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TROPENBOS INTERNATIONAL

Practical and Inclusive Capacity Development in Forested Landscapes

A Toolkit for Capacity Developers

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Practical and Inclusive Capacity Development in Forested Landscapes:
A Toolkit for Capacity Developers

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2F Valderrama Building, 107 Esteban St., Legaspi Village,
Makati City, Metro Manila, Philippines 1229
+63 2 8891-0595   +63 2 8864-0287
www.forestfoundation.ph
www.facebook.com/forestfoundationph

With the support of:
Habi Education Lab, Inc.
27 Mayaman Street, UP Village, Diliman,
Quezon City, Metro Manila, Philippines 1101
+63 2 7791-1540
kumusta@habieducationlab.org
http://habieducationlab.org

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Illustrations by Mitzi Bajet, JPaul Marasigan, Regine Salumbre

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FOREWORD

With great pride, we introduce this toolkit, a testament to our unwavering dedication to protect and conserve the forests of the Philippines. We started the development of this toolkit during the COVID-19 lockdowns in 2021 to document best practices in capacity development initially for internal use. The draft evolved into this publication, which reflects a collaborative and inclusive approach, incorporating the importance of dialogues among conservationists in the landscapes.

Titled, **Practical and Inclusive Capacity Development in Forested Landscapes**, this publication embodies our commitment to collaboration and inclusive decision-making. It serves a dual purpose: as a guiding resource for civil society organizations, government institutions, academia, and landscape stakeholders, and as a repository of insights and experiences from diverse contexts in forest protection and conservation.

Built upon the principles of Forest Landscape Restoration (FLR), this toolkit goes beyond simple tree planting, delving into the complex web of human interactions within our landscapes. The collaboration between us and Tropenbos International, our partner, along with Habi Education Lab, our grantee, serves as a beacon of wisdom in our collective journey under the Sustainable and Inclusive Landscape Governance (SILG) Program. We also express our sincere gratitude to our partners over the years for their steadfast support in realizing this vision. Moreover, we offer our heartfelt wishes to the readers, hoping that this toolkit serves as a guiding beacon in their conservation journey.

As we embark on this transformative path, let us use this toolkit, not just as a manual, but as a catalyst for collaborative conservation in our forest landscapes. Together, let us pave the way towards a more sustainable and inclusive future.

Forest Foundation Philippines

ACKNOWLEDGEMENTS

This toolkit was developed through the Sustainable and Inclusive Landscape Governance (SILG) Program supported by Forest Foundation Philippines and Tropenbos International.

The Forest Foundation Philippines and Tropenbos International extend their deepest gratitude to the following organizations for lending their time and expertise in developing the toolkit:

- Alternative Law Groups
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- Philippine Association for Intercultural Development (PAFID)
- Safe Water Project Palawan
- World Wide Fund for Nature Philippines (WWF-PH)

The Foundation also extends their thanks to Ms. Iris Joy Abrigo, former Capacity Development Specialist of the Forest Foundation Philippines.

TOOLKIT OVERVIEW

WHAT INSPIRED THIS TOOLKIT?

Forest Foundation Philippines started writing this toolkit during the COVID-19 lockdowns in 2020 as a way to **document best practices in capacity development for internal use**. The initial draft was guided by the input and recommendations of stakeholders from the Foundation's Sustainable and Inclusive Landscape Governance (SILG) Program.

As the toolkit took shape, the Foundation saw an opportunity for it to become 1) a resource for civil society organizations, government institutions, the academe, and other landscape actors who participate in capacity development initiatives, and 2) a way to preserve stories and key learnings from different contexts to create more capacity development practitioners. Inspired by the spirit of collaboration and inclusive decision-making, the final version of this toolkit is the product of dialogues between capacity developers in diverse fields.

HOW CAN WE USE THIS TOOLKIT?

This toolkit is structured to follow the Capacity Development Cycle recommended by the United Nations Development Programme (2015).

Capacity Development Cycle

STEP 1
Engage Stakeholders on Capacity Development

STEP 2
Assess Capacity Assets and Needs

STEP 3
Formulate a Capacity Development Response

STEP 4
Implement a Capacity Development Response

STEP 5
Monitor and Evaluate Capacity Development

Capacity Development Cycle is derived from the recommended systematic approach to capacity development

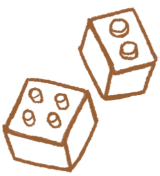
> It's not just about planting trees. At its heart, it's about diverse groups of people and the different ways that they use the landscapes that are the focus of restoration processes.
>
> ***Hwan-ok Ma,***
> ***International Tropical Timber Organization***
> ***(Global Landscapes Forum, 2021)***

Each chapter of this toolkit is focused on a particular step. It contains an overview, rationale of each step, as well as the following:

Have a Think
Prompts to help you reflect on your own experiences and sharpen your understanding of capacity development.

We recommend jotting down responses to enrich your copy of the toolkit with your own stories!

Stories
Firsthand experiences and tips from capacity developers on the ground.



Give it a Try
Recommended methods and approaches that can be used to carry out each step in the cycle.

Troubleshooting
Common issues that you may encounter during the particular step and how to overcome them.

Capacity Development is a cyclical and iterative process; practitioners often have to skip or repeat steps, depending on our resources or the results of the previous steps. Whether you choose to read this toolkit from cover to cover or skip to the chapters you need, you'll be able to find something that will help you with your work as a capacity developer.

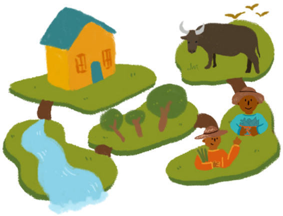
This toolkit is primarily intended for civil society organizations that design and facilitate landscape governance dialogues and capacity development interventions. It may also be used as a reference by the academe, government, private sector, and other landscape partners.

WHAT IS THE SCOPE OF THIS TOOLKIT?

This toolkit focuses on capacity development in the context of Forest Landscape Restoration, or FLR. According to the The Global Partnership on Forest and Landscape Restoration, FLR is “an active process that brings people together to identify, negotiate, and implement practices that restore an agreed optimal balance of the ecological, social, and economic benefits of forests and trees within a broader pattern of land uses” (2002).

FLR is guided by the following principles identified by the Food and Agriculture Organization of the United Nations:

Focusing on landscapes
FLR represents various interacting land uses and management practices under multiple tenure and larger governance systems—not just individual sites.



Maintaining and enhance natural ecosystems within landscapes
FLR enhances the conservation, recovery, and sustainable management of natural forests and other ecosystems.

Engaging stakeholders and support participatory governance
FLR actively engages stakeholders, including marginalized groups, in the planning and decision making of FLR activities.

Tailoring approaches to the local context

FLR uses a variety of approaches drawn from the latest science, best practices, and traditional and indigenous knowledge of the landscape, which are adapted from the social, cultural, economic, and ecological values, needs, and history of the local landscape.

Restoring multiple functions for multiple benefits

FLR aims to restore multiple ecological, social, and economic functions to generate a range of ecosystem goods and services that would benefit multiple stakeholder groups.

Managing landscapes for long-term resilience

FLR seeks to enhance the landscape and its stakeholders through restoration approaches that will bring about long-term, positive changes in climate and environmental conditions, knowledge, capacities, stakeholder needs, and societal values.

To learn more about Forest Landscape Restoration, you can explore the following e-courses:

- **Introduction to Forest and Landscape Restoration.** This course by the Food and Agriculture Organization of the United Nations can be found at https://elearning.fao.org/course/view.php?id=703
- **Human-Centered Approaches to Forest Governance.** Get in touch with the Forest Foundation Philippines to learn how you can take these microcourses! (landscapes@forestfoundation.ph)

WHAT IS CAPACITY DEVELOPMENT

HAVE A THINK

What comes to mind when you hear or read the phrase "Capacity Development?" What capacity development initiatives have you been part of? How similar or different is it from simple upskilling or professional development?

____

____

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Capacity development is often associated with training, workshops, technical assistance, education, and policy advice. But capacity development goes beyond a single learning event; The United Nations Development Programme (2015) defines it as:

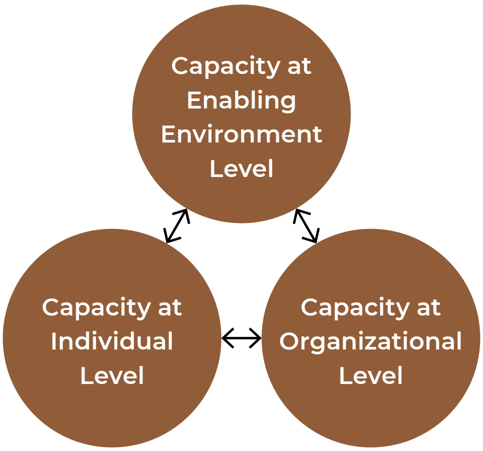
> "The process through which individuals, organizations, and societies **obtain, strengthen, and maintain** the capacities to **set and achieve their own development objectives** over time"

There are two (2) important principles in this definition:

1. **Capacity development assumes that there are existing capacity assets to start from.** This is rooted in the constructivist learning theory, which presumes that people bring their experiences and unique contexts into any learning experience.
2. **Capacity development initiatives should contribute** to an individual's, organization's, or enabling environment's ability to achieve their present tasks, future goals, and objectives.

