



Seminar Proceedings

ASEAN High Level Seminar

Climate Change Adaptation and Mitigation:
Towards a Cross-Sectoral Programme Approach in ASEAN



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Seminar Proceedings
ASEAN High-Level Seminar on Climate Change Adaptation and Mitigation
Towards a Cross-Sectoral Programme Approach in ASEAN

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Foreword

Just as the size of our enormous carbon “footprint” is becoming painfully obvious, so, too, is the exponential increase of dangerous climate change trends that are: causing more intense storms, melting glaciers, raising seas, expanding deserts, creating habitat pressures, and exacerbating food shortages, among other planet-threatening trends. We are pleased to provide these proceedings that document the structured work sessions of presenters and participants from the ASEAN Secretariat, ASEAN Member States, and ASEAN partner institutions such as FAO, GTZ, Hertie School of Governance, Lee Kuan Yew School of Public Policy and OECD. This ASEAN high-level seminar was convened to accomplish two overriding goals: to provide a forum of ideas and management approaches related to addressing climate change and to produce a working product to articulate and expand the basic understanding of and strategic policy development on climate change as expressed in various ASEAN guiding documents and statements.

First, the high-level seminar accomplished the goal of providing world-class experts on a variety of topics related to climate change and the methods that can be used in adaptation and mitigation. These experts were not only drawn from organizations outside the ASEAN, but from the ASEAN Secretariat and Member States as well. Presentations were followed by formal responses, which were in turn followed by lively discussions and debates that teased out underlying assumptions, contrasting views, and generally resulted in an acceptable range of consensus on significant points.

Second, the high-level seminar resulted in an outline for an ASEAN Multi-Sectoral Framework on Climate Change and Food Security (AFCC-FS) intended to expand and deepen cross-sectoral coordination between the ASEAN Economic Community (AEC) Blueprint (2008-2015) and the ASEAN Socio-Cultural Community (ASCC) Blueprint (2009-2015) as well as the implementation of ASEAN supporting declarations and programs¹. A series of proposals was provided during the course of the seminar as an initial basis of discussion.

The seminar also considered two project proposals adopted by the ASEAN Ministers and Agriculture and Forestry (AMAF). One project proposal was designed to strengthen the information system related to climate change by enhancing and/or strengthening a baseline and data systems, raising awareness levels, and providing evidence-based predictions. The purpose of the second project proposal was to focus on the mitigation and adaptation of issues related to research and development and preparedness in the policy fields of forestry, agriculture and fisheries. Areas in this category included: robust implementation of ‘reduced

¹ Such documents include, among others, the ASEAN Declaration on Environmental Sustainability; the Singapore Declaration on Climate Change, Energy and the Environment; and the ASEAN Integrated Food Security Framework and Strategic Plan of Action on Food Security in the ASEAN Region.

emissions from deforestation and forest degradation' (REDD), cropland mitigation of soil carbon sequestration initiatives, energy efficiency and biofuels balance, livestock waste management, and improved agricultural biodiversity.

The discussion noted the special role of food security in an area of the world already struggling to provide a better quality of life for a population that continues to increase. Finally, the seminar underlined the importance of a cross-sectoral program approach. As one of the presenters noted, substantial strides in reversing climate change will not occur with the sole reduction of emissions from energy provision, manufacturing, transportation, agriculture, *or* loss of forests due to degradation and deforestation. Significant strides can only be made with an integrated approach including *all* these sectors. In turn, this means pragmatically taking into account the demographic, economic development, and political challenges confronting states such as the ASEAN Member States whose commitment is great but whose resources are limited. Only with approaches that integrate sectors, able planning, determined implementation strategies, continued learning, improvements in technology, regional considerations, and support from the international community is the progress going to be as swift as our children deserve.

We are confident that this high-level seminar took an enormous step in articulating the detailed strategies necessary to make the ASEAN leading in planned action addressing the causes and impacts of climate change.

Professor Dr. Jobst Fiedler, Seminar Director

Professor Dr. Montgomery Van Wart, Conference Proceedings Editor



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Introduction

1. Background and Rationale

The concentrations of carbon dioxide, methane, and nitrous oxide, which, among other things, contribute to climate change, have increased globally, primarily due to the use of fossil fuels, land use change and agriculture,¹. One sector in particular – agriculture – is the leading cause of carbon emissions in developing countries, like those found in ASEAN². However, just as there are two sides to every coin, agriculture, together with fisheries and forestry, are important sectors for economic development in ASEAN and the primary sources of livelihood for the majority of ASEAN's peoples. Thus, mitigation and adaptation action through integrated approaches to agriculture, fisheries and forestry have strong potential co-benefits for improving food security, alleviating poverty, ensuring social welfare and protecting the environment.

It is vital for the leadership in ASEAN, both in the 10 ASEAN Member States and the ASEAN Secretariat, to address the challenges and impacts of climate change. Business-as-usual policy-making will not lead to any successful regional climate change policies. New programmatic approaches and new forms of cooperation in and beyond ASEAN are needed.

It is for that reason, that the Senior Officials Meeting of the ASEAN Ministers on Agriculture and Forestry (SOM-AMAF) along with the Deputy Secretary-General of ASEAN for the ASEAN Economic Community (AEC) and senior executives of the ASEAN Secretariat in collaboration with AusAID and GTZ, initiated the 'ASEAN High-Level Seminar on Climate Change Adaptation and Mitigation: Towards a Cross-Sectoral Program Approach in ASEAN'. The main body of the seminar involved a well-structured exchange of facts and ideas with experienced ASEAN experts, leading experts from international organizations and the private sector, as well as renowned public policy schools like the Hertie School of Governance, Berlin, and the Lee Kuan Yew School of Public Policy, Singapore. Regional management approaches to problems and effective policy implementation in ASEAN were highlighted.

The objective of the Seminar was to support ASEAN in its strategic planning, coherent policy development and result-oriented implementation of an ASEAN Strategy on Climate Change, and to advance a 'program-based approach' in ASEAN for harmonizing donor support aligned to the ASEAN Economic Community (AEC) and ASEAN Socio-Cultural Community (ASCC) Blueprints. The seminar was also expected to jump-start a common standard which would be a model for future customized ASEAN executive seminars intended to advance corporate development in the region.

¹ IPCC (2007).

² 74% of emissions from agriculture are in developing countries (Mueller 2009).

2. Seminar Structure

The order of papers in these proceedings closely follows the structure of the Seminar. On the first day, the Seminar discussed the regional policy challenge of climate change to which ASEAN needs to respond. The introductory paper by Dr. Charlotte Streck (Climate Focus), a leading international expert on climate change and founding partner of Avoided Deforestation Partners, provides the over-arching picture on climate change adaptation and mitigation in the different land-use sectors, taking into consideration international negotiations under multilateral environmental agreements.

DSG S. Pushpanathan (ASEAN Secretariat) sets the scene of the discussions on how the Seminar should lead to an ASEAN Strategy on Climate Change. Accordingly, Dr. Susan Braatz's (FAO) paper examines the alignment of climate change mitigation and adaptation strategies with ASEAN's economic integration and the social and environmental goals of the ASEAN Community Blueprints, how it needs to promote integrated approaches to land use and natural resources management, and how to encourage harmonized partner support for developing and implementing such approaches.

Building on that foundation, Dr. Andreas Obser (GTZ) elaborates on the potential cross-sectoral program approach for ASEAN when it comes to dealing with climate change. This platformed series of steps has been named the "Regional Climate Change Program" or ReCCP.

On the second day, the seminar discussed various regional management approaches in responding to such challenges. To begin, Dr. Wulf Killmann (formerly FAO) provided insights on how to manage cross-cutting issues and interministerial coordination on climate change and food security, and emphasized the linkages between agriculture, forestry, and the competition for land use.

Dr. Cristoph Beier (GTZ) also chaired the session on regional management approaches by taking into account GTZ's experience on the issue. A good policy will not work without having the right people to employ it. Thus, Thang Hooi Chiew's (ASEAN advisor) paper explains the use of the ASEAN Regional Knowledge Networks (ARKN) as regional expert pools in the forestry sector. It was further explained how these expert pools contribute to policy-making and policy implementation in ASEAN.

Dr. Heinz Hauser and Fika Fawzia (GTZ) elaborate lucidly on a "Threefold Human Resources Management (HRM) Strategy" in ASEAN by reflecting GTZ's experiences and human resource management processes for ASEAN.

To be sure, a good strategy on knowledge management is imperative for an organization's sustainability. Therefore, Dr. Jan Schwaab and Daniela Goehler (GTZ) analyze on how to best manage knowledge and regional policy advice. This is articulated in plain terms by using a case study on the ASEAN Clearing House Mechanism (CHM).

One useful tool in managing intergovernmental learning and coordination is the peer review mechanism. Mr. Kensuke Tanaka (OECD Development Centre) points out how the peer review mechanism can be used to strengthen regional integration in ASEAN.

Expanding on this insight, Dr. Azmi Mat Akhir's (University of Malaya) paper assesses experiences with peer consultation as a significant achievement in the ASEAN regional cooperation in forestry.

Last but not least, on the third and final day of the Seminar, discussions focused on how to move forward with a regional implementation of a climate change strategy. As a result, the ASEAN Multi-Sectoral Framework on Climate Change and Food Security (AFCC-FS) will be briefly explained in the conclusions of the Seminar.

Chapter 1

Regional Policy Challenges



Climate Change Adaptation and Mitigation in the Land-Use Sector of ASEAN Countries

Dr. Charlotte Streck

1. Introduction

Climate change is one of the most serious threats to sustainable development, with adverse impacts expected on the environment, human health, food security, economic activity, natural resources and physical infrastructure. Scientists agree that rising concentrations of greenhouse gases (GHG) in the earth's atmosphere, due in large part to human activity, are leading to dramatic changes in the climate. The Fourth Assessment Report (AR4) of the Intergovernmental Panel on Climate Change (IPCC), completed in November 2007, finds with more than a 90% probability, that human activities have greatly contributed to recent climate change. The report goes on to emphasize many already observed and projected impacts, and analyzes various mitigation options that could be employed to assist with the dire situation we now face.

Developing countries, and the poor and other vulnerable communities within these countries, will feel the greatest impacts of climate change. ASEAN countries, especially those with their long coast lines, are particularly vulnerable. Many ASEAN countries lack the means, technology and institutions to effectively adapt to these changing climatic conditions and the heightened risk of extreme weather events further increases South East Asia's exposure to a changing climate.

Under such conditions, strategies that target the alleviation of poverty must favor the development of agricultural and sustainable resource management practices that improve the livelihoods of the rural poor, enhance food security and promote adaptation to climate change. Changing agricultural practices, sustainable forest management, and reducing deforestation combine community with climate change mitigation and adaptation benefits.

The climate regime has the potential, through both market and fund based mechanisms as well as adaptation and mitigation measures, to provide additional sources of financing for sustainable development and carbon enhancing agricultural practices. The next climate change agreement is currently in negotiation and the time to raise the need for financing ASEAN adaptation and mitigation activities is now. It is essential that ASEAN countries understand the impact that climate change may have on their economies, their populations and their ecological systems. Such an understanding will help these countries in their efforts to formulate successful national adaptation and mitigation strategies. Further, such an understanding would allow them to contribute and participate in the international climate negotiations under the auspices of the UN Framework Convention on Climate Change (UNFCCC).

2. Climate Impact on Agricultural and Forest Systems

The verdict of the Intergovernmental Panel on Climate Change (IPCC) is that extreme weather events, such as cyclones, shoreline flooding, hail and droughts will increase in frequency and severity over the coming decades.¹ While a direct correlation between climate change and agricultural productivity is still unclear, climate related effects, such as desertification and sea-level rise, will impact the ecosystem services upon which humans depend for their well-being. The IPCC projects major changes in ecosystem structure and function, species' ecological interactions and shifts in species' geographical ranges, with predominantly negative consequences for biodiversity and ecosystem goods and services, such as water and food supply. At lower latitudes, especially in seasonally dry and tropical regions, crop productivity is projected to decrease with even small local temperature increases (1 to 2°C), which would only add to the increased risk of hunger.²

Agriculture

Agriculture is one of the most vulnerable sectors when it comes to anticipated climate change. Despite the many great technological advances in the second half of the 20th century, weather and climate are still key factors in determining agricultural productivity in most areas of the world. Climate change related predictions, including unusual fluctuations in temperatures and rainfall patterns, as well as their associated impacts on water availability, pests, disease, and extreme weather events, are likely to substantially affect the potential of agricultural production. The impact of climate change on agricultural production is unlikely to be evenly distributed across regions. Low latitude, low lying, and developing countries are expected to suffer more from the agricultural effects of global warming, reflecting their disadvantaged geographic location, a greater agricultural share in their economies, and a seriously limited ability to adapt to climate change.³

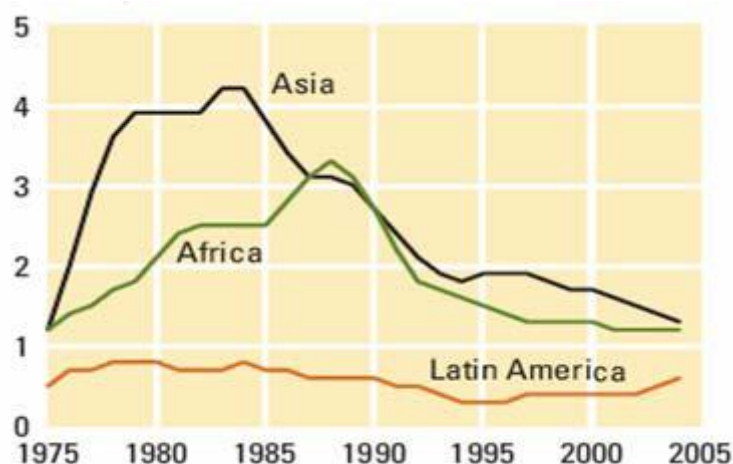
Additional resources are needed to support increased research in the agricultural sector and to enhance investment in agricultural, forest and land-use sectors in developing countries. Official Development Assistance (ODA) targeting the agriculture sector has been steadily declining over the last twenty years (Figure 1).⁴ This trend must be reversed, as the under-investment by governments and donors has translated to a lower investment in public agricultural research, rural infrastructure and rural development in general.

¹ IPCC Fourth Assessment Report (2007), Synthesis Report, Geneva, chapter 1.1.

² IPCC Fourth Assessment Report (2007), Synthesis Report, Geneva, chapter 3.3.

³ Zhai, F., and J. Zhuang. 2009. Agricultural Impact of Climate Change: A General Equilibrium Analysis with Special Reference to Southeast Asia. ADBI Working Paper 131. Tokyo: Asian Development Bank Institute. Available: <http://www.adbi.org/workingpaper/> 2009/02/23/2887.agricultural.impact.climate.change/

⁴ World Bank, (2008); Rising Food Prices Threaten Poverty Reduction; World Bank; Online access: <http://go.worldbank.org/QLBJFC7X10>; World Bank, 2008; "Rising Food Prices: Policy Options and World Bank Response". http://siteresources.worldbank.org/NEWS/Resources/risingfoodprices_backgroundnote_apr08.pdf .



Source: World Bank (2008).

Figure 1: ODA to agriculture by region, 2004 US dollars billions.

A high-level FAO conference on world food security and the challenges of climate change and bio-energy was held in early June 2008 and was attended by officials from 181 countries. The summit's final declaration, adopted by acclamation, confirms to close the investment gap: 'There is an urgent need to help developing countries and countries in transition expand agriculture and food production, and to increase investment in agriculture, agribusiness and rural development, from both public and private sources'.⁵

Forestry

Forests are our most important terrestrial storehouses of carbon and they play an important and vital role in controlling our climate. Yet, in many parts of the world forests are degraded and destroyed in an effort to expand agricultural lands, gain timber, or clear space for infrastructure or mining activities. Decreased harvesting and increased regeneration make forests in temperate zones act as carbon sinks, sequestering more carbon from the atmosphere than they emit.⁶ This effect is countered, however, by the rapid loss of tropical forests.⁷ Tropical deforestation has severe and devastating consequences, among which are the loss of biodiversity, flooding, soil degradation and threats to the livelihoods and cultural integrity of forest-dependent communities. Deforestation of our tropic zones is also a major contributor to overall global climate change. On a worldwide scale, global change

⁵ FAO (2008), *Soaring Food Prices: Facts, Perspectives, Impacts and Actions Required*; Background paper to the High-Level Conference on World Food Security: The Challenges of Climate Change and Bioenergy; Rome, 3 - 5 June 2008.

⁶ Schulze, E. D., Lloyd, J., Kelliher, F. M., Wirth, C., Rebmann, C., Luhker, B., Mund, M., Knohl, A., Milyukova, I. M., Schulze, W., Ziegler, W., Varlagin, A. B., Sogachev, A. F., Valentini, R., Dore, S., Grigoriev, S., Kolle, O., Panfyorov, M. I., Tchebakova, N., and Vygodskaya, N. N. (1999), *Productivity of forests in the Euro Siberian boreal region and their potential to act as a carbon sink - a synthesis*, *Global Change Biology*, 5(6), 703-722.

⁷ Houghton, R. A., Skole, D. L., Nobre, C. A., Hackler, J. L., Lawrence, K. T., and Chomentowski, W. H. (2000), *Annual fluxes of carbon from deforestation and regrowth in the Brazilian Amazon*, *Nature*, 403(6767), 301-304. It is important to note however that deforestation rates have been slowing in the last decade. However, Soares-Filho et al. describe a potential increment of deforestation in Amazonia for the next decades, B. Soares-Filho et al. (2006), *Modeling conservation in the Amazon basin*, *Nature* 440, p. 520-523.

pressures (climate change, land-use practices and changes in atmospheric chemistry) are increasingly affecting the supply of goods and services from our forests.

Forests act as a source of additional greenhouse gas emissions reduction and greatly aid in the mitigation of climate change. Yet forests around the world are widely expected to face significant pressures from climate change over the coming century. Tropical forest ecosystems around the globe, and in particular the ones on which the livelihoods of people from several regions of the world depend, are vulnerable to climate change variability and long term changes in temperature and rainfall.⁸ Increased dry spells could place both dry and traditionally wet deciduous forests at an ever-increasing risk from forest fires. In the South and South East Asian region, forest fires have already been rampant, causing very high economic loss, the potentially irreversible destruction of biodiversity, and transboundary pollution.⁹

3. Support for Agriculture and Forestry through the UNFCCC and UNCDD

As industrialized nations must take a major share of responsibility for creating the climate crisis, so, too, should they encourage and help facilitate developing countries' participation in their international efforts to address the problem without sacrificing their aspirations for development. According to the Polluter Pays Principle, as well as the principle of "common but differentiated responsibilities", as included in Principle 7 of the Rio Declaration, financial transfers from industrialized to developing countries are to necessary to help developing nations in implementing environmental policies and projects.¹⁰ The Principle of Common But Differentiated Responsibilities is founded on the understanding that effective action, based on environmental regimes, has to take into account not only who is responsible for the problem, but also the ability of a country to act and its exposure to any negative consequences of [non] acting. Based on these principles, it is imperative that the global community make a strong, collective commitment to support poorer nations in their efforts to contribute to the mitigation of climate change as well as in their efforts to adapt to its consequences.

Agriculture and forests support the livelihoods of millions of poor people around the globe. Bearing that in mind, international policies aimed at protecting these ecosystems need to be enacted, with a strong recognition of the social implications involved. The political marginalization of poor communities, who are often the most vulnerable to environmental degradation, is a recurrent theme. A greater appreciation of the vulnerabilities of these rural communities to environmental degradation could help highlight the importance of both conserving our ecosystems and sustainably using our agricultural soils. By considering mitigation and adaptation to climate change as two major challenges that must be addressed

⁸ CIFOR (2007)

⁹ Mukhopadhyay, D. (2009), *Impact of climate change on forest ecosystem and forest fire in India*, Climate Change: Global Risks, Challenges and Decisions. IOP Conf. Series: Earth and Environmental Science 6 (2009) 382027.

¹⁰ Principle 7 of the Rio Declaration states that "in view of the different contributions to global environmental degradation, States have common but differentiated responsibilities. Developed countries have acknowledged the responsibility that they bear in the international pursuit of sustainable development in view of the pressures their societies place on the global environment and of the technologies and financial resources they command."

in tandem, the need to focus efforts on vulnerable populations should become a guiding principle of international efforts.¹¹

Adaptation

Thematic Program Networks under the UN Convention to Combat Desertification (UNCCD) promote agroforestry and soil conservation in Asia. Acting as a financial mechanism for both the UN Framework Convention on Climate Change as well as the United Nations Convention to Combat Desertification (UNCCD), the Global Environment Facility (GEF) expects to invest more than USD250 million over the next three years in projects that integrate sustainable land management into national development and implement innovative sustainable land management practices internationally.

In addition to the Global Environment Facility (GEF) Trust Fund, which, in the climate change arena, has predominantly supported mitigation projects since its inception, three special funds have been set up to provide ongoing support for adaptation measures. Two of these funds are under the auspices of the United Nations Framework Convention on Climate Change (UNFCCC) and one falls under the Kyoto Protocol. Under the UNFCCC, the Special Climate Change Fund (SCCF) was established to assist in financing projects related to, among other things, adaptation, while the Least Developed Countries Fund (LDCF) was created in order to support a work program for lesser developed countries. Both are currently being operated by the Global Environment Facility (GEF). Under the Kyoto Protocol, the Adaptation Fund was launched this year, to support concrete adaptation projects and programs, financed from a share of proceeds from the Clean Development Mechanism (CDM) and other voluntary sources.

Mitigation

Participation of developing countries in the compliance framework of the current international climate change regime is limited to the Clean Development Mechanism (CDM) created under the Kyoto Protocol. The CDM allows the conversion of greenhouse gas (GHG) emission reductions in developing countries into carbon credits, which industrialized countries can then use for complying with the emission targets set under the Kyoto Protocol. Over the last eight years, this mechanism has been the lynchpin of the international carbon market, not only channeling over USD7bn into developing country projects, but also acting as the link between the Kyoto Protocol compliance system and various regional carbon markets (such as the market created by the EU Emission Trading System).¹²

Carbon finance has the well-grounded potential to contribute to the development of forestry, agricultural and bioenergy activities in ASEAN countries. Currently, eligible land-use under the Clean Development Mechanism (CDM) is limited to afforestation and reforestation activities, operating within a very restrictive set of rules. Reduced emissions from deforestation, peatland or watershed mitigation activities, and improved agriculture and land-use cannot yield carbon credits and are not eligible for carbon finance.

¹¹ For REDD: David Huberman, 2007, REDD and Poverty: The social implications of reducing emissions from deforestation in developing countries, On behalf of the Poverty and Environment Partnership (PEP), IUCN – The World Conservation Union.

¹² Karan Capoor, Philippe Ambrosi (2008), The World Bank State and Trends of the Carbon Market 2008 Washington, D. C. May 2008

Emissions removal and reduction from agriculture or forestry are not sufficiently encouraged under the UNFCCC, and the Kyoto Protocol fails to support them by creating the desired incentive framework. This means that the carbon market has been largely left out of the land-use and forestry sectors, districts which are plagued by their limited scope, complex rules, and unjust trade barriers that quash most demand. In defining the rules of the game, the interests of forest nations have been poorly considered, and a bias towards addressing a buyer's short-term compliance needs rather than creating sustainable finance for sound forest policies has helped little in offsetting the damage created by this discriminating set of rules. As a result, while the market for carbon credits has boomed for the industrial sectors, it is barely reaching the land-use sectors of forestry and agriculture, and the potential for it to support projects that benefit forest nations remains unrealized.

