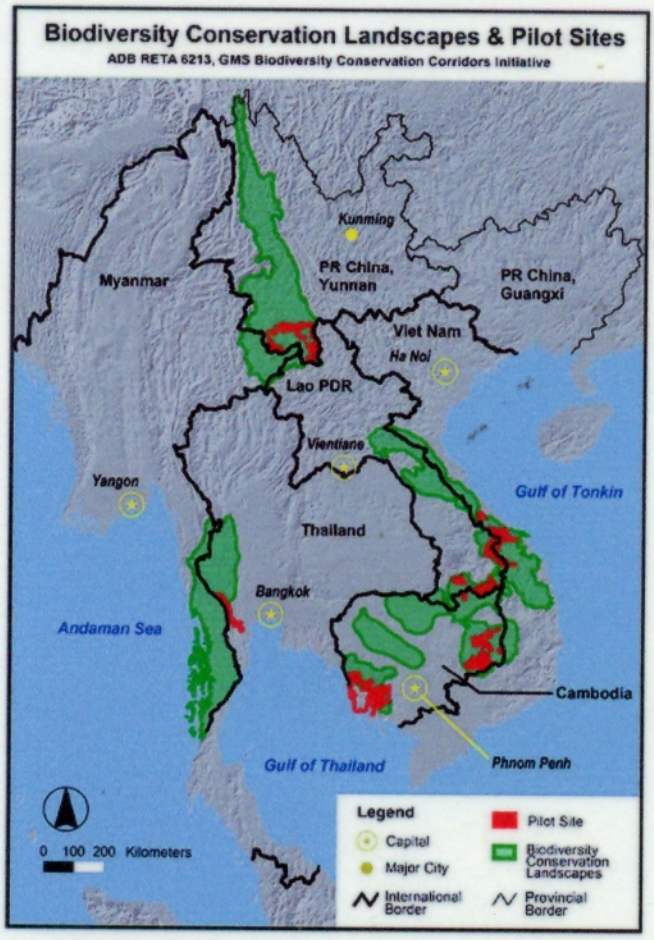
Proceedings of the Workshop
on

Standardisation of Socio-economic Data Collection, Methodologies and Management – Impact Assessment of Biodiversity Corridor Initiative (BCI)



Organized by
Mae Fah Luang University
&
The Asian Development Bank

March 19-20, Chiang Rai, Thailand

Abbreviations

ADB	Asian Development Bank
AIT	Asian Institute of Technology
CB	Capacity Building
BCI	Biodiversity Corridors Initiative
CEP	Core Environment Program
EIA	Environmental Impact Assessment
EOC	Environment Operations Centre
EPA	Environmental Performance Assessment
GDP	Gross Domestic Product
GMS	Greater Mekong Subregion
GO	Government Organisation
GPS	Global Positioning System
GIS	Geographic Information Systems
HH	Household
ICAS	In Country Academic Supervisor
IC-GSs	In Country Graduate Students from GMS/UniNet
IUCN	World Conservation Fund
KI	Key Informant
KKU	Khon Kaen University
KPI	Key Performance Indicators
Lao PDR	Lao People's Democratic Republic
LoA	Letter of Agreement
LU-SPEC	Land Use Specialist and Trainer
M&A	Monitoring and Assessment
MAF	Ministry of Agriculture and Forestry
MDG	Millennium Development Goal
MFU	Mae Fah Luang University
MOE	Ministry of Environment
MONRE	Ministry of Natural Resources and Environment
MOU	Memorandum of Understanding
NBCA	National Biodiversity Conservation Area
NGO	Non Governmental Organization
NR	Natural Resource
NREM	Natural Resource and Environmental Management
NREMC	Natural Resource and Environmental Management Centre
NSEC	North-South Economic Corridor
NSDS	National Sustainable Development Strategies
NTFP	Non-Timber Forest Product
NUOL	National University of Laos
PA	Protected Area
PC-MFU	Program Coordinator Mae Fah Luang University
PPTA	Project Preparatory Technical Assistance
PRC	People's Republic of China
PRA	Participatory Rural Appraisal
PSR Model	Pressure, State and Response Model
RFD	Royal Forest Department
RFSA	Rapid Food Security Assessment
RRA	Rapid Rural Assessment