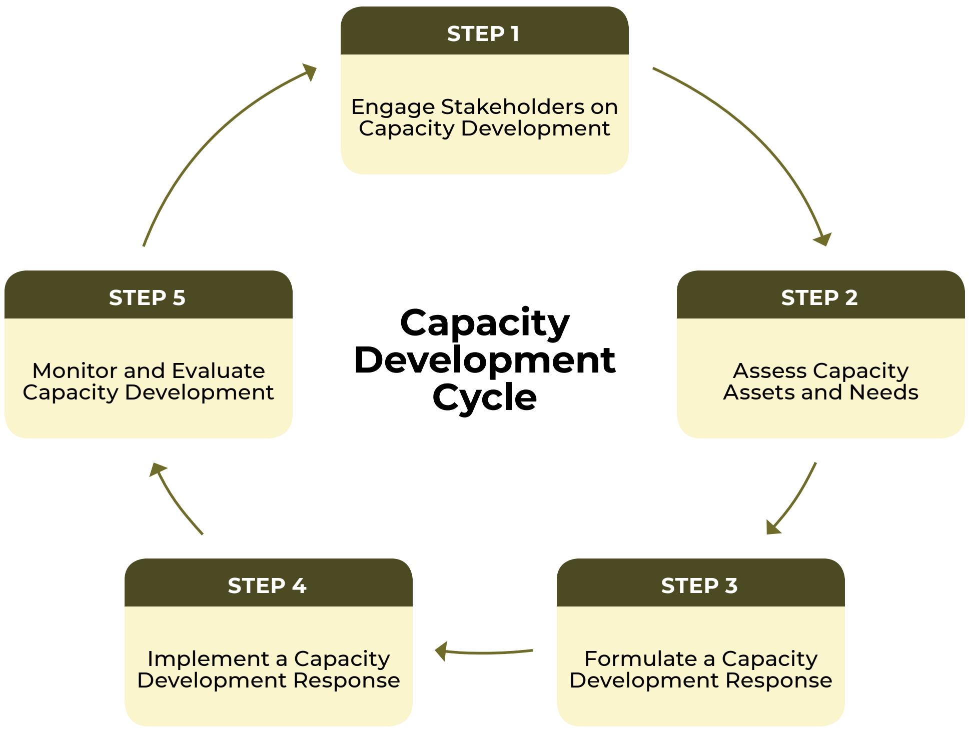
According to the UNDP, there are three (3) areas or levels where capacity should be grown and nurtured:

1. **The enabling environment.** The largest area of capacity "within which people and organizations function" (UNDP, 2015). Capacity development at this level looks like improving "policies, legislation, power relations, and social norms, all of which govern the mandates, priorities, modes of operation, and civic engagement across different parts of society" (UNDP, 2009).
2. **The organization.** The "internal structure, policies, and procedures" (UNDP, 2015) that allows organizations to deliver on their mandate. This area covers formal and non-formal groups and private and public institutions. Developing capacity at this level looks like improving organizational performance and strengthening systems, processes, roles, and responsibilities.
3. **The individual.** The "skills, experience, and knowledge that allow each person to perform" (UNDP, 2015). These can be acquired and developed formally (through education or training) or informally (through observing, discussing, or doing).



The strength of each area or level depends on and determines the strength of the others. For example, individual capacities determine the effectiveness and efficiency of their performance within the organization and enabling environment. In designing capacity development interventions, we must first identify which area we are targeting. Each area has different sets of objectives, expected outcomes and outputs, and target participants. Most interventions focus on the individual or the organizational area.

THE CAPACITY DEVELOPMENT CYCLE



STEP 1
ENGAGE STAKEHOLDERS ON CAPACITY DEVELOPMENT

Participation is one of the most important factors that can contribute to the success of capacity development initiatives. Before designing any capacity development intervention, it's important to **engage with stakeholders as early as possible**. After all, these interventions are aimed at developing their capacity; they are in the best position to tell us what they need, what exists, what works, and what doesn't.

We engage with stakeholders so that they can provide context, insights, and suggestions that may help shape the direction of the capacity development program. **This transforms them from stakeholders into co-developers, providing them with a sense of ownership and accountability for the proposed strategies and interventions.**

Stakeholder engagement for capacity development can look like:

But before we can engage our stakeholders, it's important to know who they are and the role that they might play in capacity development. A comprehensive stakeholder map ensures that all relevant and concerned stakeholders are identified and included in the collaboration and discussion of needed capacities.

WHO ARE THE STAKEHOLDERS THAT WE MIGHT ENCOUNTER IN CAPACITY-BUILDING FOR FORESTED LANDSCAPES?

Indigenous Peoples (IPs) and Local Communities (LCs)

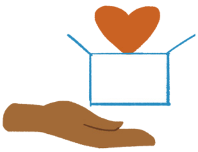
IPs and LCs are people and communities living within or near the landscape. Often identified as ethnic groups or original inhabitants of a locality in the landscape, most capacity development strategies and interventions are focused or intended toward them.

Governments

This includes local government units and local and national agencies that manage forests, land, water resources, and related livelihood issues in the landscape. Each government unit or agency has different mandates, such as forestry, agriculture, mining, infrastructure, climate change, etc.

Private Sector

Private sector actors can be based within the landscape or outside it. Most operate in the landscape for profits engaging in supply chains of forest-related products and services or other sectors such as agriculture, mining, and energy. Some of them invest in the landscape for social benefits such as social credits, networks, visibility, and branding.



Civil Society Organizations (CSOs)

These stakeholders include non-profit and non-governmental organizations, and community-based organizations. Their interests vary from human rights to animal rights, from environmental sustainability to socio-economic development. CSOs work closely with communities while playing a supporting role in bridging the gap between the local community and the local governments to achieve FLR goals.

Academic & Research Institutions

These are organizations that provide education and conduct research in various fields of study. They provide science-based policy recommendations, new technologies, and trends being developed and used to address environmental issues.

International Non-Government Organizations (INGOs)

INGOs play a major role in providing international development, aid, and philanthropy. Some can also influence public policy.

> Capacity development begins with people talking and listening to each other.
>
> ***United Nations Development Programme***
> *UNDP, Capacity Development Primer, p. 22*

FREE PRIOR INFORMED CONSENT

When engaging with stakeholders, one crucial consideration is whether or not there are mandatory procedures to be followed and when they need to be done to have smooth interactions. In the case of IPs and indigenous cultural communities (ICCs) for example, the National Commission on Indigenous Peoples (NCIP) requires that "any developments and projects to be implemented in the ancestral domain have complied with the **Free Prior Informed Consent** requirements imposed on all proponents of the projects." This means that **all activities that involve IPs/ICCs need negotiations between the community, represented by its Council of Elders/Leaders, and the applicant, facilitated by the FPIC Team.** FPIC means:

Free *(Malaya)*

In the process of getting consent, there is no coercion, intimidation, or manipulation of IPs/ICCs.

Prior *(Nauuna)*

The consultation and consent process should be conducted well in advance of any measures that may affect communities, with appropriate respect given to the time required by indigenous processes.

Informed *(Nauunawaan)*

IPs/ICCs are comprehensively and properly informed of all the impacts, effects, and risks involved with a project.

Consent *(Pinagkasunduan)*

After being informed of all the impacts, effects, and risks involved with a project, the IPs/ICCs have given the applicant permission to proceed.

Aside from the FPIC process, there are also the Indigenous Knowledge Systems and Practices (IKSPs) and Customary Laws (CLs) Research and Documentation Guidelines. These are used for community-initiated or solicited research, academic research, research in aid of policy, social research, and research necessary **to respect and protect the rights and empower IPs/ICCs to their plight to self-determination, governance, and socio-cultural development**.

Kadalasan ay ginagawa ang pakikipag-ugnayan sa isang lugar na maraming nakakakita upang maging aware ang lahat sa komunidad. Sa kasalukuyan, hindi hinaharap ang mga taga-labas o outsiders kung walang notice o babala sa kanilang pagdayo o pakikipag-ugnayan. **Kinakailangang makipag-ugnayan muna ang mga taga-labas o outsider sa Kaksaan, sa TCD, o sa NCIP bago dumirekta sa komunidad.**

Tribal Center for Development

GIVE IT A TRY

Modified Venn Diagram / Institutional Map

A modified Venn diagram, or institutional map is a participatory strategy that can be used to map out community stakeholders (both internal and external!) and their social relationships within communities and networks. (Freudenberger, 2008).