4. International Climate Negotiations

In 2005 the international community launched negotiations for an international climate change regime under the umbrella of the UN Framework Convention on Climate Change (UNFCCC). These negotiations have the goal of creating a post-2012 legal framework under which countries shall agree to reduce their greenhouse gas emissions. Industrialized countries (listed in Annex I of the UNFCCC) have expressed a strong desire to involve developing countries (referred to as Non-Annex I countries) in a comprehensive system of emissions reduction commitments.

Spearheaded by a proposal which was put forward by Papua New Guinea and Costa Rica at the occasion of the 12th session of the parties to the UNFCCC, developing countries have signaled their willingness to consider greenhouse gas limitations in the area of deforestation, provided that the emerging legal framework creates sufficient incentives for such emission reductions. The creation of incentives would provide for the availability of financing and financial transfers from Annex I to Non-Annex I countries.

Since 2005, negotiators have assigned a high priority to forestry and land-use related emissions in the negotiations for a post-Kyoto international framework. Negotiations on reducing emissions from deforestation and land degradation (REDD) have taken priority status over other agenda items. This development has been underscored by a decision made at the Conference of the Parties of the United Nations Framework Convention on Climate Change (UNFCCC), on the occasion of its 13th session held in Bali in December 2007. This decision confirmed the intent of the Parties to address the issue of deforestation in a post-2012 framework and encouraged the implementation of demonstration (pilot) activities.¹³

UNFCCC

The UN Framework Convention on Climate Change track was initiated under the Bali Action Plan in CoP 1314 and is being conducted through a subsidiary body to the UNFCCC, entitled the "Ad Hoc Working Group on Long-term Cooperative Action under the Convention" (AWG-LCA). The AWG-LCA is mandated to address five main themes;

¹³ FCCC/SBSTA/2007/L.23/Add.1/Rev.1

¹⁴ See Decision 1/CP.13 paragraph 1. The CoP is the official "Conference of the Parties" to the UNFCCC.

- (1) Long-term cooperative action, including a long-term global goal for emissions reduction
- (2) Enhanced national/international action on mitigation of climate change
- (3) Enhanced action on adaptation
- (4) Enhanced action on technology development and transfer to support action on mitigation and adaptation
- (5) Enhanced action on the provision of financial resources and investment to support action on mitigation and adaptation and technology cooperation

Reducing emissions from deforestation and land degradation (REDD) has been a topic of discussion under the UNFCCC since well before AWG-LCA was initiated, and is now one of the topics of discussion under (2) above. Agriculture could also potentially be added to the agenda at some point in the future.

Kyoto Protocol

The Kyoto Protocol track to discuss future commitments started under 200515 (Article 3, Paragraph 9), when the Kyoto Protocol meetings (CMP)¹⁶ established the “Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol” (AWG-KP). The AWG-KP reports to each CMP on the status of its work and its aim is to complete the balance of work and have its results adopted by the Meeting of the Parties at the earliest possible time in order to ensure that there is no gap between the first and second commitment period of the Kyoto Protocol.

The AWG-KP track includes a review of the Kyoto Protocol’s Clean Development Mechanism (CDM). The review of the CDM and emissions trading contains many issues which are directly relevant to ASEAN countries. During the latest session of the AWG-KP in Bonn, Germany,¹⁷ the following particularly relevant issues were discussed:

Expansion of eligible project categories to include:

- Reducing emissions from deforestation and degradation;
- Restoration of wetlands
- Sustainable forest management and other sustainable land management activities
- Introduction of a cap on the number of credits that can be used for compliance by developed countries from these new project categories
- Introduce multiplication factors to increase or decrease the certified emissions reductions issued for specific project activity types
- Change the limit on the retirement of temporary certified emissions reductions and long-term certified emission reductions

¹⁵ Article 3 paragraph 9 of Kyoto states this is to start at least 7 years before the end of the first commitment period.

¹⁶ CMP stands for “Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol”

¹⁷ FCCC/KP/AWG/2009/L.2; <http://unfccc.int/resource/docs/2009/awg7/eng/l02.pdf>

- Introduce alternative accounting rules for afforestation and deforestation project activities in order to increase demand
- Eliminate restrictions on the trading and use of certain Kyoto unit types under national and regional emissions trading schemes

As it is not yet clear what outcomes can be expected under either of these tracks, or indeed how they will relate to each other, ASEAN countries are strongly advised to engage actively in both the UNFCCC and Kyoto Protocol tracks.

5. Negotiation Strategy

The land-use sector of each ASEAN country is exposed to a unique history, varied natural resources, peculiar development patterns, and special economic circumstances. Ownership structure, agricultural produce, and the state of the forest can be very different from one country to another. The development of national negotiation positions will need to take all of these national circumstances into account. Despite these differences, the situation of ASEAN countries is similar in the following points:

- All ASEAN countries are Non-Annex I countries
- With the exception of Singapore, the forestry sector
 - is essential to the national economies of ASEAN countries
 - is sustaining the livelihood of a significant portion of the population
- ASEAN countries are rich in biodiversity, natural and cultural heritage
- ASEAN countries are not among the group of priority countries that are under pressure from Annex I countries to assume greenhouse gas targets in industrial and energy sectors.

ASEAN matters, especially when it comes to negotiating the future of tropical forests under the UN Framework Conference on Climate Change (UNFCCC). Member countries would greatly benefit from a coordinated position that would make ASEAN's position in international negotiations even stronger.

The ASEAN Secretariat is fully prepared to host meetings and organize the communication among countries. The ASEAN Secretariat has demonstrated that it can, and must, play a constructive role in the facilitation and coordination of dialogue and agreement among ASEAN countries.



Alignment to ASEAN Community Blueprints, Initiative for ASEAN Integration and Harmonization of ASEAN Partner Support

Susan M. Braatz

1. Introduction

This paper examines the alignment of climate change mitigation and adaptation strategies with ASEAN's economic integration, social and environmental goals. It highlights the importance of adopting people-centred and integrated approaches to land use and resource management, in the agriculture, forestry and fisheries sectors, for effective climate change responses. Finally the paper suggests some strategic directions to promote integrated approaches and to encourage harmonized partner support for developing and implementing these.

2. Climate change links to the Initiative for ASEAN Integration and elements of the ASEAN Community Blueprints

The Initiative for ASEAN Integration (IAI) focuses on collective efforts to narrow the development gaps within ASEAN, expedite greater regional economic integration, promote equitable economic development and help alleviate poverty in the less developed members. Climate change is likely to pose challenges to achievement of at least the second and third goals. On the other hand, efforts to realize these three goals have considerable potential to contribute to climate change mitigation and adaptation.

Adopting an integrated approach to climate change responses in the three land use sectors will help to realize potential synergies and avoid negative trade-offs between agriculture, fisheries and forestry as well as with other sectors (e.g. energy, transportation). It will also help ensure that ASEAN's goals of poverty alleviation, justice and environmental security are not compromised.

The ASEAN Socio-cultural Community (ASCC 2009-2012) and ASEAN Political-Security Community (APSC) Blueprints provide a number of strategic directions that are directly applicable to integrated climate change mitigation and adaptation.

The overriding goal of the ASCC to contribute to an ASEAN community that is people centred, socially responsible and environmentally friendly.

The APSC's goal is promote political development in adherence to the principles of democracy, the role of law and good governance, as well as to promote and support gender-

mainstreaming, tolerance, respect for diversity, equality and mutual understanding within ASEAN.

3. Approaches for climate change responses that are consistent with ASEAN goals and blueprints

The Fourth Assessment Report (AR4) of the Intergovernmental Panel on Climate Change (2007) outlines scenarios for climate change under various development scenarios. Among the major risks in Southeast Asia include increased flooding from the sea (due to sea level rise) and from rivers in the Mekong Delta, increased cyclone and storm damage, increased species extinctions, increased risk of forest fire, and although crop yields could increase, risk of hunger remains high due to other factors.

The following five broad strategic approaches to integrated climate change responses, which are consistent with ASEAN's IAI, APSC and ASCC are proposed.

Targeting the most vulnerable sectors of the society

Climate change is expected to negatively impact the most vulnerable sectors of society disproportionately. This is because they are highly dependent on natural resource sectors, have limited alternative livelihood options, and have little economic resilience. The poor living in areas of Southeast Asia that are expected to be most severely affected by climate change (ie coastal zones, large deltas, and mountainous areas) are most at risk. If they do not have access to food and food safety and secure livelihoods, no adaptation or mitigation strategy will be successful over the short or long term.

Targeting the poor and other vulnerable segments of the population will often lead to integrated responses, as their livelihood strategies often involve various production activities seasonally differentiated.

Targeting people rather than sectors, is consistent with ASEAN's people centred approach. It also coincides with ASCC's focus on social welfare and protection, in particular poverty alleviation (B1), enhancing food security and safety (B3), and building disaster-resilient nations and safer communities (B7). Furthermore, it is consistent with the Millennium Development Goal 1: eradicating poverty and hunger.

Understanding both how agricultural, fishery and forestry production systems will be affected, and how policies and actions in these sectors may reduce peoples' vulnerabilities and increase their resilience is critical. Measures to reduce vulnerabilities include maintaining healthy coastal ecosystems (mangroves, coral reefs) to protect against cyclones and coastal storms; integrated watershed management for protection against local flooding and for provision of reliable water supplies downstream, agroforestry and income diversification for farmers, integrated mountain development to address development and environment needs.

Unless the needs of the poor and most vulnerable are addressed, both adaptation and mitigation options are almost certain to fail. Cropland, grazing lands and forests will continue to be degraded, resulting in a downward spiral of decreased ability of local populations to

adapt to climate change and decreased capacity of these ecosystems to contribute to climate change mitigation through reduced emissions and as carbon sinks.

Ensuring social justice and rights, including safeguarding the rights and welfare of disadvantaged, vulnerable and marginalized groups

Ensuring justice and safeguarding the rights of the vulnerable groups, consistent with the goals of the APSC, will be essential to ensure that mitigation and adaptation measures do not put these people further at risk. The issue of forest ownership and access rights of indigenous people and local communities has received much attention during deliberations on “REDD” – a proposed economic incentive instrument in the post-2012 arrangements under the UN Framework Convention on Climate Change (UNFCCC) aimed at reducing emissions from deforestation and forest degradation.

Dislocations of populations from coastal areas affected by sea level rise, from areas affected by flooding, drought or forest fires, are likely to cause conflicts over land use rights. Long standing traditional rights of people to grazing lands, forests and other lands may be ignored. Although rights of indigenous peoples have recently been inscribed in the UN Declaration on the Rights of Indigenous Peoples, traditional rights of poor communities to forests and grazing lands are less protected.

In addition, the issue of “Who owns the carbon?” if a REDD instrument is established and/or agricultural carbon sink projects in non-Annex 1 countries become eligible for carbon markets or other financial incentives. Equity in who bears the cost and who benefits could become critical issues.

Increasing responsiveness and effective governance for effective adaptation

Although IPCC has provided scenarios for different development patterns at regional and biome levels, there is great uncertainty about the changes that will occur at national, sub-national and particularly local level. The effectiveness of national administrations, local government and local communities to cope with climate induced changes is largely a function of their ability to respond rapidly and effectively. This is a capacity and institutional issue, rather than a technical one. Development of new knowledge bases, skills, decision-making mechanisms; means for effective cross-sectoral analysis, coordination and cooperation; capacity for conflict management; recognition of traditional coping mechanisms; and responsibility for decision making on resource use targeted at the appropriate level will all contribute to increased capacity for effective responses. Strengthened capacities for integrated planning and management – ability to make cross-sectoral analyses and institutional processes and mechanisms that support effective intersectoral planning and coordination will be essential. Strengthening these governance capacities is consistent with the APSC goals.

Adopting a landscape approach to mitigation and adaptation

Planning, programming and monitoring intervention at landscape level will encourage integrated and cross-sectoral approaches. This should improve the effectiveness of mitigation and adaptation measures, and minimize collateral damage to one sector from action taken in another. Developing integrated climate change responses through integrated

planning and management for coastal areas, river basins, critical watersheds, and mountain development will enhance effectiveness of mitigation and adaptation and help to avoid negative trade-offs. Drivers of land use change, including conversion of forest lands for agricultural expansion, the effect of urbanization on agriculture and forest lands, the effect of trade and macroeconomic policies on demographic trends and land use, the effect of bioenergy policies on use of agricultural and forest land need to be considered and the benefits and trade-offs considered.

Ensuring environmental sustainability: implementing best practices

Section D of ASCC focuses on ensuring environmental sustainability, including sustainable use of coastal and marine environment, conservation and sustainable use of biodiversity, sustainability and equitable accessibility of water resources of sufficient quality and quality, cooperation in implementation of climate change mitigation and adaptation measures; and sustainable forest management.

Ensuring environmental sustainability, by implementing best practices, can go a long way to reduce vulnerabilities and increase resilience of agricultural, forestry and fisheries based livelihood systems. Implementing existing voluntary codes of conduct (ie fisheries, forest harvesting), criteria and indicators of sustainable forest management, guidelines for integrated coastal area management, integrated land use planning and management, conservation agriculture, integrated watershed and mountain development, etc. would make a major contribution to climate change adaptation and would increase the likelihood that mitigation measures would be sustained over time.

ASCC also calls for strengthening regional cooperation to address measures related to the Multilateral Environmental Agreements, including UNFCCC, the Convention on Biological Diversity (CBD) and the UN Convention to Combat Desertification (UNCCD). Ensuring that climate change mitigation and adaptation measures are compatible with the commitments countries have made under CBD, UNCCD, as well as the Ramsar Convention, the World Heritage Convention and other environmental agreements, including the United Nations Forum on Forests, is important. Ensuring harmonized action that is also aligned with the Millennium Development Goals and national sustainable development strategies is essential.

4. Encouraging harmonized support by Partners

Two aspects are to be considered here:

- 1) Fostering coordinated and harmonized assistance by partners to enhance ASEAN members' capacity for effective climate change responses
- 2) Encouraging partner support for integrated land use approaches to climate change

Recently, some development partners have been actively promoting coordinated technical and financial support to recipient countries. The Spain-UNDP Millennium Development Goal Fund is an example. The MDG fund supports the implementation of efforts toward the achievement of the MDGs, including climate change adaptation and mitigation efforts, in several countries under a "One-UN" approach. Each country programme is developed and

implemented with coordinated support of UN specialized agencies and programmes, in line with their mandates and areas of expertise.

This “UN acting as one” philosophy is also behind the UN-REDD Collaborative Programme launched in mid-2007 by FAO, UNDP and UNEP. The three agencies are working together to provide coordinated support to nine countries (including Indonesia and Vietnam) for capacity building in preparation for a possible REDD instrument in the post-2012 arrangements under UNFCCC. Major effort has been made to ensure close coordination and cooperation between UN-REDD and the World Bank’s Forest Carbon Partnership Facility, both at policy and field level. The aim is to achieve consistent and coordinated support to the countries engaged in REDD preparation.

Having very specific objectives and clear target dates have certainly helped to focus and promote a coordinated response in these two cases cited above. The same benefit could result from the development of the ASEAN Strategy on Climate Change.

Encouraging partner support for promoting integrated land use approaches for climate change mitigation and adaptation is equally important but perhaps less easy to achieve. Nonetheless, some donors are strongly promoting intersectoral coordination and joint action. For example, some donors are supporting cross-sectoral programmes agriculture, forestry and fisheries implemented by FAO. The Mangroves for the Future Initiative, a multi-donor supported effort led by the World Conservation Union (IUCN) with other partners to promote integrated coastal zone management in the wake of the Indian Ocean tsunami in 2004.

The key to leveraging partner support for integrated climate change responses for agricultural, forestry and fisheries livelihoods and environmental services will probably lie in the development of integrated approaches as country level. This would include analyses of drivers of land use change, of synergies and trade-offs between sectors, and of how poverty alleviation and other overarching economic, development and social goals of the countries can be achieved by implementing integrated land use management. Clear national strategies and cross-sectoral coordination mechanisms would facilitate coordinated and cross-sector partner support.

5. Conclusions

There a number of actions that ASEAN can take to foster effective climate change mitigation and adaptation responses in the member states and to encourage partner support in this.

A few key ones linked with the actions indicated above, include:

- Carry out regional ASEAN assessments of the sectors of the population most vulnerable to climate change; the ecosystems and ecosystem services most at risk; adaptation and mitigation options available in the agriculture, forestry and fisheries sectors and the links between them; and how other drivers of change relate climate change impacts

- Further clarify the links between ASEAN's IAI, Blueprints and other policy documents and climate change in general, and in addressing agriculture, forestry and fisheries issues in particular
- Develop guidelines on ensuring social justice and protection of rights, particularly of the disadvantaged, vulnerable and marginalized groups, for countries undertaking climate change mitigation and adaptation programmes
- Develop indicators (social, economic, environmental and institutional) for climate change mitigation and adaptation in the ASEAN region, including indicators related to food security, agriculture, forestry and fisheries
- Encourage the further integration of forestry, agriculture and fisheries into national climate change strategies and encourage institutional mechanisms to facilitate intersectoral coordination
- Encourage the mainstreaming of climate change into sectoral strategies, for example national forest programmes, agricultural master plans, fisheries strategies, and ensure compatibility across sectors
- Promote the implementation of sustainable practices in agriculture, forestry and fisheries as a critical step for climate change adaptation, and in line with international commitments under UNFCCC, CBD, UNCCD, UNFF and other relevant conventions and agreements
- Support for information dissemination and sharing of experience among the members in the application of integrated land use and landscape approaches to climate change responses.



A Cross-Sectoral Program Approach in ASEAN: The Case of a Potential Regional Climate Change Program (ReCCP)

Dr. Andreas Obser

1. Introduction

In the program approach ASEAN partners support regional programs and work to strengthen ASEAN systems, such as the official meetings of AMAF or ASOF, but also the ASEAN Secretariat and its administration. The paper challenges the participants to apply a 'helicopter view' to the three ASEAN initiatives presented in the AHLS

2. A potential Regional Climate Change Program – i.e., ReCCP

The pronunciation of ReCCP [ri'sisipi] ought not to be confused with a recipe ['resipi] for a tested and ready for easy use cooking direction for an effective regional, cross-sectoral program approach.

a) *ReCCP regional public policy*

The notion of a 'policy' in the ReCCP may be understood as a notion of reform planning through the application of rational methods to problem solving which 'plan away' major conflicts, special interests and power issues for example among ASEAN Member States or between Ministries of Trade, Ministries of Agriculture and Forestry and Ministries of Environment.

To look beyond the 'technical comfort zone' and take account of the political realm as part of a more holistic and systemic view of the ReCCP is challenging. Many constraints are inter-related and only a look at the bigger picture can address some of the blockages or leakages in the system as a whole.

b) *ReCCP institutions and capacity development*

Capacity development is crucially important in the ReCCP; the whole idea to move from projects (initiative 1 and 2) is to strengthen ASEAN systems and capacities.

If the ReCCP is about strengthening the regional systems and national actors, then this implies adopting a long-term horizon for steady but possibly slow processes (not 1-3 years

agenda) in which the ASEAN climate change system (institutions/actors) grow stronger both through internal effort as well as external support.

c) *ReCCP accountability and monitoring*

ReCCP should avoid a supply-driven approach to strengthen its accountability in which e.g.,: ASEAN climate change policies are funded (primarily by partners); money is pumped through an ASEAN Trust Fund to strengthen its public finance management engine; and monitoring and scorecards¹ assure that the plan is constantly improved. Whether accountability vis-à-vis the people of ASEAN has been improved is highly questionable.

In contemporary practice regional programs have focused strongly on fiscal accountability (public financial management) and on the verification of ASEAN sector or regional integration outcomes – i.e. AEC indicators², but neither the focus on PFM or on AEC indicators strengthens downward, domestic accountability structures in the Member States. ASEAN integration is accepted on progress perceived by ASEAN citizens and stakeholders, not on progress as documented on indicators.³

d) *ReCCP harmonization, alignment and support modalities*

ASEAN dialogue and development partners are building up momentum towards commitments to align behind a single ASEAN strategy, make joint appraisal and monitoring missions and buy into common performance assessment frameworks.⁴

In view of the rapidly increasing popularity and competition of partners to provide project support to ASEAN⁵, ASEC's focus on partner coordination is logical. There is a risk – in particular in a ReCCP - that the efforts to coordinate partners may crowd out the efforts of cross-sectoral coordination among relevant Ministries and ASEAN fora. In a broader ReCCP perspective cross-sectoral coordination comes first, and partner-coordination is a sub-set of this wider issue.

Alignment or cross-sectoral and partner coordination is time-consuming. Contrary to expectations, the transaction costs will not decrease in the short run. If coordination results in improved climate change performance, then the effort may be worth the cost. Anyhow, from ReFOP experience there seems to be considerable scope for making (multi-)partner coordination more efficient and result oriented.

A ReCCP should not be about disbursement modalities, but an inclusive approach that all partners can follow. Where partners have expressed an interest in supporting a regional climate change strategy, a ReCCP offers ASEAN a tool to coordinate such support in whatever modality provided (trust fund support, pooled funding or single-partner procedures). Which modality to use should be a decision that needs to be made on the basis of 'best fit assessment' made jointly between ASEAN and partners.

¹ ASEAN (2008, August 5)

² as well as in BMZ/GTZ's emphasis of development outcomes, i.e. MDG indicators

³ compare GTZ e-Val2, or Bouckaert et al.'s studies on "performance governance"

⁴ most notably AusAID (see AADCP II)

⁵ as well as in BMZ/GTZ's aid effectiveness perspective of the Paris Declaration and AAA

3. Summary

Attempts to translate an ASEAN climate change policy into a single program will likely lead to institutional logjam. A more pragmatic way forward may be a set of complementary sub-programs whereby each is coherent enough to generate momentum but sufficiently autonomous to be implemented independently.

A risk of a program approach is that the ReCCP becomes another planner's dream, marked by a quest for coherent and consulted policies, actionable plans, robust and reliable financial management systems, evidence streaming out of smart monitoring & evaluation systems, and ASEAN partners aligning happily behind the wagon. Such a scenario is setting the signpost so far as to never reach actual ReCCP implementation.

The opposite risk is to assume that chaos is all-pervasive and continuous and that all can be done is keeping it basic and simple by way of an unprincipled, unguided muddling-through

Between these two extremes is a promising middle ground for the ReCCP, which recognizes the complexity and accepts the mess. It is demanding and difficult, but also shows most potential. Such a ReCCP might entail:

- a. Recognizing the fundamental political nature of cross-sectoral implementation processes and understanding drivers and constraints to change;
- b. Adding a consistent ASEAN stakeholder perspective on the ReCCP, asking not only what is in it, but also who are in it and who does what;
- c. Strengthening managerial inputs in the process – stronger management from the top from ASEAN authorities (*up-scaling*), better management from below from ASEAN partners (*road holding*);
- d. Focusing on results in a basic, common sense, practical way in all processes and encounters related to the ReCCP.

Such a strategic incrementalism is a tall order. It resembles in several respects the “ASEAN Way”. This way of seeing the ReCCP is based and contributes to trust, which is the basic ingredient in making the complex mix of interdependent actors work fruitfully together. Trust in the ReCCP is build slowly by many factors. A rather modest, realistic and patient approach to the ReCCP will add to the trust that eventually will lead to reasonable results.

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Chapter 2

Regional Management Approaches



Managing Crosscutting Issues and Interministerial Coordination

Dr. Wulf Killmann

1. Introduction

Climate change is already affecting people and their environment. These impacts will increase with the global changes in temperature, precipitation and sea level predicted by the IPCC 4th Assessment Report for this century. In the following, we will cast a light on the role of agriculture and forestry in climate change, and argue for the need of integrated approaches in the way forward.