RS	Remote Sensing
RUA	Royal University of Agriculture (Cambodia)
SE	Socio Economic
SEA	Strategic Environmental Assessment
SEF	Strategic Environment Framework
SE-SPEC	Socio Economic Specialist and Trainer
SI	Site Investigations
SLM	Sustainable Land Management
SMART	Specific, Measurable, Achievable, Relevant and Time bound Indicators
STEA	Science Technology and Environmental Agency (Laos)
SWOT	Strengths, Weaknesses, Opportunities and Threats
TA	Technical Assistance
TL	Team Leader
TRF	Tropical Rainforest
TST	Ten Seed Technique
UniNet	University Network
VHU-HCM	Vietnam National University Ho Chi Minh City
WGE	Working Group Environment
WWF	World Wide Fund for Nature
YAU	Yunnan Agricultural University

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Workshop Program

Tuesday, March 18, 2008
Arrival at Mae Fah Luang

Day 1 Wednesday, March 19, 2008
08:30-09:00 Registration

Morning session

Session 1: Opening Session (Facilitator: Mae Fah Luang University)

09:00-09:15 Welcome Address by President (or representative)
Mae Fah Luang University

Session 2: One of the GMS CEP/BCI objectives is to enhance capacity building for conducting applied research in the area of biodiversity conservation and poverty reduction in GMS countries. As part of this process BCI in collaboration with MFU/UniNet has been collecting data and developing indicators for natural resource management and socio-economic impact assessment and benchmarking. These efforts are intended to contribute conceptually and operationally to BCI results-based monitoring and evaluation processes, including the use of GIS applications in biodiversity conservation. This session aims to provide a forum for sharing MFU/UniNet experiences in data collection, methodologies and impact assessments with a view to: i) report on the MFU/UniNet project status by country and ii) exchange views on and application of research methods, best practice, lessons learnt, and challenges from the ongoing field work.
Facilitator: Dr Nguyen Luong Bach

09.15-09.30 BCI Research Methodology Framework
Dr Nguyen Luong Bach, MFU

09.30-10.20 Poverty Assessment by Ten Seed Technique (TST) Method: Findings and Challenges in BCI sites, **Cambodia**
Dr. Rath Sethik, In-country Advisor, Royal University of Phnom Penh and Ms. Kong Rachana

10.20-10.40 Coffee Break

10.40-11.30 Presentation, **China**.
Dr. Li Yong Mei, In-country Advisor, or Representative Yunnan Agricultural University

11.30-12.20 Poverty Status in TaBhing Commune and PRA, **Viet Nam**
Dr. Che Dinh Ly, In-country Advisor, Institute for Natural and Resources, Vietnam National University, Ms. Nguyen Thi Ngoc Phoung, and Ms. Bui Thi Ha Chau

12.20-13.20 Lunch

Afternoon Session

Facilitator: *Mr. Rath Sethik, In-country Advisor, Royal University of Phnom Pehn*

13.20-14.10 Socio-economic Indicators and Poverty Assessment in Biodiversity Conservation Corridors.
Dr. Naima Hasci, Lead Social Scientist, and Sumit Pokhrel, Environment Scientist, Environment Operations Center

14.10-15.00 Socio-economic and Livelihood Data Collection and Benchmarking in BCI sites in Thailand –Methodological Tools and Challenges
Dr. Sawaeng Ruaysoongnern, In-country Advisor, Khon Kaen University

15.00-15.50 Land-use, Livelihood and Poverty Assessment: Method Used, Results and Gaps, **Lao PDR**
Associate Professor Lammai Phiphakhavong, Vice President, National University of Laos, Ms. Nouthong Arounthong and Mr. Bounpone Bunvily