What you need

- Manila papers or flipchart papers
- Meta cards of different shapes and sizes (e.g., small, medium, and large circles, squares, and triangles)
- Adhesives (e.g., masking tape, sticky tack)
- Writing instruments (e.g., markers)
- Representatives from the capacity development beneficiaries

Instructions

1. Explain the purpose of the activity, which is to identify the different people, organizations, and institutions that interact with the community, and their relationship with the community. Note that it is crucial to set the participants' expectations of the activity to prevent misleading them and ensure that all participants are aligned.
2. Ask the participants to enumerate the different people, organizations, and institutions that they interact with. You or a colleague can list them down on a different sheet of paper.
3. Draw a large circle and explain that this represents the community.
4. Share the meta cards of different shapes and sizes and agree on a legend for the shapes. For example:
    a. Squares for the private sector, triangles for government, and circles for communities
    b. Big shapes mean more power for the particular stakeholder
5. Write the names of the stakeholders identified on the appropriate meta card.

6. Discuss the relationship the community has with each stakeholder and use these discussions to determine their distance from the center. You may use the following guide questions:
   a. Which institutions can be tapped to provide assistance?
   b. In what ways do they help our community?
   c. Which of these institutions do not support our community?
7. Document these conversations through photographs and videos.

Institutional map produced by representatives of Brgy. Salvacion, Siruma, Camarines Sur. (Photo from: ISO Archives)

While we recommend that this activity be done in person for accessibility and better flow of conversation, this mapping exercise can also be done online or remotely using the following tools:

- **Zoom / Google Meet.** Free video calling platforms.
- **Google Slides.** A free collaborative slide deck similar to Microsoft PowerPoint.
- **Miro.** A free digital collaboration platform.

Before facilitating this activity remotely, advise your participants that it's best to participate with a computer, and to create free accounts on the tools beforehand. If they don't have a computer, they would need to download the applications on their mobile device in addition to signing up for a free account.

3 tips for successfully engaging with stakeholders:

1. **Be clear and transparent.** While it is likely that you already have existing partnerships with the stakeholders you have identified, you may also have to start from scratch. Introduce your organization and be honest about the objectives of the engagement.
2. **Communicate expectations.** Explain the stakeholders' potential role or contribution in the engagement. Emphasize that you hope they will be co-creators in designing the capacity development and partners in the whole learning process.
3. **Make it easy to participate.** Consider their daily and seasonal responsibilities when looking for common times to minimize the opportunity cost of taking their time.

HAVE A THINK

Think about the ways that you engage stakeholders in capacity development initiatives. What works? What doesn't work?

STEP 2
ASSESS CAPACITY ASSETS AND NEEDS

After successfully engaging the stakeholders, we assess the needs and assets of the target beneficiaries through a systematic and objective approach. We do this to:

- **Develop a comprehensive understanding of issues that could be addressed.** In many cases, it's not always obvious where to intervene. A thorough understanding of the issues ensures that the program targets the most relevant and pressing challenges.
- **Generate qualitative and quantitative baseline data.** Understanding the current state of capacity helps us make informed decisions on the scale, scope, and design of the capacity development program, as well as the resources that need to be mobilized towards it.
- **Foster relationships between stakeholders.** This step creates a common language of discussion among potentially disparate parties while building a warmer relationship between stakeholders.

Sa community ... **[kunin] mo muna 'yung interest nila. Tanungin mo.** Makipamuhay ka. **Kapag sa kanila nanggaling ang interest, hindi 'yan sasablay.** Kunin mo 'yung interest na hindi nava-violate 'yung environmental laws. Kung may iko-co-create sa kanila, kunin mo muna ano 'yung interest nila. **'Yung interest nila plus sustainability ang dapat unahin.**

Remelyn Napay
World Wide Fund for Nature (WWF) Philippines

The individual, organizational, and enabling environment areas have varying strengths and challenges. A comprehensive capacity needs assessment will allow us to establish an evidence-based inventory of capacity development approaches.

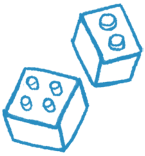
There are three (3) stages in assessing capacity:

- Stage 1: Mobilization and Design
- Stage 2: Assessment
- Stage 3: Summary and Interpretation of the Results

Stage 1: Mobilization and Design

There is no one perfect assessment tool for every engagement but ideally, it should be co-developed with the target beneficiaries to accommodate their unique context, felt needs, and circumstances. Common methods of assessment include:

- **Surveys.** Self-assessment can take the form of questionnaires with qualitative or quantitative questions.
- **Interviews or focus group discussions.** One-on-one interviews allow for probing and clarification of responses while FGDs allow participants to build on each other's ideas.
- **Observations.** Directly observing target beneficiaries in their environment can help identify gaps that may be addressed through capacity development.



GIVE IT A TRY

Here are some suggested assessment method designs based on the three areas of capacity:

INDIVIDUAL

Training Needs Assessment

A Training Needs Assessment (TNA) is a systematic process for identifying the knowledge, skills, and competencies that an individual needs to perform a role effectively, or achieve their goals. When designing a TNA, we can consider the following prompts:

- **Context:** What is their existing situation? What is their current knowledge or level of comfort to perform a specific capacity?
- **Expectations:** What is expected from them by their community, by the project, by their organizations, or by their current circumstances?
- **Gaps:** What is/are the gap/s between their existing level of capacity and what is expected from them? If there is/are an ability gap/s, which among these is the priority?
- **Approach:** What kind of capacity development approach can address the gap/s?
- **Evaluation:** How do we know that capacity is being developed? What are our success indicators?
- **Responsibility:** Who will be responsible for each capacity development theme/gap?

Responses can be mapped across a table like this:

Context	Expectations	Gaps
Approach	**Evaluation**	**Responsibility**

GIVE IT A TRY

ORGANIZATIONAL

Community profiling is a participatory appraisal strategy for gathering, analyzing, and interpreting information about a community or geographic area to understand its characteristics, needs, assets, challenges, and dynamics. We recommend three (3) strategies:

Community Calendar

A Community Calendar aims to lay out important seasonal issues and events. This tool may surface recurring concerns and issues and how often they need to be addressed. You can use the calendar to learn about the different aspects of forest landscape restoration related to community life such as:

- Significant events
- Agricultural calendar
- Forest product availability
- Land use patterns
- Seasonal rules and regulations

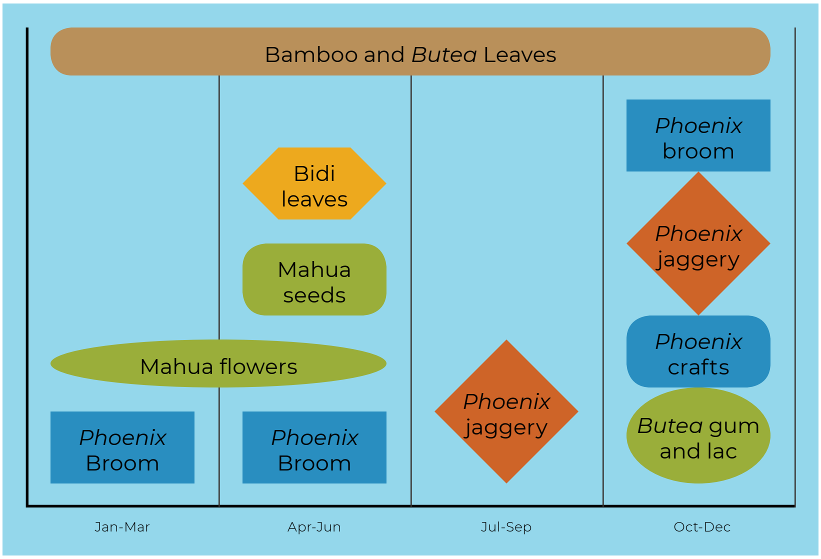
One of the best ways to create a Community Calendar is through a participatory process.

What you need

- Manila paper or flipchart paper
- Meta cards or pieces of paper
- Adhesives (e.g., masking tape or sticky notes
- Writing instruments (e.g., markers)
- Beneficiaries

Instructions

1. Find a large open area where everyone can clearly see what is being done and explain the purpose of the calendar.
2. On the horizontal axis, write out the unit of time that makes the most sense of them (e.g., monthly or weekly). On the vertical axis, write down the aspects that you want to track.
3. Use meta cards or pieces of paper to plot the aspect vis-a-vis per month.