2. Agriculture and forestry in climate change

2.1 Contribution to climate change

It is meanwhile common understanding that the increase of greenhouse gas (GHG) emissions during the past 150 years played a major role in triggering climate change. Of particular relevance are the greenhouse gases carbon dioxide, methane, and nitrous oxide. 13,5 % of all GHG emissions stem from livestock and crop production. Amongst it agriculture contributes 50 % of all methane emissions, mainly from ruminant digestion and from rice fields. Agriculture even causes about 70% of all emissions of nitrous oxide, mainly from the production of fertilizers, pesticides and insecticides, and from animal manure. Thus agriculture is not only a victim of climate change, it also contributes to it. "Forestry" contributes another 17,4 percent to global GHG emissions, or about 1.6 Gigatonnes of carbon annually. This emission contribution roughly equals that of the transport sector. Most of it results from the deforestation and from forest degradation.

Around 13¹ million hectares of forests are annually lost due to deforestation, mainly in Central and South America, Africa and South East Asia. In North and East Asia, North America and Europe, instead, the net balance of forests is increasing. In Asia this happens mainly due to the establishment of new forest plantations, in Europe and North America due to forest plantations and natural regeneration on areas less valuable for agricultural production.

Forest degradation is in first place the result of unsustainable management of forests. About 80 % of the deforestation, however, is caused By a change of land-use from forestry to other uses, in most cases to grow crops or pasture for the raising of livestock. The causes of land-

¹ Forest Resources Assessment 2005, FAO 2006

use change differ between regions. While the main cause in Latin America is the conversion of forests to large scale permanent agriculture (crop production and livestock), in Africa it is the conversion of forests to small scale permanent agriculture. For South East Asia, the main cause is a mix of both large and small scale agriculture. Other causes are deforestation due to shifting cultivation, fuel wood production, and the conversion of forested areas for mining or infrastructure development.

The increasing demand for energy, and in particular for liquid biofuels, may also lead to an increase of forest loss due to the conversion of forested areas to energy crops such as oil palms- which are also counted under agricultural crops.

Considering the role of crop- and livestock production in deforestation, it can be assumed that over 30 % of the global greenhouse gas emissions result from the agricultural sector,

2.2. Impacts of climate change

The predicted changes in precipitation, temperature and sea level will lead to a loss of arable land due to droughts and/or inundations, and to a shift of species pole wards as well as over elevations. Data from the annual Christmas bird count- a three week census of American bird population- show over the past 40 years a northward movement of American bird populations. According to the Audubon Society, the wild turkey has moved about 640 km, the seabird marbled murrelet 580 km northwards. It also means that entire habitats will move. Obviously these changes will also affect agricultural crops and the suitability of site conditions for their production.

Different geographic regions will be affected in different ways. While agricultural productivity in temperate and boreal regions may in general improve due to a warmer and more humid climate, agricultural productivity in the tropical belt may in general diminish.

The increase of intensity and frequency of extreme weather events such as storms, droughts, and inundations may further affect the resilience of ecosystems, e.g. through an increase of windbreaks, or vegetation fires.

Climate change will also affect the spread of pests and diseases, affecting plants, animals and humans. Disease vectors will move with the changing climate, and more favourable weather conditions will favour the spread of diseases. In Canada, e.g., about 13 million hectares of forests are already destroyed due to an outbreak of the mountain pine beetle. It is assumed that this was mainly caused by warmer winters and more humid summers, which favoured the reproduction of the insect.

2.3. Mitigating climate change

Agriculture and forestry form also part of the solution to climate change. With changing feeding patterns for ruminants and different agricultural production techniques, such as better grassland management, different cropmanagement and soilpreparation techniques, e.g. conservation agriculture, greenhouse emissions from agriculture can be reduced. More

sustainable forest management can reduce emissions from forest degradation, and reduced deforestation can positively contribute to the carbon emission balance. Carbon from the atmosphere can be captured through afforestation or reforestation, and more use of sustainably produced wood for products or fuel can substitute more carbon intensive products such as fossil fuels, plastic, aluminum or cement and thus help reduce emissions from their production and use.

3. Climate change and Food Security

Climate change will affect food security in all its four dimensions, i.e. food availability, accessibility, stability and utilization. It will worsen the living conditions of farmers, fisherfolk and forest-dependent people who are already vulnerable and food insecure. Hunger and malnutrition will increase. Rural communities dependent on agriculture in a fragile environment will face an immediate risk of increased crop failure and loss of livestock. Seriously at risk is the livelihood of people living along coasts, in floodplains, on mountains, drylands, and the arctic. In particular poor people will be at risk of food insecurity due to loss of assets and lack of adequate insurance coverage. Coastal communities may be displaced by rising sea levels and will be forced to find new places to live and new ways to earn a living.

4. The Challenge

Presently, about six to seven billion people live on earth, about one billion of which suffer hunger and malnutrition. Until 2050, the global population is estimated to increase to nine billion. This growth is predicted to occur mainly in Latin America, Africa and Asia, in particular in urban centres.

The additional people will need much more food and will pose a challenge to the global community which is even now unable to feed all people on earth.

The distribution of food will have to considerably be improved, across regions and national borders. People may have to change their food habits, which may have an effect on people's culture. More food will have to be produced through intensification on existing land or through expanding agriculture into land as yet not used for this purpose.. According to the various climate change scenarios discussed in the 4th Assessment Report of the Intergovernmental Panel on Climate Change, in particular tropical regions are predicted to suffer productivity losses of agricultural land. As a result, there is a threat that more forests may be converted to growing food crops. A new challenge may arise: a competition for land between food, fodder, fuel, and wood and fibre.

And finally, the increase of population and the need for food, connected with the impacts of climate change can lead to increased internal and transboundary migration, to civil unrest within countries, and to conflicts for land and resources between countries. History holds ample examples for such developments.

5. Integrated approaches needed

In particular the agriculture and forestry sectors offer the opportunity for climate change mitigation and adaptation to go hand-in hand. The sectors offer themselves better than others for such integrated approaches. Globally, about 850 million hectares of land are degraded. We will have to make concerted efforts to bring at least part of this land back into production, be it for food or for forestry.

We have to stop thinking and acting in sectorial boxes, or “missile silos”, shielded against each other by impenetrable and well defended walls. From the above said it becomes obvious, e.g., that the issue of deforestation can not be dealt with by the forest sector alone. Unless the agricultural, energy, infrastructure and mining sectors will be included in any REDD² schemes, policies and planning, to reduce deforestation, such policies and measures are bound to fail.

At the national levels, the climate change debate is usually led by the Ministries of Environment or their homologues- they often represent countries in the climate change negotiations. However, from the above –said it appears clear that climate change is not any longer only the domain of the environmentalists or the environmental sector. Together and interlinked with other developments such as globalization, the global financial and economic crisis, the population increase and the need for food, climate change will affect all people and sectors, and entire nations.

Governments are therefore called upon to form sectorially mixed commissions to develop integrated concepts and policies, which address the challenges mentioned in an integrated approach. There will be a need to look for trade-offs between sectorial interests.

The challenges we will face do not stop at national borders. We will need a much more open and efficient regional and international cooperation. This is where regional instruments such as ASEAN must play a stronger role.

² Reducing Emissions from Deforestation and Forest Degradation in Developing Countries



Managing Regional Expert Pools through Regional Knowledge Networks in ASEAN

Thang Hooi Chiew

1. Introduction

Sustainable management of forests is still a topical issue today, not just with resource managers but with people from all walks of life. This is not surprising as forests are among nature's most bountiful and versatile renewable assets, capable of simultaneously providing a variety of economic, social and cultural benefits, as well as environmental services.

The multiple roles forests play are far reaching and have been recognized and appreciated by society at large. This is truer today than ever before as sustainably managed forests have been identified as being essential to achieve sustainable development. In addition, viably managed forests provide a means to eradicate poverty, reduce the amount of deforestation and loss of biological diversity, arrest land and resource degradation, enhance food security, and increase access to safe drinking water and affordable energy. At the international level, the public goods and services provided by these forests are also increasingly being recognized in terms of climate change mitigation, biological diversity conservation and watershed management.

Forests in ASEAN Member States (AMS) cover an estimated 203.4 million hectares, or 46.8 percent of the total countries' land area as of 2005, and are of key importance to the economic, ecological and social development of the region. Millions of people in ASEAN depend primarily on forests for their livelihood as they provide food, shelter, income and employment. The region is also endowed with biological diverse hotspots of global importance. Three of the world's 17 mega-diverse countries are located in ASEAN, namely, Indonesia, Malaysia and the Philippines.

Unfortunately, the forest ecosystems in ASEAN are under increasing pressure due to a growing population and the rapid conversion of forest land for agricultural development. This is exacerbated by the excessive use of forest resources due to the over-capacities and inefficiency of the forest industries, inadequate forest law enforcement and governance, and the high incidence of poverty.

The AMS are at different levels of socio-economic development and endowment in forest resources. Their endeavors to adopt and implement advances in sustainable forest management, which will contribute to the sustained provision of forest goods and services,

especially in conserving forest biological diversity, mitigating climate change, and enhancing water resources, differ as well. It is pertinent for AMS to pool their collective resources and expertise in order to better address the current stress that is being placed on their forests as a result of rapid economic globalization and technological innovations, In the face of this increasing global demand as well as the consumption of the very goods and environmental services which these forests provide, this need becomes increasingly imperative.

In this regard, out of a formal strategy to enhance regional communication and knowledge management, a decision was made at the Eleventh Meeting of the ASEAN Senior Officials on Forestry (ASOF), held in Malaysia from 31 July -1 August 2008, to promote the use of regional knowledge networks to broaden the ASEAN knowledge base in forestry, and to advance dialogues on emerging forest policy issues, concentrating on such matters as forest law enforcement and governance (FLEG) and the deliberation involved in reducing emissions from deforestation and forest degradation (REDD).

2. ASEAN Regional Knowledge Networks

ASEAN Regional Knowledge Network on Forest Law Enforcement and Governance

The ASEAN Regional Knowledge Network on Forest Law Enforcement and Governance (FLEG Network) was established in October 2008 to support a regional pool of experts to facilitate the exchange of good practices of FLEG in AMS, including robust benchmarking and a structured ASOF dialogue. This Network would also promote the mutual understanding and effective implementation of the Work Plan for Strengthening Forest Law Enforcement and Governance (FLEG) in ASEAN, 2008-2015, contribute to ASEAN-wide knowledge gathering and cross-border learning, and enhance better understanding of each other's FLEG approaches.

More specifically, the goals and objectives of the FLEG Network are to:

Goals

- (i) support ASOF and the ASEAN Ministers on Agriculture and Forestry (AMAF) in decision-making and implementation processes by providing specific policy-oriented and focused research and policy analysis;
- (ii) enhance mutual understanding and support effective implementation of the Work Plan for Strengthening Forest Law Enforcement and Governance (FLEG) in ASEAN, 2008-2015;
- (iii) respond to emerging issues on FLEG as identified in the agenda and work programs of ASOF and AMAF;
- (iv) institutionalize the FLEG Network in one of the organizations in ASEAN in order to better support and work with the ASEAN Secretariat on FLEG implementation; and
- (v) provide effective networking and partnering with other institutions, agencies, instruments and processes working on FLEG issues at both the regional and global levels.

Objectives

- (i) support the implementation of the strategies and activities identified in the Work Plan for Strengthening Forest Law Enforcement and Governance (FLEG) in ASEAN, 2008-2015;
- (ii) address any emerging issues on FLEG arising from the work programs of ASOF and AMAF, and from regional and international FLEG processes that are relevant to AMS;
- (iii) create and support a regional pool of expertise/experts in ASEAN to undertake policy analysis and research on FLEG issues from the perspective of AMS;
- (iv) support AMS to better understand and learn from each other's approaches in FLEG implementation and good practices;
- (v) undertake robust benchmarking to determine and promote good FLEG practices;
- (vi) provide a platform for non-official ASEAN stakeholders and the research community to contribute and enhance FLEG processes in the ASEAN region; and
- (vii) enhance policy implementation capacity by mobilizing resources and building partnerships to further strengthen FLEG implementation in AMS.

The composition of the members of the FLEG Network embodies a fine balance between those nominated officially by the Leaders of ASOF who are involved in FLEG implementation in their respective countries, and those who are invited to join as members of the Network because of their expertise in FLEG, factoring in the need for geographical representation among the Member States.

All members of the Network must be a national of one of the AMS. They will act in their personal capacity in promoting the goals and achieving the objectives of the Network, while taking into account the perspective of their institutional affiliation. These experts are expected to demonstrate excellent analytical skills and knowledge for assessing the impacts and implications of FLEG implementation in the region.

Currently, the seven members of the FLEG Network nominated by ASOF are from Cambodia, Indonesia, Lao PDR, Malaysia, the Philippines, Thailand and Vietnam. They are mainly involved in forest resource management and protection, forest legislation and litigation, forest crimes monitoring and investigation, and forest law enforcement. The other six members who were invited to join the Network are currently working with organizations from the civil society, universities and the private sector, namely, TRAFFIC International, the Regional Community Forestry Training Centre for Asia and the Pacific (RECOFTC) in Bangkok, Thailand, the World Conservation Union (IUCN) in Hanoi, Vietnam, the Institute for Environment and Development (LESTARI), University Kebangsaan Malaysia, the College of Forestry and Natural Resources, University of the Philippines Los Banos, and a forest concessionaire in Indonesia.

The ASEAN Secretariat will play a facilitating role for the Network, providing the interface and managing the communication between ASOF and the Network. In fact, the ASEAN Secretariat will be the institutional hub to ensure ownership by ASOF and AMAF and its

future sustainability. Currently, it is supported by the ASEAN-German Regional Forest Program (ReFOP).

The common references for the Network activities are the ASEAN benchmarks, such as the ASEAN Criteria and Indicators for Sustainable Management of Tropical Forests, 2007; the Monitoring, Assessment and Reporting Format for Sustainable Forest Management in ASEAN, 2007; the Work Plan on Strengthening Forest Law Enforcement and Governance (FLEG) in ASEAN, 2008-2015; and the six elements for legality that were developed by the 'Working Group on a Pan-ASEAN Timber Certification Initiative'. It is envisioned that the Network will produce, among others, policy briefs and policy-oriented papers with policy options on FLEG and FLEG-related matters, such as the synergies between FLEG and the forest and forest-related programs of the Convention on Biological Diversity (CBD) and that with REDD. The Network will also assist with FLEG implementation through national forest programs (nfps), including the mainstreaming of FLEG into relevant policy processes at the national level.

The FLEG Network, being a knowledge-based network, will undertake a comparative assessment of FLEG policies and implementation in AMS as this will permit greater learning among forest policy decision-makers. In addition, this will also further enhance "policy learning" among a wider range of stakeholders in the forest sector within and across countries, including government agencies, non-governmental organizations, the forest industry, forest-dependent communities, and action-oriented researchers. This could be undertaken through a number of approaches such as learning to understand behaviors, learning to avoid policy failures, learning to discover existing policy successes, learning to understand disagreements, learning to identify policy innovations, and learning to promote consensus and problem solving (Cashore and McDermott, 2009). Nevertheless, the Network will not provide an overall, single score measure of FLEG in ASEAN nor try to rank or evaluate AMS on the basis of their overall FLEG implementation.

The FLEG Network will also be working closely with Partners of the Network such as the Food and Agriculture Organization of the United Nations (FAO) Regional Office for Asia and the Pacific in Bangkok, Thailand, the World Bank, the United Nations Office on Drugs and Crime (UNODC) in Jakarta, Indonesia, the International Tropical Timber Organization (ITTO), and the European Forest Institute (EFI) which is implementing the EU Asia FLEGT Support Program with the EC in Asia, especially in regard to strengthening the implementation of FLEG activities in ASEAN. Collaborative activities that will be implemented include the development of a 'Format for Assessing FLEG Implementation in ASEAN Member States,' a 'Handbook on Good Practices on FLEG,' and policy briefs on good forest governance practices and impacts of FLEG on sustainable livelihood. A workshop on current FLEG implementation in AMS and another workshop on customs protocol and timber trade statistical discrepancies will also be held. This will enhance the use of the limited resources and expertise available in the region, as well as avoid any duplication and overlaps of FLEG activities in ASEAN.

The products or outputs of the FLEG Network will be disseminated to the public through the existing ASEAN Regional Forest Clearing House Mechanism (CHM) which is managed by the ASEAN Secretariat. The CHM will be utilized by the Network not only to build synergies through linkages with various websites addressing FLEG and FLEG-related matters, but also

as a communication platform among Network members to both coordinate the sharing of experiences and lessons learned on FLEG implementation, and facilitate the exchange of good practices of FLEG among AMS, including the holding of E-discussion on specific topics on FLEG.

ASEAN Regional Knowledge Network on Forests and Climate Change

The ASEAN Regional Knowledge Network on Forests and Climate Change (Climate Change Network) was also established in October 2008. The rationale for establishing this Network is very similar to that of the FLEG Network. The Climate Change Network is envisaged to broaden the ASEAN knowledge base on forestry and climate change and support ASOF's decision-making process on forests and climate change through policy analysis. The Climate Change Network will assist AMS in accessing research findings and transfer and diffuse environmentally clean technologies pertaining to ecosystem services provided by forests in regard to climate change mitigation and adaptation.

The Climate Change Network will pool together the expertise and knowledge of AMS in addressing forests and climate change. This will work to strengthen ASEAN's role in climate change negotiations, especially during the current negotiations on REDD, expected to be concluded at the Fifteenth Conference of Parties to the United Nations Framework Convention on Climate Change (UNFCCC) and the Fifth Meeting of Parties to the Kyoto Protocol that is scheduled to be held in Copenhagen, Denmark from 30 November to 11 December 2009.

The Network members will aim to improve the use of research and evidence in ASEAN forest and climate change policy and practice through research and debate, as well as enhance the impact of regional research institutions on ASEAN policy-making through effective communication, information sharing and knowledge management.

At its Inaugural Workshop held in Jakarta, Indonesia in October 2008 the Climate Change Network also adopted an ASEAN Collaborative Research Agenda that covers the development of a payment distribution system and the integration of carbon payments into Payment for Environmental Services (PES). Also within the scope of this Agenda are databases to document all good practices and lessons learned from demonstration activities involving REDD, and gap analysis on capacity building needs for technical and policy research, including the strengthening of institutional frameworks in ASEAN (Fawzia, 2008).

The Climate Change Network will become the information clearing house on forests and climate change issues in ASEAN through the CHM, along with the Asia Pacific Association of Forestry Research Institutions (APAFRI) to establish, as a first step, effective databases for the sharing and exchange of information, including information on forest resources. In the long term, the Network will focus on products such as the synthesis of reports and databases for policy-makers, the identification of research topics that address emerging issues on forests and climate change, the development of research projects, and the establishment of a Network research panel.

3. Expected Benefits of the Networks

It is envisioned that the FLEG Network will play a catalytic role in supporting the efforts of ASEAN to better address FLEG implementation in AMS. It is also envisioned that the FLEG Network will provide a coherent approach to achieve the strategies, objectives and activities of the Work Plan for Strengthening Forest Law Enforcement and Governance (FLEG) in ASEAN, 2008-2015, in the overall context of sustainable forest management. The Climate Change Network will provide the avenue to fill the gaps in research expertise in order to strengthen ASEAN's capacity to negotiate in the international fora, especially in the on-going negotiations for a post-Kyoto regime on climate change.

The pool of experts in both the FLEG and Climate Change Networks will be the agents of change and the champions in their respective countries that will further promote the capacity of AMS to address emerging issues and new approaches in enhancing FLEG processes and the inter-linkages between forests and climate change. This group of experts will facilitate in the development of a common understanding on specific issues and synchronize joint actions on regional issues of common concern. They will contribute to the development of policies and strategies from the perspective of AMS and thus enabling ASEAN to more independent of international 'consultants' and external advice.

As both Networks are addressing forest issues that are closely intertwined and complement each other, the strengthening of a common working mechanism among the experts of both the FLEG and Climate Change Networks will further enhance ASEAN ability to address forest and forest-related matters in a more integrated, holistic and balanced manner. A case in point is the production of the policy brief on the synergies between FLEG and REDD where experts from both Networks will be involved.

The experts of both the FLEG and Climate Change Networks will also assist policy and decision-makers to communicate the status of FLEG implementation and forest and forest-related matters on climate change more effectively to the public, focus research efforts where knowledge is still lacking and deficient, and identify those areas which are in special need of international assistance and cooperation.

The learning process provided by the FLEG and Climate Change Networks, especially learning across AMS, will help nurture a more clear and collective understanding and foster ideas that work. The learning process will promote strategic, problem focused interventions; and may very well help to foster greater sustained progress in developing enduring governance institutions across ASEAN.

4. Conclusions

The challenges ahead for the FLEG and Climate Change Networks are to evolve efficient internal governance systems, nurture ownership including commitment and participation of interested stakeholders in ASEAN, secure a predictable means of funding to ensure future sustainability, and produce quality products in a timely fashion that meet the needs of decision-makers.

Notwithstanding this, the work of the FLEG and Climate Change Networks will greatly contribute to the “ASEAN Declaration on Environmental Sustainability” wherein the Leaders of ASEAN in 2007 declared to strengthen law enforcement, promote environmentally sustainable practices, and combat illegal logging and its associated illegal trade, and to achieve a significant reduction in the current rate of loss of biodiversity by 2010, as envisaged at the World Summit on Sustainable Development (WSSD) in 2002 and by the CBD. It will also consider biodiversity in the mitigation of and adaptation to climate change and collectively work towards increasing the cumulative forest cover in ASEAN by at least 10 million hectares by 2020. The ASEAN Economic Community Blueprint, 2007 has, in addition underscored the need to “strengthen efforts to combat illegal logging and its associated trade, forest fire and its resultant effects.”

Furthermore, both Networks will contribute positively to the realization of the "Singapore Declaration on Climate Change, Energy and the Environment" signed by the Leaders of ASEAN plus the other six East Asian Countries, namely, Japan, Korea, China, India, Australia, and New Zealand, on the occasion of the Third East Asia Summit (EAS) held in Singapore on 21 November 2007, which calls for “strengthening forest law enforcement and governance to combat illegal logging and other harmful practices” and to “participate actively in the process of developing an effective, comprehensive, and equitable post-2012 international climate change arrangement under the UNFCCC process.”

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Human Resources Management and Regional Expert Pools in ASEAN: Reflections from GTZ

Dr. Heinz-Michael Hauser and Fika Fawzia

1. Introduction

The Association of Southeast Asian Nations (ASEAN) was established more than 40 years ago, and with the entry into force of the ASEAN Charter in December 2008, ASEAN shall now, hopefully, become a fully rules-based and people-oriented organization. At the heart of ASEAN, and pivotal to its development, is the ASEAN Secretariat (ASEC), whose purpose is to serve as the central administrative organ in order to provide greater efficiency in the coordination of ASEAN functions and to more effectively implement ASEAN projects and activities.

The ASEAN Secretariat facilitates and monitors progress in the implementation of all ASEAN agreements and decisions, while the decision-making process itself lies within the divisional mechanisms of ASEAN itself, such as the ASEAN Sectoral Ministerial Bodies, (e.g., the ASEAN Ministers Meeting on Agriculture and Forestry (AMAF) and ASEAN Senior Officials on Forestry (ASOF).).