15.50-16.10 Coffee Break

16.10-17.00 Summing Up Key Issues, Challenges and Next Steps
Mr. Dirk J Steenbergen, Socio-Economic Specialist, MFU

Day 2 Thursday, March 20, 2008

Morning Session

Facilitator: Dr. Bounthan Bounvilay, In-country Advisor, Center for Environment and Development Studies (CEDS), National University of Laos

09.00-09.50 Potential and Challenges of GIS Applications in Socioeconomic Assessments
Mr. Lothar Linde, GIS Specialist, Environment Operations Center

09.50-10.20 Coffee Break

10.20-11.10 Logframe as a Monitoring Tool for BCI, **Viet Nam**
Dr. Che Dinh Ly, In-country Advisor, Institute for Natural and Resources, Vietnam National University

11.10-12.00 Socio-economic Indicators and Environmental Performance Assessment (EPA).
Mr. Iain M. Watson, EPA Task Leader and Ms. Chonchinee Amawatana, EPA Consultant, Environment Operations Center

13.00-14.00 Lunch

Afternoon Session

Session 3: This session of the workshop aims to refine the socio-economic indicators to adequately measure and evaluate project impacts/results. In this context there is a need to revisit and gain a better understanding and relevance of selected indicators. The idea is to collect data that corresponds to the identified CEP/BCI socio-economic indicators for better assessment, monitoring and evaluation of environmentally sound, socially inclusive and gender responsive program interventions. In this session the participants will have the opportunity to meet in working groups to i) standardize the methodologies used for impact assessment and further refine the selected performance indicators, and ii) explore challenges of GIS use and recommend appropriate methods to standardize its application.

Facilitators: *Dr. Sawaeng Ruaysoongnern, In-country Advisor, Khon Kaen University and Dr. Che Dinh Ly, In-country Advisor, Institute for Natural and Resources, Vietnam National University*

14.00-15:00 Working Group Session 1
Group A -Elaboration of BCI Indicators and Socio-economic Benchmarking for Impact Assessment
Facilitated by Dr. Sawaeng Ruaysoongnern, In-country Advisor, Khon Kaen University and Dr. Naima Hasci, Lead Social Scientist, Environment Operations Center
Group A: Reporting -Socio-economic Benchmarking Session
Facilitated by Dr. Sawaeng Ruaysoongnern, In-country Advisor, Khon Kaen University supported by the M.Sc. students

15.15-15.30 Coffee Break

15.30-16:30 Working Group Session 2
Group B -Use of GIS in BCI Socio-economic Benchmarking
Facilitated by Dr. Che Dinh Ly, In-country Advisor, Institute for Natural and Resources, Vietnam National University, Lothar Linde, GIS Specialist, Environment Operations Center
Group B: Reporting - GIS Session
Facilitated by Dr. Che Dinh Ly, In-country Advisor, Institute for Environment and Resources, Vietnam National University supported by the M.Sc. students

Session 3: Plenary and Conclusion
Facilitator: Dirk J Steenbergen, Socio-Economic Specialist

16.30-17.00 Concluding Remarks (MFU and EOC)

Workshop Summary

A Current Project Status (Day 1)

- Status and Deliverables of the project to date

In January 2007 a Letter of Agreement between MFU and ADB was signed. This laid down the basis for the current organisation structure of the project. MFU acts as the coordinating body between ADB and in-country activities. In March 2007, an orientation workshop was organised, which marked the start of the project. Proceedings of this workshop were finalised in June 2007 and distributed accordingly. To date the following activities have been undertaken:

