



Loan 1939–CAM (SF): Tonle Sap Environmental Management Project

# **Final Report**

## **Tonle Sap Biosphere Reserve Policy Analysis and Secretariat Action Plan**

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Asian Development Bank

## EXECUTIVE SUMMARY

### Introduction

1. The Policy and Strategy (P&S) Phase 2 Final Report was prepared for the Tonle Sap Biosphere Reserve Secretariat (the Secretariat) under the Cambodia National Mekong Committee (CNMC) of the Cambodia Council of Ministers, Royal Government of Cambodia (RGC) by P&S advisor who worked within and for the Tonle Sap Biosphere Reserve (TSBR) and the Tonle Sap Environmental Management Project (TSEMP) as part of the Asian Development Bank (ADB) Tonle Sap Initiative (TSI) projects. ADB provides funding for TSEMP Component 1, Strengthening Natural Resource Management Coordination and Planning for TSBR, which includes three subcomponents directly relevant to policy and strategy.

2. The Tonle Sap Lake, one of the most important wetlands of international importance in Southeast Asia, and its surrounding areas were first identified as a Biosphere Reserve in 1997 by the Man and the Biosphere Program of the United Nations Educational, Scientific and Cultural Organization (UNESCO) and the Royal Government of Cambodia (RGC). The Biosphere Reserve was then formally designated as TSBR by Royal Decree on 10 April 2001. The ancient Khmer capital of Angkor with its focal Angkor Wat temple, situated ca. 10 km from the northeastern edge of the TSBR, was declared by UNESCO and RGC as a World Heritage Site.

3. TSBR consists of the Tonle Sap Lake and its floodplain with three distinct interdependent wetland ecosystem types: (i) the large open lake at its center, (ii) a freshwater swamp forest, and (iii) seasonally flooded grasslands at the margins, mainly at the eastern shore. Native vegetation includes tropical dry or deciduous forests (including monsoon forests) and scrublands. TSBR (ca. 1,481,257 ha) lies within five provinces: Kampong Thom, Siem Reap, Battambang, Pursat, and Kampong Chhnang.

4. The Biosphere Reserve concept is an internationally recognized status differing from the typical range of protected area types in that it aims to reconcile biodiversity conservation with sustainable development. Biosphere reserves are typically very large areas in which a range of local human activities and development values are not typically separated spatially and economically from the conservation values of the area, except through a zoning system.

5. In line with UNESCO Man and the Biosphere Program policy, three land-use zones provide conservation, development and support functions within the Biosphere Reserve; namely, (i) core areas, ca. 70,837 ha of important wetlands set aside for protection within three core areas, one of which, Boeng Chhma, has been designated a Ramsar Site; (ii) buffer zone, ca. 510,768 ha of wetlands, including the Tonle Sap, for sustainable fisheries and conservation of flooded forests; and (iii) a large encircling transition area, ca. 899,652 ha, for sustainable water and land use and which extends to and is bounded by Highways No. 5 and No. 6 to form TSBR boundary. Also within TSBR are several large fishing lots, which are auctioned to private investors who obtain exclusive rights to fishing. Several fishing sanctuaries in TSBR are additional important protected habitat areas. Community fishing areas have been designated and are managed according to community regulations cooperatively formulated with provincial and district fisheries departments, and offices.

6. The hydrological regime of the Mekong River, which feeds the Lake via the Tonle Sap River, is remarkable and highly characteristic. The area underwater in the dry season (February to June) is five times less than in the rainy season (July to January), and the flood water from

the Mekong via the Tonle Sap River reverses direction between seasons. Only 10% of the area is covered by tall-tree forest, mainly along streams and in permanently wet areas. Swamp or flooded forest is the most characteristic original habitat critical for ecosystem productivity (e.g., fisheries) and biodiversity (e.g., endangered water birds and reptiles).

7. According to 1998 population census (cited in ADB 2004), about 3 million people reside mainly in the buffer and transition zones; about 38% are below the poverty line. Approximately 60 floating villages are found on the lake and shores within the buffer zone. Fishing is the main activity but the fertile flood plain also produces rice and vegetables. About 10% of the population depends on fishing and about 40% have fishing as a secondary occupation, i.e. ca. 1,500,000 TSBR inhabitants are involved in fisheries to some extent.