In managing policies for a large regional organization such as ASEAN, there is a great urgency for the Secretariat to improve its human capital. In addition to the expertise needed to serve as the primary initiator and nerve center within ASEAN, ASEC needs to have the networking outreach capability necessary to correspond with the wide network of experts from varying governments, policy think-tanks, and research institutions, in order to keep up with cross-cutting and emerging issues that are both regional and international in scope.

In this case study, the German Technical Cooperation (GTZ), an international cooperation agency for sustainable development with 2,700 projects supported by 12,000 staff worldwide, shares its experiences in Human Resources Management (HRM) and brings to light how ASEAN or ASEC can incorporate the lessons learned into its own corporate and region-wide HRM strategy.

The reflections of GTZ's experiences in HRM for ASEAN can be incorporated as the "**tripartite, or threefold HRM strategy**", by (1) **profiling and developing the competences** of people working in and for ASEAN; (2) identifying and classifying the experts in ASEAN by

having **regional expert pools**; and (3) **tapping high potential human resources** for ASEAN for it to become sustainable.

2. Profiling and Developing Competences

The essence of managing human resources is the enhanced ability to attract and retain a cooperative of well-qualified personnel over time who is motivated to perform and implement the strategies of its organization. Walter Wriston, a former chairman of Citicorp (now Citigroup), captured this point quite succinctly with his comment:

“If you have the right person in the right place, you don’t have to do anything else. If you have the wrong person in the job, there’s no management system known to man that can save you.”¹

By finding the right person at the right time and putting him/her in the right place to do the job, one must consider the competence of that person in time. The definition of “competence” may vary somewhat from source to source, but in general it is defined as the combination of knowledge, skills, and behavior utilized in order to perform a specific role or function.

To start profiling the particular competences we need in order to best manage our organization, we must prepare for the future by asking ourselves: **What type of competences do we anticipate a need for over the course of the next 2-4 years?** Through this exercise, we can better forecast the demands of the organization, which will in turn aid us in identifying the organization’s anticipated business developments and needs. For example, GTZ has recently introduced the “Competence Needs Forecast” instrument to systematically estimate its quantitative and qualitative demand for personnel up to the year 2012, based on GTZ’s future business development.

If we know in general the kind and quantity of competences that are needed, we should know next whether these needs could be covered by the existing personnel or available expertise. Another GTZ instrument that can be used to help clarify this question is the GTZ’s Competence Grid (see Figure 1). The competence grid is an information technology (IT) instrument that records all the experience and skills of GTZ staff and registered experts outside of GTZ. This competence grid forms the basis for a company-wide data pool to which the Personnel Recruitment Division can refer during the process of matching the right person to the right job. In combination with the Competence Needs Forecast instrument, the competence grid provides an additional means of orientation for systematic competence development among all staff.

¹ Schuler and Macmillan, 1984.

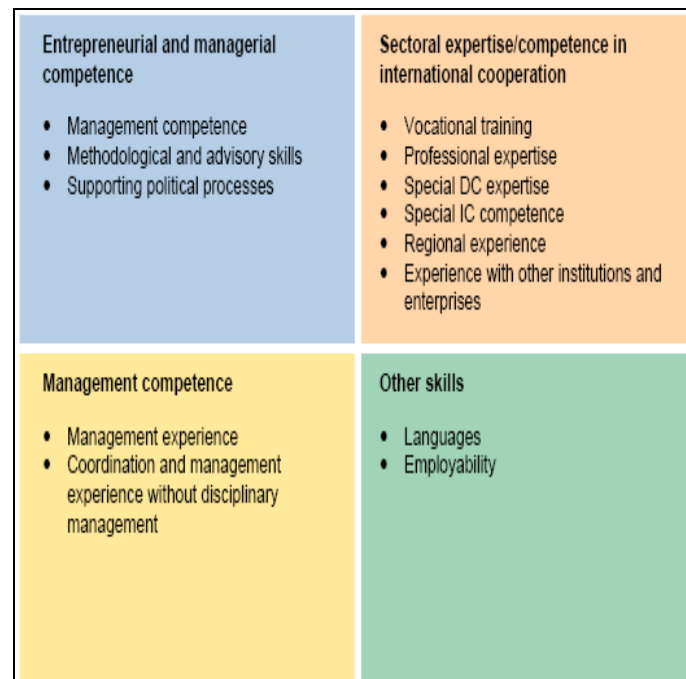


Figure 1 – GTZ Competence Grid

The Competence Grid is readily divided into four main areas: 1) Entrepreneurial and managerial competence; 2) Sectoral expertise; 3) Management competence; and 4) Other Skills. In each grid, staff and external experts can enter and update their own data record related to their specific work experience, skills, or expertise at any time. Therefore, the company is able to dispense up-to-date information regarding their personnel and registered external expertise and has rapid access to comparable data because it is handled uniformly in all business areas.

With the combination of the Competence Grid and the Competence Needs Forecast, GTZ's HRM is able to identify the crucial fields of action to cover future company's needs, such as:

- Is there a need for the company to increase their workforce?
- If a need for an increased workforce is shown to exist, what kind of personnel should be sought? Administration, professional, and/or management?
- In which sectors do we need more expertise? Energy, agriculture/rural development, environment and natural resources, security-sector reform, governance or public financial management?
- What kind of qualitative competence requirements are needed?
- Are we able to cover these needs by the training and development of our existing personnel or do we need additional expertise from an outside source?
- In which fields of expertise should we concentrate our training and development to beneficially affect the competences of our existing personnel?

With this information at their fingertips, staff can develop their competences in a more focused way than ever before and GTZ can support this effort by choosing and designing specific measures. As part of ongoing annual staff assessment talks, employees and superiors are able to hone in on specific areas that need to be addressed. They can come

to an agreement on various competency building needs and identify respective measures that can be implemented. This should assist with the increased employability of that person. Superiors can tap the services of GTZ's Personnel Development Division which offer, in co-operation with the sectoral and other departments, a wide range of learning tools, forms and activities. In cases of sectoral shortages, measures are concentrated on those individuals who are particularly qualified for covering these shortages in the future.

From the Secretariat's perspective, we ask the same question: What kind of competences will ASEC need in the next 2-4 years? With the ASEAN Charter already in force, the ASEAN Vision 2020, the ASEAN Political-Security Community (APSC), ASEAN Economic Community (AEC), and the ASEAN Socio-Cultural Community (ASCC), and emerging challenges for the region such as Climate Change; how can ASEC respond to these increased demands on its personnel?

Firstly, ASEAN needs a series of indicators or benchmarks with which to measure and predict how and in what direction(s) ASEAN will develop in the future. One such apparatus is the AEC Scorecard mechanism. Another would be an indicator for the Singapore Declaration on Climate Change, Energy, and the Environment.² After these keystone measures were in place, forecasting the competences needed for the future ASEC/ASEAN would be the next undertaking, keeping in mind that although GTZ's strategy in profiling and developing the competence of its personnel might be tailored for ASEAN in general, the HRM strategy for ASEC must be aligned with ASEC/ASEAN's own specific corporate strategy.

3. Regional Expert Pools

In addition to the Competence Needs Forecast and the Competence Grid, GTZ has developed its online recruitment system, aptly named the "E-Recruiting" system, which profits by its Sector Networks and "Fachverbunde". These are tools for generating a common Human Resources (HR) pool for all GTZ staff as well as any interested applicants from outside. All persons are required to fill in the competence grid, allowing GTZ to have a current record of all competences available at any given time. In this way, GTZ is generating one common systematically structured expert pool which greatly facilitates a targeted search for suitable expertise, matching the right person to the right job in time. This is to GTZ's best advantage, and is especially in contrast to earlier days when this kind of information was not shared by GTZ's different business areas, causing unnecessary losses in efficiency and growth.

In order to attract the additional expertise needed for covering the competency gap of existing GTZ personnel, GTZ's Human Resource Management is systematically cooperating with the sectoral networks system established by GTZ's sectoral department. All sectoral institutions and contacts are catalogued in the "Cooperation Management System" (CMS)

² This declaration was signed by the leaders of ASEAN plus six countries, namely Japan, Korea, China, India, Australia and New Zealand in the Third East Asian Summit (EAS), Singapore, 21 November 2007.

which enables a systematic identification of relevant sectoral expertise outside of GTZ to be accessible for HRM purposes.

In addition to this centralized pooling by GTZ Headquarters, decentralized pools are being initiated in order to capture the expertise in every country and region (national and regional experts). In principle, this decentralized system will be built on the same instruments of GTZ's central HRM system, e.g. the competence needs forecast, the competence grid, as well as specific competency building measures. This system will be linked to the regionally organized "Fachverbunde," which focuses on sectoral expertise in each region. As a result of this assessment, GTZ will be able to use all the available and pertinent regional expertise at its disposal for regional HRM needs.

In line with the idea of a common HR pool is the ASEAN Regional Knowledge Networks (ARKN) approach. This approach was first requested by ASOF in their 11th meeting and then facilitated by the ASEAN-German Regional Forest Program (ReFOP) for its establishment. The ARKN serves as regional expert pool in the ASEAN context, designed to provide research-based policy recommendations on specific policy priority issues, such as was shown in the issues regarding Forest Law Enforcement and Governance (ARKN-FLEG) and Forests and Climate Change (ARKN-FCC).

While Secretariat personnel should have sectoral expertise in the areas in which they are working, ASEC can delegate its competences on specific issues to specific experts pooled within the Regional Knowledge Networks. This concept of '**decentralized HRM**' allows ASEC to ease the burden of managing daily organizational tasks on ASEAN, on top of providing policy analyses or content-related work. ASEC can turn to the regional networks for insights on emerging or cross-cutting issues related to their work in order to help improve ASEC as an agenda-setter or a 'policy-broker' for ASEAN.

A demonstrable case which illustrates how ARKNs can effectively contribute to ASEAN policy-making is the ASEAN Common Position Paper on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (REDD) that was submitted to the 14th Conference of Parties of the United Nations Framework Convention on Climate Change (UNFCCC COP 14). This paper was based on the recommendations of the ARKN-FCC on REDD. Those recommendations were then responded to and facilitated by ASEC, resulting in the approval of the paper by the ASOF leaders as the first joint ASEAN position submitted to the UNFCCC negotiations.

Knowledge management is an important criterion when pooling experts from each of the ASEAN Member States (AMS), and must be done with care in order to fully utilize the ASEAN Regional Knowledge Networks. The ASEAN Forest Clearing House Mechanism (CHM) is one of the knowledge management instruments which the ARKNs can harness. The "Yellow Pages" tool in the CHM, which lists down registered users from the ARKN-FLEG, the ARKN-FCC and other ASEAN Networks, is a useful instrument for identifying regional experts already at ASEAN's disposal. This tool might be further elaborated into a competence grid, and shaped to the Regional Knowledge Networks' needs. The CHM has already provided a prototype of an online database for a human resources pool in ASEAN which could evolve into a system comparable to that of E-Recruiting, if needed.

Another manner in which sustainability can be ensured for the ARKNs is for each of the ASEAN Member States to actively nurture a culture of sharing knowledge and expertise with each other. There are many government bodies, policy think-tanks, and academic institutions in ASEAN, and quite often the knowledge possessed by any given organization is kept within the confines of that organization. There is a reluctance to share knowledge because information is seen as a powerful bargaining tool. This, however, is a stance which should not be practiced in good governance. For that reason, ASEC will play an important role as an institutional hub to promote knowledge and expertise sharing between those institutions and beyond.

4. Tapping High Potential Human Resources for ASEAN

Another pillar of the HRM strategy to cover the human resource needs for future development is to tap into fresh, additional, professional talent, which stimulates and revitalizes the pool from which the organization draws. In this manner, GTZ is generating a larger reservoir of the “right potentials,” a necessary and practical maneuver given the very broad set of competences needed for successfully working in the international cooperation field.

GTZ has long practiced internship and young-professional programs as a cornerstone of GTZ’s recruitment system. In order to give university students a positive orientation and spark interest in the field of international cooperation, GTZ accepts interns for a 3 to 6 month period of work, either at GTZ Headquarters or on site. This demand has been steadily increasing, reaching a total of 1000 internships in 2008. Those students who already graduated are encouraged to apply for one of the Junior Professional Officer (JPO) positions which were introduced by GTZ in 2002. Those JPO posts were created in order to give university graduates with some working experience the chance to develop the necessary level of professional experience demanded by GTZ’s international partners. At present, about 350 JPOs are working in GTZ.

In order to select and develop the very best of these young professionals, GTZ is starting a special program for “talented young potentials”. JPOs are allowed to participate in a process of selection and orientation that outlines or delineates a well-defined career path which they may follow for their optimum future development. In principle, three options are followed: sectoral professionals, managers, and future leaders. For each path, special steps and activities are defined, with each subsequent level being reached in one to three years depending on the individual circumstances.

A potential scenario for an internship program for the ASEAN Secretariat might target ASEAN university students in a manner in which we can utilize the already existing ASEAN University Network (AUN). Interns could work for the Secretariat during a semester (6 months) or over the summer (3 months), while working on ASEC’s policy areas of interest and priority. Interns for ASEC would provide the opportunity for an “on-campus advertisement,” in which ASEC can market itself as a quality agency where students would want to begin their careers after they graduate, as students tend to listen more to their peers than their professors or their alumni.

A starting point for developing an internship program with ASEC would be a collaboration with the ASEAN-German Regional Forestry Program. Interns for ReFOP might come from a number of ASEAN universities and work with ReFOP on forest policy priorities such as FLEG or REDD. Working with the Forestry Program gives the interns a chance to work with ASEC's Natural Resources Unit and the Forestry Desk, and also to give an idea on how the ASEAN policy-making processes work under direction from AMAF or ASOF.

A young professional program for ASEC should be targeted for ASEAN nationals who are at the start of their career, possibly below 30 years of age. Those professionals participating should have the potential to become the future leaders of ASEAN, either in the association of member states or in ASEC itself. This particular program should be designed for high-potential, committed and motivated young people skilled in areas that are relevant to building and strengthening the vision of ASEAN Communities (AEC, APSC, and ASCC). Not only should the program look for candidates with outstanding academic backgrounds, but also for those who possess or show potential for strong leadership and management skills.

An interesting initiative for ASEC and GTZ is in the collaboration and proposal of the **ASEC-GTZ Young Professional Program (YPP)**. A crucial factor in making YPPs work is the assignment of peer mentors or coaches from the previous year's batch of young professionals for support and guidance on the program as well as in the institutional management of the program itself. GTZ already has some past experiences in developing its own YPP on which it can draw, and can help provide the initial training and mentoring in order to make the program best complement the ASEAN. Eventually, after the first groups of young professionals have completed the program and are ensconced in their professional positions, ASEC should have enough support for its own sustainable YPPs.

Both the internship and the YPP for ASEC will result in the involvement of young thinkers and future policy-makers in ASEAN. If, in such cases, these young specialists do not work directly for ASEC, the internship and young professional programs will have contributed to the development of highly qualified regional experts equipped with the know-how of the ASEAN business environment and its mechanisms. Consequently, the graduates of these programs should be evaluated and potentially pooled through the ARKNs so that ASEC could still make use of their expert regional competence.

5. Conclusion

Following the threefold HRM logic (see Figure 2) as explained previously on the corporate level, ASEC needs to have an HRM strategy in line with its own corporate strategy in order to **profile and develop the competences** of its existing and future personnel. On the regional level, ASEC can have delegated competences by using the **expertise pooled** in the ARKNs. However, if a sustainable resource basis of high-potential talents and future leaders for ASEC/ASEAN is seriously desired, then it is time for ASEC to begin developing its own **internship or young professional programs**.

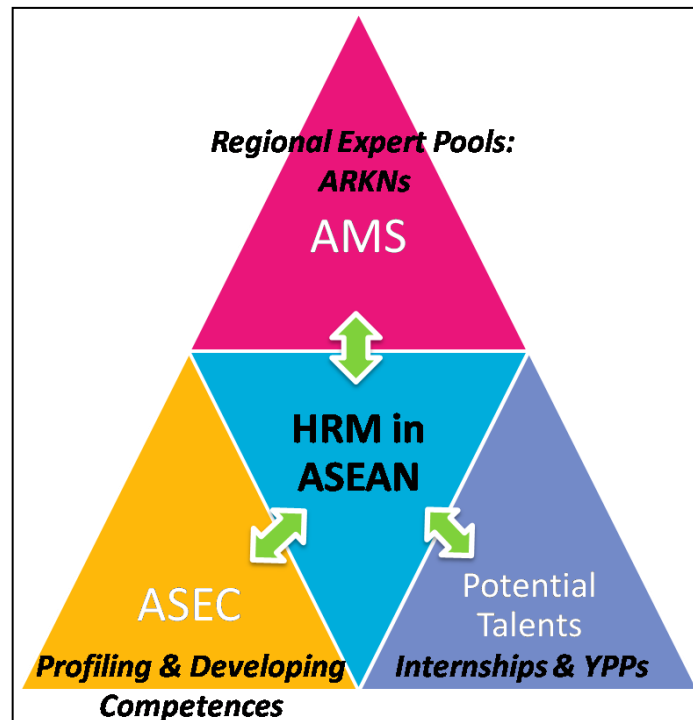


Figure 2 – Tripartite HRM Strategy for ASEAN

The proposed collaboration between GTZ and ASEAN is a win-win solution for both parties. From the ASEAN perspective, GTZ's portfolio of experiences in HRM and capacity development can be utilized for ASEAN's benefits. For GTZ, having regional experts already equipped with knowledge of the business environment in ASEAN is one of the added-values for the agency's success, especially when linked with the ongoing policy for more decentralized human resource management and the systematic competency development of 'national personnel' in GTZ.



Managing Knowledge and Regional Policy Advice: ASEAN Forest Clearing House Mechanism

Dr. Jan Schwaab and Daniela Goehler

1. Knowledge Management: Key to Effective Policy-Making and Business

“Knowledge management is good if it enables action that is effective in contributing to organizational goals.” (Talisayon 2007)

Why should top managers be concerned about knowledge management when it comes to the issue of climate change? Isn't that instead the job of the IT- or communication unit? Don't we already have enough reports, bulletins and consultants that provide us with more information than we really need (for instance, the Intergovernmental Panel on Climate Change - IPCC)? Isn't it sufficient to utilize a good search engine which provides “climate information at your finger tips”? These and other questions are asked in many national, regional and international organizations that deal with the many facets of climate change adaptation and mitigation. We have long ago become an information society, one that allows us better access to diverse resources on the internet.

A different viewpoint in government departments and its institutions is that information is everything, not just regarding climate, but concerning a whole range of topics and political challenges. Better still, knowledge, i.e. the *know-how*, the *right* decision, the *shared* goal, the *best* strategy, is key. Basically, ministries and other governmental institutions are “information processing systems”, working at full speed in order to provide solutions to global problems in a local context. Therefore, they need to “digest” an immense variety of information in order to prepare and implement effective political decisions. In a nutshell: Knowledge still is power.

Almost unnoticed in the array, however, is that this power has undergone a considerable change. Many believe that possessing information exclusively entails power. This is far from the reality of the situation. Today, information is a commodity. It is available worldwide and, much of the time, is simply a part of what is needed to address increasingly complex questions. Take climate change for instance: there is not one *best* strategy to pursue in order to adjust to climate change. Nor is there a specific scientific consensus on how best shaping a REDD (‘reduced emissions from deforestation and forest degradation’) scheme would mitigate climate change. Rather, a puzzle of information has to first be pieced together in order to understand, among other things, what climate change actually means, how to react to it, how to identify workable solutions, how to learn from successes and failures, and what is actually feasible in a specific country or situation. No one is able to do this alone. Today, those that find themselves in power positions are the people and institutions that have built and nurtured cooperative networks which are able to quickly organize and

evaluate this immense amplitude of information and develop appropriate strategies¹. This power, however, belongs to the network as a whole, and not the individual. Those institutions or individuals that do share their knowledge tend to rapidly fall behind, being overtaken and marginalized by the high speed of international knowledge sharing and networking.

This is especially the case regarding policy advice. Political decision makers in Southeast Asia are confronted with many complex challenges. Their organizations have to quickly provide them with relevant information; in particular, policy options and recommendations based on profound policy analysis, which most of the time cannot be produced alone. This is why an increasing number of institutions join forces and become part of a greater international network. In this view, ASEAN's approach to building regional and international partnerships and establishing regional expert pools, such as the ASEAN Regional Knowledge Network on Forests and Climate Change (ARKN-FCC), in addressing climate change is no coincidence. It is a strategic decision.

Networking strengthens the shared, common ground but it also poses new challenges. This holds true both for regional and international networks as well as individual organizations. Institutions are rarely homogenous entities. The diversity of the Member States of the Association of Southeast Asian Nations (ASEAN) is a perfect example. ASEAN states originate from vastly different cultures, have diverse histories and apply manifold management approaches. Internally, organizations also cultivate a diversity of subcultures. This is exemplified, in particular in the way:

- (i) information is being shared internally and externally,
- (ii) mistakes are being taken as an opportunity to learn, as well as sometimes being ignored,
- (iii) ideas and innovation are being treated sometimes as an improvement, and sometimes as a danger to the status quo, and
- (iv) managers and employees in some situations accept knowledge from others and in other situations show symptoms of a "not invented here syndrome".

In short, knowledge management touches on the fundamental values of an organization. That is inevitable and necessary if an institution wants to improve its competitiveness, its dynamics, and its sustainability. In principle, those organizations which are not able to maintain their intellectual flexibility will lose their "competitiveness" vis-à-vis those institutions that can more rapidly prepare themselves for new challenges such as climate change, as well as those that distinguish themselves through innovations on a national, regional, and international level. This is relevant both for private companies and, increasingly, for national administrations and intergovernmental organizations.

One of the key assignments of top managers is to limber up their organizations internally and externally². This cannot be attained from one day to the next, but rather requires a modicum of patience. This is a primary reason that the change process starts within management and not the IT-unit. The benefit here is clear: better performance in terms of

¹ (GTZ 2006)

² (GTZ 2007)

managing policy advice, more effective strategies, and a more cost-effective use of information and innovation.

Knowledge has to be understood as a resource, in the same way human resources, financial resources and so on, are regarded. Knowledge is key to the capacity to improve policy making (for effective action). Seventy to ninety percent of this resource is, plainly, the retained information and experience of an organization's staff. Only a fraction of it can be captured and documented. The most valuable part is know-how, i.e. the ability to analyze and diagnose, the unmistakable intuition for the significant, and the unique experience of employees who, with their often years of experience, are able to quickly familiarize themselves with new situations. Much of this knowledge is personalized, unconscious and undocumented ("tacit knowledge") and is only revealed or put into play when the right person is confronted with a given challenge. In particular, regarding climate change, we are dealing with such an abundant array of challenges that the right person is needed in the right place to develop the right solutions.

Knowledge management, hence, is the attempt to increase the "return on investment in knowledge capital." That is why more and more organizations are becoming aware of their knowledge management needs. They realize that knowledge management is the key to sustainability, dynamism and competitiveness. Incentives for knowledge sharing are set by culture, business processes and leadership. This is where the most important strategies for knowledge management come in with complementary approaches (cf. figure):

- (i) **Identifying knowledge**, in order to highlight and catalogue the most important skills of an organization's professionals and organize traditional information management (i.e. documentation, capturing knowledge, storing and retrieval systems).
- (ii) **Pooling experts**, to improve knowledge sharing and policy analysis among professionals in order to both activate tacit knowledge and initiate innovation. In most organizations, there is more knowledge available than is actually acted on. Most innovation that is desperately needed to find solutions for climate change adaptation and mitigation emerges through analytical and knowledge sharing exercises.
- (iii) **Managing networks and learning**, so that knowledge sharing is not left to chance, but rather is systematically geared to the objectives of the organization, e.g. the ASEAN Community Building process. In this regard, it is especially important (a) to prepare staff well for their tasks and to familiarize them with the existing knowledge ("briefing"), (b) to involve them in a system of lifelong learning ("learning goals"), and (c) to do a systematic "debriefing" at the end of an assignment in order to capture new insights.
- (iv) **Applying knowledge**, so that knowledge will not just simply be accumulated but will also lead to more effective policy making and implementation. This is the hardest but most important step to enact. It presupposes that the available knowledge is correctly processed, evaluated and communicated. Mere factual knowledge on climate impact is not sufficient if politically useful conclusions are found to be missing. These conclusions have to be converted into a form and language which is

applicable in the political process. This is an indispensable “translation of knowledge” from the scientific world to politics or from the international to the local context³.

