



## COMPLETION REPORT – ITTO Pre-project

PRE-PROJECT TITLE:	Designing a Programme for Capacity Building and Meaningful Stakeholder Participation in Forest Governance and REDD+ in Honduras and Guatemala
HOST GOVERNMENT	GOVERNMENT OF Honduras GOVERNMENT OF Guatemala
EXECUTING AGENCY	ClientEarth

SERIAL NUMBER:	RED-PPD 041/11 Rev.2 (F)
START DATE:	19 September 2012
PROJECT DURATION:	9 months

PROJECT COSTS	Source	Contribution in USD
	ITTO	144,650.64
	ClientEarth	35,669.86
	<b>TOTAL</b>	<b>180,320.50</b>

### **Project Completion Report**

#### **Staff working on the Report:**

Daniela Rey (Project Coordinator)

Ugo Ribet (Project Assistant)

#### **ClientEarth**

The Hothouse  
 274 Richmond Road  
 London E8 3QW  
 United Kingdom  
 +44 (0)20 7729 4568  
[development@clientearth.org](mailto:development@clientearth.org)

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## **Executive summary**

The pre-project has been implemented over nine months in Honduras and Guatemala. Reducing deforestation, forest degradation and biodiversity loss are central policy priorities for Honduras and Guatemala to ensure that local populations and indigenous peoples living in or around forests have sufficient economic development opportunities, with a view of enhancing and protecting all of the environmental services provided by tropical forests. To effectively implement these priorities, it is critical that forest governance issues are addressed, including the strengthening of institutional capacities to manage forest resources and the recognition of stakeholder's rights. Existing programmes such as the REDD CCAD-GIZ programme or the countries themselves recognized the need for capacity building and support in the design and implementation of participatory mechanisms.

The pre-project was the first step towards designing and implementing a capacity building project. It was initiated to determine the needs of stakeholders in each country, in order to propose a project which could be most appropriately tailored to the national context. Through the implementation of the pre-project ClientEarth carried out activities in Honduras and Guatemala to evaluate needs and propose activities which would complement national efforts and contexts. Workshops, interviews and regular communications with national stakeholders provided ClientEarth with the information needed to evaluate these needs. Not only were actors asked to directly identify where they believed capacities needed to be strengthened, they were asked to provide their views and understanding of national and international policies and initiatives.

The development objective of the pre-project is to strengthen the capacity of stakeholders to engage in the design and implementation of REDD+ in Central America. This has been the central source of guidance throughout the pre-project and is reflected in the project proposal as the overall goal of the full project. The project specific objective was to identify key elements for inclusion in the full project proposal and challenges to address in order to formulate a comprehensive and appropriate programme of work that will build the capacity of stakeholders to effectively participate in forest governance and the successful implementation of REDD+ in Honduras and Guatemala.

All the activities of the project were completed, the only changes were timing in nature where it was decided to move forward the dates of some of the workshops to fit with the national contexts. The pre-project was completed on time, with the delivery of a draft full project proposal to ITTO. As ClientEarth will not pursue the project as the executive agency, the project proposal has been handed over to a new executive agency (Rainforest Alliance) and the governments of Honduras and Guatemala.

# **1. Project identification**

## **1.1 Context**

The pre-project was implemented in Honduras and Guatemala and has been closely aligned with the national policies and priorities of the forest sector in both countries. The pre-project was initiated in response to the fundamental needs identified in CCAD member countries through the planning phase of the REDD CCAD-GIZ initiative.

The REDD CCAD-GIZ Programme<sup>i</sup> being implemented in the Central American region, the need for capacity building and the design and implementation of participatory mechanisms had been identified as key priorities for all stakeholders in the region<sup>ii</sup>. In particular, the National Planning Meeting Reports prepared by Honduras and Guatemala as part of the REDD CCAD-GIZ initiative identify the need to implement participatory stakeholder mechanisms for REDD+ and to strengthen capacities at all levels as a necessary prerequisite for them to engage effectively in REDD+ design and implementation<sup>iii</sup>. However, the REDD CCAD-GIZ initiative did not assist countries in carrying out a detailed capacity needs-assessment, as well as a participatory identification of the desired processes and means necessary for effective multi-stakeholder processes for REDD+.

Through the REDD CCAD-GIZ initiative, both countries had initially identified the relevance of the proposed pre-project for the country's policies and work on REDD+. Honduras and Guatemala have initiated some capacity building efforts with a strong emphasis on state institutional capacity building and technical studies. In these countries, there remains a significant need to address complex issues of forest governance. Among other governance concerns, and central to the ClientEarth thesis, these countries need to realise how their laws and policies relating to land and natural resources sometimes play a substantial role as *drivers* of deforestation. Moreover, efforts to achieve direct and genuine participation of all relevant stakeholders have, to date, been limited in both countries.