## Report Organization

8. The purpose of Part One is based on the first objective of P&S advisor's terms of reference inputs, i.e. to explicate near- and mid-term multi-sector policy priorities to be coordinated for TSBR. The scope includes reviewing and analyzing natural resource use and stakeholder conflicts as well as other sector or jurisdictional policy and practice on the Tonle Sap Lake and surroundings, i.e. TSBR, vis-à-vis testing common policies relevant to specific categories of natural resource use and stakeholder competing demands. The first three chapters address this objective and scope.

9. The purpose of Part Two is based on the second objective of the advisor's terms of reference, i.e. to develop a corresponding actionable strategy for the Secretariat to engage with those policies and the relevant government agencies with responsibility for them. The scope includes (i) setting a strategic framework to establish an agenda of mobilized consensus building around common policy through the Secretariat's actions and current TSEMP resources and (ii) transforming a static vision for TSBR into dynamic actions, which the Secretariat would put into operation over the next 5 years, i.e. 2006–2010, with additional funding from other sources for sustainability. The second three chapters address the objective and scope.

10. The report also intends to complement strategies and policies of other initiatives, most notably those of the broader TSI's other ongoing, current, and planned project interventions in the region and the proposed Tonle Sap Basin Organization (TSBMO II, TA 4427–CAM).

11. Fifteen Appendices are in a separate Annex to the Final Report. Three Final Report Supplements provide additional supporting information.<sup>1,2,3</sup>

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<sup>1</sup> *Summary Report on Provincial Workshops: "Tonle Sap Biosphere Reserve Coordination Mechanisms, Stakeholders and Natural Resource Management Conflicts in Kampong Thom, Siem Reap, Battambang, Pursat and Kampong Chhnang Provinces"* (in English and Khmer; with Appendices).

<sup>2</sup> *Summary of Civil Society, Government and Donor Initiatives in TSBR*: (i) Civil Society/NGO Stakeholders Working within the Five TSBR Provinces, and (ii) Current and Planned Government and Donor Project Interventions within the Eight Tonle Sap Basin Provinces, including the five TSBR Provinces.

<sup>3</sup> *Policy and Strategy Phase Two Advisor End-of-Assignment Report* (with Appendices).

## Natural Resource Management Conflicts

12. A critical question for natural resources management (NRM) conflict analysis is: “What are the trends for each natural resource sector of particular significance to TSBR’s viability, sustainability, and maintenance of its biodiversity conservation and sustainable development values”? Analyzing NRM conflicts and policies, practices, and issues that either support or hinder conservation and development goals and objectives was the first step toward TSBR common policy identification. A review of five primary NRM sectors was conducted for fisheries, water resources, biodiversity, agriculture and land-use, and forestry.

## Stakeholder Policy Conflicts, Power, and Authority

13. Stakeholders are defined as people, groups or institutions that may be affected by, can significantly influence or are important to achieving the stated purpose or goals of a development initiative. Analyzing government, civil society and donor project stakeholder policy and practice conflicts, linkages, effects, power and authority within TSBR was another first step toward identifying TSBR common policies with a view towards identifying issues, policies and practices that either support or hinder TSBR conservation and development goals and objectives. As part of the stakeholder review, gender and minority priority issues as well as current supportive legal and policy frameworks are addressed in the contexts of policy analysis and common policy formulation, prioritization, and coordination.

14. A review of relevant government stakeholders was conducted for the same sectors as NRM analysis: fisheries, water resources, biodiversity, agriculture and land-use, and forestry.

15. A review and survey of the many civil society stakeholders, i.e., nongovernment organizations (NGOs), community based organizations, community resource user groups, and the private sector, was made but with primary focus on 144 international and Cambodian NGOs working within the five TSBR provinces.<sup>4</sup> Each NGO is identified by name, mission, and their management issues from among a list of 38 issues. The resulting matrix makes it easy to see what NGO initiatives are being implemented in TSBR with regard to these management issues.