Seasonal calendar of non-timber forest products (Chavan, 2016)

The calendars can be a visual representation that you can refer to as you gather more complex information such as asking what happens, challenges that the community encounters, and how they respond to these.

GIVE IT A TRY

ORGANIZATIONAL

Organizational Profiling

Organizational Profiling is useful if the target capacity development beneficiaries include various organizations (e.g., IPs, LCs, cooperatives, people's organizations, civil society organizations, and local government units). The goal is to determine their level of independence and in which specific areas they would need support.

According to the UNDP (1998), we may assess organizations based on, but not limited to, the following categories:

- Mission and strategy
- Cultural structure and competencies
- Processes
- Human resources
- Financial resources
- Information resources
- Infrastructure

Similar to the historical profile, this information can be gathered through activities such as a document review, focus group discussions, surveys, and key informant interviews.

Historical Profiling

A Historical Profile is a "semi-structured interview" (Freudenberger, 2008) that aims to surface events that led to significant changes in the lives of community members or a major change in the landscape. It is normally done with the elderly members of the community. This activity can be conducted with nothing more than a recorder and a notebook but if you have an opportunity to gather the members of the community together, creating a visualization can help you harvest deeper stories.

What you need

- Manila paper or flipchart paper
- Meta cards
- Writing instruments (e.g., Markers)
- Adhesives (e.g., masking tape or sticky tack)

Instructions

1. Gather participants together and explain the purpose of the activity.
2. Start with the founding of the community and put the date at the very left of the Manila paper.
3. Ask the participants to share landmark dates that have had a significant impact on the lives of the people in the community. Use the meta cards to list these dates and events down—this allows you to reorder the cards during the interview if corrections need to be made.

Sample list of interview questions:

1. What are the traditional practices?
2. Who does what?
3. What previous capacity development activities have you done?
4. Who were your previous partners?
5. Were the interventions successful?
6. What went right? What went wrong?

GIVE IT A TRY

ENABLING ENVIRONMENT

Capacity Assessment Matrix

In the enabling environment area, enabling policies and the environment are key to supporting landscape restoration initiatives. A matrix can be used to organize data harvested through a combination of surveys, document review, key informant interviews and focus group discussions.

When looking into the enabling environment, these dimensions are what we can zoom into:

- **Policy framework:** The purpose and value systems that govern the environment.
- **Legal and regulatory framework:** The rules, laws, norms, and standards that govern the system.
- **Management and accountability framework:** The people who design, manage, coordinate, monitor, and evaluate capacities at the environment level.
- **Resources:** Human, financial, and informational resources that may be available within the environment.
- **Processes:** The inter-relationships, inter-dependencies, and interactions amongst the entities.

CAPACITY ASSESSMENT MATRIX

Dimension of Capacity	Existing Capacity	Future Capacity	Capacity Gap	Strategies
Policy Framework				
Legal and Regulatory Framework				
Management and Accountability Framework				
Resources				
Processes				

Source: Capacity assessment and development : (un.org)

It's important to note that in capacity development, we work with very different stakeholders per initiative. There is no one-size fits all approach to assessing capacity needs and resources as the best tools can vary based on context, culture, and need.

For more assessment strategies, you can also refer to the following references:

- **Handbook on Participatory Vulnerability and Capacity Needs Assessment - Resource and Ecological Assessment** by Samantha Mae M. Poblete and Kayla Marie I. Castro
- **Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA)** by Karen Schoonmaker Freudenberger

Stage 2: Assessment

In this stage, we implement the actual assessment of needs. It's important to do this in a way that sets the tone for the entire engagement: this is not merely an external intervention; this is a partnership and this assessment aims to help you understand the community's issues more deeply.

> The Foundation uses a landscape approach [in assessing needs]. We bank on dialogues not just as a medium for gathering information, but establishing relationships with communities. From there, doon lang nagkakaroon ng pagkalagayan ng loob, which is when they would share what they need. It doesn't have to be a formal dialogue, puwedeng [kuwentuhan] lang sa tabi.
>
> ***Joy Quetula, Forest Foundation Philippines***

GIVE IT A TRY

Apart from dialogues, formal and informal communication can be used as assessment tools. These include key informant interviews, random conversation from the participants–even getting a feel of the room!

Cultivating a sense of trust is important so that participants can speak more freely. In addition to introductions, you can begin the dialogue by establishing the following norms:

There is no single expert in the room. Acknowledge that everyone offers a unique perspective, and the concept of right or wrong does not apply to the discussion.

Trust the process. Assure the participants that while there may be some unconventional questions or processes, the responses will be kept confidential.

Show, don't tell. Do you have data to show? Or a sample product for them to see? Avoid overexplaining and using theoretical language. Show them the visuals and guide them along the discussion.

Process and document all insights. After every dialogue, guide them by processing their feelings and strong inclinations on the topic. This allows the participants to fully understand the context and shared vision you have. Finally, documentation is key for looking back on the discussion. Be sure to document all insights gathered.

Be adaptive to change. Keeping an open mind and embracing change allows you to make pivots and make the discussion much better for the participants' experience.

For more tips on facilitating dialogues, check out **Sustainable & Inclusive Landscape Governance: A Toolkit for Dialogue Facilitators** by Forest Foundation Philippines.

TROUBLESHOOTING

In some cases, we'll need to conduct our assessments remotely. Sometimes it can be as straightforward as sending target beneficiaries a link to a survey on Google Forms or other available survey tools, but the richer data comes from interviews, dialogues, and focus group discussions. Our responsibility then is to ensure that it's a smooth, inclusive, and accessible experience for everyone. Here are some tips for facilitating remote assessments that can also apply for in-person engagements:

Agree on roles beforehand. It's best to have a pair, at a minimum, do the assessment so that one person can listen actively and engage with respondents while the other focuses on documenting and providing tech support.

Choose familiar tools. Learn about the tools that the participants have used before and opt for those instead of the ones that you might prefer or are unfamiliar to them. Participants from diverse backgrounds have varying levels of technological proficiency; when they're comfortable with the tools being used, they're more likely to actively contribute to the conversation without being distracted or frustrated by technical issues.

Prepare for mobile first. There is a high possibility that the participants will be joining from their mobile devices instead of a laptop. If you intend to use any workspaces, they'll need to download the application for ease of use. Ensuring that all workspaces that need to be used are compatible with Android is one way that you can design for accessibility.

Overcommunicate. Maximize all communication channels to ensure that participants are aware of what will happen and the tools to be used beforehand.

Stage 3: Summary and Interpretation of the Results

After gathering the necessary information, results should be able to point out:

- ✓ Capacity development beneficiaries
- ✓ Information on existing capacity development assets
- ✓ Prioritized list of capacity needs (can be categorized per areas of capacities)
- ✓ Possible partner organizations for implementing capacity development programs (can be derived from stakeholder mapping)

Participatory and collaborative needs assessment will aid in ensuring the development of comprehensive baselines and holistic approaches.

HAVE A THINK

In what other ways have you assessed the capacity needs of your communities? What worked? What didn't work?

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STEP 3
FORMULATE A CAPACITY DEVELOPMENT RESPONSE

At this point, we use our findings from the previous step to decide on goals and co-develop a program with our beneficiaries. The work that we've done in the first two steps can help us formulate approaches that are **relevant to their needs and aligned with the cultural norms and customary laws** of the target beneficiaries, particularly indigenous peoples.

Halimbawa, kapag ang isang bahay, pumunta ka doon, lalaki ka, ang nandoon lang ay babae, bawal kang pumasok. So **dapat naiintindihan natin ano yung mga paniniwalaan nila**, ano 'yung mga **belief system** na hindi natin nava-violate. Magagawa lang natin 'yun kung naiintindihan natin. So ang obligation natin is to understand ano ba 'yung tradition at culture na prevailing doon sa lugar na iyon para marespeto. Walang masamang magtanong. I think ang **keyword sa akin is 'magtanong.'**

Roger Garinga,
Institute for the Development of Educational and Ecological Alternatives, Inc.

