on sustainable land-use, participatory watershed management.

Skills – Target groups will be able to work together use participatory approach properly communicate effectively with others and farmers facilitate meetings, movements, workshop conduct, PAR, manage website & network, disseminate effectively innovative experiments, inform quickly information and manage conflicts and negotiation

Aspirations – To unify all stakeholders in agroforestry education, research and development in Vietnam to share and exchange knowledge, skills on sustainable landscape

Reactions – There has been growing interest to participate in this forum for agroforestry development in Vietnam

Participants

- Educators
- Researchers

- Extension workers
- Policy-makers
- Farmers, students
- Educational and research institutions

Activities

- Organizing meetings and workshops
- Design forum mechanism
- Designing and managing website
- E-communicating network (e-forum)
- Establishing community-base centers
- Documenting innovations in agroforestry and disseminating information
- Organizing cross-visits in nation and region

Resources

- People: Educators, researchers, extensionists, students, farmers, communities, etc
- 500,000 USD
- Technical advisers,
- Administrative staffs
- Communication room and machines

ANNEXES

Annex 1. Some current trends in agroforestry research and development

David Thomas, Senior Policy Analyst, ICRAF-Thailand

Annex 2. Funding Opportunities in Education

Compiled by the Project Development Unit of the World Agroforestry Centre (ICRAF)
(October 2003)

International Federation of University Women

8 rue de l'Ancien Port Geneva CH 1201 Switzerland

Tel: 41.22.731.23.80 Fax: 41.22.738.04.40 Internet: <http://www.ifuw.org>

Dorothy Lee grants. This competition is held in even-numbered years to award grants that **assist women graduates from countries with low per capita income**, or they may be given to other women graduates who wish to work as experts in these countries or whose research is of value to such countries. The grant is to be used preferably in a country other than that in which the applicant received her education or habitually resides. Grants may be used for obtaining special training essential to research and survey work; training in new techniques in group research and further study; or carrying out independent research or surveys, including completion of projects well advanced at the time of application. Members of the IFUW should apply through their national IFUW unit (in the US, the American Association of University Women, 1111 16th St NW, Washington, DC 20036). Deadline for applications is determined by each affiliate, but normally falls between early September and mid-October of the year preceding the competition. Contact national headquarters for the exact deadline date. Amount of grant is Sf3000-Sf6000 on average.

International Peace Scholarship Fund

This fund provides grants in aid to women graduate students from foreign countries for study in the U.S. or Canada. Applicants must be qualified for admission to full-time graduate study and must promise to return to their countries to pursue professional careers. Contact: International Peace Scholarship Fund, PEO Executive Office, 3700 Grand Avenue, Des Moines, Iowa 50312-2899; Phone: (515) 255-3153; Fax: (515) 255-3820.

Allen Foundation, Inc.

812 West Main Street
Midland, Michigan 48641-1606 USA

Mailing Address:

Dale Baum, Secretary

The Allen Foundation, Inc.

PO Box 1606

Midland, Michigan 48641-1606

Internet: <http://www.tamu.edu/baum/allen.html>

This foundation makes grants in the field of **human nutrition, and funds relevant nutritional research anywhere in the world**. It supports these programs: (1) **human nutrition and the training of children and young adults** to improve their health; (2) **education and training for mothers** during pregnancy and after birth of children to

assist in forming good nutritional habits at an early age; (3) **training persons as educators in nutritional practices**; and (4) **dissemination of information** about sound nutritional practices. The foundation funds only nonprofit organizations and requires matching funds for projects from the organization or other individuals. The foundation supplies an application form that must accompany all proposals. Application forms should be requested in writing at the above address. The foundation will also supply additional information about policies and priorities if requested. Grants range from about \$5,000 to \$10,000.

Archer-Daniels-Midland Foundation

4666 Faries Parkway

PO Box 1470

Decatur, Illinois 62526

Fax: 217.424.4182

Contact: Ken Struttmann, Grants Coordinator (no telephone calls)

Make initial contact with the foundation with brief letter. Foundation focuses on **food- and hunger-related programs and organizations**, and also supports **agricultural education**. Grants have ranged from \$1,000-\$100,000. **No deadlines**.