In the case of Honduras, their National Planning Meeting Report for 2010-2013<sup>iv</sup> already specified the need for capacity building and the design of robust participatory mechanisms. It mentioned the need to assess capacity for effective engagement in REDD+, carry out stakeholder mapping, design a capacity building plan which incorporates methodologies to apply FPIC, and design appropriate participatory mechanisms.<sup>v</sup>

Similarly, Guatemala's National Planning Meeting Report for 2010-2013<sup>vi</sup> highlighted the need for capacity building of relevant stakeholders and the need to design and implement adequate participatory and consultation mechanisms. In particular, it mentioned the need to identify the different levels of knowledge among stakeholders and sectors, and to provide capacity building to address this inequality. Additionally, it singled out the need to identify all relevant actors and to design and implement mechanisms that will ensure the effective participation of indigenous peoples and forest-dependent communities in discussions on forest governance and management.<sup>vii</sup>

## 1.2 Origin and problem

Reducing deforestation, forest degradation and biodiversity loss are central policy priorities for Honduras and Guatemala to ensure that local populations and indigenous peoples living in or around forests have the necessary economic development opportunities, with a view of enhancing all the environmental services provided by tropical forests. To effectively implement these priorities, it is critical that forest governance issues are addressed, including the strengthening of institutional capacities to manage forest resources and the recognition of stakeholder's rights. While these priorities are expected to yield significant benefits beyond the context of REDD+, the emergence of REDD+ and the opportunities it presents are a primary driver of governance reform efforts at this time, and such reforms are essential to ensuring the successful implementation of REDD+. REDD policies and programmes can be expected to deliver local and global benefits, including long-term reductions in forest-carbon emissions, only if they are based upon well-informed, politically legitimate national plans for REDD that adequately incorporate stakeholder concerns and insights. Such a plan can only be developed through a phased REDD readiness-building process founded upon (1) building the capacity of stakeholders to participate in (2) meaningful multi-stakeholder engagement processes. Implementation of the resulting multi-stakeholder engagement process will, in turn, inform the priorities and policies for a legitimate and effective REDD national plan.

The REDD CCAD-GIZ Programme<sup>viii</sup> being implemented in the Central American region, had identified the need for capacity building and the design and implementation of participatory mechanisms as key priorities for all stakeholders in the region<sup>ix</sup>. In particular, the National Planning Meeting Reports prepared by Honduras and Guatemala as part of the REDD CCAD-GIZ initiative identify the need to implement participatory stakeholder mechanisms for REDD+ and to strengthen capacities at all levels as a necessary prerequisite for them to engage effectively in REDD+ design and implementation<sup>x</sup>. However, the REDD CCAD-GIZ initiative was not able to assist countries in carrying out a detailed capacity needs-assessment, as well as a participatory identification of the desired processes and means necessary for effective multi-stakeholder processes for REDD+.

In order to formulate a full programme of work to address this gap<sup>xi</sup>, Honduras and Guatemala, with the support of ClientEarth, identified stakeholder mapping and analysis as critical to determining the level of awareness and precise capacity constraints of target groups. The implementation of a pre-project was meant to ensure that the intended programme is closely tailored to respond to their specific needs and is carried out using the most appropriate communication methods and channels. The pre-project would lay the groundwork for the intended project by assessing and reporting on existing stakeholder capacity and the need for further capacity building, as well as the desired processes and means necessary for effective multi-stakeholder processes for REDD+.

The assessment needed in both countries was achieved through the implementation of the pre-project. As a result, the full project proposal, our pre-project's ultimate deliverable, was designed to address the specific needs and priorities of these two Central American countries.

As mentioned previously, the main problems identified are a lack of capacities of national stakeholders on REDD+ and forest governance to ensure meaningful participation in national processes. These aspects are important because, governance decisions – including laws, policies, and regulations – that are made in a participatory manner are more likely to be successfully implemented and effectively enforced. Furthermore, stakeholders are only able to influence decisions if they have the capacity to understand the salient issues and are aware of their rights to participate in the decision-making process.

To ensure that REDD+ policies are politically legitimate, effectively implemented and produce lasting emissions reductions, countries need to ensure that citizens have the necessary knowledge to effectively participate in the development of REDD+ options and policies. Moreover, effective multi-stakeholder mechanisms and processes are required to provide for meaningful participation by key actors whose participation is essential for a legitimate process. The particular situation in both countries is that they need substantial help to comply with the requirements that REDD+ implementation imposes, in particular the improvement of the quality of forest governance. Several factors contribute to the weak institutional and individual capacity of stakeholders in Honduras and Guatemala, as well as inadequate mechanisms for effective participation at the horizontal and vertical levels in land-use decisions, all of which could seriously compromise the delivery of local and global benefits, as well as the long-term sustainability of REDD+ investments.

Both Honduras and Guatemala have recognized these challenges and have the intention to create effective participatory mechanisms and undertake capacity building activities to ensure the meaningful engagement of governmental and non-governmental actors, including indigenous people and forest-dependent communities, in REDD+ policies.

The critical problems hindering the elaboration of a full programme of work in these countries are (1) the lack of sufficient and systematic information on stakeholders' capacity needs, constraints, problems and interests and (2) a deficient understanding of the current and sought processes of consultation and participation. These problems were the basis of the pre-project and the full project project, with the pre-project evaluation/assessment of needs being a first step towards addressing them.