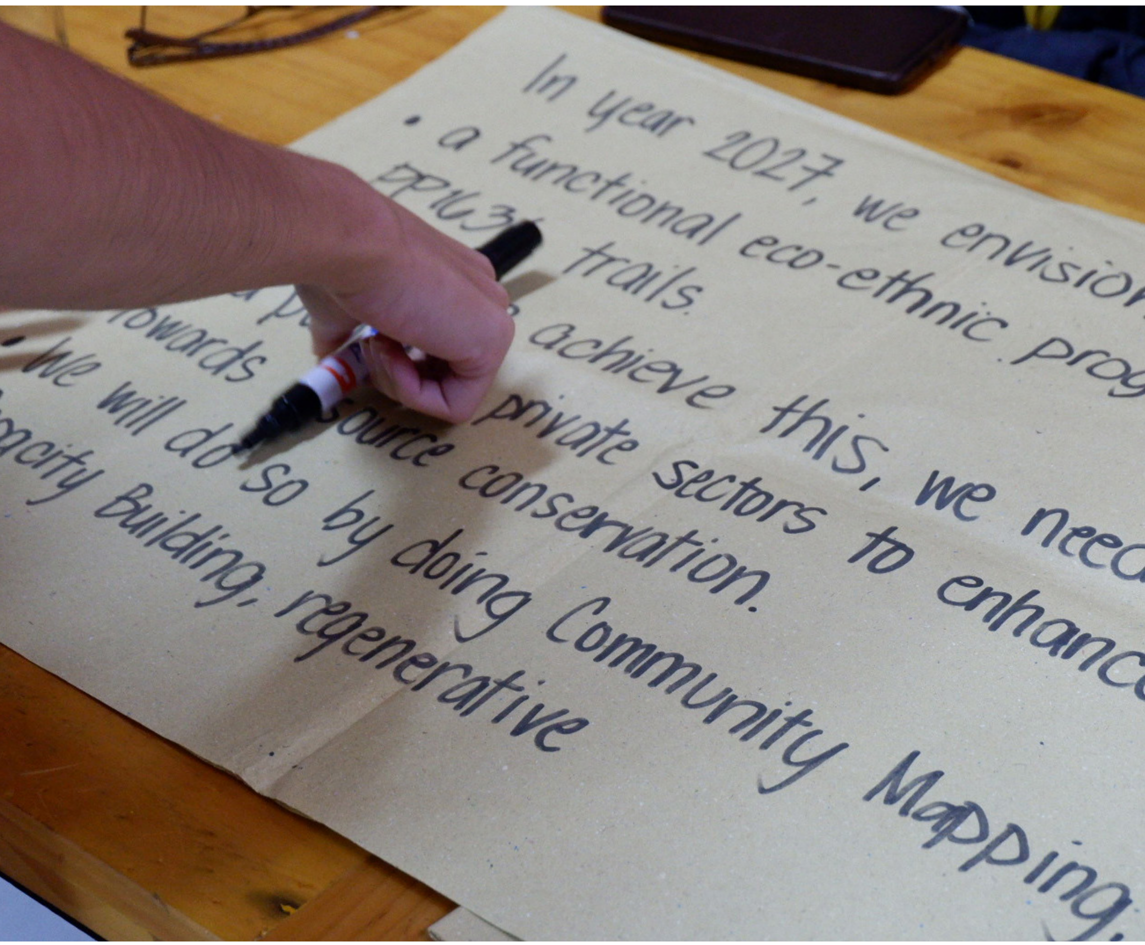
There are two (2) stages in formulating our programs.

- Stage 1: Crafting Goals and Indicators
- Stage 2: Designing Your Program of Activities

Stage 1: Crafting Goals and Indicators

To ensure that our capacity development program is successful, we must first know what success looks like. When we have a clear understanding of the program's purpose and its desired outcomes, it becomes easier to select and design activities that achieve these.

All stakeholders must be aware of the goals–it's even better if they are part of crafting them.



GIVE IT A TRY

Here are some frameworks that we can use in formulating goals and success indicators with our beneficiaries:

SMART Goals

Articulating goals as SMART is one way to ensure that they are well-defined and realistic. When formulating SMART goals, you can use the following guide questions:

(S) Specific

In one sentence, what is your goal? What do you want to accomplish? Does your goal clearly and specifically state what you are trying to achieve?

Example:

In two years, the conservation team will add 6 hectares to the existing mangrove forest

(M) Measurable

How will you know you've met your goal? What will be your metric? How will you and your stakeholders know if progress has been achieved?

Example:

An additional 6 hectares of mangrove will be created within two years

(A) Attainable

What specific actions must you take to complete this goal? Will you require the help of others? If yes, clearly state what their role might be. What factors may prevent you from accomplishing your goal?

Example:

- *Mangrove planting activities*
- *Capacity development on mangrove management*

(R) Relevant

Why is achieving this goal important to you and your stakeholders? What value/s will achieving your goal contribute? Will this goal accomplish a certain challenge you or your stakeholders are facing?

Example:
It is relevant to the organization's mission of promoting sustainable mangrove management and conservation.

(T) Time-bound

When will you reach your goal? Is there a specific date this needs to be completed? Is there a minimum required length of time this will take to complete?

Example:
In two years

Key Performance Indicators

Key Performance Indicators (KPIs) can be used alongside SMART goals to craft measurable targets that can help us gauge our progress and success. To use KPIs:

- **Select relevant key performance indicators.** Relevant KPIs directly align with our SMART goals and are measurable indicators of success.
- **Define metrics.** Determine the specific data points that will be used to measure each KPI.
- **Set targets.** Establish challenging yet achievable target values or ranges that would serve as a benchmark for success.

Example:
In a mangrove reforestation project, relevant KPIs could include:

- *Number of mangrove seedlings planted*
- *Survival rate of mangrove seedlings*
- *Community engagement*

GIVE IT A TRY

Here are some frameworks that we can use in formulating goals and success indicators with our beneficiaries:

Performance, Conditions, Criteria

This framework provides quantifiable metrics for assessing progress and success.

Performance

What knowledge, skill, attitude, or behavior do we want to see in our target beneficiaries?

Example:
To implement the mangrove management plan

Conditions

Under what circumstances should they be able to exhibit the desired knowledge, skill, attitude, or behavior?

Example:
In consideration of livelihood dependencies and cultural values of the local community

Criteria

What is the quality of performance we should be aiming for?

Example:
Follows relevant policies and regulations

Five Senses

This is a simple way of formulating goals and indicators based on what the beneficiaries hope to be able to experience after the initiative. To use this framework, complete this sentence:

If we succeed, what do our results...

- Sound like?
- Taste like?
- Look like?
- Smell like?
- Feel like?

What does a bigger mangrove forest...	
Sound like?	Birds chirping, rustling leaves, water ripples, fish splashes
Taste like?	Salt in the air
Look like?	More mangroves
Smell like?	Salt in the air
Feel like?	Cooler air

Example of a filled out Five Senses goal setting framework

Stage 2: Designing Your Program of Activities

What does an effective capacity development program look like? Here are some principles harvested from consultations and discussions with the Foundation's partners during the 2021 Capacity Needs Assessment:

Responsive to Identified Gaps

Strategies and interventions must be adaptive and responsive to the gaps identified in the assessment. Similarly, the approaches, medium, and materials must adapt to the existing competencies of the target beneficiaries and be sensitive to their nature and situation.

Encourages Participation

Active participation creates an inclusive learning environment where all stakeholders can benefit. Beneficiaries are assumed to have a better understanding of their capacities so highlighting local and indigenous knowledge and approaches is a way to acknowledge their existing capacities and encourage their active participation in the process.

Localized and Contextualized

We aim for capacity development initiatives to be easily understood by the target beneficiaries. This looks like using language, materials, and ideas that are familiar and resonate with the community. Aside from ensuring that the information is accessible and impactful, localization and contextualization shows respect for the local culture and existing capacities, which helps to build trust and engagement with the community.

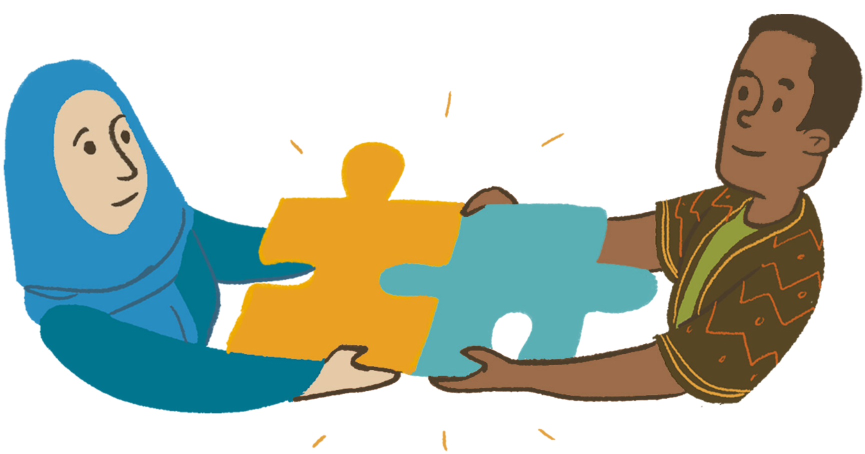
Recognizes Local Experts and Champions

In the early stages, it is challenging to involve entire communities or entities in capacity development strategies and interventions. Landscape stakeholders recommend identifying local experts and potential champions in the communities who can serve as facilitators, resource speakers, early adopters or influencers. The endorsement and active participation of respected members of the community can encourage participation beyond the program and lead to its sustainability.