Coca-Cola Foundation, Inc.

One Coca-Cola Plaza, NW

Atlanta, Georgia 30301-3009

Contact: Donald R. Greene, President

Application address: The Coca-Cola Foundation, Grants Administration, PO Box 1734,

Atlanta, Georgia 30301 Tel: 404.676.2568 Fax: 404.676.8804

Internet: http://www2.coca-cola.com/citizenship/foundation_coke.html

Primary support for education including higher education, science and engineering. Publishes an annual report and application guidelines. **Application form is required**. Guidelines and application form are posted on the foundation's web site. Funds organizations outside the US that promote higher education. Foundation has given grants of \$50,000 to the University of Lagos, Nigeria; the University of Zimbabwe, Harare; and the University of Nairobi in Kenya. The Coca-Cola Foundation board of directors reviews funding recommendations in quarterly meetings. All requests receive a written response when the review process is complete.

Environmental Research and Education Foundation

Environmental Research and Education Foundation

4301 Connecticut Ave., NW, Suite 300

Washington, DC 20008

Tel: (202) 364-3789

<http://www.erefdn.org/scholar.html>

Deadline: September 1, annually. The Environmental Research and Education Foundation annually offers funding through the Francois Fiessinger Scholarship Fund to support the work of outstanding students pursuing **environmental research at the doctoral level**.

Applications will be considered from full-time PhD students who have a clearly demonstrated interest in environmental research. Awards are made without regard to an applicant's race, religion, national or ethnic origin, citizenship, or disability. **Applications from students outside the US or studying abroad will receive equal consideration.** Scholarships will be awarded on the basis of: academic or professional performance; relevance of one's work to the advancement of environmental science; and potential for success. Awards include up to \$12,000 per year, renewable for two additional years for a total of \$36,000. Amounts awarded take into account the cost of tuition at the recipient's institution and any other funds received. Applications are available at the foundation's Web site or by contacting the foundation's offices:

Ford Foundation

Description of Research Topics, Regions:

The main goals of the foundation are: To Strengthen democratic values, reduce poverty and injustice, promote international cooperation and advance human achievement. The foundation works mainly by making grants or loans that build knowledge and strengthen organizations and networks.

Asset Building and Community Management Program: Grant making aims to help low-income people and communities build the financial, human, social and natural resource assets they need to overcome poverty and injustice. Categories are **Economic development** and **Work-Force Development:** Support given to organizations that help improve the ways low-income people develop marketable job skills and acquire and retain reliable employment that provides livable wages.

Community & Resource Development Program: **Environment and Development** sub-program gives grants helping people and groups acquire, protect and improve **land, water, forests, wildlife and other natural assets** in ways that help **reduce poverty** and injustice.

Eligibility:

See http://www.fordfound.org/global/map_flash.cfm

In some instances, the foundation requires the grantee organization to match the foundation's grant with funds from other sources.

Funding:

Most of the foundation's grant funds are given to organizations. Although it also makes grants to individuals, they are few in number relative to demand and are limited to research, training and other activities related to its program interests.

Deadline:

Applications are considered throughout the year.

IDRC Internship Awards

Description of Internships; Regions:

The IDRC Internship awards provide exposure to research for international development through a programme of training in research management and grant administration under the guidance of IDRC programme staff. The internship is designed to provide hands-on learning experiences in research programme management - in the creation, dissemination and utilization of knowledge from an international perspective.

Eligibility:

The programme is aimed at candidates who, through demonstrated achievements in academic studies, work or research, have shown interest in the creation and utilization of knowledge from an international perspective. Candidates can be Canadians (or permanent residents) or citizens of developing countries, and should have had some training at the Master's level. Candidates need not be affiliated with an institution. They may participate in internships as part of an academic requirement.