16. There is also an urgent need for coordination among the many donor assistance projects that have similar objectives and are working within or are of relevance to TSBR activities. Project stakeholders represented by 64 government and donor assisted projects within the eight Tonle Sap Basin provinces<sup>5</sup> including the five provinces of TSBR are identified. Each project is identified by name, scope or objectives, donor name, funding source, timeframe, location (provinces and districts), and 21 management issues. The resulting matrix makes it easy to see what initiatives are being implemented in TSBR and for these management issues. The matrix of current and planned government and donor projects was prepared and provided with permission by the Establishment of the Tonle Sap Basin Management Organization II (TA 4427–CAM).

17. Gender issues involving typically neglected stakeholders are discussed. Gender means examining the constraints and opportunities for both men and women. Including gender in planning means to assess: (i) how problems and natural resource uses of men and women may

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<sup>4</sup> Final Report Supplement: *Summary of Civil Society (NGO), Government and Donor Initiatives in TSBR*: (i) Civil Society/NGO Stakeholders Working within the Five TSBR Provinces and (ii) Current and Planned Government and Donor Project Interventions within the Eight Tonle Sap Basin Provinces, including the five TSBR Provinces

<sup>5</sup> *Ibid.*

be different, (ii) what different roles and opportunities are for each during project implementation, and (iii) how the contributions of men and women may provide different results.

18. Identifying existing policies, found in legislation and informally-in-effect, in support of conservation and development were reviewed. The ambiguities in some current laws and regulations hinder relevant jurisdictional policy development, i.e. the question of clearly delegated functions and responsibility within provincial governments, districts and communes to identify conflicts, mitigate, enforce and resolve any natural resource management issue.

19. Two participatory stakeholder workshops<sup>6</sup> were held for all provinces of TSBR. The first workshop was held on 28–29 March 2005 at Kampong Thom for participants from the provinces of Kampong Thom and Siem Reap. The second workshop was held at Battambang for participants from the provinces of Battambang, Pursat, and Kampong Chhnang on 16–17 June 2005. Participants of four working groups in each workshop developed matrices in Khmer for each four themes; namely: (i) livelihoods improvement (ii) coordination and community participation, (iii) conflicts of land and water management, and (iv) conflicts of fisheries management. Each theme focused on: (i) current conditions or efforts expressed either as strengths or weaknesses, (ii) recommended solutions, and (iii) delivery mechanisms, i.e., identifying responsibilities and authority to implement recommendations.

## Management Framework Elements

20. The functions of TSBR management are derived from the Royal Decree on the Establishment and Management of the Tonle Sap Biosphere Reserve (April 2001). Relevant phrases for arriving at a proposed vision for TSBR management are:

- "... to contribute to the conservation of biological diversity ... and to the restoration of the essential character of the environment and habitat ..."
- "... to foster sustainable development ..."
- "... to provide support to demonstration projects, environmental education and training , research and monitoring ... related to ... conservation and sustainable development".

*By 2020 the Tonle Sap Biosphere Reserve will be a productive and restored environment supporting biodiversity conservation and sustainable development through internationally recognized model management, extension, training, environmental education, research and monitoring programs.*

21. Thus, from the Royal Decree the three general functions of TSBR management are (i) conservation, (ii) sustainable development and (iii) support. The functions are expressed in a proposed vision for TSBR:

*By 2020 the Tonle Sap Biosphere Reserve will be a productive and restored environment supporting biodiversity conservation and sustainable development through internationally recognized model management, extension, training, environmental education, research and monitoring programs.*