## **2. Project objectives and implementation strategy**

Governance decisions – including laws, policies, and regulations – that are made in a participatory manner are more likely to be successfully implemented and effectively enforced. Furthermore, stakeholders are only able to influence decisions if they have the capacity to understand the salient issues and are aware of their rights to participate in the decision-making process.

To ensure that REDD+ policies are politically legitimate, effectively implemented and produce lasting emissions reductions, countries need to ensure that citizens have the necessary knowledge to effectively participate in the development of REDD+ options and policies. Moreover, effective multi-stakeholder mechanisms and processes are required to provide for meaningful participation by key actors whose participation is essential for a legitimate process. Equally important is the challenge of incorporating the different spheres

of governance, not only horizontally between sectors and actors, but also vertically to incorporate formal and informal territorial and local governance bodies. The particular situation in both countries is that they need substantial help to comply with the requirements that REDD+ implementation imposes, in particular the improvement of the quality of national and local-level forest governance.

Both Honduras and Guatemala have recognised these challenges and have made clear their intentions to create effective participatory mechanisms and undertake capacity building activities to ensure the meaningful engagement of governmental and non-governmental actors, including indigenous people and forest-dependent communities, in REDD+ policies.

The pre-project was designed to lay the groundwork for a full project by assessing and reporting on existing stakeholder capacity and the need for further capacity building, as well as the desired processes and means necessary for effective multi-stakeholder processes for REDD+. Indeed, the specific objective of the pre-project was to identify key elements for inclusion and challenges to address in order to formulate a comprehensive and appropriate programme of work that will build the capacity of stakeholders to effectively participate in forest governance and the successful implementation of REDD+ in Honduras and Guatemala. The ultimate aim of the work undertaken in the pre-project and outlined in the resulting full project proposal is to strengthen the capacity of stakeholders to engage in the design and implementation of REDD+ in Central America. This has been a guidance throughout the pre-project and is reflected in the full project proposal as the overall goal of the project.

The pre-project implementation strategy consisted of desk-based research and two in-country trips to Honduras and Guatemala to hold workshops and meetings with key stakeholders and ensuring the participation/collaboration of all key actors to develop propositions adapted to the countries. The strategy presented in the pre-project document was the following:

The pre-project was to be implemented in close cooperation with CCAD. Stakeholders (governmental and non-governmental actors) would initially be identified following suggestions by the project's collaborating agencies and partners, namely CCAD and the country representatives of ITTO in Honduras and Guatemala, as well as drawing on the knowledge and experience of indigenous peoples' partner organizations, such as ACICAFOC.

It is widely recognised that REDD-related efforts will only succeed with the meaningful engagement of stakeholders and consultation processes which build acceptance, interest and trust in proposed interventions<sup>xii</sup>. Accordingly, the pre-project entailed undertaking an extensive and ongoing consultation process with stakeholders, achieved through their involvement in a series of meetings, interviews and national-level workshops, as well through correspondence and dissemination of project materials. The Executing Agency would ensure a legitimate consultation process by identifying all key stakeholders and establishing clear communication channels and facilitating open dialogue between parties, including effective mechanisms for feedback on pre-project implementation, and responding to stakeholder concerns and suggestions regarding development of the intended project.



The pre-project proposal was designed to be a fully participatory approach, which is open to indigenous peoples and community organisations<sup>xiii</sup> and respects their right to FPIC<sup>xiv</sup>, and could ensure a sense of ownership and secure commitment from all stakeholders. To enable this, appropriate methods and materials would be designed and employed to engage different stakeholder groups during the project workshops, appropriate communication channels were to be utilized, whilst language and terminology barriers were also meant to be addressed<sup>xv</sup>.

Research methods utilized during the pre-project included an extensive literature review, analysis of relevant grey material and the development of case studies, to be conducted through desk-based study. In-country fieldwork, including semi-structured interviews carried out with key stakeholders and information solicited through the project workshops, comprised a type of Participatory Action Research (PAR). Both quantitative and qualitative data will be collected and analysed (though predominately the latter), and feedback surveys will be conducted following the stakeholder workshops (in written or verbal form as appropriate). Additional sources of information for the pre-project included other national REDD-related projects, civil society and IPOs, and government agencies in Honduras and Guatemala, in addition to regional bodies and international REDD-related programmes.

The assumptions and risks outlined in the pre-project document were that Stakeholders would be receptive to engagement in a process for determining a workplan to strengthen capacities and participation in forest governance and REDD+; and that stakeholder groups will be willing to cooperate in developing a shared capacity building workplan

### **3. Project performance**

The project realized performance has been very aligned with the planned performance. Very few changes were made during the project implementation, and all the objectives, outputs and activities were achieved and completed in full. The main differences between planned and performed elements were changes in timing.