Deadline: 12 September 2003

Websites/Further information:

[International Development Research Centre <http://web.idrc.ca/ev.php>](http://web.idrc.ca/ev.php)
 [<http://network.idrc.ca/ev.php?URL_ID=24327&URL_DO=DO_TOPIC>](http://network.idrc.ca/ev.php?URL_ID=24327&URL_DO=DO_TOPIC)

RGK Foundation

1301 West 25th Street, Suite 300
Austin, Texas 78705-4236
Tel: 512.474.9298 Fax: 512.474.7281
Internet: <http://www.rgkfoundation.org/>

The foundation commits funding worldwide to support **medical research, educational research and community development**. In these areas, the foundation supports programs and conferences that promote academic excellence in universities and colleges that raise literacy levels and that support the health and well being of children. **No deadlines for grant requests under \$50,000.** This information must accompany 1 unbound copy of the grant proposal: (1) completed RGK Application; (2) brief background of organization; (3) list of board of directors; (4) current annual report; (5) IRS 501(c)(3) determination letter; (6) detailed project budget; (7) organization's current operating budget; (8) list of project's funding sources; (9) current financial statements; and (10) most recently filed IRS Form 990.

Rockefeller Foundation International

Description of Research Topics; Regions; Funding:

Rockefeller Foundation International Grants Program to Support Science-Based Development: Global Environment

The global environmental program supports work promoting the skills, attitudes, relationships, and institutions necessary for **environmentally sound international**

development. Science-focused activities within this initiative are carried out through the **agricultural**, health, and populations sciences divisions. Initial emphasis will be given to assisting **developing countries to advance environmentally sound development in their own countries and participate fully in international responses to environmental challenges.** The foundation also supports projects designed to promote more efficient energy practices in developing countries with an emphasis on projects that can be expected to secure either concessional or commercial capital.

Samples: **Leadership for Environment and Development International** (New York, NY), to build human capital for leadership that will promote sustainable development and nurture international cooperation to establish these ends, \$12.6 million. **Get Ahead Foundation (South Africa)**, for research on the use of an experimental loan fund to provide credit to microenterprises, \$120,000 over two years.

Eligibility:

The program is open to **scientists who have experience and have demonstrated research ability in the field of investigation being proposed.** Proposals justifying involvement of interdisciplinary teams of **more than one institution are welcome.** All proposals must be in the English language, but nationality is not an eligibility criterion.

Deadline:

Proposals and consultation requests are welcome at any time.

Websites/Further Information:

<http://www.rockfound.org>

Contacts:

Lynda Mullen, Secretary (212) 869-8500 ext 411 fax: (212) 764-3468

Royal Society International Grants Programmes for East & South East Asia and the Developing World

Description of Fellowships; Regions; and Deadlines:

The International Section of The Royal Society administers a comprehensive programme of **study visits, fellowships and joint projects** aimed at promoting scientific collaboration between the United Kingdom and international research centres across the world. The Society welcomes applications from scientists wishing to engage in the following:

Short-Term Study Visits

The Royal Society's study visits programme aims to enhance the research capabilities of individual scientists, develop international collaborative links, and enable participation in

international research in East and South East Asia, South Asia, Central and South America, Africa and the Middle East.

Study visit grants are for short-term visits for a period up to twelve weeks. Grants are available to postdoctoral scientists either from the United Kingdom wishing to carry out research abroad, or from one of the above regions wishing to visit a research institute in the UK. Applications need to be made at least 12 weeks in advance of a visit.

Royal Society Postdoctoral Fellowships for Scientists from China, Japan, South Korea and South East Asia

The Royal Society's **fellowship programme aims to foster science and technology links between the United Kingdom and the Asia-Pacific region**. The fellowships are tenable for different periods depending on the specific programme. Closing dates apply as follows:

- Japan Soc. for the Promotion of Science Fellowships for Researchers: **20 September annually**
- South East Asia-UK Fellowship: **30 September annually**
- South Korea-UK Fellowship: **16 October annually**

Eligibility

All programmes are subject to change and vary in eligibility and conditions of award. For up to date information and application forms please visit the Royal Society's website.