1. Orientation Workshop: March, 2007, Vientiane (Proceedings circulated in June 2007)
2. Inception Report: Submitted on 20 April
3. Working Teams: Identified and formed
    - MFU:
        - 1 Program Coordinator - Dr. Bach (until the end of 2007); 2 Specialists
        - Administrative and accounting team (at MFU)
    - GMS/UniNet on NREM (in GMS countries):
        - In-country Academic Supervisors - at least 1 from each country
        - In-country Graduate Students - at least 2 from each country
4. Field Surveys Data Collection: First round by mid-2007, second by early 2008
    - Guiding questionnaires/frameworks prepared with brief presentations and trainings
    - Meetings held with some other partners to target villages/communes and data gaps
    - First-round field surveys conducted in pilot sites (except in China) with country reports ready
    - Second-round Field surveys conducted in pilot sites (except in China) from the end of 2007 with country reports to be ready in early April 2008 (to include detailed poverty assessment, livelihood study, land-use profiling, with initial interventions included, using Dr. Bach's local poverty assessment framework and Dr. Sawaeng's land-use study in Thailand for reference to other countries.
5. Preliminary Synthesis Study: Conducted from first round surveys for 4 countries
6. Progress Report: Submitted in September 2007 (first 6 months), followed by improvement (including some changes in working teams)
7. Seminars, Literature reviews: Conducted frequently
8. Monitoring Trips: Frequently to GMS countries

Finally, ADB requires measurable performance indicators to assess output success from this three year BCI project. These include:

1. Orientation workshops organized, methodology report ready, socio-economic benchmarking completed, and interventions identified for improving livelihoods and conserving biodiversity
2. Key performance indicators/targets will include:
    - Number of persons who receive degree training at different levels (including post-graduate level)
    - Study results completed and harmonized for each country and synthesized across countries

- In-country teams: updates and key issues

Cambodia

- Mr Rath Sethik (ICAS)
- Ms Kong Rachana (Grad student)
- Mr Kim Sobon (Grad student)

The in-country team of Cambodia has carried out two field visits, of which the first has been fully reported on in the first progress report. The results of the second field visit are currently being assimilated and analyzed for submission in the second progress report .

The team applied several data collection methods: (i) TST, (ii) Interviews with Key informants, (iii) GPS positioning, (iv) Participatory mapping, (v) Transect walks and (vi) Review of Secondary data from the commune database. However, the team has depended mainly on the Ten Seed Technique (TST) in collecting field data. One of the main concerns in their data collection is that their dependency on TST is too high. The accurate application of different methods to obtain *relevant* and *true* data is necessary.

Also the selection of respondents has proven a key factor in carrying out proper field work. Selection deficiencies often resulted from inconsistent respondent selection across ethnic groups, gender, and between insiders and outsiders.

Challenges are emphasized in up-scaling findings to be used at national and regional level. The site specific cases and the limited case studies, makes a data standardization measure difficult. Lastly it is confirmed that collaboration with other implementing agencies has proven difficult so far.

China

- Assoc. Prof. Huang Yaqin on behalf of the in-country team of China

The in-country team of China has faced some difficulties in the initial phase of the project. Not only organizational issues have hampered progress, but also logistical issues, like the remoteness of the case studies. In the case sites targeted by the team, they need to deal with conflicts within the communities.

From a methodological point of view, several notes were made: Firstly, the application of the national poverty line as a poverty indicator is somewhat futile, as it is only based on financial income, while income in the site cases comprises not only financial currency, but also natural currency in the form of natural resources. Classification of poverty using national standards can possibly be revised. Secondly, there is need for training in quantitative analysis. Thus far qualitative data collection is carried out. However, with quantitative data analysis current data can be improved. Lastly, also with the China team, information sharing with other implementing agencies is difficult.

Lao PDR

- Assoc Prof. Lammai Phiphakhavong (ICAS)
- Ms Noutthong Alounthong (Grad student)
- Mr Bounpone Buivilay (Grad student)

The in-country team of Laos has faced challenges in the fieldwork, but despite this have carried out two field visits. The results of the first field visit are reported in the first progress report. Results from the second fieldtrip will follow in the second progress report

The current focus is on *poor* people. It is argued however, that in order to gain comprehensive livelihood database, one cannot only focus on the poor in the community. There needs to be appreciation for the activities of 'outsiders' or the role of the 'rich' (these two groups play a significant role). The national poverty may be inapplicable to site level (espc. Chinese case, where there appears to be no poverty to reduce)

Thailand

- Dr Sawaeng Ruaysoongnern (ICAS & short term land-use consultant)

The first land-use assessment in a new pilot site in Thailand was carried at the end of 2007. This research framework was applied for all in-country research activities and reports (regarding land-use management analysis). Emphasis is put on the application of locally relevant and effective interventions. With the application of a standardized set of socio-economic benchmarking indicators a comprehensive data base may be developed and field monitoring may be measured.