As explained in the previous section, the specific objective of the pre-project was to identify key elements for inclusion and challenges to address in order to formulate a comprehensive and appropriate programme of work that will build the capacity of stakeholders to effectively participate in forest governance and the successful implementation of REDD+ in Honduras and Guatemala. The objective was achieved: the elements and challenges were identified through workshops and meetings with stakeholders, and a full capacity building programme was presented in the final pre-project deliverable (project proposal).

#### **Duration of the project**

The outputs and activities were also completed, with some changes in timing compared to the planning in the original pre-project document. Please refer to the comparative schedule below for more information. The only other change in activity was with the format of Activity 1.2: rather than performing formal interviews, it was decided to organise meetings with key stakeholders and take notes.

Outputs/ activities	Responsible party	Annual Activity Program (in months)									
		1	2	3	4	5	6	7	8	9	
<b>Output 1:</b> Information on stakeholders' capacity constraints and needs has been gathered and assessed, and comprehensive understanding of the processes and means necessary for effective stakeholder participation in forest governance has been established and documented.											
<b>Activity 1.1:</b> Hold preparatory meetings with key stakeholders	EA										Activity completed
<b>Sub-activity 1.1.1:</b> Draft two page brochure of the project	EA										Activity completed
<b>Sub-activity 1.1.2:</b> Circulate brochure to stakeholders	EA										Activity completed
<b>Sub-activity 1.1.3:</b> Draft and send short meeting document	EA										Activity completed
<b>Sub-activity 1.1.4:</b> Identify and draft a list of meeting attendees	EA										Activity completed
<b>Sub-activity 1.1.5:</b> Confirm with CCAD planning meeting date	EA										Activity completed
<b>Sub-activity 1.1.6:</b> Sort out organizational meeting arrangements	EA										Activity completed
<b>Sub-activity 1.1.7:</b> Carry out preparatory research	EA										Activity completed
<b>Activity 1.2:</b> Conduct interviews on participatory mechanisms	EA										Activity modified
<b>Sub-activity 1.2.1:</b> Identify and draft a list of interviewees	EA										Activity modified
<b>Sub-activity 1.2.2:</b> Draft interview questions	EA										Activity modified
<b>Sub-activity 1.2.3:</b> carry out interviews	EA										Activity modified
<b>Activity 1.3:</b> Hold Workshop 1	EA										Activity completed
<b>Sub-activity 1.3.1.1:</b> Prepare workshop outline	EA										Activity completed
<b>Sub-activity 1.3.1.2:</b> Prepare workshop materials and disseminate	EA										Activity completed
<b>Sub-activity 1.3.1.3:</b> Sort out logistics for the workshop	EA										Activity completed
<b>Sub-activity 1.3.2:</b> Prepare Workshop 1 report and disseminate	EA										Activity completed
<b>Activity 1.4:</b> Hold Workshop 2	EA										Activity completed in advance

<b>Sub-activity 1.4.1.1:</b> Prepare Workshop outline	EA																			Activity completed in advance
<b>Sub-activity 1.4.1.2:</b> Prepare workshop materials and disseminate	EA																			Activity completed in advance
<b>Sub-activity 1.4.1.3:</b> Sort out logistics for the workshop	EA																			Activity completed in advance
<b>Sub-activity 1.4.2:</b> Prepare Workshop 2 report and disseminate	EA																			Activity completed in advance
<b>Output 2:</b> The specific context and dynamics related to capacity building and participatory mechanisms for forest governance in Honduras and Guatemala have been analyzed and reported on.																				
<b>Activity 2.1:</b> Conduct desk-based research	EA																			Activity completed
<b>Activity 2.2:</b> Conduct interviews on country contexts and dynamics	EA																			Activity completed
<b>Sub-activity 2.2.1:</b> Draft interview questions	EA																			Activity completed
<b>Sub-activity 2.2.2:</b> Identify key actors to interview	EA																			Activity completed
<b>Sub-activity 2.2.3:</b> Hold interviews with key actors	EA																			Activity completed
<b>Output 3:</b> A full proposal for work on capacity building and participatory mechanisms for forest governance in Honduras and Guatemala has been produced and is supported by all stakeholders.																				
<b>Activity 3.1:</b> Hold pre-project coordination meeting	EA																			Activity completed
<b>Activity 3.2:</b> Produce project technical reports and disseminate	EA																			Technical report 1 & 2 completed
<b>Activity 3.3:</b> Compile full (intended project) proposal	EA																			Activity in execution

As presented in the tabular schedule above, the project duration of nine months was respected. It started on the 19 September 2012 and terminated on the 18 June 2013, with the delivery of a full project proposal.

### Project expenditure

In the ITTO financial statement, there has been an overall under-spend amounting to \$12,225.22 and corresponding to an under-spend in workshop costs (line 69 for \$5,727), travel costs (line 39 for \$5,847), and in consumable items (line 59 for \$650). First, the workshop under-spend is due to the fact that the envisaged two-day workshop only lasted

one day on the request of the participants. Second, the travel under-spend is due to the fact the collaborative agency CCAD did not participate in the second workshop and only one focal point from Guatemala travelled to Honduras. Finally, the under-spend in consumable items is due to the fact that no audio dissemination material was required over the course of the period.