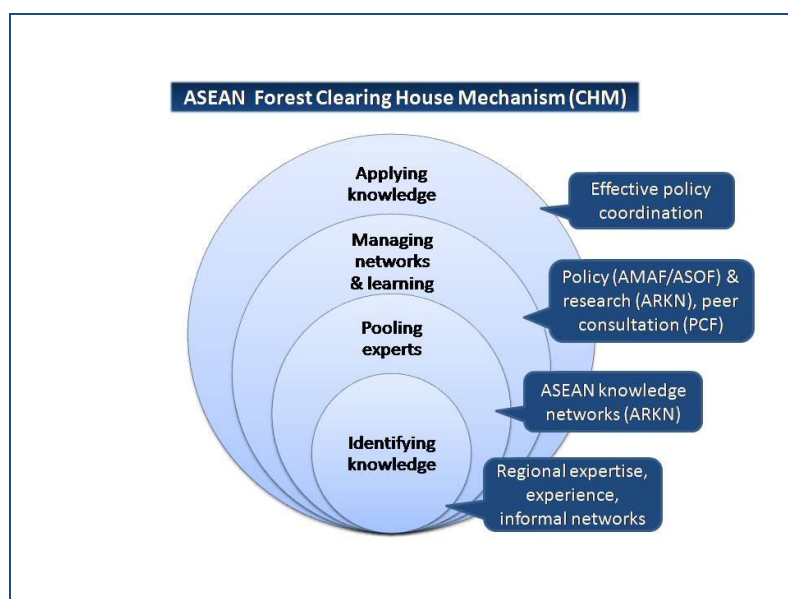


Figure: Key approaches to knowledge sharing

Transforming information into knowledge and knowledge into action creates value. It is a crucial process, or value chain within every organization. This value chain has to be well-integrated into all core processes of the organization. The four outlined approaches are a good starting point. Every organization is different and therefore has to develop its own approach to knowledge management. There is no single blueprint, as the past 20 years of knowledge management have shown.

Here, top management attention is crucial. Because corporate culture follows management culture, managers are role models for staff. If they support change and knowledge sharing, cultural change will happen. If there is no commitment on this level, nothing will work – not even the best IT projects. Part of what is needed is to actively create learning opportunities, whether it is through promoting staff competence development or managing regional expert pools. Oftentimes, the biggest learning opportunities are one’s own failures. The ability to learn from them without losing one’s face or experiencing personal disadvantages possesses an especially great potential for the organization. Good managers carefully encourage their teams to reflect upon both good and bad experiences.

Learning, however, is not an end in itself. Knowledge management as a whole, and learning in particular, have to be carefully oriented toward the strategy of the organization, its corporate objectives and *raison d’être*, and its operative processes. Learning through policy analysis and respective policy advice and recommendations is pertinent for political decision makers. But what kind of knowledge is necessary? How detailed does it need to be? Which form, time frame and scope should be used? What happens if important experts leave? And

³ (FAO and GTZ 2006)

do we really talk about our mistakes? These are all questions that need to be addressed when knowledge management is understood as a strategic change process.

In order to encompass such a change process, cultural change has to be completed step-by-step – not as a “big bang”⁴. Eventually, not only managers but all staff must learn to share knowledge and goals. At the beginning, there is usually a successful pilot project – for instance, the ASEAN Forest Clearing House Mechanism (CHM) or the ASEAN Regional Knowledge Networks. Therein, relevant questions can be identified and dealt with step-by-step. This will neither overstrain the organization nor the participating staff and management. Furthermore, practical goals can be attained which can be built on in the future. In this way, institutions naturally gain experience, prove the benefits of knowledge management and, subsequently, create a wide-spread acceptance of future knowledge management initiatives.

2. Holistic Knowledge Management: The ASEAN Forest Clearing House Mechanism (CHM)

The Association of Southeast Asian Nations (ASEAN) has entered into a “new ASEAN era” characterized by a shift away from the traditional toward new forms of governance. Milestones include the active enforcement of the ASEAN Charter officially enacted in December 2008, which provides the “legal and institutional framework for ASEAN to be a more rules-based, effective and people-centred organization” (ASEAN 2009), as well as the adoption of the ASEAN Economic, Socio-Cultural and Political-Security Community Blueprints that work toward the overall goal of creating an ASEAN Community by 2015. This goes along with a strengthened role of the ASEAN Secretariat as the “nerve centre” of ASEAN.

The central role of knowledge management for effective and efficient community building is freely recognized by ASEAN. Knowledge sharing and mutual learning are important elements of ASEAN’s organizational culture and knowledge management has become part of a broader reform agenda whose goal is to turn ASEAN into a “dynamic organization.” The objective of creating a “knowledge-based” and “networked organization” sets high performance standards and requires the understanding of knowledge management as a holistic process whose focus is on promoting formal and informal expert communities and networks within the organization and beyond.

A good example of how comprehensive knowledge and network management can be best utilized is illustrated in the ASEAN Forest Clearing House Mechanism (CHM)⁵. Since its launch in 2004, the CHM has been gradually evolving from its initial incorporation as a tool that basically stores data and information into what is now a learning platform that supports identifying relevant knowledge, optimizing the generation of knowledge, preserving, disseminating and communicating knowledge as well as using knowledge, and translating it into means for useful application and creative innovation. In other words, it extends the management of knowledge to the management of networks and learning between people, processes and institutions. This is reflected in the following three instruments which also form part of the GTZ Product “Knowledge Management for Development”:

⁴ (Collison and Parcell 2004)

⁵ <http://www.aseanforest-chm.org>

- (i) Network management, e.g. working modalities of ASEAN knowledge networks, linkages between senior officials and regional experts, membership versus partnership;
- (ii) Supporting information and communication technology (ICT), e.g. state-of-the-art interactive software tools;
- (iii) Organizational development, e.g. ASEAN Secretariat as institutional hub of regional learning.

Through its incorporation into the governance structures of ASEAN in general, and ASEAN forest policy cooperation in particular, this clearinghouse mechanism significantly contributes fluidity for overseeing the complexity and interconnectedness of forest-related issues and processes. It aids in streamlining the regional forest policy agenda, structuring positive exchange among ASEAN stakeholders and facilitating policy learning among ASEAN Member States (peers). Additionally, the CHM complements ASEAN mechanisms such as the formal decision-making by the ASEAN Ministers on Agriculture and Forestry (AMAF) and the ASEAN Senior Officials on Forestry (ASOF) as well as the informal ASEAN Regional Knowledge Networks (ARKN). This emphasizes the instrument's potential to support the understanding of complex governance features. In the long term, strategic thinking and planning will also benefit markedly.

The CHM organizes a number of ASEAN communities⁶ and networks on a variety of forest policy issues. Examples of this include the ASOF, ASEAN Expert Group on International Forest Policy Processes (AEG-IFPP) and ASEAN Working Group on A Pan-ASEAN Timber Certification Initiative (AWG-C), the ASEAN Regional Knowledge Network on Forest Law Enforcement and Governance (ARKN-FLEG) and the ARKN on Forests and Climate Change (ARKN-FCC). Each of these communities and networks has its own password-secured space, which is of particular importance for ASEAN's business culture, and each community nominates a network manager among themselves. The platform makes it easy for people to connect⁷ and communicate with each other and engage in debates at a convenient time and space which is a significant contributing factor to greater efficiency⁸.

In acquiescence to the ASEAN Secretariat's role as the primary nerve centre of ASEAN, it serves, too, as the institutional hub of the CHM: The Secretariat is responsible for the overall management and administration, secures a level of quality control, oversees standardization, coordinates with the network managers, and manages the interface between the various ASEAN communities and networks.

In its efforts to reach out to the broader public, the CHM connects with other ASEAN and international knowledge sharing tools, such as the UN Framework Convention on Climate Change (UNFCCC) web platform on 'reduced emission from deforestation and forest degradation - REDD'⁹. In proceeding toward the realization of a highly networked ASEAN, the ASEAN Secretariat has established institutional linkages with the Forest Research Institute Malaysia (FRIM) and the SDplanNet Asia & Pacific on 'sharing tools in planning for sustainable development.' The network managers of the ASEAN knowledge networks are

⁶ ASEAN communities in this context include the ASEAN expert and working groups.

⁷ People can connect through the 'yellow pages' feature, for instance.

⁸ An innovative element of the CHM to do so is the "watch document" and "watch discussion" tool.

⁹ http://unfccc.int/methods_science/redd/items/4531.php

involved in the SDplanNet Asia & Pacific which is supported by GTZ, the International Development Research Centre (IDRC) and the Organization for Economic Cooperation and Development (OECD), among others. An institutional partnership with the National Forest Program (NFP) Facility facilitated by the UN Food and Agriculture Organization (FAO) is also envisioned, in particular through the ARKN-FLEG.

3. Managing Knowledge and Policy Advice: The CHM in Action

While the clearinghouse mechanism is at the heart of managing knowledge on forest policy in ASEAN, the tool itself cannot fulfil all of the functions of a holistic regional knowledge management process. Knowledge management can only be successful if it is successfully linked to the organization's human resources management (HRM)¹⁰ and fully supported by the top management. This goes along with the understanding that tacit knowledge is a key factor for organizational performance and successful business as is broadly recognized by the international scientific community (APO 2008). Capturing tacit knowledge is a higher stage of knowledge management extending beyond the sharing of information and explicit, i.e. already codified, knowledge.

In ASEAN forest policy cooperation, regional expert pools¹¹ have become an integral part of governance and constitute a mechanism that can be utilized in order to make tacit knowledge accessible. At their 11th Meeting in August 2008, the ASOF called for the establishment of strong regional knowledge networks that would be able to better inform decision-makers through research-based policy recommendations and advance the policy dialogue on emerging hot topic issues. The ASEAN Secretariat, in collaboration with the ASEAN-German Regional Forest Program (ReFOP), facilitated the establishment of ASEAN Regional Knowledge Networks (ARKN) on two of the most pressing regional forest policy priorities: forest law enforcement and governance (FLEG) and forests & climate change (FCC). These regional knowledge networks are designed to capture the tacit knowledge of regional experts by:

- documenting expertise, e.g. in the form of policy briefs,
- pooling informal networks of individuals,
- collecting experience, lessons learned and good practice.

The policy learning process supported by the ASEAN knowledge networks and streamlined through the CHM includes the following steps:

- (iv) Identifying all relevant knowledge: Based on the ASEAN Community Blueprints and other regional strategies, the expert networks identify emerging issues and develop demand-oriented and evolving research programs.
- (v) Optimizing the generation of knowledge: The expert pools conduct systematic research, classify complementary products such as policy briefs or briefing papers. The ARKN-FLEG, for instance, has developed an analytical framework to structure learning on forest governance.

¹⁰ (Hauser and Fawzia 2009)

¹¹ (Thang 2009)

- (vi) Preserving knowledge: The knowledge products are catalogued and uploaded in the CHM in a methodical, structured manner.
- (vii) Disseminating knowledge: The CHM secures easy access to resources and allows the user to quickly find and access useful knowledge.
- (viii) Use of knowledge: Research findings and policy options provided by the expert networks allow decision-makers to evaluate information, collect evidence on policy results, update or revise strategies and programs, and implement policies more effectively.

Another CHM-supported mechanism to manage regional policy advice is the ASEAN Peer Consultation Framework (PCF)¹². The PCF shares a number of principles with OECD's peer review and aims at enhancing mutual learning and improving regional policy coordination among ASEAN Member States. Based on the experiences of two country processes in Brunei Darussalam and the Philippines, the 11th ASOF meeting in August 2008 recommended reviewing and adopting the PCF mechanism in terms of its efficiency and effectiveness. The role of the CHM is basically twofold: First, it facilitates the analytical assessment of Member State's forest policy framework and implementation as well as underscoring the state of forests by providing the necessary information. Secondly, it supports the ASEAN Secretariat's role as the institutional memory for the entire scope of the process.

Finally, the CHM helps to monitor the implementation of regional standards. It accommodates an online application of the monitoring, assessment and reporting (MAR) format based on the ASEAN Criteria and Indicators (C&I) for sustainable forest management, adopted by the AMAF in 2007.

By integrating the knowledge components of various ASEAN mechanisms and activities and visualizing the complex links between policy fields, the CHM plays an important role in stimulating cross-sectoral thinking. As an example, food, agriculture and forestry is only one of the many important components in ASEAN's objective to create a single market and production base as laid down in the ASEAN Economic Community (AEC) Blueprint. The Blueprint for the ASEAN Socio-Cultural Community (ASCC) ensuring environmental sustainability is a major area of focus. This includes, among other things, addressing global environmental issues such as climate change and the promotion of sustainable forest management (SFM), and eradication of unsustainable practices including combating illegal logging and its associated trade.

4. Conclusions

Knowledge management is a central concern of political leadership and top executive management which guides one toward more effective and efficient policy-making and implementation. It is an important component of strategic planning and highly relevant for ASEAN in developing an ASEAN Climate Change Strategy.

The CHM is an asset for ASEAN and reflects a modern understanding of knowledge management. The flexibility of the learning platform provides great potential to adapt it to

¹² (Mat Akhir 2009)

new dynamics at any time and upgrade it on a continuing basis to incorporate emerging issues and related future knowledge management demands.

In order to fulfill its mandate, the ASEAN Secretariat can make principled use of the CHM in its efforts to motivate ASEAN community building. Further, the Secretariat can make use of the mechanism in its role as the primary broker for knowledge and structured learning. By mainstreaming policy issues, the CHM can be applied as a strategic tool to enhance cross-sectoral coordination among the ASEAN Community Blueprints.

To ensure efficient flow of knowledge and active networking for effective policy-making, knowledge management serves well to be integrated into the organization's human resources management. Policy learning organized through the ARKN and the CHM provide a perfect example.

The CHM has the potential to be applied as a 'soft' monitoring tool and as a means by which to increase transparency on ASEAN benchmarks within the region and beyond.

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Peer Review to Strengthen Regional Integration in ASEAN*

Kensuke Tanaka

1. Introduction

The peer review mechanism is a tool for policy dialogue. It has been a tried - and - tested instrument used by OECD member countries to work together successfully over the past decades.

The peer review is a flexible tool in terms of the policy areas and countries which may be covered, and there is no standardized peer review mechanism as such. Given its flexible nature - its non binding and “soft law” nature, as shown in its application within the OECD, different directorates/bodies conduct peer review in a number of varying ways.

Peer reviews can be custom tailored to foster and encourage regional integration in Southeast Asia. Although the application of a peer review mechanism in the region is in its early stages, the best way to adapt it to the specific needs and circumstances of the region should be explored during these preliminaries.

In the following section, we look at three important elements of peer reviews. Section 3 subsequently examines the conditions that are most appropriate for successful peer learning. Finally, section 4 summarizes the discussion.

2. Peer Reviews as peer learning/exchange, peer support and peer pressure

Before discussing the possible ways to apply any peer review mechanism in Southeast Asia, three important elements of the peer review mechanism need to be addressed in further detail:

- i) Peer reviews as peer learning and exchange
- ii) Peer reviews as peer support
- iii) Peer reviews as peer pressure

* This paper is based on “*Shaping Policy Reform and Peer Reviews in Southeast Asia*”, OECD (2008) and prepared at the international conference, “ASEAN High Level Seminar” in Berlin on 23-25 March, 2009. The views expressed here are those of the author.

i) **Peer reviews as peer learning and exchange** means essentially creating an environment for an equitable exchange of information among members. The information exchange aspect of peer reviews has been recognized as one of the core elements of peer review. In this application, the purpose of peer review is to share information and experiences between the various countries and help each other to adopt best practices. It is not a time when any individual member puts forth an agenda or tries to force a specific view onto others. Peer review works best when an atmosphere of constructive dialogue is created and maintained, with all parties equally involved in the process.

It can also serve as an important capacity building instrument, since it is a mutual learning process that allows best practices to be tested and emulated.

ii) **Peer reviews as peer support** is best defined as applying the shared information to policy making (i.e. beyond the information sharing). The second aspect of peer review is peer support that facilitates domestic reform. Authorities that have already undergone a peer review may find themselves wishing to implement a particular policy, yet at the same time they may need additional support due to political or economic considerations.

Peer review may be most helpful where a particular policy is in the best national interest, but powerful vested interests stand in the way of its introduction. Peer review can assist by providing an independent analysis of the facts in a given situation, an analysis that may carry more weight and significantly shift public opinion, versus an internal assessment, made from within the country and potentially perceived to be driven by vested interests.

iii) **Peer reviews as peer pressure** is characterized by stressing or pushing particular policies that a member country does not want to adopt. This rarely, if ever, works, unless the policy is actually in the interest of the reviewed country. In specific circumstances, as in the case where countries are pursuing different objectives, the intermediate steps (policies) which need to be advanced in order to achieve the ultimate objective are not necessarily the ones presently being pursued by the reviewed country. In this case, peer pressure may be effective in helping the reviewed country adopt the more effective intermediate policies in order to reach long term goals.

3. How to apply the peer review to foster regional integration in Southeast Asia?

The central question here is how to apply peer reviews in ASEAN based on the three elements mentioned above.

Among those elements, peer learning/exchange could be important in Southeast Asia as a first step. There are a few conditions necessary in order to create an environment for more effective peer learning and peer exchange:

- Clear understanding among members of the mutual benefit attained by participating in the peer review process
- Sharing information freely and openly
- Competent facilitation

i) **Clear understanding among members of the mutual benefit of participating in the peer review process.** Peer review is based on mutual trust among participants. Peer review should be incentive-compatible and it is crucial to share the benefits of peer reviews among all participants.

ii) **Sharing information freely and openly, including the existence of comparable data in the region, is important.** Good peer review processes rely on sharing information freely and openly. If a participant chooses not to disclose key information, then the opportunity for peer learning is significantly diminished. In addition, the conduct of the participants is critical. This may partly reflect the fact that if one participant acts in bad faith, then it can undermine the spirit of trust that allows a free exchange of information and genuine learning. Sharing information includes a technical requirement of the quality of data and an acceptance of agreeable standards.

Effective information sharing works as an early warning system as well. When information is shared, the identification of potential risks becomes easier. In particular, improving the risk management framework is vital to implement the ASEAN Economic Community according to its schedule. Related to this, the OECD Development Centre, in partnership with ASEAN, is launching the Southeast Asian Economic Outlook in 2010. This Outlook could help providing comparable information in a timely and systematic manner and in this sense could be useful on the region's path to achieve a single market (See Box1).

iii) **Facilitation to encourage dialogue is important.** A competent facilitator would greatly enhance dialogue and cooperation and encourage participants to share their particular views on regional issues.

Setting an appropriate agenda for dialogue is vital - those issues where countries face common problems should be addressed first. From a long term perspective, capacity building to strengthen the role of the facilitator is also crucial. Strengthening the ASEAN Secretariat is important in this respect.

In addition to these three prerequisites, there are some other requirements for successful peer learning/exchange, such as analytical and administrative capacity, institutional capacity, etc., to conduct peer reviews.

In fact, peer review is not a new concept for Asian countries. Indeed, following the Asian crisis, peer reviews were institutionalised in the form of the ASEAN Surveillance Process (ASP) in 1998, although this process is still in its preliminary stage.

Other than the framework of ASEAN, different organizations conduct peer reviews in different frameworks and ways in Asia. For instance, APEC has been using peer reviews as a tool to achieve the common goals of free and open trade and investment in the Asia Pacific region. These goals, known as the Bogor Goals, were laid down in the Bogor Declaration in 1994. In their path toward achieving the Bogor Goals, economies prepare individual action plans (IAPs) that track their progress. These IAPs then become the object of the peer review process, which has evolved through trial and error. The ASEAN+3 adopted the ERPDP process as part of their efforts toward regional financial co-operation. They have recently decided to integrate the ERPDP with the regional liquidity support facility,

the Chiang Mai Initiative. In addition, National Surveillance Units have been set up in ASEAN+3 countries for economic and financial monitoring.

Box 1. Southeast Asian Economic Outlook as a Tool for Regional Co-operation

The OECD Development Centre, in partnership with ASEAN, is launching in 2010 the Southeast Asian Economic Outlook. This new regional Outlook is designed to promote policy dialogue within the region, thereby facilitating achievement of the region's goal of a "single economy" by 2015 and accelerating economic development.

This Outlook could help providing comparable information in a timely and systematic manner and achieving a single market. Containing comparative data as well as a range of regional and country-specific analyses, the Southeast Asian Economic Outlook will monitor the region's macroeconomic performance, assess the actual and potential contributions of regional integration to growth and stability.

The Southeast Asian Economic Outlook comprises two main parts. Part 1 entitled *Regional Economic Perspectives* assesses macroeconomic trends, regional integration and growth in the region. It will provide an overall picture of what is happening in the region and identify potential risks and policy challenges which will be a bridge to thematic discussion in Part 2. It will also address how to respond to the evolving global economic environment. Part 2 entitled *Development Challenges* will focus on thematic issues.

This Outlook is not just a "book" - the process of preparing this Outlook and dissemination are also important. This Outlook will contribute to enhancing regional co-operation and how to facilitate discussions in the region using this Outlook is important issue to address.

Concerning possible working examples of peer review and economic integration, the European Union is a special case study of regional integration. It is a model that has moved well "beyond information exchange" and cooperation, given its myriad common policies and well-developed institutional architecture. In the EU, while there is a clear legal framework, peer activities can still play an essential role in the effective enforcement of the rules.

4. Conclusion

Peer review is a flexible tool and could be custom tailored to address the various regional challenges present in Southeast Asia. Among the three important elements of peer reviews, in particular, peer learning/exchange is critically important for the region. The key is to ensure mutual benefit for all participants and an environment which fosters open discussion. By sharing comparable data and encouraging policy discussion among countries in the region, peer review can work as an early warning mechanism, and aid in the achievement of the common goal according to its schedule.

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ASEAN High-Level Seminar

Climate Change Adaptation and Mitigation
Towards a Cross-Sectoral Programme Approach in ASEAN

ASEAN Peer Consultation Framework (PCF): A Significant Breakthrough in ASEAN Regional Cooperation in Forestry

Azmi Mat Akhir

1. Background: Peer Review in ASEAN Forest Policy

The ASEAN Peer Consultation Framework (PCF) in the forestry sector has been patterned after the OECD's peer review process, which is basically an examination of one state's performance in a particular sector by other member states. The ultimate objective of the exercise is for the state under review to improve policymaking, emulate good practices and consider recognized standards and principles. The ASEAN PCF in forestry is based on mutual trust and commitment to shared principles by ASEAN Member States through the ASEAN Senior Officials on Forestry (ASOF) and ASEAN Ministers on Agriculture and Forestry (AMAF). It is consistent with the ASEAN Vision 2020, the ASEAN Economic Community (AEC) and ASEAN Socio-Cultural Community (ASCC) Blueprints as well as the ASEAN Criteria and Indicators (C&I) for Sustainable Forest Management (SFM). Specifically, it is intended to help raise the profile of forest policy issues and promote the identification and dissemination of tested practices in SFM in the ASEAN region which, ultimately, are hoped to contribute toward mitigating the adverse impacts of climate change.