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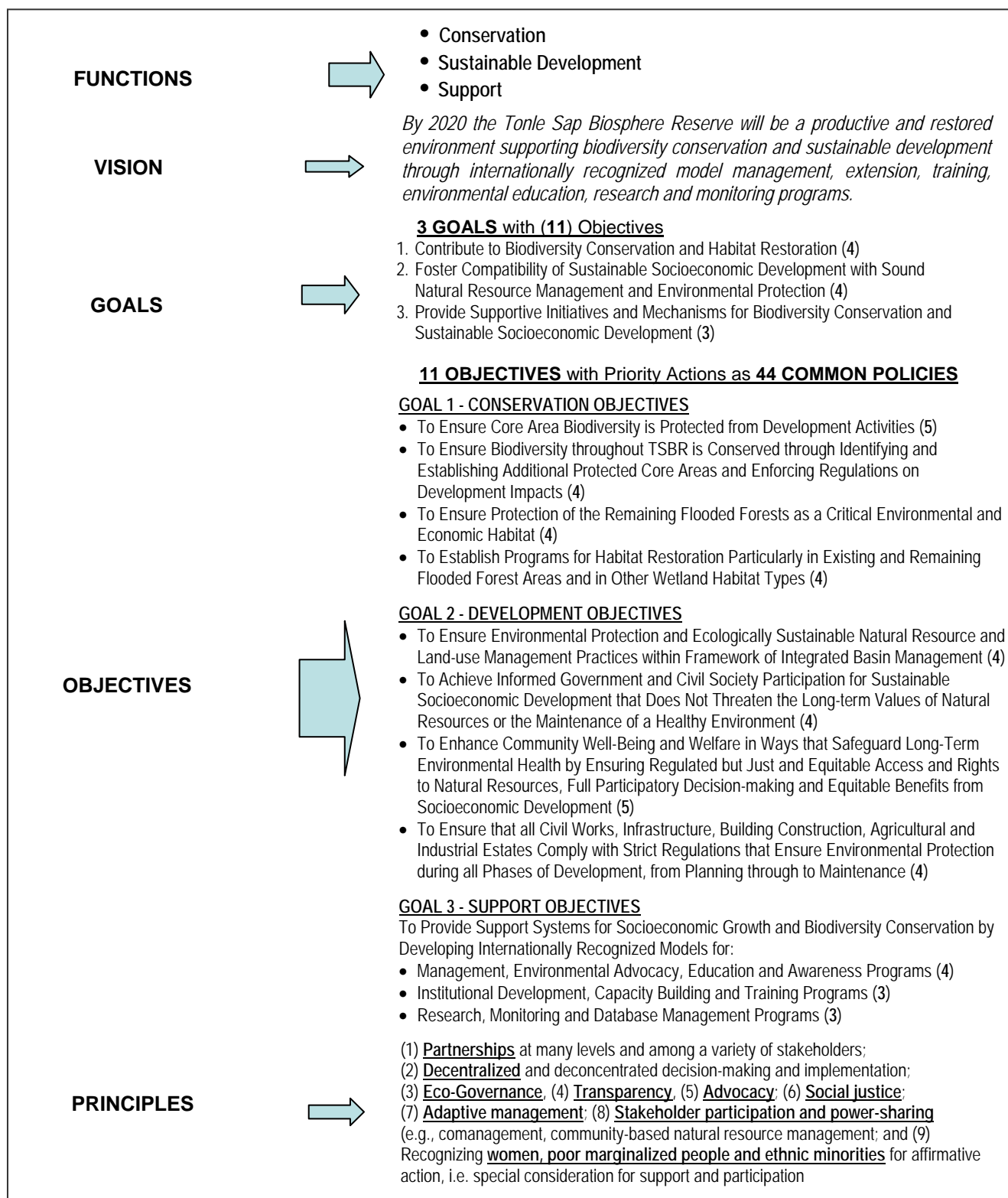
<sup>6</sup> Final Report Supplement: *Summary Report on Provincial Workshops: "Tonle Sap Biosphere Reserve Coordination Mechanisms, Stakeholders and Natural Resource Management Conflicts in Kampong Thom, Siem Reap, Battambang, Pursat, and Kampong Chhnang Provinces"* (in English and Khmer; with Appendices).

22. The proposed TSBR common management goals are based on the vision. Each of the three goals has a set of relevant objectives (11 in total), which in turn contain priority actions that become a set of 44 proposed priority common policies that form a Management Partnership Approach (MPA) for TSBR (Figure ES-1).

### **Common Policy Coordination Framework**

23. The Royal Decree (April 2001) for establishing and managing TSBR and the Prime Minister's sub-decree (September 2001) on establishment, role, and functions of the Secretariat clearly recognize that the objectives of TSBR will not be achieved without coordination and cooperation among relevant stakeholders.