In the ClientEarth financial statement, there is an overall under-spend of \$5,154.40. This is due to the fact that the involvement of collaborative agency CCAD in the project was lower than initially envisioned. ClientEarth therefore proceeded with a payment amounting approximately to €5,000 to CCAD for the political support (introduction to government representatives and partners in the region) and logistical support (organization of workshops and formal invitations) that was delivered over the course the pre-project. The remaining of the budget will therefore be refunded to ITTO.

#### **4. Project outcome, target beneficiaries involvement**

The project specific objective was completely achieved. The proposal submitted in advance of this report is based off of the successful programme of scoping, including information gathering, gap analysis, and quantification of current capacity in Honduras and Guatemala executed by ClientEarth during the course of the pre-project. The central objective was to identify key elements for inclusion and challenges to address in order to formulate a comprehensive and appropriate programme of work that can build the capacity of stakeholders to effectively participate in forest governance and the lead to a successful implementation of REDD+ in Honduras and Guatemala. This full project proposal represents the best and most comprehensive outcome of the pre-project, and evaluation of the project proposal must be undertaken in order to evaluate the “project outcome”.

The first phases of the pre-project were orientated towards gathering information on the gaps and constraints of stakeholders on forest governance. The workshops, meetings and communications with key stakeholders in Honduras and Guatemala allowed us to compile quantitative and qualitative data on the necessary elements to include in a work programme to build capacities and strengthen participation.

The key capacity constraints identified in both countries were a strong lack of knowledge at all levels about forest governance issues and mechanisms such as REDD+. The identification of these constraints was one of our key project priorities. Stakeholders also highlighted a lack of resources and will to enforce existing forest governance regulations and mechanisms. Gaps were identified at institutional level, notably a lack of coordination between government institutions. Along with weak legal frameworks, these constraints have translated into a lack of participatory mechanisms for full and effective participation in decision-making. The needs identified by stakeholders include capacity building activities (including workshops and tailored learning materials), and the dissemination of information at all levels, from local to national, in order to facilitate the understanding and participation of all stakeholders.

Prior to the pre-project, although the REDD CCAD-GIZ Programme had identified a need for capacity building and design of participatory mechanisms in the region, it had not carried

out a detailed capacity needs-assessment or identification of desired participatory processes. A notable success of the pre-project, this has now been done through the achievement of outputs 1 and 2 of the pre-project.

**Output 1:** Information on stakeholders' capacity constraints and needs has been gathered and assessed, and comprehensive understanding of the processes and means necessary for effective stakeholder participation in forest governance has been established and documented.

**Output 2:** The specific context and dynamics related to capacity building and participatory mechanisms for forest governance in Honduras and Guatemala have been analyzed and reported on.

The pre-project has therefore provided an opportunity to gather national stakeholders in both countries to evaluate their needs as well as the national contexts around forest governance issues and participation. Next, completion of outputs 1 and 2 provided the necessary information and data to elaborate a comprehensive work plan on capacity building and participatory mechanisms for forest governance in Honduras and Guatemala (**output 3**). Stakeholders were provided with opportunities to comment and provide input to the draft work-plan, to ensure it suited their needs and expectations.

The pre-project provided a space for national stakeholders to discuss forest governance issues surrounding REDD+ and FLEGT. In Honduras it provided a space for government and indigenous actors to renew dialogue, leading to advances in discussions and agreement over the national R-PP and FLEGT negotiations. In Guatemala, the pre-project also fed into REDD+ discussions, bringing key stakeholders to the table and guiding the work of the National Social and Environmental Safeguards Committee (CNSA).

The crucial longer-term achievement of the pre-project is the implementation of the full project proposal, which consists of the programme to build capacities and meaningful stakeholder participation in forest governance and REDD+ in Honduras and Guatemala. We are confident that Rainforest Alliance will execute the full project proposal in accordance with the plan, and look forward to tracking their success.

Perhaps most importantly, the target beneficiaries of the project have been consistently involved throughout the pre-project in building the work plan and the full final proposal. From the creation of the pre-project, the governments of Honduras and Guatemala had to approve and support the project. Then, as explained previously, the pre-project was designed to gather information from national stakeholders on what they need from a capacity building project on forest governance and participation. The workshops provided a space for stakeholders to express their needs and views, and ensure that their inputs were the basis of a full work-plan. The pre-project was a collaborative process, and as such the full project proposal belongs to the countries and the stakeholders which have taken part in the pre-project activities.

As this was a pre-project, its sustainability is expected to start with the implementation of a full project. The final work programme submitted to ITTO is a two year plan. The project

proposal includes various elements which are meant to ensure sustainability, such as a 'train-the trainer' approach.

The pre-project has been submitted to ITTO as the final output for the pre-project executed by ClientEarth. As ClientEarth has had to retire from the project, in agreement with both countries, the project proposal has been handed over to Rainforest Alliance, which will submit it as the new executive agency in the next call for proposals by ITTO.