Essentially, there are three general types of multilateral interaction and coordination: centralized audit, formal peer review, and peer consultation. Each has a legitimate function, which will vary by policy area and the organizational framework of the multilateral activity. Centralized audit is based on laws or strictly enforced regulations. It requires strict compliance, seeks assurance that the policy dictates are followed exactly, and has as its recourse probationary status for infraction, punitive sanctions, or even full suspension of membership. Formal peer review is based on regulations or generally agreed-upon rules. It requires general conformity, seeks assurance that regulations are followed within allowable parameters that are case specific, and has as its recourse probationary status for infractions and the possibility of punitive sanctions. Generally speaking, the two types have a lot in common except that there is greater flexibility in peer review and there is a delegated responsibility for enforcement to members. The third type of interaction is peer consultation which is based on guidelines and ideally best practices. It requires cooperation and information access, seeks to enhance mutual learning and the improvement of practice by mutual support, and has no recourse for nonperformance. Like peer review, peer consultation devolves responsibility for the joint examination to the member level, but the focus shifts from conformity to creating a "learning community." This paper focuses on this

last type of multilateral interaction as a vital and important tool which (1) completes the range of tools available to regional cooperation agencies and (2) is the most appropriate tool to use in many policy areas such as forestry or in regional organizations such as ASEAN as the case study here will illustrate.

The idea for the ASEAN PCF was initially advanced at the First ASOF Executive Seminar, which was held in September 2005 in Paris and Brussels in collaboration with the ASEAN-German Regional Forest Programme (ReFOP). Those in attendance included ASEAN senior forestry officials and representatives of the ASEAN Secretariat. A guideline, entitled “ASEAN Peer Consultation Framework (PCF): A Tool for Regional Cooperation and Mutual Learning” was recommended to, and subsequently approved for implementation by the 9th Meeting of the ASEAN Senior Officials on Forestry (ASOF) held on 17-18 August 2006 in Bali, Indonesia. It was agreed that the progress of the PCF would be reported regularly to the ASOF.

More detailed guidelines on the PCF procedure were discussed and finalized at the Second ASOF Executive Seminar held at the OECD Office in Paris on 4-8 December 2006. Main elements include the country memorandum, the country visit, the preparation of the Assessment Report, a Plenary Meeting to consider the Draft Assessment Report by ASEAN Member States, and submission of the Report to ASOF.

To-date, ASEAN Member States have conducted two PCF processes in the forestry sector, namely the PCF Brunei Darussalam during January to June 2007 and the PCF Philippines during June to November 2008. The first PCF received endorsement of the 9th Meeting of the ASOF; while the second process received endorsement of the 10th ASOF. These two peer reviews, which were regarded as pilot processes, constituted assessments of the two ASEAN Member States’ forest policies and practices. The main objectives were to share knowledge, assess forest policy implementation, support mutual learning, and foster cooperation in ASEAN.

For the first pilot PCF, Brunei Darussalam volunteered at the 9th ASOF meeting ASEAN Senior Officials on Forestry (ASOF) to be the first ASEAN Member State to be assessed, with Cambodia and the Philippines volunteering to be the assessing countries. An Assessment Team was set up comprising two senior forestry officials each from the assessing ASEAN Member States and a high-level chairperson (PCF Chair) from the ASEAN Secretariat who was selected by Brunei Darussalam. It is worth noting that Brunei Darussalam’s delegation was led by its Deputy Minister of Primary Industry and Primary Resources, which demonstrated the country’s strong interest and commitment to the ASEAN PCF.

For the second pilot exercise, the Philippines volunteered to be the assessed country, while Indonesia and Malaysia volunteered to be the assessing countries by assigning two officials each for the Assessment Team. This time, the same person who led the Assessment Team for Brunei Darussalam’s PCF was engaged as Chair of the Assessment Team.

This second PCF exercise adopted similar guidelines as used for the Brunei Darussalam PCF exercise based on the generic guideline, which incorporated the preparatory tools and

the type and timeline of activities to be carried out from June to November 2008. On request by the ASOF Leader of the Philippines, a thematic focus was set on forest law enforcement and governance (FLEG).

The PCF questionnaire was prepared by the Assessing ASEAN Member States with the assistance of the ASEAN Secretariat. The PCF country memorandum was prepared by the Forest Management Bureau (FMB) of the Department of Environment and Natural Resources (DENR) of the Philippines as an illustrative guide on the overall forest management in the country. The document was supported by the country's forestry statistics, the Revised Master Plan for Forestry Development (MPFD) - 2003, National Forest and Tree Resources Assessment 2003-2005, draft Chapter 3: Green Philippines of the Medium-Term Philippine Development Plan (MTPDP), and related information regarding forestry initiatives and programs.

The Country Visit formed the core activity for both PCF exercises. Basically, it comprised of a Stakeholders Meeting, followed by visits and consultations with several related agencies and a separate field visit. The wrap-up session that followed between the Assessment Team, officials of the Forestry Department, and representatives of other stakeholders had enabled the Assessment Team to inform all parties of its preliminary findings and to get feedback and responses from the national stakeholders. The Assessment Team was also interested in collecting any other relevant data and information that would help in the analysis.

These Pilot exercises represented two extreme cases of forestry situations in the ASEAN region which provide interesting exchanges of information and experiences among ASEAN Member States. While Brunei Darussalam represented a case of a largely unspoiled forest, the Philippines case was one that had undergone or been subjected to tremendous changes over the years since 1930s, bringing it to the current stage where issues of sustainable forest management (SFM) posed significant challenges. Therefore, the thematic focus of Philippine PCF was also on forest law enforcement and governance (FLEG).

The draft Report of Brunei Darussalam PCF was finalized at the Plenary Meeting on 20-21 June 2007 in Bandar Seri Begawan and subsequently presented to the 10th Meeting of the ASOF in 2007 in Vientiane, Lao PDR; while that of the Philippines was finalized by a Plenary Meeting held on 10-11 November 2008 in Jakarta.

2. Roles and Competence of “ASEAN Actors”

The PCF Guidelines also identify and specify the roles of the “Actors” of the PCF, which are the Assessed ASEAN Member State, Assessing Member States, the PCF Chair, the ASEAN Secretariat as the PCF Coordinator, and the Observers (other ASEAN Member States). The overall PCF exercises were implemented through the coordination of the Natural Resources Unit (NRU) of the ASEAN Secretariat.

The PCF Chair plays a crucial role throughout the four stages of the PCF process – preparation; consultation; assessment; and publication/dissemination. The Chair is the

senior member of the Assessment Team and presides over all stages of the process. Without infringing on the role of the assessors, the Chair helps shape the assessment framework for the specific PCF, including main themes of interest, leads the consultation mission to the assessed country and chairs the main discussions with all stakeholders, drafts the assessment report in consultation with the assessors, reports to the plenary meeting of ASOF and issues the final PCF report, amended in light of the plenary discussion. Specifically, the PCF Chair:

- oversees and guides the work of ASEAN Secretariat staff and the assessors in developing the assessment framework for the PCF, which will be sent to the assessed country in the form of a questionnaire;
- building on the assessed country's response to the questionnaire, and the country's memorandum, leads the PCF team on the country mission for consultations with all relevant forest sector stakeholders, inside and outside government (The PCF Chair customarily chairs, or co-chairs with the host country's senior forestry official, all main meetings during this mission);
- in consultation with the assessors, drafts the PCF report and sends it to the assessed country for factual accuracy review;
- presides over the Plenary Meeting to consider, draws the main conclusions of the meeting regarding forest policy issues and supervises the finalisation of the PCF report in light of the plenary discussion;
- issues a press release on behalf of the plenary participants informing the media of the outcome of the PCF and the recommendations; and
- finally, presents the PCF report, findings and recommendations to the next annual ASOF meeting, including any comments or recommendations he/she may wish to make regarding changes and improvements to the PCF process.

The Peers, or Assessors, also play a key role in the four stages of the PCF process. Without infringing on the role of the PCF Chair, the Peers help shape the assessment framework for the specific PCF, including commenting on main themes of interest, take part in the consultation mission to the assessed country and participate in the main discussions with all stakeholders, contribute to the drafting of the Assessment Report and attend and help lead the plenary PCF discussion of ASOF. Specifically, the Peers:

- contribute to the development of the PCF assessment framework, which will be sent to the assessed country in the form of a questionnaire;
- building on the assessed country's response to the questionnaire and the country's memorandum, serve as members of the Assessment Team on the country visit for consultations with all relevant forest sector stakeholders, inside and outside government;
- provide commentary to ASEAN Secretariat staff who will draft, under the guidance of the PCF Chair, the PCF report;
- introduce the draft Assessment Report for discussion at the Plenary Meeting of AMSs, and contribute input to the exchange, as appropriate, between the AMSs and the representatives of the assessed country;

- contribute to the finalisation of the PCF report, in light of the plenary discussions; and
- as required, assist with dissemination of the Assessment Report within the assessed country and within other AMSs, serving as resource persons for ASOF.

3. The PCF Process as a Breakthrough

The implementation of peer review in the forestry sector by ASEAN Member States under the PCF concept has actually offered two breakthroughs in ASEAN regional cooperation. First, the acceptance of the peer review concept by the ASOF is, in itself, a breakthrough. Although they may be common to all AMSs, national socio-economic issues, as well as those environmental and political issues relating to the forestry sector, vary from country to country within the ASEAN region. This reality, coupled with bilateral issues relating to the sector between some ASEAN Member States, places forestry in a rather sensitive area to be belabored upon by a Member Country beyond national boundaries, let alone as an area for regional cooperation, except on those matters of common interest, such as research and development.

Additionally, the peer review process may be regarded as breaching the ASEAN fundamental principle of non-interference in another's internal matters at sectoral level. Even for within a country like Malaysia, which is politically a federation of states, land and forest are "State matters", i.e. these natural assets fall under the jurisdiction of individual component states within the Federation. Realizing the sensitivity of the forestry sector, the First ASOF Executive Seminar in September 2005 in Paris agreed to tone down the concept from "Peer Review" to "Peer Consultation Framework (PCF)" to reflect a stronger emphasis on "consultation" rather than "review" among the Member States involved in the exercise. Furthermore, it was also extended that involvement of Member States as the assessed country and involvement as the assessing countries would be on voluntary basis. In other words, the ASEAN PCF exercise hinges on peer learning and peer support rather than on peer pressure

The second breakthrough here is that the PCF approach lays down a positive and correct step towards effective cooperation in forestry among ASEAN Member States. That step involves the mutual exchange of knowledge and experience as well as the gathering of information regarding each other's forestry sector. The PCF exercise provides applicable knowledge of actual situations and issues and problems within each other's forestry sector which would help facilitate joint prioritization and proper planning. Moreover, the implementation of cooperative projects and activities, especially in areas related to the sustainable management of forest resources would become an attainable reality. This would, in turn, promote and sustain a programmable approach to overcoming common issues and problems in the forestry sector for the mutual benefit of all Member States.

The focus of ASEAN regional cooperation in forestry has been to promote and enhance intra- as well as extra-ASEAN trade in forest products through cooperation in R&D, standardization of forest products quality and SFM approach among ASEAN Member

States. These activities, however, have been planned and implemented on a piecemeal approach because inadequate data and information on national policy and practices have been exchanged among the Member States, resulting in an insufficient awareness and knowledge of the status and capability of each other's forestry sectors and the issues and problems persisting in those sectors. As such, in most instances, most cooperative activities that were planned and implemented seldom were able to fully meet the actual national and regional needs desired. Moreover, from the SFM point of view, it is all the more important that there should be sufficient knowledge of each others' forestry situations in order to facilitate cross-sectoral coordination that will link economic benefits with environmental sustainability.

The ASEAN PCF exercises implemented had truly provided the opportunity for the assessing countries to gain first-hand knowledge of the policy, institutional aspects and practices, as well a better understanding of the issues and problems of the forestry sector of the assessed country. Conversely, the other Member States not involved in a particular exercise have the opportunity to learn from the PCF Report produced by the Assessing Team. The Plenary Meeting held among ASOF members to consider and finalize the report of the Assessment Team ensures involvement of all ASEAN Member States in each PCF process.

In conducting the Brunei Darussalam and the Philippines PCF exercises, it was observed that:

- (i) the exercises had provided real in-depth consultations between the "assessed" and the "assessing" countries, especially on matters relating to SFM approaches and practices;
- (ii) despite the respective positions of being the "assessed" and the "assessing" among the Member States involved, the discussions/consultations took a two-way approach, thus providing mutual learning among them through real exchanges of experiences and information;
- (iii) the discussions/consultations held during the Country Visit and the Plenary Meeting, especially during the discussion and finalization of the country's forest sector compliance assessment (as in the case of Brunei Darussalam), also enabled formal and direct interactions to take place internally between the line forestry agency and the other national stakeholders with regard to national forestry matters and their respective roles and involvement, both in terms of quantitative/technical and qualitative/policy indicators derived from regional (ASEAN C&I 2007) and international (ITTO) benchmarks; and
- (iv) statistical consistency is a priority. In as much as there were discrepancies between national and international statistics, this supports the case for joint and enhanced regional data sets in forestry.

In consideration, it could be seen that the basic benefits of the PCF exercise have indeed extended beyond the original intent of promoting mutual learning among the ASEAN Member States involved. This exercise has promoted a new "modality of cooperation" in forestry in ASEAN, in which the Member States involved would engage each other more closely in discussion and directly consult with one another more than in any past or ongoing

cooperative activities on forestry matters. This holds especially true on SFM which has been clearly projected in the vision 2020 statement on cooperation in forestry.

As the most important objective of ASEAN cooperation in forestry is to provide a platform for promoting and enhancing SFM among Member States, the PCF exercise is surely an effective way of furthering this effort in ASEAN.

4. Next Steps Forward and the Challenges

ASEAN Member States stand to grow in knowledge and gain from the ASEAN PCF process, which will appropriately elevate them to a better platform where they may better prioritize, plan and implement cooperative activities in the forestry sector. The ASOF should consider proceeding with the exercise until, at the very least, one round of rotation among all Member States is completed. However, a couple of challenges are foreseen. The voluntary condition of participation in the PCF exercise, both as the assessed and assessing countries, and the allocation of one's own human and financial resources reflect that much is still needed with regard to the commitment of ASEAN Member States in sustaining the PCF approach. Nevertheless, the increased recognition by ASEAN Member States of the importance to forge closer regional cooperation in facing emerging global issues of forestry and environmental concerns does provide some assurance and confidence that the PCF approach would be followed. The political nature of the process and resulting policy recommendations seem to require an up-scaling to the ministerial level to ensure ASEAN ownership and commitment. The ASOF recognize the need for assessing the tool itself against the criteria of efficiency and effectiveness. Prior to another country process, it is advisable to review and refine the ASEAN peer review procedure tested in forest policy (PCF Guideline) based on the experiences of the two PCF processes and in light of the New ASEAN.

Based essentially on experiences with the Brunei Darussalam and the Philippines, the success of a PCF exercise is highly dependent on the capability and commitment of the PCF Chair. The PCF Chair is responsible not only for coordinating the roles and responsibilities of the Assessment Team members in conducting and providing their individual assessment, but, most importantly, in formulating and putting together the first draft of the Assessment Report based on the PCF Team members joint and individual assessment, the data and information obtained during the country visit, and consultations with the various stakeholders. Therefore, the PCF Chair's ability to mobilise and motivate the assessment team, identify key issues relevant to ASEAN SFM and the assessed country, draft or guide the drafting of the PCF report which is fair, balanced, credible and useful; and moderate the plenary discussions of ASOF members is indeed crucial for the entire PCF process.

Considering the requirement for impartiality of the PCF Chair and the role of the ASEAN Secretariat as the regional coordinator of ASEAN cooperation, it is only appropriate that the role as PCF Chair be tasked to the Secretariat. As such, the importance of an adequate capacity and competency at the ASEAN Secretariat cannot be over-emphasized. Institutional measures may include designating staff members to be assigned to the PCF file

on a full-time basis, with the required skills of facilitating results-based cooperation between senior technical and high-level policy officials as well as pairing national and regional concerns. In view of the diverse nature, though intertwined, of the ASEAN Economic Community (AEC) and the ASEAN Social-Cultural Community (ASCC) pillars of the ASEAN Community, a cross-departmental arrangement may be necessary, coupled with the appropriate capacity development. An “observer” status for ASEAN Secretariat and ASEAN Member States (at ASOF/AMAF level) at OECD Peer Review meetings might be a favorable first step to this end.

The success of the PCF also depends on the ability of the Peers to contribute useful and helpful inputs including key issues relevant to ASEAN SFM and to the assessed country; participate in the drafting of the PCF report which is fair, balanced and credible; contribute to the PCF discussion of ASOF members at the plenary meeting; and serve as resource persons for the dissemination of the PCF results.

Another important aspect which requires due consideration by the ASOF and ASEAN Member States is the effective length of the country visit. Based on the experience with the Philippines PCF exercise, especially, a duration of one week was felt too short for the Assessment Team to be able to make a reasonably good, if not complete, assessment of the assessed country’s forestry policy and practices. Beside consultations and discussions with as many stakeholders as possible, actual field trips to representative areas or regions of the assessed country are necessary to provide a total picture of forestry sector situations. The previous two country visits of the Brunei Darussalam and the Philippines PCF consisted of only one-week on site. In both situations, but especially in the latter case, much was left to be desired, resulting in the assessment report being heavily dependent on the country memorandum prepared by the local agency of the assessed country and on reviews of documents obtained during the visit. Notwithstanding the unlikelihood of engaging senior government forestry officials for a longer period of time, where appropriate, ASEAN Member States may want to consider a slightly longer duration for the country visit. This matter had, in fact, been touched upon the Chairman of the 11th Meeting of ASOF in August 2008 in Kuala Lumpur.

Although the PCF process was initiated with a view to promote ASEAN cooperation in forestry and, by the recommendation of ASOF, to approach it in a cautious manner, the entire process has been concluded with high marks. This is due mainly to the strong political commitment genuinely exerted by the two assessed countries from the very beginning. While some Member States might easily feel uncomfortable and sensitive inviting others to review and comment on their internal policy matters, Brunei Darussalam and the Philippines had shown remarkable openness and enthusiasm, embracing this peer review approach for the improvement of their policy in forest resource management and conservation. The next step would be for Brunei Darussalam and the Philippines and next assessed ASEAN Member States, to follow-up on the recommended actions contained in the respective PCF Report and integrate them into their respective National Development Plan.

On the whole, the two PCF exercises have been useful, policy-driven exercises, notwithstanding their pilot character. Considering its generic approach, mainstreaming does indeed matter. The PCF is a policy tool for regional cooperation and joint learning, useful for

all sectors and processes well beyond forestry. Given the successful results of the pilot exercises in Brunei Darussalam and the Philippines, the stage is set for a (more) formal PCF involving more ASEAN Member States. As such, in the light of existing and emerging global issues in forestry, the ASOF should bring the successes of the two PCF and the importance of adopting peer review as a regional approach in forestry to the attention of the Senior Officials Meeting of the ASEAN Ministers on Agriculture and Forestry (SOM-AMAF) and, subsequently, the AMAF for their decision.

The two PCF processes which had been conducted in the ASEAN forestry sector, especially the support of cross-sectoral coordination through discussions during the country visit involving forestry/agriculture/environment ministries and during the plenary meetings, throw lights on the potential benefits of similar processes in ASEAN with regard to climate change. Peer learning might also be a tool – as exemplified in the two PCF processes - to help embedding closely interrelated issues such as forestry, climate change, biodiversity and FLEG in a more coherent manner, i.e. programme-based approach. This would also provide the basis for better coordinated support by ASEAN partners.

Acknowledgement:

The valuable comments and inputs from the ReFOP Office, ASEAN Secretariat, Jakarta are greatly appreciated.

21 March 2009

Chapter 3

Towards Regional Implementation



ASEAN High-Level Seminar

Climate Change Adaptation and Mitigation
Towards a Cross-Sectoral Programme Approach in ASEAN

Conclusion

1. Alignment with the ASEAN Community Blueprints

By 2015, ASEAN is expected to move from its current status as an informal association or federation of countries to a more formally established ASEAN Community. This community will be comprised of three pillars, namely the ASEAN Economic Community (AEC), the ASEAN Socio-Cultural Community (ASCC), and the ASEAN Political-Security Community (APSC). Each of these three ASEAN Community pillars has their own working blueprints with clearly delineated targets and timelines for the implementation of various measures that will advance the establishment of their own operations (AEC, ASCC, and APSC) and, in turn, advance the greater community as a whole. In particular, the goal of the ASEAN Economic Community (AEC) is to transform ASEAN into a more uniform region with the free movement of goods, services, investment, skilled labor and a much welcome freer flow of capital. Meanwhile, the primary goal of the ASEAN Socio-Cultural Community (ASCC) is to contribute to a more formal affiliation of ASEAN countries that is people-centered, and where the livelihood and welfare of all the peoples within its jurisdiction are considerably enhanced.

The agriculture, forestry and fisheries sectors offers primary livelihood, income, and economic opportunities for the majority of people in ASEAN, and currently it is imperiled by the looming waves of climate change and the recent wake of the food crisis. The agriculture, forestry and fisheries sectors fall under the ASEAN Economic Community (AEC) Blueprint, while responding to climate change and addressing its impacts fall under the ASEAN Socio-Cultural Community (ASCC) Blueprint. Consequently, one of the preeminent objectives of the ASEAN High-Level Seminar was to ensure that a strong plan for an ASEAN Strategy on climate change adaptation and mitigation is in place, all the while keeping in mind that such an undertaking needs to be aligned and coordinated with the existing blueprints.

2. ASEAN Multi-Sectoral Framework on Climate Change and Food Security (AFCC-FS)

Taking into account the above, discussions that took place during the ASEAN High-Level Seminar on “Climate Change Adaptation and Mitigation: Towards a Cross-Sectoral Program Approach in ASEAN” resulted in the formulation of *the ASEAN Multi-Sectoral Framework on Climate Change and Food Security: Linkages between Agriculture, Forestry and Fisheries (AFCC-FS)*. This, in and of itself, is a significant outcome.

The AFCC-FS will focus on the knowledge and understanding that climate change will have an impact in achieving the goal of food security, as explained in Strategic Thrust No. 6 of the ASEAN Integrated Food Security Framework. The AFCC-FS will promote

the necessary linkage for development among the pillars of the three ASEAN Community Blueprints. The AFCC-FS will have a cross-sectoral synergistic approach when it comes to the delicate agency of addressing climate change issues by taking into account environmental sustainability, energy efficiency and effective coordination among all of the parties involved. The overall ambition of the AFCC-FS is to contribute to the ultimate goal of food security through sustainable and efficient land and water resources utilization, by minimizing the impacts of and the contributions to climate change.

The timeline projection of the AFCC-FS delineates a commencement in 2010, with a consummation of the body of its work in 2015. During this five year period of time, the major components in this framework will include impact studies and risks assessments of climate change on agriculture, forestry and fisheries. This will result in identifying the most vulnerable or paramount areas for climate change adaptation. In addition to the chances for progress or advancement in adaptation, mitigation opportunities on agriculture, forestry and fisheries will also be explored, such as assessments on 'reducing emissions from deforestation and forest degradation' (REDD) in combination with sustainable forest management (SFM), or reducing methane emissions from rice fields.