**Figure ES-1: Basic Elements of a Tonle Sap Biosphere Reserve Management Partnership Approach**



24. The functions, vision, goals, objectives, and common policies comprise elements of the proposed management coordination framework or MPA that defines and guides how TSBR stakeholder partners will collaborate with strengthened Secretariat support and facilitation.

25. With establishment of the proposed Tonle Sap Basin Organization (TSBO) and a Tonle Sap Basin Committee (TSBC), the opportunity presents itself to create an important mechanism that would integrate TSBR activities within those of the wider landscape of the Tonle Sap Basin and to promote common policies of TSBR among stakeholders. Figure ES-2 presents a proposed structure of a TSBR management coordination mechanism.

26. Partnership arrangements in support of the management coordination mechanism are described at the national, provincial, district and sub-basin levels. A proposed Ministerial and Provincial Liaison and Advisory Board (MPLAB) will be comprised of influential representatives from CNMC member ministries and from each of the five TSBR Provincial Governor's offices. MPLAB will establish the process for common policy review through Joint Policy Coordination Groups (JPCGs) and consider the set of priority common policies proposed in this Final P&S Report.

27. TSBR Secretariat will provide support to TSBC and to subnational bodies through four technical advisory groups that will provide expert technical advice to TSBR Secretariat on an ad hoc or as needed basis on management and other issues pertaining to: (i) land-use, agriculture and water resources; (ii) fisheries; (iii) biodiversity conservation, and (iv) socioeconomic development and livelihoods improvement.

28. Focusing specifically on TSBR, a Provincial Management Working Group (PMWG) in each of the five TSBR provinces will be directly connected and facilitated by the proposed national policy coordination body, the TSBC. PMWG focus will be on management of people, resources and ecosystems. Each PMWG will coordinate program formulation and implementation within TSBR to optimize biodiversity conservation and the sustainable development and to address conflicts, develop common programs and regularly monitor activities. Each PMWG will also promote several principles of TSBR Management Partnership Approach, namely: (i) developing partnerships among a variety of stakeholders; (ii) decentralized and deconcentrated (D&D) decision-making and management implementation; (iii) eco-governance; (iv) adaptive management; and (v) stakeholder participation and power-sharing (e.g., comanagement, community-based natural resource management).