## **5. Assessment and analysis**

The project rationale and identification process were well in line with the national contexts. As the pre-project stems from results of the REDD CCAD-GIZ Programme and requests from countries, it was appropriately aligned with the needs of stakeholders from the start. The identification/mapping of stakeholders for the pre-project was relatively straight forward as ClientEarth had already been to Honduras and Guatemala and met with many of stakeholders involved in forest governance and REDD+ work. The participation of stakeholders in the formulation of the project was an essential component of the pre-project which allowed a positive/constructive involvement of all stakeholder groups (government, civil society, indigenous peoples, and forest communities).

As for the adequacy of the problem identification, similarly to the comment above, it was based on the results of a regional project and demands from individual countries. The pre-project objective was also proven to be appropriate as the pre-project has resulted in the gathering of all necessary information, material and support to develop a comprehensive full project proposal.

As mentioned in section 3, there were no critical differences between the planned and actual project implementation. All activities were implemented, which we believe to be strongly positive from an assessment perspective. Minor changes included:

- Replacing formal interviews with meetings. This allowed us to gather more information, as formal interviews can be limiting and did not always work well with target stakeholders. It also allowed us to meet a larger number of actors within stakeholder groups.
- Moving forward the date of workshop 2. This was done to fit with national contexts and requests from national stakeholders (to fit with the work of the National Safeguards Committee in Guatemala, and the R-PP submission in Honduras).
- Activity costs, mainly the workshops. These costs ended up being lower than expected.

The timing of the project (9 months) was adequate, and all reports and documents were delivered on time. The project inputs were also adequate and allowed the implementation of all activities.

The assumptions outlined in the pre-project document were proven to be correct. Stakeholders were very willing, motivate, receptive and engaging in the process of building a project.

The participation of project beneficiaries was very active and positive, as planned in the pre-project document. The pre-project was designed as a consultative and participatory process, facilitating the input and collaboration of stakeholders. In both countries there was a strong interest and will to participate, especially in Honduras where actors were contacting us to be involved. The high levels of participation ensure that pre-project beneficiaries will benefit from the project, as they have been very active in the design of the full capacity building project.

As mentioned in the previous section, since this was a pre-project, the sustainability lies in the implementation and success of the full project. ClientEarth has had to back down as Executive Agency but done everything possible to ensure the full project proposal was taken over by another agency, in partnership with the governments of Honduras and Guatemala.

In terms of institutions involved in the pre-project, the only comment is on the CCAD, which did not provide the support agreed/required. More political and logistic support at the start of the project and the first workshops would have been beneficial to the project, although in the end ClientEarth was able to do everything according to plan.

## **6. Lessons learned**

The lessons learned for future projects including the full proposal submitted to ITTO by Rainforest Alliance are threefold and highlight the need to (1) maximize the use of resources (i.e. knowledge, experience, network, etc) held by in-country partner-organizations, (2) have offices or representatives present in target countries, and (3) to allow a certain degree of flexibility around the planning (timing) of in-country activities. These three components have the potential to significantly maximize the efficiency and overall impact of the project.

### **Relationship and coordination with partner organizations**

As mentioned previously, the project proposed by ClientEarth relied on an analysis conducted by the REDD CCAD-GIZ initiative and offered to address the needs for capacity building and support in the design and implementation of participatory mechanisms under REDD+ that were identified by CCAD. Although CCAD fully endorsed our project and was committed to provide support and input, in particular at the beginning of the project, we did not benefit from an active involvement from them, while such a partnership would have been very useful to the project.

Specifically, increased logistical support would have directly enabled us to ensure a greater coordination and alignment between our own respective approaches and activities in target countries. Additionally the project could also have benefitted from their knowledge, experience and network (in particular with other development agencies operating in the same sector) which would have contributed to strengthened political support and engagement from national stakeholders.

## **In-country presence and network**

This leads to the second lesson that ClientEarth has learnt that lies into the need to operate with the support of a dedicated “in-country associate” who would help coordinate activities and follow up on the ground with national stakeholders including government, development agencies, civil society, indigenous groups’ representatives. A number of partner stakeholders requested a permanent representative of ClientEarth in both countries, which we strongly recommend to any executing agencies of similar projects and will consider and implement in future projects.

In the project proposed by Rainforest Alliance, this issue is overcome by the fact that Rainforest Alliance has offices and is represented by national coordinators in both countries. In addition, a large of part of the capacity-building activities will be based on the “train the trainer” approach that will contribute to build a network of experts who will be able to reach and address the needs of a wide range of beneficiaries including local communities that are less easy to reach.

## **Planning and logistics**

Throughout the implementation period of the pre-project, we have learnt not to set and organise workshops and other in-country activities nine months in advance but rather to find the balance between providing attendees and partners with enough notice and taking the time necessary to assess the needs, constraints, availability of the stakeholders involved in the process.

There are also a number of external factors that cannot be anticipated and for which it is difficult to establish a strict and reliable timeframe. For instance, while designing the project, we had not anticipated receiving such a positive response and engagement from stakeholders as early as in the first couple of months of the project nor had we expected the governments to have made significant progress in the development of REDD national processes. We therefore decided to advance scheduled workshops by two to three months.