Accessible

The COVID-19 pandemic and its lockdowns have inspired capacity developers to embrace more modern approaches like webinars and online courses. However, these approaches may not be accessible to all target beneficiaries, especially indigenous peoples and local communities located in remote areas. For capacity development to happen, we must adopt approaches that are appropriate for their pre-existing conditions, levels of competency, and headspace.

Altogether, these principles can guide the capacity development implementers in crafting a sustainable and inclusive capacity development program suitable for the target beneficiaries.



GIVE IT A TRY

It's important to design a program with a variety of learning activities that are aligned with our learning goals. Aside from being able to accommodate different learning styles, some learning goals are also easier to achieve through particular activities.

Dr. Diana Laurillard of Oxford University (2012) believes that people can learn in six (6) different ways:

Acquire
Learning through reading texts, watching videos, or listening to lectures and recordings

Inquire
Learning through actively searching for the answers to a question posed

Discuss
Learning through conversation with fellow learners or more knowledgeable others

Practice
Learning through repetitive practice and application such as drills, exercises, and simulations

Make
Learning by creating new content, artifacts, or solutions

Collaboration
Learning by creating new content, artifacts, or solutions with a team or partner

You don't have to use every learning type in a single capacity development program. As program designers, we aim to combine these learning types intentionally and strategically to achieve our learning goals. Here are some common design patterns from the field of education:

Acquire → **Practice** → **Make**

Best for: When teaching a skill that requires prior knowledge of a process
Example: Learners watch a demonstration of how to plant a tree, then try it out. The resource person gives them feedback on what they've done. The learner then does it again as part of a performance assessment.

Practice → **Discuss** → **Acquire**

Best for: When a concept is more powerful when experienced through a realistic short activity
Example: Learners play a game on land use negotiations, then debrief with a set of guide questions with their fellow learners. After the game, they listen to a lecture on the realities of negotiations.

Acquire → **Make** → **Discuss**

Best for: When learners need guidance on making their own outputs
Example: Learners look at sample field plans for forest restoration projects and listen to commentary on why these samples were or weren't effective. After making their own for an hour, they exchange plans with fellow learners and give each other feedback.

For more tools on designing capacity development programs and other learning experiences, check out http://design.habieducationlab.org.

HAVE A THINK

Recall Capacity Development initiatives that you were a part of, either as an implementer or a participant. What made it effective or ineffective?

STEP 4
IMPLEMENT A CAPACITY DEVELOPMENT RESPONSE

At this point, we put all our plans into action. Our goal is to execute the capacity development program designed in the previous step, ensuring that we can achieve the goals and objectives with the resources that are available.

Effective implementation requires close coordination, clear communication, and the allocation of appropriate resources to support capacity-building efforts. It can be daunting but breaking down this step into three (3) stages can help make the tasks more manageable:

- Stage 1: Pre-Implementation
- Stage 2: Implementation
- Stage 3: Post-Implementation

In this section, we'll focus on the first two, then discuss Post-Implementation in Step 5: Monitor and Evaluate Capacity Development.

Stage 1: Pre-Implementation

In this stage, we ensure that all the necessary groundwork, planning, and preparations are in place. Most of the work was already done in the previous steps of the cycle but now we take a more micro approach.

Generally, three (3) things need to be done during this phase:

1. **Assignment of Roles and Responsibilities**
   Clearly defined roles and responsibilities ensure that everyone involved understands what is expected of them.
2. **Resource Planning**
   Resources include finances, human resources, materials, and equipment required for the project.
3. **Risk Assessment and Mitigation Planning**
   This involves analyzing potential threats and developing strategies to minimize or eliminate these.

GIVE IT A TRY

While the inclusion of various landscape sectors (from national, to local, to institutional) is crucial to achieving a successful capacity development response, it's just as important to ensure that the role of each stakeholder is clear–both to us and to them!

RACI Matrix

The RACI Matrix is a simple but effective tool for describing the roles that stakeholders play within a project. This activity ensures that everything that needs to be done in a project has someone assigned to do it.

What you need

- Sticky notes or meta cards
- Pens
- Whiteboard, manila paper, or any flat surface where cards and notes can be stuck on
- A list of stakeholders involved in the program

Instructions

1. Gather your implementation team together.
2. Write down every single task that needs to be done to implement the program on sticky notes or meta cards. You can be as granular as you want when listing down tasks but ensure that each piece of paper contains only one item.
3. Working as a team, arrange each task in completion order on the left side of the manila paper or the board. As you arrange each task, you may notice that some will repeat. That's okay—it just means that these tasks are considered key tasks by multiple people. There will also be some tasks that will be mentioned only once. Include these tasks as well as they may be tasks that are easily overlooked.

	Stakeholder 1	Stakeholder 2	Stakeholder 3	Stakeholder 4
Task 1				
Task 2				
Task 3				

4. Identify which stakeholder or member of your team should be Responsible, Accountable, Consulted, and Informed for each task. Here's a quick guide for understanding which is which:
   - **Responsible:** People or stakeholders who do the work. More than one person can be Responsible.
   - **Accountable:** Person or stakeholder who owns the work. They must sign off or approve when the task is complete. Only one person should be Accountable.
   - **Consulted:** People who need to give input before the work can be done.
   - **Informed:** People who need to be informed or updated, but not necessarily formally consulted.
5. Take a step back and analyze the Matrix. Ensure that three rules are followed:
   - While **every task must have at least one Responsible party**, a single stakeholder shouldn't have too many assigned to them either.
   - To ensure clear decision-making, **each task should only have one Accountable person**.
   - **Every team member should have a role on each task**, even if it's just to be Informed.
6. Finalize the matrix. As much as possible, each person on the team should agree on the roles that they are specified to do.

GIVE IT A TRY

Pre-event Checklist

- ✓ **Permits and Rituals**, if with IPs and LCs (e.g., Certificate of Precondition)
- ✓ **Venue coordination** (Technical team for virtual events, reservations and physical arrangement for face-to-face events)
- ✓ **Event committees** (Distribution of responsibilities during the actual event)
- ✓ **Event invitation for participants** (Print; Digital: email, text message, social media post)
- ✓ **Event invitation for resource speakers** (Print; Digital: email, text message, social media post)
- ✓ **Learning aids** (e.g., Presentations, printed materials, IEC equipment)
- ✓ **Logistical aids** (e.g., Projectors, lapel microphones, extension cords, documentation equipment)
- ✓ **Certificates of Completion for participants**
- ✓ **Certificates of Appreciation for resource persons**
- ✓ **Certificates of Appearance for government participants**
- ✓ **Tokens of appreciation** (purchase, distribution, delivery if virtual event)
- ✓ **Tokens and/of food for capacity development beneficiaries** (purchase, distribution, delivery if virtual event)
- ✓ **Evaluation form** (for event execution, materials shared, and for immediate learning for capacity development beneficiaries)

Note: Capacity development implementers may add or remove items based on the need.

Stage 2: Implementation

Agility is the key to success in this stage; while we can always plan and prepare, we should always be open to possible changes (both direct and indirect!) in the landscapes. In-parallel monitoring and evaluation of indicators of proposed strategies and interventions are necessary.

GIVE IT A TRY

Roses, Thorns, Buds

How might we stay agile when implementing capacity development initiatives? Roses, Thorns, and Buds (RTB) is a quick reflection activity that you can do with your team to get a sense of what went well and what can be improved. It works best for programs that span over a few days or weeks (you'll learn about how you can adjust for the next day!) but you can also use this activity to close single-day programs as well.

What you need

- Meta cards or sticky notes
- Pens
- At least 15 minutes

Instructions

1. Think about what just happened in your program.
2. Give yourselves at least 5 minutes to answer the prompts below. It's best to use one meta card or sticky note per idea.
    - **Roses:** What went well? What were the day's highlights? What do you want to celebrate?
    - **Thorns:** What didn't work? What could be improved for the next implementation?
    - **Buds:** What might address the thorns? What ideas can we try to achieve our intended outcomes?

3. Take turns sharing your RTBs. As you discuss, you can cluster similar ideas together, or put Buds next to the Thorns that they could address.
4. Document your RTBs and assign the Buds to the appropriate person for execution.

This method allows for a richer feedback process because it invites you to look back at your recent work with a much more objective lens. When we provide feedback, we tend to focus on the things we could improve, but providing positive highlights can help balance the discussion and see methods that work. Alternatively, pain points are coupled with solutions, inviting ideas for a better implementation next time.