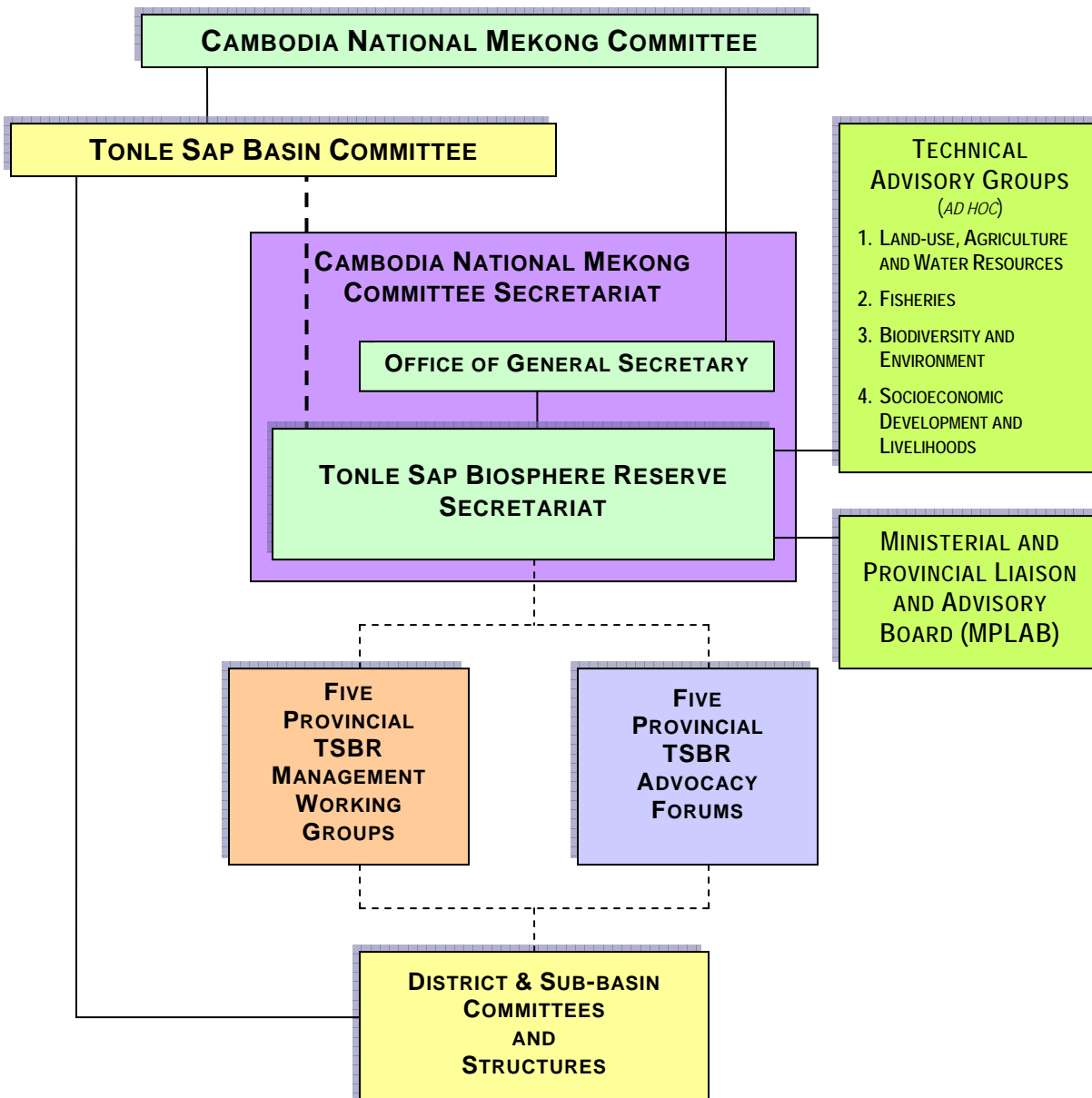
29. Provincial Advocacy Forum (PAF) in each of the five TSBR provinces is intended to be primarily a civil society consultative forum and will be directly connected to and facilitated by TSBR Secretariat. Each advocacy forum will promote several principles of TSBR Management Partnership Approach, namely: (i) advocacy, (ii) transparency, (iii) social justice, (iv) stakeholder participation and power-sharing (e.g., comanagement, community-based natural resource management), and (v) recognizing women, poor marginalized people and ethnic minorities for affirmative action (e.g., special consideration for support and participation). The primary function is to promote advocacy among communities of TSBR objectives and issues.

30. Sub-basin committees, as a part of the TSBO structure and where ground work will be implemented, will be the entry point for initiating activities reviewed and endorsed by the relevant PMWG and PAF.

## Approach to Strategic Planning

31. To fulfill its mandate within a more sustainable framework, the Secretariat must implement its conservation and development vision and strategy. Progress in this direction has been made with drafting functions, vision, goals, objectives, common management principles and priority actions as a set of common policies. Now, a change management strategy must be built on consensus among key stakeholders regarding the issues and the shared vision of what the future should be for the Secretariat and TSBR. The strategy will need to develop capacity and resources, both financial and human, and provide an outline of actions to implement a long-term strategy with clear adaptive management mechanisms.

**Figure ES-2: Proposed Structure for a TSBR Management Coordination Mechanism**



32. Four factors will enable the Secretariat to successfully meet challenges of institutional strengthening and change posed by the Strategy. The Secretariat and partners must:

- Clearly see and agree on the need for change;
- Agree on a common vision within the Secretariat and among the partners of the vision, goals, objectives and common policies designed for specific changes and a broad strategy for reaching the objectives and implementing the common policies;
- Develop the capacity to change; and
- Define actionable first steps.

33. To strengthen organizational management, with an emphasis on the RGC's general policy on decentralization, the Secretariat will need technical and financial support for activities in two main areas; namely: (i) establishing and supporting a management team approach, and (ii) establishing organizational systems and an effective organizational structure.