## **7. Conclusions and recommendations**

### **Problem identification**

The pre-project was identified and based on a prior regional project initiated and led by GIZ-CCAD. This project focused on the need for capacity building and support in the design and implementation of participatory mechanisms under REDD+ that were approved and supported by a wide range of stakeholders. In addition, national authorities themselves recognized there was a lack of capacity on forest governance and REDD+ issues amongst civil society actors including indigenous peoples and forest communities.

Building on GIZ-CCAD’s programme, ClientEarth proposed to provide legal and technical expertise on REDD issues to collect and assess the needs of stakeholders in both countries into more depth (pre-project). This nine-month phase of consultation and analysis of stakeholders’ needs was thoroughly executed and has resulted in the submission of a



proposal aiming at increasing knowledge and building capacity of the identified beneficiaries over a two-year period through the development of adequate tools (e.g. production and dissemination of manuals) and appropriate methods (e.g. “train the trainer” approach) addressing the difficulties or challenges phased by ClientEarth during the pre-project (see section “6. Lessons learned” above).

### **Project design**

Designed over a relatively short period of time, the pre-project was structured around two main phases seeking to (1) collect data and (2) analyze them with the stakeholders and targeted beneficiaries. Both phases contributed to raising awareness amongst beneficiaries of the issues at stake, strengthening the overall need assessment and composing the subsequent development of the main capacity-building project that will be carried out by Rainforest Alliance (executing agency).

The first phase included desk research that aimed to analyze existing data collected by development agencies and other organizations involved in REDD issues in Honduras and Guatemala, as well as two field trips aiming at collecting complementary data and establishing contact with partners. The second phase included two workshops – addressed to target-beneficiaries and other relevant stakeholders – aiming at gathering information collectively and collaboratively and starting designing the capacity building activities of the main project. The success of the second phase demonstrated the importance of participatory mechanisms that have been approved by most participants including representatives from the government and other national authorities.

The design of the pre-project enabled us to design and propose an ambitious, informed and adequate program of work for the next two years taking into account both internal and external variables and mitigating the potential risks. In addition, its transparent structure and identifiable stages considerably facilitated the consultation activities with stakeholders and partners who have greatly contributed to the design of the resulting proposal.

### **Project implementation**

The implementation of the pre-project was smooth thanks to the expertise and experience of allocated staff who had been working on REDD issues for several years. These staff members were familiar with the target countries and had previously organized similar types of capacity building projects. All activities were completed as planned, which resulted in the completion of a sophisticated deliverable.

The only important changes made through the implementation phase of the project were related to the timing of the workshops, which were moved forward to fit into the legislative and political processes related to REDD in each country.

As highlighted in Section 6 “Lessons learned”, it is recommended to allow some flexibility around the dates of such activities as to take into account the political agenda, but also to ensure the project includes in-country capacity that would be able to interact with

government stakeholders as a representative of the executing agency. The organization or coordination of workshops and other events would also be greatly facilitated by in-country capacity.

## **Organization and management**

Our pre-project and experience in Honduras and Guatemala has revealed that there are a number of principles to consider and take into account in the overall organization and management of such a project:

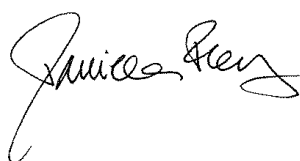
**Alignment** – Because the project was properly aligned with the objective of strengthening capacities of ITTO member countries and their stakeholders to reduce deforestation and forest degradation, it has greatly benefitted from the support and expertise of ITTO focal points. ClientEarth’s relationship with ITTO focal points, established during the first trip in October 2012 in Honduras and Guatemala, remained strong throughout the pre-project.

**Communications** – The project has maximized synergies amongst stakeholders who have both benefitted from the project and actively contributed to its success. It has significantly improved the level of dialogue and cooperation between the beneficiaries, and in doing so has strengthened the capacity of ITTO countries and stakeholders to implement the necessary policy and legislative reforms needed to reduce deforestation and forest degradation.

**Public participation** – The issue of participation and consultation in forest governance has also been raised and discussed by stakeholders. In Honduras for example, prior to the first workshop (October 2012), dialogue between government and indigenous groups was nonexistent. Since then, both parties have agreed to move forward with processes to ensure the participation of indigenous groups. Similarly, government and non-governmental actors in both countries have actively engaged in the project and are contributing to the design of the capacity building workplan for their countries.

**International knowledge sharing** – The project had raised awareness on REDD+ and forest governance issues, as well as encouraged discussion between stakeholders in Honduras and Guatemala. We strongly recommend to the executing agency of the full project to develop and build on these relationships in order to encourage knowledge and experience sharing between the two countries that can then be spread across the region.