Effective talaga ’yung learning by doing. You don’t just use educational materials. You get them to [...] see and feel mangroves, experience planting it. Dito nagru-root ’yung awareness, and nade-develop ’yung stronger sympathy to the cause.

[Initially, they were involved because of] curiosity, or [for] something to do so they could receive an allowance or subsidy. But after a while, sabi n’ung mga nanay, “Ah gusto na namin sila i-plant kasi pakiramdam namin anak na namin sila.”

Dr. Liza, Institute of Social Order

HAVE A THINK

Recall a capacity development program that you were part of. What went well? What could have gone better? How did you cope when things didn’t go according to plan?

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STEP 5

MONITOR AND EVALUATE CAPACITY DEVELOPMENT

Congratulations! We've just implemented our capacity development program. Now what?

In this step of the capacity development cycle, we assess the effectiveness and impact of our program. We do this for two main reasons:

- Evaluation allows us to determine whether or not we were able to achieve our goals and objectives;
- It allows us to identify the strengths and weaknesses of the program, which we can use to make informed decisions for better capacity development initiatives in the future.

While this step is critical, it can also be the most challenging due to the nature of capacity building; success is dependent on clear evidence of change in knowledge, skills, and attitudes due to the program implemented, which takes time and can be difficult to prove as change can be due to different factors.

Evaluation of the capacity development program must be reviewed against the baselines determined during Step 3. We recommend a monitoring and evaluation scheme is participatory and has three (3) levels:

- Level 1: Immediate Evaluation
- Level 2: Monitoring
- Level 3: Impact Evaluation

Level 1: Immediate Evaluation

Right after the engagement, we can look at both quality and short-term changes to identify best practices, lessons learned from the implementation, and the effectiveness of the strategy.

- **Quality:** We can look at the different elements of the program (e.g., resource speaker/s, venues, educational materials) or the overall execution of the program to understand how to improve for succeeding initiatives. To evaluate quality, it's useful to get feedback both from our own implementation team as well as the program participants for a broader perspective.
- **Short-term changes:** Conducting a pre- and post-test can help us assess immediate knowledge transfer. These tests should be aligned with the learning objectives identified in Step 3.
    - Pre-test aims to determine the baseline knowledge of participants regarding the capacity development topic and should be done prior to implementation.
    - Post-test aims to assess if the capacity development beneficiaries improved their understanding of the capacity development topic after execution.

GIVE IT A TRY

Use these guide questions to evaluate the quality of your capacity development program:

Event Proper

- Was the platform/venue/mode chosen for the event appropriate?
- Was the time/duration of the event sufficient to cover all important points and to maximize interaction?

Materials and Collaterals

- Were the materials and collaterals used effectively in conveying the information?
- Did the participants receive sufficient technical support before and during the event?

Speakers

- Were the speakers knowledgeable about the topics they shared?
- Were the speakers able to effectively connect with the participants?

Facilitators

- Did the facilitator run the discussion smoothly? Was s/he able to encourage everyone to participate?

Participants' Insight

- How did they receive the information introduced to them?
- How was the engagement?
- What sentiments do they share? You can be as verbatim as possible.

Level 2: Monitoring

Monitoring involves a systematic and continuous tracking of progress and improvement over time. Our efforts should be focused on the results of the capacity needs assessment done in Step 2. With our beneficiaries, we can set specific milestones where the finish line can be one of the program's outputs. These milestones can be validated through a variety of rural appraisal tools or with key informant interviews and focus group discussions.

Example:

Month 3:
Learner can use technology with the application of safety standards

Month 6:
Learner can use problem-solving and trouble-shooting skills when using the equipment

Year 1:
Learner exhibits independence in running the enterprise

It's important to remember that the beneficiaries' failure to achieve the milestones in the identified amount of time should not be treated as an indication of failure; this is merely a sign that we must reassess our strategies, areas where support is needed, or resources that can promote the achievement of the set goals.

Magaganda ’yung mga programs, projects, pero **kung hindi na namo-monitor, sayang ’yung effort**. **Kung may monitoring man, wala naman feedback from the community.** Napaka-importante nito kasi **dito dedepende ’yung sustainability**. Kung walang monitoring hindi natin alam kung ano ’yung tinakbong initiatives. Kung hindi natin alam paano ’yung tinakbo, hindi natin alam paano magpaplano. **Part ng trabaho [natin, as CapDev builders] dapat ’yung sustainability.**

Judith Castillo, Forestry Development Center

Level 3: Impact Evaluation

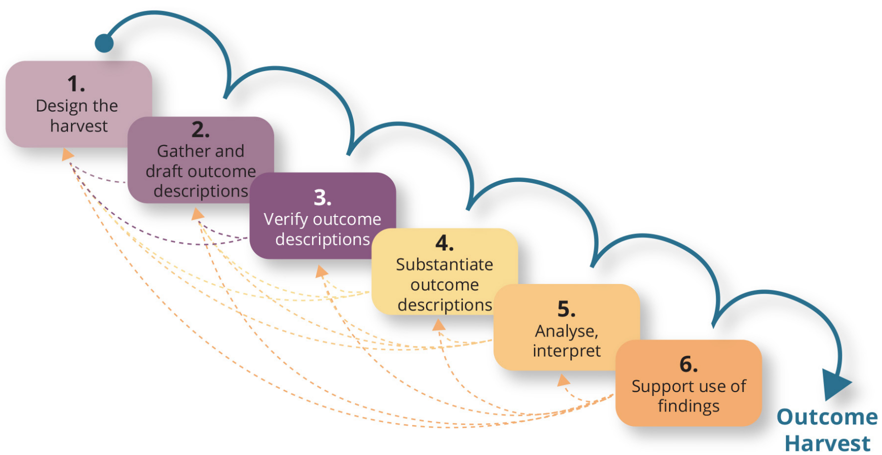
The third and last level of evaluation is both time-bound and focused on a more macro-level assessment.

Hiring an independent or third-party consultant can be an option to ensure the neutrality of the process but participatory methodologies should be prioritized. When stakeholders and beneficiaries are involved in the design and implementation of monitoring and evaluation activities, they are more likely to understand and support the process. This is another way of building their capacity for self-reflection and sustaining long-term projects.

GIVE IT A TRY

Six Steps of Outcomes Harvesting

Outcomes Harvesting is a participatory monitoring and evaluation methodology recommended by the Green Livelihoods Alliance for our context as capacity developers in forested landscapes. It focuses on **outcomes, or "observable and significant change in a social actor that has been influenced by [our] organization"** (Bretan, 2017). It starts with identifying what has changed and works backward to see if the change was due to our intervention.



A diagram for Outcome Harvesting by Wilson-Grau (2015)

According to the Manual for Outcomes Harvesting, there are six (6) steps:

1. **Design the outcome harvest.** We recommend that this be accomplished during Step 3 of the capacity development cycle as it involves planning: who will be engaged? Where? When?
2. **Gather data and draft outcome descriptions.** Harvester collects data to identify changes and formulates outcome descriptions.
3. **Verify outcome descriptions.** Harvester refines the outcome descriptions by checking for consistency, correctness, and completeness.
4. **Substantiate the outcome descriptions.** Informants knowledgeable about the outcome but external to or independent of the partner organization are invited to provide feedback to a sample of the outcome descriptions.
5. **Analyze and interpret the outcome descriptions.** Harvester and colleagues jointly identify and understand patterns, processes, and trends of change.
6. **Support the use of findings.** Analysis is interpreted for future practice/decision-making.

For more information on using Outcomes Harvesting as an impact assessment strategy, refer to **outcomeharvesting.net** and **The Danish Institute for Human Rights on YouTube**.

HAVE A THINK

Have you ever experienced receiving less than favorable results from your impact assessment? How did you cope? How did you adjust using the data?

ARE YOU READY TO IMPLEMENT YOUR CAPACITY DEVELOPMENT INITIATIVE?

Diverse problems require diverse solutions. Our work in capacity development has taught us that because no two situations are identical, there is no one-size-fits-all solution. We tailor our approaches to meet the unique needs of communities, which we can only learn through deep immersion into their communities.

The purpose of this toolkit is to empower and equip you with the mindsets and tools for your advocacy. While there may be things outside of our control, we focus on what we can do best. The tools in this toolkit supplement your cause towards the many changes and pivots you may experience due to the ever-changing landscapes and practices.

At the heart of every capacity development builder is the belief that each individual has untapped potential waiting to be unleashed. By investing in people, we not only improve their lives, but also create a ripple effect that touches communities. We are looking forward to seeing the communities you'll transform and drive into meaningful change!