ASEAN will also develop integrated information and communication systems directly related to climate change and food security, thereby creating climate change analyses by evaluating historical and current climate variability and trends. The development of such information and communication systems will then help the facilitation of testing and implementation of best practices for adaptation and mitigation in the agriculture, fisheries and forestry sectors. Furthermore, ASEAN will promote conservation and management options for biodiversity to additionally support climate change adaptation and mitigation. All of these components will be assessed under the framework of sustainable land and water utilization options. Each of the ASEAN Member States' national land and water use plans will also be consulted in order that all components are certain to act in association with and be complementary to one another.

3. ASEAN High-Level Ministerial Roundtables

Since this multi-faceted framework will involve even deeper coordination, not only among the Member States themselves, but also within the relevant cross-cutting ministries on a national level, a High-Level Ministerial Roundtable will be initiated for policy guidance in order to aid in the implementation of the AFCC-FS. Policy reports that will address the major impacts of climate change and recommendations for ASEAN will be prepared and submitted to these ministerial roundtables for in-depth discussions and relevant response. ASEAN must also develop any and all potential mechanisms or policies necessary to coordinate the support of the testing and implementation of adaptation possibilities, mitigation options, technology transfers and financing opportunities at both the national and regional levels.

4. Harmonization of Support by ASEAN Partners

The AFCC-FS will have at its helm a Steering Committee (SC) which shall represent all the multi-sectoral bodies involved in climate change issues. It will also include those who represent ASEAN Partners. The management team will need to establish and develop a resource mobilization strategy, including a multi-partners harmonization approach.

5. Next Step Forward

The first draft of the AFCC-FS will be prepared by the end of July 2009 for an ASEAN high-level workshop wherein detailed deliberations and negotiations will take place. Later, the draft will be finalized during the course of business at the Special Senior Officials Meeting- ASEAN Ministers on Agriculture and Forestry (SOM-AMAF) in August 2009 and submitted for endorsement to the 31st ASEAN Ministers on Agriculture and Forestry (AMAF) meeting in October 2009.

Annexes

Seminar Programme

Speakers & Participants Profiles

Portrait of Organizing Institutions



ASEAN High-Level Seminar

Climate Change Adaptation and Mitigation
Towards a Cross-Sectoral Programme Approach in ASEAN

Annex 1

Seminar Programme

Monday, 23 March 2009

Regional Policy Challenges

09.00 **Welcoming at the Hertie School of Governance (HSoG)**
Prof. Dr. Jobst Fiedler, HSoG
Tim Nover, HSoG

INTRODUCTION SESSION

09.15 **Aim & Scope of the ASEAN High-Level Seminar**
Prof. Dr. Jobst Fiedler, HSoG
DSG S. Pushpanathan, ASEC
SOM-AMAF Chair
Rebecca Lannin, AusAID & Dr. Andreas Obser, GTZ

09.30 **Climate Change Adaptation and Mitigation: The Bigger Picture**
Dr. Charlotte Streck, Climate Focus
DSG S. Pushpanathan (*response*)

10.15 Coffee Break

SESSION 1

Session Chair: DSG S. Pushpanathan, ASEC

10.30 *ASEC video: ASEAN and World Food Security*

10.45 **ASEAN Strategy on Climate Change: Setting the Scene**
DSG S. Pushpanathan, ASEC

11.00 **Initiative 1: An integrated Approach to Agriculture, Fisheries and Forestry in ASEAN**
Dr. Somsak Pipoppinyo, ASEC
Dr. Susan Braatz, FAO (*response*)

11.30 **Initiative 2: Establishment of an Information-Sharing System on Climate Change**
Dr. Somsak Pipoppinyo, ASEC

Dr. Charlotte Streck, Climate Focus (*response*)

12.00 **Lunch**

14.00 **Initiative 3: An integrated Approach to Climate Change and Food Security (focus on strategic thrust No. 6 of AIFS)**

Dr. Somsak Pipoppinyo, ASEC

Dr. Wulf Killmann, formerly FAO (*response*)

14.45 Coffee Break

Session Chair: Prof. Jobst Fiedler, HSoG

15.00 **Towards a Cross-Sectoral Programme-Approach in ASEAN: Alignment to ASEAN Community Blueprints, Initiative for ASEAN Integration (IAI) and Harmonization of ASEAN Partner Support**

Panel Discussion

Dr. Raman Letchumanan, ASEC

Dr. Susan Braatz, FAO

Dr. Andreas Obser, GTZ

Dr. Heherson T. Alvarez, Presidential Advisor, Philippines (*response*)

DSG S. Pushpanathan, ASEC (*response*)

SOM-AMAF (*response*)

17.30 End of the seminar day

19.00 **Dinner**

Tuesday, 24 March 2009

Regional Management Approaches

SESSION 2

Session Chair: Prof. Jobst Fiedler, HSoG

08.30 **Managing Cross-Cutting Issues and Interministerial Coordination**

Dr. Wulf Killmann, formerly FAO

Prof. Werner Jann, UP

Dr. Heherson T. Alvarez, Presidential Advisor, Philippines (*response*)

09.30 Coffee Break

SESSION 3

Session Chair: Dr. Christoph Beier, GTZ

- 10.00 **Policy and Strategy Development: Executive Mirror Dialogues**
Dr. Christoph Beier, GTZ
- 10.15 **Managing Human Resources & Regional Expert Pools: ASEAN
Regional Knowledge Networks**
Thang Hooi Chiew, ASEAN-German ReFOP
Dr. Heinz Hauser, GTZ & Fika Fawzia, ASEAN-German ReFOP
- Managing Knowledge & Regional Policy Advice: ASEAN Clearing
House Mechanism**
Dr. Jan Schwaab, GTZ & Daniela Goehler, ASEAN-German ReFOP
Prof. Jobst Fiedler, HSoG & SOM-AMAF (*response*)
- 12.00 **Lunch**

SESSION 4

Session Chair: Prof. Jobst Fiedler, HSoG

- 13.30 **Peer Review in ASEAN: Managing Intergovernmental Learning and
Coordination**
Dr. Fabrizio Pagani, OECD Directorate General
Kensuke Tanaka, OECD Development Centre
Dr. Azmi Mat Akhir, University of Malaya
SOM-AMAF (*response*)
- 15.30 Coffee Break
End of the seminar day
- 18.30 Bus transfer to the GTZ Office Berlin
Meeting Point: Hilton Lobby (Ground Floor)
- 19.00 **Dinner**
Evening Speaker: Wolfgang Schmitt, Managing Director, GTZ

Wednesday, 25 March 2009**Towards Regional Implementation****WRAP-UP SESSION**

- 09.30 **ASEAN Strategy on Climate Change: Recommendations and Next
Steps**
Dr. Somsak Pipoppinyo, ASEC

10.00	ASEAN Strategy on Climate Change: Policy Response SOM-AMAF
10.30	Assessment and Future Potential of Customized Executive Seminars for ASEAN Ministers and ASEAN Senior Officials Prof. Jobst Fiedler, HSoG & Dr. Stavros Yiannouka, LKY
11.00	Closing Remarks Prof. Jobst Fiedler, HSoG Dr. Somsak Pipoppinyo, ASEC
12.00	Farewell Lunch
Afternoon	Departure of Participants



ASEAN High-Level Seminar

Climate Change Adaptation and Mitigation
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Annex 2

Speakers and Participants Profiles

Seminar Director



Professor Dr. Jobst Fiedler

*Professor of Public Management
Hertie School of Governance*

Prof. Dr. Jobst Fiedler teaches in the field of Public Management and Finance at the Hertie School of Governance (HSoG). He has been Associate Dean of the HSoG (2005-2008) and Founding Director of the Executive Master of Public Management Programme. After his studies of law, economics and political science, Jobst Fiedler worked as research fellow at the Social Science Research Center Berlin (WZB); he holds a PhD from the University of Hanover with a thesis on the management of political and administrative reforms.

Beginning in 1980, he worked in executive positions within the city state of Hamburg and was member of several working groups of the OECD and the EU. He was elected Hanover executive mayor in 1990. In 1996, Jobst Fiedler switched to the private sector, joining Roland Berger Strategy Consultants as managing partner. Until 2004, he headed the Competence Centre Public Services, directing consultancy projects on organizational transformation and sitting on several boards facilitating knowledge transfer between academic work and practice.

During his career in the private sector, Fiedler continued publishing and teaching in the field of public management, among others at the University of Potsdam and the Bocconi School of Management in Milan.

Speakers & Guests



Heherson T. Alvarez

*Presidential Advisor on Global Warming & Climate Change
Former Senator and Environment Secretary
Office of the President of the Philippines*

Heherson T. Alvarez is a leading voice on the environment in the Philippines and has led legislative initiatives on major environmental laws. His long career in public service began more than 30 years ago, when he was one of the youngest delegates to the Constitutional Convention of 1971. During the Marcos dictatorship, he spent more than ten years in exile in the United States, but returned to the Philippines in 1986 to become the country's first Secretary of Agrarian Reform. One year later, Heherson Alvarez was elected to the Senate of the Philippines, where he served two full terms until 1998 and chaired the Senate Committee on Environment for ten years. He continued his career as a Member of Congress of the Philippines until 2001, when he was appointed Secretary of the Environment and Natural Resources. In 2003, he became Presidential Advisor on Overseas Filipino Communities and later on Agrarian Reform.

In September 2008, the President of the Philippines, Mrs. Gloria Macapagal-Arroyo, appointed him Presidential Advisor on Global Warming and Climate Change with the rank of Cabinet Secretary. In this position, he headed the Philippine Delegation to the recent 14th Session of the Conference of Parties (COP14) of the United Nations Framework on Climate Change Convention (UNFCCC) and the 4th Session of the Conference of the Parties serving as the Meeting of the Parties (CMP4) of the Kyoto Protocol, in Poznan, Poland.

Heherson Alvarez holds degrees in Liberal Arts and Law from the University of the Philippines and in Economics and Public Administration from Harvard University. He has a Doctorate of Environmental Science (Honoris Causa) from Mindanao State University.



Dr. Christoph Beier

Director General

Asia/Pacific, Latin America/Caribbean

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)

Born in 1962 in Gräfelfing near Munich, Germany, Dr. Christoph Beier studied German and philosophy at LMU Munich and afterwards geography, politics, ethnic studies and agriculture at the Munich University of Technology.

After starting as project manager for industrial settlement at gwSaar – Saarland Economic Promotion Corporation, he continued as EC officer in the strategic policy division of Saarland's Ministry of Economics.

Pursuing his professional carrier, he was research assistant at the Department of Economic and Social Geography, Institute of Geography, Bochum University. Interim he had an assignment, on behalf of GTZ, as Government adviser on decentralisation at Indonesia's Ministry of Home Affairs.

Since 2000 he is Director General, executive with power of attorney and member of the Committee of Executives at the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH, Eschborn.

Since 2007, Dr. Christoph Beier is in charge as Director General of the Asia/Pacific, Latin

America/Caribbean Department; before he was Director General of the Planning and Development Department, Director General of the Mediterranean Region, Europe, Central Asian Countries as well as Director of the business area “German public-sector clients”.



Susan M. Braatz

*Senior Forestry Officer, Forests and Climate Change
Forestry Department, Food and Agriculture Organization (FAO)*

Susan Braatz has worked as a forestry officer for the Food and Agriculture Organization of the United Nations since 1991. She has been Senior Forestry Officer, Forests and Climate Change since January 2007. Ms. Braatz has also held the posts of Coordinator, “Forestry programme for early rehabilitation in Asian tsunami-affected countries” (May 2005-December 2006); Forest Policy Officer and Coordinator, State of the World’s Forests Report (1997-2001); and Land Use and Agroforestry Officer (1991-1997). From 2001-2004, she was seconded from FAO to the Secretariat of the United Nations Forum on Forests, as Senior Forest Policy Adviser.

Prior to FAO, Ms. Braatz worked as the Chief Technical Advisor for UNDP forestry field projects in Somalia (1988-1990) and Niger (1985-1988). She has also worked in Washington, D.C. on international forestry and biodiversity issues for the US Congress Office of Technology Assessment, U.S. State Department, the World Bank, and the International Institute for Environment and Development.

Ms. Braatz holds a Master of Forest Science degree from the Yale School of Forestry and Environmental Studies (1980). Her expertise is in international forestry and sustainable development, forest ecology; climate change, forest policy, participatory forestry, agroforestry and urban forestry, and international forest policy instruments. She has produced several papers and publications on these subjects.



Fika Fawzia

*Program Officer on REDD
ASEAN-German Regional Forest Programme (ReFOP)
Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)*

Fika Fawzia graduated from the Faculty of Law, University Indonesia with a specialization in Environmental Law and Business Law. She received the Outstanding Student Achievement Award in 2008 with her paper titled “The Concept and Strategy of Climate Change Adaptation in Indonesia: Policy Study in West Nusa Tenggara Province”. She represented Indonesia for the Bayer Young Environmental Envoy in 2006 and also for the Ecosystem and Wildlife Conservation Working Group for the ASEAN Logics event supported by the

ASEAN Foundation in 2007. Currently, she is the Programme Officer for Reducing Emissions from Deforestation and Degradation (REDD) in the ASEAN-German Regional Forest Programme. She is also the Network Manager for the ASEAN Regional Knowledge Network on Forests and Climate Change (ARKN-FCC) in the ASEAN Forest Clearing House Mechanism (CHM). Prior to ReFOP, she worked in a US affiliated law firm where she assisted and advised clients on Avoided Deforestation and Clean Development Mechanism (CDM) projects in Indonesia. Fika Fawzia has also done research on good governance, climate change policies and public management issues.



Daniela Göhler

Technical Advisor

ASEAN-German Regional Forest Programme (ReFOP)

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)

Daniela Göhler has been Technical Advisor of GTZ in the ASEAN-German Regional Forest Programme (ReFOP), based at the ASEAN Secretariat in Jakarta since November 2006. Her key qualifications include international forest policy and environmental governance, regional and international cooperation and knowledge and network management. Prior to her work in ASEAN, Daniela participated in the Development Cooperation Trainee Programme of the German Government, implemented by GTZ. In the context of this two-year programme, she was posted at GTZ Headquarters in Germany, Sectoral Project on International Forest Policy, at the World Bank in Washington DC, Forests Team, and in a Cameroon-German Programme in Yaounde. Before joining GTZ, Daniela worked with the UN Food and Agriculture Organization (FAO) in Rome, Italy.

Daniela holds a Master of Science in Forestry from the University of Dresden, Germany. She is an alumni member of the German National Merit Foundation and the Carlo Schmid Program's Network for International Policy and Cooperation supported by the German Academic Exchange Service (DAAD). During her studies, she received a scholarship of GTZ's Ecology Research Program in the Tropics for two research projects in Madagascar.



Heinz-Michael Hauser

Director of Personnel Recruitment

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)

Heinz M. Hauser is head of GTZ's Division of Personnel Recruitment. For the last years, he also directed GTZ's Division of Personnel Development as well as GTZ's Division of Personnel Administration and Supervision. During his years in the Personnel Department, he was responsible for co-designing and implementing GTZ's new HRM system. Previously, he

had been working for several years in GTZ's operational business, as head of GTZ's office in the Middle East, stationed in Amman (Jordan) and Ramallah (Palestinian Territories), as well as head of GTZ's Special Programme for Eastern European Countries, on behalf of several German ministries, among others. As GTZ's senior officer, Mr. Hauser had been working in the field of economic and social policy consulting for several years, covering a wide range of countries worldwide, with special attention to Africa and Central Asia. Before joining GTZ, Mr. Hauser had directed advisory programmes on economic and social policy, stationed in Caracas (Venezuela) and Lima (Peru), on behalf of a German political foundation. He started his career in 1980 as project assistant at the United Nations Training and Research Institute (UNITAR), New York (USA). Mr. Hauser studied Economics, Political Sciences and Sociology at the Universities of Bonn and Tübingen and received his doctorate from the University of Tübingen.



Dr. Wulf Killmann

*Former Director Forest Products and Industries Division
Forestry Department, Food and Agriculture Organization (FAO)*

Wulf Killmann studied Pre-Columbian Archaeology and Wood Technology and holds an MSc and PhD in biology from the University of Hamburg. Since 1976, he worked in technical cooperation projects on forestry and forest products issues, e.g. in Liberia, the Philippines, and Pakistan. From 1984-1995 he was stationed in Kuala Lumpur and led the cooperation on forestry and forest products between Germany and Malaysia, entailing sustainable forest management projects in West Malaysia, Sabah and Sarawak, as well as two national parks projects. From 1995-1999 he was in charge of the German-aided Social Forestry Programme in Honduras, which entailed forest policy advice, assistance to a forestry school, sustainable management of pine forests, community forestry, and two projects on protected areas. Apart from his long-term assignments, he undertook numerous project missions to other countries in Africa, Asia and Latin America. From January 1999 to January 2009, Mr. Killmann directed the Forest Products and Industries Division in the Food and Agriculture Organization of the United Nations in Rome, and also coordinated the FAO's interdepartmental work on climate change issues. Mr. Killmann has authored numerous publications on forestry, forest products and wood construction.



Dr. Raman Letchumanan

*Assistant Director
Environment and Disaster Management Unit
Bureau of Resources Development
ASEAN Secretariat*

Dr. Raman Letchumanan is currently Head of the Environment and Disaster Management Unit in the ASEAN Secretariat (Association of Southeast Asian Nations), where he is overall in charge of regional environmental, conservation, and disaster management issues for the ASEAN member countries. He is also concurrently heading the Initiative for ASEAN Integration Unit, which is responsible for initiatives to narrow the development gap in ASEAN.

Prior to this assignment, Dr. Letchumanan has served the Government of Malaysia for 20 years, since 1981, in various capacities in the Ministry of Science, Technology and the Environment. The last position he held was as Director of the Conservation and Environmental Management Division, where he was responsible for formulation and coordination of environmental and conservation policies and strategies for the country. In that capacity, he has represented the Government of Malaysia in numerous international negotiations on environmental issues, particularly the climate change and biodiversity conventions.

Dr. Letchumanan holds a Ph.D. specializing in trade and environment from the University of Tokyo, Japan. He has a first degree majoring in Mathematics and Physics, and a Masters Degree in Science Policy. He is also qualified professionally as a Chartered Management Accountant of the Chartered Institute of Management Accountants, United Kingdom, and as a Chartered Accountant of the Malaysian Institute of Accountants.



Dr. Azmi Mat Akhir

Senior Research Fellow

Asia-Europe Institute, University of Malaya, Kuala Lumpur

Dr. Azmi Mat Akhir is a Malaysian and holds Bachelor and Master degrees of Agriculture from the Bogor Agriculture University (Indonesia) and Diploma in Advanced Studies in Soils Science and Doctor of Science (Soils) from the International Training Center for Post-graduate Soil Scientists, from State University of Ghent (Belgium).

Dr. Azmi started his career as an Agriculture Officer with the Department of Agriculture (DOA) for Peninsular Malaysia from October 1976 until December 1992. During this period, he rose from a junior officer to head of sections and finally to assistant director of divisions which earned him professional and supervisory as well as administrative and managerial experiences. His service with the DOA also brought him to task with inter-agency/inter-departmental and international duties and responsibilities.

Dr. Azmi opted out from Malaysian civil service and joined the ASEAN Secretariat on 1 January 1993. He started as Senior Officer of Economic Cooperation (Trade and Commodities) and rose in position to Assistant Director/Head of Food, Agriculture and Forestry Unit (presently Natural Resources Unit), Bureau for Economic Cooperation (presently Bureau for Economic Integration and Finance), to Director of Bureau for Functional Cooperation (presently Bureau for Resources Development), and eventually to

Special Assistant to the Secretary-General of ASEAN (Institutional Affairs and Special Duties) before retiring in August 2007 upon reaching the mandatory retirement age of 60. On the date of his retirement, he was the longest serving openly recruited staff of the ASEAN Secretariat.

Dr. Azmi is currently serving as a Senior Research Fellow (ASEAN Networking) with the Asia-Europe Institute of the University of Malaya (AEI-UM) in Kuala Lumpur, Malaysia.



Dr. Andreas Obser

Principal Advisor

ASEAN-German Regional Forest Programme (ReFOP)

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)

Andreas Obser is principal advisor of GTZ and head of the ASEAN-German Regional Forest Programme Southeast Asia (ReFOP) at the ASEAN Secretariat in Jakarta, since January 2008. Mr. Obser is adjunct associate professor of international relations at the University of Potsdam (Germany) and guest lecturer at the Master of Public Management (MPM) and Master of Global Public Policy (MGPP) Programs. Before joining GTZ, he had directed various strategic long-term evaluations on the reform of international development cooperation and strategic management of international programs, on behalf of the Federal Government of Germany and a number of international organizations. Andreas has been Senior Fellow of the adelphi think tank and founding member of the Global Public Policy Institute, both in Berlin. He received his doctorate from the University of Leipzig (Germany) and studied international politics and public management at the Universities of Constance (Germany), Stockholm (Sweden), and Toronto (Canada). Andreas had been head of a DFG (German Research Foundation) research project on “Public Governance in International Multilevel Arrangements”, from 1998-2001. During that time, he had been member of the Steering Committee of DFG’s Priority Programme on Global Environmental Change.



Fabrizio Pagani

Senior Legal Advisor

Legal Directorate

Organisation for Economic Co-operation and Development (OECD)

Fabrizio Pagani holds degrees in international law and international affairs of the University of Pisa and the Scuola Superiore S. Anna (Pisa) as well as a Master degree in International and European Law from the European University Institute (Florence). Beginning his career in academia, he worked as assistant professor of International Law at the University of Pisa (1993-2001) and Assistant Director of the International Training Programme for Conflict Management at the Scuola Superiore S. Anna in Pisa (1995-1998). After two years as a

NATO Research Fellow (1997-1999), he started working in the Department for European Policies in the Italian Prime Minister's Office as Deputy Head of the Legal Office. Mr. Pagani then continued his career in the public sector as Counselor for International Affairs in the Ministry of Industry and Foreign Affairs in Rome (1999-2001) and from 2006-2008 as Chief of Staff for the Undersecretary of State in the Prime Minister's Office. Since 2001, he works as a Senior Legal Adviser at the Legal Directorate of the OECD in Paris. Mr. Pagani published numerous books and articles on international law and current affairs.



Dr. Somsak Pipoppinyo

Assistant Director

Natural Resources Unit

Bureau of Economic Integration and Finance

ASEAN Secretariat

Mr. Somsak Pipoppinyo is working at the ASEAN Secretariat as Head of the Natural Resources Unit and Assistant Director in the Bureau for Economic Integration and Finance (BEIF). He joined the ASEAN Secretariat in 1997 as a Senior Officer for Environment, and then moved to the position of Head of the Forest Fire and Haze Unit from 1999 to 2001. In his current post as Head of the Natural Resources Unit, he is responsible for ASEAN cooperation in the areas of Food, Agriculture and Forestry. In his career path with ASEAN, he has been given a wide range of roles and responsibilities. These include, among others: promoting technical cooperation, programme design, project development, strategy study, and policy recommendation. He has been servicing various levels and scopes of ASEAN and non-ASEAN meetings, ranging from high level of ministerial and senior official conference to diverse fields of technical and working group meetings. Dr. Somsak Pipoppinyo has a background in fisheries science. Prior to joining the ASEAN Secretariat, he was the Head of the Department of Fisheries Technology at Maejo University, Chiang Mai, Thailand.



Pushpanathan Sundram

Deputy Secretary-General

for ASEAN Economic Community (AEC)

ASEAN Secretariat

Mr. Pushpanathan Sundram is a 47-year-old native of Singapore. Since joining the ASEAN Secretariat in February 1996, he has held several senior positions including the Principal Director of the Bureau for Economic Integration and Finance (BEIF), Director of Plus Three and External Relations, and Special Assistant to the Secretary-General of ASEAN. His expertise and experience in handling ASEAN issues are wide-ranging; covering trade, economics, finance, external relations, political and security cooperation.