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Daniela Rey, Project coordinator  
London, 19 September 2013

## ClientEarth

The Hothouse  
274 Richmond Road  
London E8 3QW  
United Kingdom

+44 (0)20 7749 5970

+44 (0)20 7729 4568

[development@clientearth.org](mailto:development@clientearth.org)

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<sup>i</sup> CCAD and GIZ have launched the REDD CCAD-GIZ Programme to support the Central American Region in “getting ready” for REDD. The initiative will take place in two phases during 2010-2015; participating countries, which together comprise CCAD, are: Belize, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, Panama and Dominican Republic.

<sup>ii</sup> Prioritized regional activities for 2011-2013 are available online at: <http://reddccadgiz.org/noticia.php?id=19>  
<http://www.sica.int/busqueda/Noticias.aspx?IDItem=57418&IDCat=3&IdEnt=2&Idm=1&IdmStyle=1>

<sup>iii</sup> Points 1.1.3, 1.1.4, 1.1.4.1, 1.1.4.2, 1.1.4.3, 1.1.4.4 and 1.1.4.5 of Honduras’s REDD CCAD-GIZ National Planning Meeting Report, and points 1.1.1., 1.1.1.1, 1.1.1.2, 1.1.2.1, 1.1.2.2, 1.1.2.3, 1.1.6.1, 1.2.2.4, 2.1.1.1, 2.1.7.1, 2.2.4.1 and 2.2.4.2 of Guatemala’s REDD CCAD-GIZ National Planning Meeting Report.

<sup>iv</sup> Honduras’s National Planning Meeting Report developed under the REDD CCAD-GIZ Programme, available online at: <http://www.reddccadgiz.org/documentos.php>.

<sup>v</sup> For more information please see points 1.1.3, 1.1.4, 1.1.4.1, 1.1.4.2, 1.1.4.3, 1.1.4.4 and 1.1.4.5 of Honduras’s REDD CCAD-GIZ National Planning Meeting Report.

<sup>vi</sup> Guatemala’s REDD CCAD-GIZ National Planning Meeting Report, available online at: <http://www.reddccadgiz.org/documentos.php>.

<sup>vii</sup> Points 1.1.1., 1.1.1.1, 1.1.1.2, 1.1.2.1, 1.1.2.2, 1.1.2.3, 1.1.6.1, 1.2.2.4, 2.1.1.1, 2.1.7.1, 2.2.4.1 and 2.2.4.2 of Guatemala’s REDD CCAD-GIZ National Planning Meeting Report.

<sup>viii</sup> CCAD and GIZ have launched the REDD CCAD-GIZ Programme to support the Central American Region in “getting ready” for REDD. The initiative will take place in two phases during 2010-2015; participating countries, which together comprise CCAD, are: Belize, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, Panama and Dominican Republic.

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<http://www.sica.int/busqueda/Noticias.aspx?IDItem=57418&IDCat=3&IdEnt=2&Idm=1&IdmStyle=1>

<sup>x</sup> Points 1.1.3, 1.1.4, 1.1.4.1, 1.1.4.2, 1.1.4.3, 1.1.4.4 and 1.1.4.5 of Honduras’s REDD CCAD-GIZ National Planning Meeting Report, and points 1.1.1., 1.1.1.1, 1.1.1.2, 1.1.2.1, 1.1.2.2, 1.1.2.3, 1.1.6.1, 1.2.2.4, 2.1.1.1, 2.1.7.1, 2.2.4.1 and 2.2.4.2 of Guatemala’s REDD CCAD-GIZ National Planning Meeting Report.

<sup>xi</sup> Honduras’s REDD Operational Plan 2011-2012, Secretaria de Recursos Naturales y Ambiente, Instituto de Conservación Forestal, Dirección Nacional de Cambio Climático, Departamento de Cambio Climático, available online at: <http://reddccadgiz.org/noticia.php?id=19>. Also see Guatemala’s PPT Operational Plan for 2011, available online at: <http://reddccadgiz.org/noticia.php?id=19>.

<sup>xii</sup> UN-REDD Programme (2011) ‘The UN-REDD Programme Strategy 2011-2015’, available at: <http://www.un-redd.org/Publications/tabid/587/Default.aspx>

<sup>xiii</sup> PRISMA (2011) ‘Designing a REDD+ Program that Benefits Forestry Communities in Mesoamerica’, Synthesis Report, available at: [http://www.rightsandresources.org/documents/files/doc\\_2228.pdf](http://www.rightsandresources.org/documents/files/doc_2228.pdf)

<sup>xiv</sup> RECOFTC (2011) ‘Free, Prior and Informed Consent in REDD+: Principles and Approaches for Policy and Project Development’, available at: <http://www.recoftc.org/site/resources/Free-Prior-and-Informed-Consent-in-REDD-.php>

<sup>xv</sup> Johnson, E., Johns, T. and Knight, D. (2011) ‘Survey on REDD Communications Barriers and Needs’, White Paper, Forum on Readiness for REDD, available at:

[http://www.threddesk.org/sites/default/files/resources/pdf/2011/forum\\_2011\\_survey\\_analysis\\_report\\_final.pdf](http://www.threddesk.org/sites/default/files/resources/pdf/2011/forum_2011_survey_analysis_report_final.pdf)