34. Steps in strategic planning process begin with identifying the Secretariat's vision and purpose. The importance of a clear vision cannot be overemphasized, and subsequent steps will not really matter if the Secretariat is not clear on where it is headed. Once the vision, goals, objectives, and common policies are clearly identified, the next step is to analyze the Secretariat's external (e.g., economic, social, demographic, political, legal, technological, and international factors) and internal environment or factors (e.g., organizational structure, roles, and responsibilities).

35. Measuring and comparing the Secretariat's operations, practices, and performance against others is useful for identifying best practices that can be replicated. Through an ongoing systematic benchmarking process reference points can be found for setting goals and targets. The next step involves determining strategic issues that are based on and consistent with the vision. Strategic issues are the fundamental issues to be addressed by any successful organization so as to achieve its purpose and move toward a desired future. To address these strategic issues and develop specific strategies, the Secretariat sets strategic goals, action plans, and tactics.

36. From assessing progress, the Secretariat will need to periodically review the strategic plan, make necessary changes and adapt its course based on evaluations. Any revised plan must then take into consideration emergent strategies and any unexpected changes affecting the Secretariat's progress.

37. A landscape approach to ecosystem management provides a scientific basis for management. This is the appropriate scientific management approach for a multiple-use and multiple-ecosystem Biosphere Reserve. The approach involves segregating the Biosphere Reserve into zones and sub-zones that provide for different uses or ecosystem functions. The landscape approach offers the greatest opportunity to meet the goal of overall ecosystem management for both conservation and development. Managing TSBR requires looking at large spatial scales (e.g., watersheds, sub-basins and critical wildlife, and vegetation habitats).

38. By the end of 2020 and in line with the vision, strategic relationships at multiple levels will have been developed among a diversity of stakeholders (e.g., government agencies, NGOs, targeted communities, community-based organizations, and the private sector). At the national level, TSEMP will have helped improve understanding of biodiversity conservation and development priorities, gaps, and redundancies and have facilitated collaborative action in

support of specific priorities. At the local level, communities will be receiving tangible benefits (e.g., increased income and services) from improved natural resource management, will understand the importance of conservation and will have developed relationships with the wider economy that enable them to contribute to continued conservation of those natural resources upon which they depend.

### **Assessing the Secretariat's Current Situation**

39. Challenges facing the Secretariat include developing a human resources development strategy, which includes identifying necessary staff management and communication skills (e.g., team building and change management). Meeting the challenges and opportunities requires that the Secretariat and its partners strengthen their functions, collaboration, and responsibilities beyond those they have traditionally assumed and thus influence positive impacts on conservation and development in TSBR. Results from various delivery mechanisms for implementing recommendations are expected to come from fundamental changes in ways the Secretariat carries out its role. There is not yet complete consensus on which ways, or to what degree, this should be done.

40. Financial and technical support is needed to assist Secretariat facilitation of partner management for biodiversity conservation and sustainable development through several courses of action, one of which is to improve TSBR management by working to support and facilitate consensus among partners engaged in TSBR management zones through (i) strengthening staff capacity and experience, and (ii) building capacity among local stakeholders.

41. In line with the vision, several initiatives will have been implemented for institutional strengthening:

- The Secretariat will have facilitated and supported its partners to manage TSBR scientifically by using landscape and site level management plans that bring together best practices with skilled technical staff and local people living in association with TSBR zones.
- The Secretariat and its partners' staff attitudes and approaches will have changed.
- The Secretariat will have strengthened its working relationships within all government levels and the natural resource sectors.
- The Secretariat will have developed new relationships with stakeholders in other sectors.

42. Figure ES-3 shows the current Secretariat organizational structure. To accomplish these functions, three Secretariat divisions have been established for (i) policy, strategy and networking; (ii) database and research, and (iii) finance and administration. Currently, the Secretariat has five full-time and six part-time staff members distributed among the three divisions.

### **TSEMP and TSI Goals and Objectives**

43. TSEMP, a project within TSI set of ADB assistance projects and initiatives, aims to enhance multi-stakeholder coordination and management systems and to develop the capacity for natural resource management coordination and planning, community-based natural resource management, and biodiversity conservation in TSBR.