In his new position as the Deputy Secretary-General for ASEAN Economic Community (AEC), Mr. S. Pushpanathan will assist the Secretary-General of ASEAN in supporting the realisation of the AEC by 2015. He will oversee the implementation of the AEC Blueprint, and the establishment and operations of the new high-level Office of Macroeconomic and Finance Surveillance.

In his previous position as the Principal Director of BEIF, he directed ASEAN economic and finance integration towards the establishment of the AEC. He provided leadership for the conceptualisation and drafting of the AEC Blueprint, a comprehensive and coherent master plan for building the AEC that was adopted by the ASEAN Leaders in 2007. He was also responsible for its implementation, including compliance review, communication and outreach, and putting in place rules-based systems for dispute settlement. Additionally, he was actively involved in forging comprehensive economic partnerships and free trade agreements with ASEAN's Dialogue Partners, and coordinating East Asia-wide economic integration initiatives involving ASEAN, Australia, China, India, Japan, South Korea and New Zealand, including the establishment of the Economic Research Institute of ASEAN and East Asia (ERIA).

Mr S. Pushpanathan has served as the resource person for the ASEAN-China Eminent Persons Group, which provided a set of far-reaching recommendations for the future of ASEAN-China dialogue relations to the ASEAN-China Summit in 2005. He also served in an advisory capacity to the foreign ministries of Lao PDR and Malaysia for ASEAN and related Summits in 2004 and 2005 respectively. He spearheaded the establishment and development of the ASEAN Plus Three Unit dealing with ASEAN's relations with China, Japan and South Korea, and the Specialised Projects Unit dealing with combating transnational crimes at the ASEAN Secretariat.

Prior to the ASEAN Secretariat, he was with the Ministry of Defence of Singapore from 1988-1995 where he was involved in policy and planning work. He was awarded the good service medal in 1994 by the Singapore Armed Forces.

Mr. S. Pushpanathan received his first degree in Economics and Political Science from the National University of Singapore (NUS) in 1988 and a Master Degree in Public Policy from the Lee Kuan Yew School of Public Policy, NUS, in 1994. He was an Associate with the Institute of Oriental Culture, University of Tokyo, Japan in 2006 undertaking research on East Asian community of the future on a Japan Foundation Intellectual and Exchange Fellowship.



Wolfgang Schmitt

Managing Director

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)

Wolfgang Schmitt studied social work at the Catholic University of Applied Sciences of North-Rhine Westphalia, Cologne Department, followed by studies of history, philosophy and

political sciences at the Heinrich Heine University in Düsseldorf.

As from the mid-1980s he assumed numerous leading positions within the Alliance 90/the Greens Party. Prior to joining the GTZ, he was a member of the Federal German Parliament from 1994 to 1998, where he was a member of the Committee on Economic Cooperation and Development and the Working Group for International Politics of the Alliance 90/the Greens Parliamentary Group. Mr Schmitt was Parliamentary Group Spokesman for issues concerning international financial, trade and economic policy. As a former Marshall Memorial Fellow of the German Marshall Fund of the United States, Mr Schmitt continues to be active in the field of German-American relations. Furthermore, he is a member of the German-Japanese Dialogue Forum and the Advisory Council for International Politics of the Heinrich Böll Foundation. In 2000, Wolfgang Schmitt became Managing Director of the GTZ.



Dr. Jan Schwaab

Chief Knowledge Officer

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)

After earning degrees in Business Administration and Economics at the University of Mainz, Dr. Jan Schwaab worked as a researcher and lecturer on topics such as ecological economics and international economic relations. He then joined the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) and worked in various positions in areas such as transportation policy, management of urban air purity, and renewable energies. Since 2004, Jan Schwaab serves as Chief Knowledge Officer and is responsible for GTZ's knowledge management. In 2005, GTZ was awarded the German award "Knowledge Manager of the year", and in 2008 GTZ was ranked first in a benchmark of the European Business School which compared knowledge management in international consulting companies.



Dr. Charlotte Streck

Founding Partner and Director

Climate Focus, Rotterdam

Dr. Charlotte Streck is Director of Climate Focus and a former Senior Counsel with the World Bank in Washington, DC. Charlotte has been actively involved in climate change policy and carbon projects throughout her career and has worked *inter alia* on the setting up several of the World Bank's carbon funds. Charlotte is an advisor to numerous governments, private companies, foundations, and non for profit organizations and is actively involved in the debate around the development of new carbon finance mechanisms in the area of avoided deforestation, agriculture, post-Kyoto solutions, AAU backed green investment schemes and

a reform of the current Kyoto Mechanisms. She serves on several advisory and editorial panels, is senior fellow with the Center for International Sustainable Development Law with McGill University, an adjunct lecturer of Potsdam University and an advisor to the Prince of Wales Rainforest Project.

Kensuke Tanaka

Project Manager Southeast Asia

Organisation for Economic Co-operation and Development (OECD)



Thang Hooi Chiew

Chairperson of the ASEAN Regional Knowledge Network

on Forest Law Enforcement and Governance (FLEG)

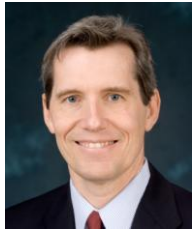
Mr. Thang Hooi Chiew, a Malaysian, joined the Forestry Department Peninsular Malaysia as a District Forest Officer in August 1973 and retired as its Deputy Director General of Forestry in April 2005. During his almost 32 years of service, among others, he was a member of the Malaysian Delegation to United Nations Conference on Environment and Development in Brazil 1992; as well as the World Summit on Sustainable Development held in South Africa 2002; and had participated in all the negotiation sessions of the Intergovernmental Panel on Forests (IPF), the Intergovernmental Forum on Forests (IFF), and the first few sessions of the United Nations Forum on Forests (UNFF).

He had undertaken a number of consultancies for the German Technical Co-operation (GTZ) including the development of the “ASEAN Criteria and Indicators for Sustainable Management of Tropical Forests, 2007”; the “Monitoring, Assessment and Reporting Format for Sustainable Forest Management in ASEAN, 2007”; the “Linkages Between the ASEAN Criteria and Indicators for Sustainable Management of Tropical Forests and the IPF/IFF Proposals for Action”; and the identification of Capacity Building Needs in Malaysia under the EU Forest Law Enforcement, Governance and Trade (FLEGT)-Voluntary Partnership Agreement (VPA). He had also undertaken consultancy work with the Commonwealth Fund for Technical Co-operation (CFTC) in Brunei Darussalam in 1998 and FAO in Myanmar in 1992 and Timor-Leste in 2007.

Currently, he is the Chairperson of the ASEAN Regional Knowledge Network on Forest Law Enforcement and Governance (FLEG), which was recently established in October 2008 with technical assistance and support from the ASEAN-German Regional Forest Programme (ReFOP), as well as the ITTO’s Project Coordinator for Asia to oversee the ITTO-CITES

Program for Implementing CITES Listing of Tropical Timber Species, which is jointly implemented with the CITES Secretariat.

In addition, he is a Member of the Steering Committee of the National Forest Programme Facility, hosted by FAO; as well as a Member of the Governing Council of the Commonwealth Forestry Association (CFA), UK; and the Country Vice-President of the International Society of Tropical Foresters (ISTF), USA.



Prof. Dr. Montgomery van Wart

*Chair, Department of Public Administration
College of Business and Public Administration
California State University*

Montgomery Van Wart holds a Ph.D. in Public Administration from Arizona State University in 1990. Today, he is Professor and Chair of the Department of Public Administration at California State University San Bernardino. Previously, he was Professor and Chair at the University of Central Florida (2003-2005), and before that, a faculty member at Texas Tech, Iowa State, and Arizona State Universities. His numerous books include: *Dynamics of Leadership in Public Service*, *Leadership in Public Organizations*, and *Changing Public Sector Values*. He has published extensively in the leading journals in his field on leadership, ethics, human resource management, comparative public administration, and ideal management practices, among others. He is the Associate Editor of *Public Performance and Productivity Review*, as well as serving on many other editorial boards.



Stavros Yiannouka

*Vice-Dean (Executive Education) & Director External Affairs
Lee Kuan Yew School of Public Policy, Singapore*

Stavros Yiannouka joined the Lee Kuan Yew School in June 2005 to head up Executive Education, Student Recruitment and the School's Strategic Alliances. His areas of interest include leadership, European and Middle Eastern history and current affairs. Prior to joining the School, Stavros was a senior consultant with McKinsey & Company.

Based in Singapore, he served major public sector clients across a range of sectors from financial services to healthcare and higher education. Before joining McKinsey & Company, Stavros practiced corporate and commercial law in the City of London and he is still a member of the Law Society of England and Wales. He also currently serves on the Board of the Institute of System Science at NUS. Stavros Yiannouka holds a Diploma in Legal

Practice (College of Law) and an MBA from the London Business School.

SOM-AMAF Participants



Inthadom Akkharath

*Deputy Director, Department of Planning
Ministry of Agriculture and Forestry
Lao People's Democratic Republic*

Inthadom Akkharath studied Agricultural Engineering in Rostov-on-Don (USSR) from 1977-1983 and Agricultural Applied Science at the University of Queensland (Australia) from 1990-1996. In 1983, he joined the Ministry of Agriculture and Forestry of Lao PDR, where he has since worked in various departments and positions, including the Agricultural Machinery Training Center, and the Division of International Cooperation of the Permanent Secretary's Office (PSO). Mr. Akkharath also worked as Lecturer and Director of Academic Division in Nabong Agricultural College (Faculty of Agriculture of the National of University of Laos).

From 1999 to 2008, he served as Deputy Director of the Division of International Cooperation and Investment, PSO. In this position, he was in charge of bilateral and multilateral cooperation and served as Head of ASEAN focal points of the Ministry. He is a member of National ASEAN Free Trade Areas (AFTA) Unit and a member of the secretariat of the National Committee for the World Trade Organization (WTO) accession of the Lao PDR. Since 2008, Mr. Akkharath works as Deputy Director the Division of International Cooperation, Head of ASEAN focal point of the Ministry he is a member of National ASEAN Free Trade Areas (AFTA) Unit a member of negotiation teams of Laos for ASEAN FTA with its Dialogue Partners.



Tin Htut Oo

*Director General
Department of Agricultural Planning
Ministry of Agriculture and Irrigation
Myanmar*

Mr. Tin Htut Oo studied Agricultural Economics at Ohio State University before joining the Ministry of Agriculture and Irrigation in his native Myanmar. In his 37 years of service, he has worked in a number of different departments and positions, including as Senior Agricultural Advisor and Team Leader for the FAO Agricultural Master Plan Development Project, and as Leader of the Ayeyawady-Chao Phraya-Mekong Economic Cooperation Strategy (ACMECS) and Greater Mekong Sub-region Agricultural Working Group. As an academic, Tin Htut Oo also served as Chairperson of the Governing Board of Southeast Regional Centre for Graduate Study and Research in Agriculture and as a Visiting Research Fellow at the

Institute of Developing Economics in Japan. He currently serves as Director General of the Department of Agricultural Planning in the Ministry of Agriculture and Irrigation.



Pitayakon Limtong

*Specialist on Soil and Water Conservation
Land Development Department
Ministry of Agriculture and Cooperatives
Thailand*

Pitayakon Limtong is a Specialist in Soil and Water Conservation at the Land Development Department of the Thai Ministry of Agriculture and Cooperatives. In his career, he has carried out research in organic soil management, technology for soil improvement and the distribution of soil organic carbon. The results of his research have been published in numerous national and international papers and conferences. Pitayakon Limtong holds a PhD in Soil Microbiology from Kasetsart University (Thailand).



Dr. Preceles H. Manzo

*OIC-Assistant Secretary of Policy & Planning
Department of Agriculture
Philippines*

Dr. Preceles H. Manzo holds degrees in Agricultural Business and Agricultural Development from the University of the Philippines, the University of Gent (Belgium) and a Ph.D. in Agricultural Economics from Kansas State University (USA). He joined the Department of Agriculture in 1988 as a Statistician in the Bureau of Agricultural Statistics and then became Planning Officer in the Policy Analysis Division. Since 1993, he is Division Chief of the Economic Policy Analysis Division. After serving as Acting Director of the Policy Research Service from 2007 to 2008, he became Acting Assistant Secretary in May 2008. In this position, he supervises Policy Research, Planning, Project Development, and International Relations of the Policy and Planning Office of the Department of Agriculture.



Vu Hoan Nguyen

*Deputy Director for General Affairs Division
International Cooperation Department
Ministry of Agriculture and Rural Development
Vietnam*

Vu Hoan Nguyen studied Engineering with a specialisation on Water Resources at Hanoi

University and the Institute of Infrastructure, Hydraulics and Environment in Delft, The Netherlands. In 1996, he joined the Vietnamese Ministry of Agriculture and Rural Development in Hanoi as a Researcher in the Vietnam Institute for Water Resources Research. From 2005 to 2008, he worked as a Project Specialist in the Ministry's International Cooperation Department. In this position, he served as the Ministry's Focal Point for ODA projects on Monitoring and Evaluation (M&E) and Coordinator for international cooperation on climate change and with international NGOs. He was also a member of several Technical Working Groups, including the Strategic Technical Working Group that developed the Ministry's Strategy toward 2020. Since May 2008, he holds the position of Deputy Director of General Affairs Division of the International Cooperation Department.

Seminar Support Team



Tim Nover

*Acting Head of Executive Education
Hertie School of Governance*

Tim Nover joined the Executive Education Team at the Hertie School of Governance in September 2008. After completing a B.Sc. in Information Technology & Business Administration at the International University in Germany, he studied Political Science and Public Policy at the Free University of Berlin and the Hertie School of Governance, where he earned his MPP degree in 2008. Besides work experience at SAP and RAND Europe, Tim also worked as chief editor of the magazine "Schlossplatz³" and coordinated a number of Model United Nations simulations.



Robert Czech

*Associate to the Programme Director, Executive Education
Hertie School of Governance*

Robert Czech joined the Hertie School of Governance in March 2006. He is Associate to the Programme Director of Executive Education (Professor Dr. Enderlein). Robert studied Politics and Philosophy at the Universities of Würzburg and Potsdam, where he earned his M.A. degree in 2008. From 2006 to 2008, he was Project Associate for Population and Development Issues for the United Nations Association of Germany (DGVN e.V.). His work experience includes commitments at Deutsche Kreditbank AG (DKB) and with the University of Würzburg. He also completed internships at the German Embassy in Wellington, New Zealand, and at the German Bundestag.


Gabriele Brühl

*Assistant to the Associate Dean and Programme Director
Hertie School of Governance*

Gabriele Brühl joined the Hertie School of Governance in February 2008 as Assistant to the Associate Dean and the Head of Executive Education. After a training as Foreign Language Secretary, Gabriele worked several years for Messe Berlin and the Technische Universität Berlin, organizing international conferences and fairs. In addition, she worked for the ESCP-EAP European School of Management as Assistant to the Director.


Nele Asche

*Project Associate, Executive Education
Hertie School of Governance*

Nele Asche joined the Hertie School of Governance in April 2008. She is Project Associate for the Executive Education programme. Nele finished her Bachelor degree in European Studies at the University of Chemnitz. She spent one term at the University of Latvia, Riga. Currently, she is completing her Master's degree in International Relations at Free University Berlin, Humboldt University Berlin and the University of Potsdam. Nele acquired working experiences during various internships, e.g. at the German Bundestag and at the Initiative Central and Eastern Europe, a programme of the Robert-Bosch-Foundation.


Htain Lin

*Senior Forestry Officer
Natural Resources Unit
ASEAN Secretariat*


Nurry Purwanti

*Secretary
Natural Resources Unit
ASEAN Secretariat*



Setia Dewi

Project Administrator

ASEAN-German Regional Forest Programme (ReFOP)

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)



Irma Ronia Panjaitan

Project Administrator

ASEAN-German Regional Forest Programme (ReFOP)

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)



ASEAN High-Level Seminar

Climate Change Adaptation and Mitigation
Towards a Cross-Sectoral Programme Approach in ASEAN

Annex 3

Portrait of Organizing Institutions

Association of Southeast Asian Nations (ASEAN)



The Association of Southeast Asian Nations (ASEAN) was established on 8 August 1967 in Bangkok by the five founding Member States, namely, Indonesia, Malaysia, Philippines, Singapore, and Thailand. Brunei Darussalam joined on 8 January 1984, Vietnam on 28 July 1995, Lao PDR and Myanmar on 23 July 1997, and Cambodia on 30 April 1999.

The ASEAN Charter, which creates a legal personality for ASEAN as an intergovernmental regional organization, was signed during the 13th ASEAN Summit in Singapore and was entered into force on 15 December 2008.

The ASEAN Vision 2020, adopted by the ASEAN Leaders on the 30th Anniversary of ASEAN, agreed on a shared vision of ASEAN as a concert of Southeast Asian nations, outward looking, living in peace, stability and prosperity, bonded together in partnership in dynamic development and in a community of caring societies.

In 2003, the ASEAN Leaders resolved that an ASEAN Community shall be established comprising three pillars, namely, ASEAN Security Community, ASEAN Economic Community and ASEAN Socio-Cultural Community.

The ASEAN Secretariat, which is headed by the Secretary-General of ASEAN, has the basic mandate to “provide for greater efficiency in the coordination of ASEAN organs and for more effective implementation of ASEAN projects and activities”.

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)



As an international cooperation enterprise for sustainable development with worldwide operations, the federally owned Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH supports the German government in achieving its development-policy objectives. It provides viable, forward-looking solutions for political, economic, ecological and social development in a globalised world. Working under difficult conditions, GTZ promotes complex reforms and change processes. Its corporate objective is to improve people's living conditions on a sustainable basis.

GTZ is a federal enterprise based in Eschborn near Frankfurt am Main. It was founded in 1975 as a company under private law. The German Federal Ministry for Economic Cooperation and Development (BMZ) is its major client. The company also operates on behalf of other German ministries, the governments of other countries and international clients, such as the European Commission, the United Nations and the World Bank, as well as on behalf of private enterprises. GTZ works on a public-benefit basis. All surpluses generated are channelled back into its own international cooperation projects for sustainable development.

GTZ employs some 12,000 staff in more than 120 countries of Africa, Asia, Latin America, the Eastern European countries in transition and the New Independent States (NIS). Around 9,000 of these staff are national personnel. GTZ maintains its own offices in 69 countries. Some 1,500 people are employed at the Head Office in Eschborn near Frankfurt am Main.

Australian Agency for International Development (AusAID)



Australian Government

AusAID

The Australian Agency for International Development (AusAID) manages the Australian Government's overseas aid program. The aim of the program is to assist developing countries reduce poverty and achieve sustainable development, in line with Australia's national interest.

In 2008-2009 Australia will provide \$3.7 billion worth of official development assistance. The ratio of Australia's aid to Gross National Income (GNI) for 2008-09 is estimated at 0.32 per cent, an increase from 0.30 per cent in 2007-08.

Australia's aid program focuses on the Asia Pacific region. The international community recognises Australia's leading role in the region, particularly in PNG and the Pacific.

The geographic focus of Australia's aid program also makes sense given that two thirds of the world's poor, some 800 million people, reside in the Asia Pacific, yet receive less than one third of total aid flows. Australia continues to provide selective assistance to Africa and the Middle East, primarily working through international and non-government organisations.

The Australian Government, through AusAID, competitively contracts aid work to Australian and international companies. These companies use their expertise to deliver aid projects and often train local people to continue the projects long after the end of the contracts.

AusAID funds not-for-profit organisations, such as World Vision or Oxfam, to deliver aid programs at the local community level in developing countries. In response to emergencies, AusAID staff travel to affected areas to provide immediate support. This can include communities devastated by cyclones and earthquakes, or those recovering from conflict.

AusAID works with the governments of neighbouring countries to improve the way they deliver economic and community services. For example, Australia is working in partnership with the Solomon Islands community to improve the delivery of essential services including economic policy, prisons, law and justice, and functioning schools and hospitals.

AusAID contributes funding to international organisations that help people in emergencies, such as the International Committee of the Red Cross. We also provide funding through the United Nations to UNICEF and to the UN Development Programme, for their work in developing countries. AusAID contributes to global and regional poverty reduction programs set up by the World Bank and the Asian Development Bank.

Hertie School of Governance

The Hertie School of Governance (HSoG) was founded in 2003 as one of the first German professional schools for public policy. It is a project of the Hertie Foundation, located in Frankfurt/Main. In February 2005, the HSoG was awarded state recognition as an institution of higher learning by the Berlin Ministry of Science, Research and Culture (Senatsverwaltung für Wissenschaft, Forschung und Kultur). In 2008, the HSoG was officially accredited by the German Council of Science and Humanities (Wissenschaftsrat).



The HSoG prepares exceptionally talented students and professionals for leadership roles in today's rapidly changing world. Globalisation, the changing role of states and many other factors are redefining the issues of modern governance at a tremendous pace. As a result, any meaningful understanding of contemporary leadership demands new approaches.

Thanks to its innovative teaching and research programmes, the HSoG is uniquely positioned to address the complexities of a transnational world. The work of the HSoG is based on four pillars: Research, Degree Programmes (Master of Public Policy, Executive Master of Public Management, and the Berlin School for Transnational Studies), Executive Education, and Knowledge Transfer.

The Hertie Foundation

The Hertie School of Governance is a project of the Hertie Foundation. The Hertie Foundation carries on the life's work of Georg Karg, owner of the Hertie department store. Founded in 1974, the Hertie Foundation is one of today's largest foundations in Germany, with assets to the order of approximately 850 million Euro.



In its field of focus, which embraces European Integration, Learning Democracy, and the Neurosciences, the Foundation sounds out new solutions and helps towards their practical implementation. The Foundation sees itself as initiator, actuating and triggering off a dynamic process that subsequently allows the sponsored project to unfold and develop on its own.

In the framework of its European Integration programme, the Hertie Foundation founded the Hertie School of Governance in 2003 to institutionalise research and teaching on new forms of statehood and societal governance.

Lee Kuan Yew School of Public Policy



The Lee Kuan Yew School of Public Policy was established in 2004 with the mission of educating and training the next generation of Asian policymakers and leaders. Its objectives are to raise the standards of governance throughout the region, improve the lives of the region's people and, in so doing, contribute to the transformation of Asia.

The School has been involved with partnerships with the John F Kennedy School of Government (KSG) at Harvard University, Columbia University's School of International & Public Affairs (SIPA), the London School of Economics & Political Science (LSE) and the Institut d'Etudes Politiques de Paris (Sciences Po). In 2007, the School was the latest and only Asian member formally admitted into the Global Public Policy Network (GPPN), an initiative to bring together leading institutions from academia and practice to engage in a substantive dialogue around issues of global public policy concern.

Currently, the School offers one PhD and three Masters programmes: the Master in Public Policy; Master in Public Administration; Master in Public Management; and Doctor of Philosophy. While the curricula of these programmes are structured around curricula and pedagogic methods followed by many leading schools of public policy around the world, they also stand out for their emphasis on the public policy experiences of Asian countries and the critical challenges facing them.

Among the many strengths of the School is a diverse faculty drawn from all over the world. An equally diverse student population from all over Asia and beyond provides a rich and lively learning environment both in and out of the classroom. Much of the learning in graduate schools comes from fellow students and in this regard the School provides a unique opportunity to network with future generations of Asian policymakers and leaders. Today the School enjoys the support of 578 alumni from around 30 countries, many of whom have risen to prominent positions in their organisations.