Vietnam

- Dr Che Dinh Ly (ICAS)
- Ms Nguyen Thi Ngoc Phuong (Grad student)
- Ms Bui Thi Ha Chau (Grad student)

The in-country team of Vietnam has completed two field visits, of which the first field visit is documented in the first progress report. The graduate students visited the field in January 2008 again and are currently busy compiling their report for the second progress report. In both field visits PRA methods were mainly applied to obtain: Mapping information, Mapping debriefs, Historical profile and Seasonal calendar. TST techniques were also extensively applied in data collection.

Standardization of data through socio-economic indicators is promising, but the challenge lies also in how to implement a standard verification tool for all countries. Critical about the accuracy of secondary data. Land use maps for example feature unclear land use classes and allocations, which do not correspond with on-the-ground situation Furthermore, there is a need for data translation from local level, to national level, and further on to regional level.

B Proposed Amendments and Outputs (Day 2)

- Data sharing and adjustments for EPA and GIS application

Data for GIS mapping

- Mr Lothar Linde

Currently in the BCI EOC, GIS mapping faces its main challenge in data sharing complications between countries due to politically sensitive relations. Another challenge is the inconsistency of data quality. With the latter the ADB/MFU project may contribute.

With improved data quality, GIS mapping may accurately incorporate socio-economic ground-level data into GIS applications. To achieve this, data sets need to be consistent with:

- Coding and proper (ID) naming
- Reference to the 'level' of data, possible through administrative codes used by countries (household, village, landscape, district etc)
- Ordering of data
- Inclusion of geographical information wherever possible

Data for EPA use

- Mr Ian Watson
- Ms Chonchinee Amawatana

GMS countries have set themselves specific development goals, to be realized by 2020. To make the EPA more comprehensive, data from village, commune and district levels are to be incorporated. The data currently being collected through this BCI project may provide insights into the local level biodiversity conservation status.

Through the incorporation of the socio-economic indicators, data may contribute to assessing environmental progress. Essentially in-country teams are requested to share the data collected through the set socio-economic indicators and where possible, EPA encourages in-country teams to collect relevant data with regard to biodiversity conservation and natural resource use (Forest cover, wildlife trade etc.).

- Socio-economic benchmarking indicators

In improving the existing data sets and to facilitate comparative regional studies throughout the GMS, it is necessary to formulate a set of socio-economic benchmarking indicators. Four types of indicators used here for socio-economic benchmarking are distinguished:

- Pressure indicators: seeking to identify 'push' factors that result in certain behaviour or livelihood strategy.
- Driver indicators: seeking to identify 'pull' factors that result certain behaviour or livelihood strategy.
- State indicators: seeking to identify current state of a subject/change in state over time (if measured repeatedly over time)
- Response indicators: seeking to identify change in behaviour according to certain interventions or changes in the (social) environment

Indicators must have a *baseline* (situation at BCI sites in 2005-2006) and a *target* (specific (desirable) change over time), as to monitor progress/change over time. Moreover, they must be SMART, implying:

- (S)pecific: indicators must be precise and unambiguous
- (M)easurable: indicators must be quantifiable/or measurable in accurate qualitative terms
- (A)chievable: indicators must be realistic with the resources at hand. Reference is repeatedly made to apply 'proxy indicators' in cases where information is not readily available.
- (R)elevant: indicators must be appropriate as a tool to measure the subject at hand
- (T)ime bound: indicators must have target date

A set of existing indicators (*formulated in a 2006 workshop*) forms the basis of indicators for the BCI project. Next to this, several socio-economic relevant MDG indicators are to be included (if they are regarded as relevant to SE benchmarking in the project).