Websites/Further information:

<http://www.royalsoc.ac.uk/funding/country.htm>

[Royal Society <http://www.scidev.net/Grants/www.royalsoc.ac.uk>](http://www.scidev.net/Grants/www.royalsoc.ac.uk)

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Annex 3. Resource Mobilization Workshop: Programme

Southeast Asian Network for Agroforestry Education (SEANAFE) Resource Mobilization Workshop & 3rd General Meeting of SEANAFE

**Sanga Sabhasri Conference Room
Faculty of Forestry, Kasetsart University, Bangkok Thailand**

Wednesday 15 October, 2003

Opening

Time	Activity	By
8.30	Registration	Secretariat
9.00	Opening session	MC: Dr Uthaiwan Sangwanit, KUFF
	Welcome Address	Dr. Sambas Sabarnurdin, SEANAFE Chair
	Remarks by ICRAF-SEAsia	Dr. David Thomas, Senior Policy Analyst, ICRAF-Thailand
	Remarks by Department of National Parks, Wildlife and Plants Conservation, Thailand	Dr. Komom Pragtong, Director General Representative
	Welcome Remarks by Faculty of Forestry	Assoc. Prof. Dr. Samakkee Boonyawat, Associate Dean, Faculty of Forestry
	Opening of the Workshop by Kasetsart University	Dr. Sornprach Thanisawanyankura, Vice President
9.40	Group Photo Coffee Break	

Keynote speeches: The changing view of agroforestry

Moderator: Dr. Uthaiwan Sangwanit, KUFF

Time	Activity	By
10.10	Agroforestry landscapes in Montane Mainland SEAsia	Dr. David Thomas, ICRAF-Chiang Mai
10.25	Message from Sida	Bo Gohl and Lisbeth Bostrand, Sida
10.40	Capacity Building for NRM: regional partners and resources	Dr. Yam Mala, Director, RECOFTC
10.55	Views and comments	

Keynote speeches: resource mobilization for agroforestry capacity building

Time	Activity	By
11.05	The African Network for Agroforestry Education (ANAFE): Resource mobilization: our plans and experiences	Dr. John Kaboggoza, ANAFE Chair
11.25	<ul style="list-style-type: none"> SEANAFE: How do we see our future? Workshop objectives and process 	Per Rudebjer, SEANAFE Technical Adviser
11.50	Views and comments	
12.00	Lunch	

Workshop proceeds at FORTROP Conference Room

SWOT analysis of national and regional networks

Time	Activity	Led by	Notes
13.00	Outline, outcomes and expectations	Fiona Chandler, Consultant, ICRAF	Plenary
13.30	SWOT analysis of SEANAFE		Plenary
15.00	Coffee		
15.15	SWOT analysis of national networks		National groups
16.15	Report back from each of the national networks		National groups
17.00	End		
18.00	Welcome dinner at floating restaurant. Bus leaves 18.00 sharp from KU Home! Return around 22.00.		

Thursday 16 October, 2003

Creating resource mobilization framework

Time	Activity	By	Notes
07.45	Bus leaves KU Home		
08.00	Planning the Resource Mobilization framework for SEANAFE	Fiona Chandler	Plenary
10.00	Coffee		
10.30	Implementing the Resource Mobilization framework for SEANAFE		Plenary
12.30	Lunch		
13.30	Creating Resource Mobilization Frameworks for each national network		National groups
16.15	Presentation from each of the national networks (15 min each) of their RM framework		National groups

Friday 17 October, 2003

Principles of Proposal Development and Project Design

Time	Activity	By	Notes
7.45	Bus leaves KU Home		
8.00	Checkpoint: quick feed-back on the previous day's work		Plenary
8.15	Principles of Proposal Development and Tips for Finding Funds (presentation)	Fiona Chandler	Plenary
10.00	Coffee break		
10.15	Developing a project design (presentation), followed by national groups developing a project design for their national networks	Fiona Chandler	National Groups
12.30	Lunch		
13.30	Continue development and writing up of the project design		National Groups
15.15	Presentation by each national group (10 min each) outlining their project design		
16.00	Conclusions and wrap-up of the workshop	Sambas Sabarnurdin, SEANAFE Chair; Monton Jamroenprucksas, SEANAFE Vice Chair	
16.30	Closing	Dr. Utis Kutintara, Dean, KUUFF	
18.30	Dinner		

Saturday 18 October, 2003

Time	Activity
9.00	3 rd General Meeting of SEANAFE - Agenda to be provided

Annex 4. List of participants

Participants in SEANAFE resource mobilization workshop

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