NOTES

NOTES

APPENDIX

A - The Revised Guidelines on Free and Prior Informed Consent (FPIC) and Related Processes of 2012

According to the NCIP Administrative Order No. 3 Series of 2012, also known as the Revised Guidelines on Free and Prior Informed Consent (FPIC) and Related Processes, the FPIC process covers activities, plans, programs, and projects related to extractive/intrusive/large scale, such as but not limited to:

a. Exploration, development, exploitation, utilization of land, energy, mineral, forest, water, marine, air, and other natural resources requiring permits, licenses, leases, contracts, concessions, or agreements e.g., production-sharing agreement from the appropriate national or local government agencies, including feasibility studies related thereto;
b. Those that may lead to the displacement and/or relocation of ICCs/IPs;
c. Resettlement programs or projects by the government or any of its instrumentalities that may introduce migrants;
d. Declaration and management of protected and environmentally critical areas, and other related undertakings;
e. Bio-prospecting and related activities;
f. Activities that would affect their spiritual and religious traditions, customs, and ceremonies, including ceremonial objects, archeological exploration, diggings and excavations, and access to religious and cultural sites;
g. Industrial land use including the establishment of economic zones;
h. Large-scale agricultural and forestry management projects;
i. Carbon trading and related activities;
j. Large-scale tourism projects;
k. Establishment of temporary or permanent military facilities; conduct of military exercises, or organizing para-military forces;

l. Issuance of land tenure instrument or resource use instrument by any government agency and related activities; and
m. Other analogous to the foregoing, except small-scale quarrying.

However, some non-extractive, or small-scale plans, projects, programs, and activities may also require undergoing the FPIC process. These plans, projects, programs, and activities are:

a. Activities not covered in Section 22;
b. Feasibility studies not embraced in the preceding Sections of the revised FPIC guidelines;
c. Non-extractive exploitation and utilization of land, water, and natural resources as defined under existing laws, rules and regulations of governing or regulating agencies, e.g., ISF, CBFM, IFMA etc.;
d. Programs/projects/activities not requiring permits from government agencies;
e. Other Small-scale quarrying; and
f. Such other activities not indicated in Section 22.

Regardless of being categorized as non-extractive or small-scale, these activities still require undergoing the FPIC process due to the necessary negotiations between the community, represented by its Council of Elders/Leaders, and the applicant, facilitated by the FPIC Team.

Preliminary Activities

- **Application for issuance of Certification of Precondition.** Submission of required documents to accompany the application shall also be done during this phase.
- **Review by Field-Based Investigation (FBI Team).** Review shall ensue upon receipt of the complete documents from the applicant.
- **Issuance of Certificate of Non-Overlap.** If necessary, the Regional Director shall issue upon finalization of the review process.

First Meeting

- **Formal proclamation by council of elders or leaders.** The parties shall proceed to negotiate and finalize the terms and conditions of the MOA and thereafter consummate the same.
- **Preparation of schedule.** The ICC/IP shall prepare a schedule for decision-making or consensus-building, which must start in no less than 10 days from the meeting. Once they arrive at a consensus, they will inform the FPIC Team and convene a Decision Meeting.

Decision Meeting

- **Presentation of proposal.** The presentation should include the operational plan, scope and extent of the activity, the cost, and benefit to the ICC/IP and their ancestral domain. Any possible disadvantages or adverse effects to the community shall be disclosed during this meeting.
  - **Favorable.** The ICC/IP shall prepare a schedule for decision-making or consensus-building, which must start in no less than 10 days from the meeting. Once they arrive at a consensus, they will inform the FPIC Team and convene a Decision Meeting
  - **Unfavorable.** The elders or leaders shall issue a resolution of non-consent.

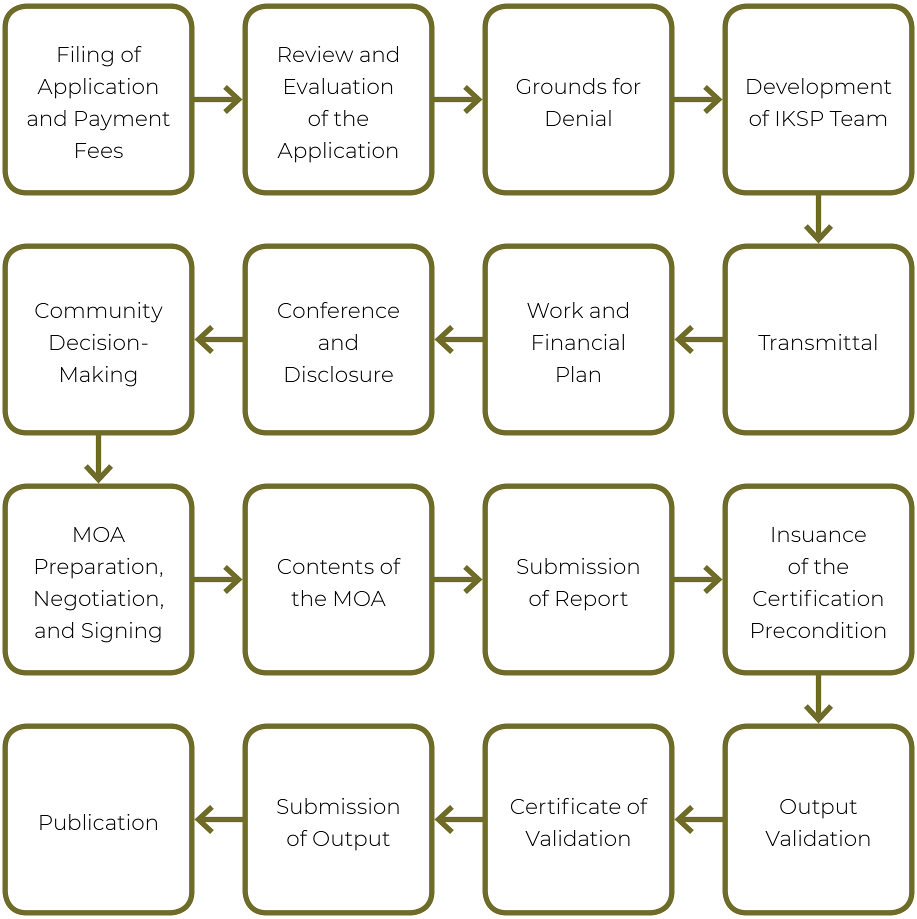
Post-FPIC Activities

- **Submission of formal report.** The FPIC team will submit a formal report with recommendations, signed by the team leader and members under oath to the Regional Director. An executive summary shall be prepared and copy furnished to the concerned Commissioners/s.
  - **Non-consent.** The FPIC Team will report the same to the Regional Director and shall inform the proponent, copy furnished to the concerned commissioners. In such cases, the proponent may request for reconsideration within 15 days of the receipt of resolution

B - The Indigenous Knowledge Systems and Practices (IKSPs) and Customary Laws (CLs) Research and Documentation Guidelines of 2012

For research related activities, the IKSP and CL Research and Documentation Guidelines shall be used. The IKSP and CL Research and Documentation Guidelines of 2012 covers the following research/documentation:

a. **Community-initiated or solicited research.** Research activities solicited, commissioned, or conducted by the concerned indigenous peoples (IPs) themselves to be undertaken within or affecting the ancestral domain.
b. **Academic research.** Those conducted pursuant to a scholastic program and/or research required to earn a particular academic accreditation or degree.
c. **Research in Aid of Policy.** All research conducted for the purpose of developing policies or programs intended for the benefit of IPs.
d. **Social research.** These are research conducted for the purpose of understanding the historical and cultural heritage, as well as nature, social relations and dynamics of IP communities, and those involving their various traditional cultural expressions.
e. **Research necessary to implement the mandates of NCIP.** These include all types of those involving delineation of ancestral domains/lands and formulation of ADSDPPs by the NCIP or accredited entities and individuals, conduct of FPIC process, those made in aid of legislative proposals, and research made in relation to its function as an advisor to the President.



IKSP and CL procedures, processes, and methods based on NCIP Administrative Order No. 1 Series of 2012

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Forest Foundation Philippines

Atty. Jose Andres Canivel, Nelissa Maria Rocas, Rosemarie Joy Quetula, Bryan Joel Mariano, Diane Estephanie Bagui, Frances Alliah Lois Galon. Forest Foundation Philippines (doing business as Philippine Tropical Forest Conservation Foundation (PTFCF), Inc.) is a non-stock, non-profit, nongovernmental organization that provides grants and technical assistance to organizations and individuals that empower the people to protect and conserve the forests. The Foundation was established in 2002 to manage conservation funds by virtue of two bilateral agreements between the governments of the Philippines and the United States of America.

Tropenbos International

Maartje de Graaf. Tropenbos International (TBI) is a non-governmental, non-profit organization which was created in 1986 as a Dutch response to increasing concerns about the disappearance and degradation of tropical rainforests worldwide.

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