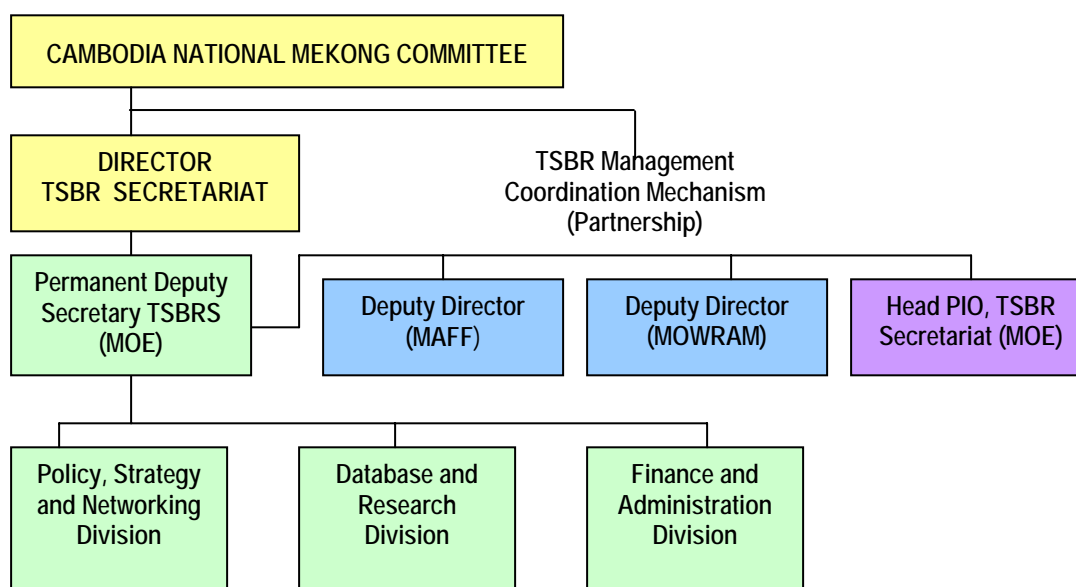
44. TSI approach to addressing threats and opportunities within the Tonle Sap region includes several tactics: (i) focusing on a basin-wide approach but with strategic geographical phasing of interventions and donor project coordination; (ii) developing institutional, policy and regulatory frameworks; (iii) acquiring and disseminating knowledge; (iv) enabling stakeholders (e.g., increased and effective participation with special focus on the very poor, ethnic minorities and women), and (v) forging partnerships and cofinancing.

### **The Secretariat's Roles and Relationships within CNMC and to the Proposed Tonle Sap Basin Organization**

45. Activities of the proposed Tonle Sap Basin Organization (TSBO) will be guided and regulated by the Tonle Sap Basin Committee (TSBC) within CNMC. A Tonle Sap Basin Committee Secretariat (TSBCS) will facilitate TSBC and will coordinate with TSBR Secretariat both of which will be within CNMC Secretariat, headed by CNMC General Secretary proposed as a new CNMC Deputy Director General.

46. New roles, convergences, and transformations will result when TSBC and its Secretariat are created and TSBR and TSBC Secretariats are brought together within CNMC Secretariat. A clear rationalization of functions and roles of the two Secretariats will be required to avoid overlaps and to maximize synergy between the two. Among the most important requirements of this rationalization will be to identify responsibilities between the two Secretariats for (i) information collection, and (ii) stakeholder participation.

**Figure ES-3. Current Tonle Sap Biosphere Reserve Secretariat Organizational Structure**



### **Operationalizing a Coordination Mechanism to Support Common Policies**

47. The proposed MPA is based on and comprised of TSBR functions and proposed vision, goals, objectives, common management principles and priority common policy objectives to guide how TSBR partner stakeholders will collaborate. MPA is a means to support the aspiration of the Secretariat that TSBR management will be through strategic collaborative multi-stakeholder partnerships. This is required to ultimately overcome detrimental effects of

conflicting intersectoral policies and practices. MPA has significant implications as a TSBR common policy coordination mechanism given the prospect of financial and technical feasibility as well as supportive and strengthened TSBR Secretariat structures and functions. It is recommended that MPA be reviewed through a consultation process at national and provincial levels.

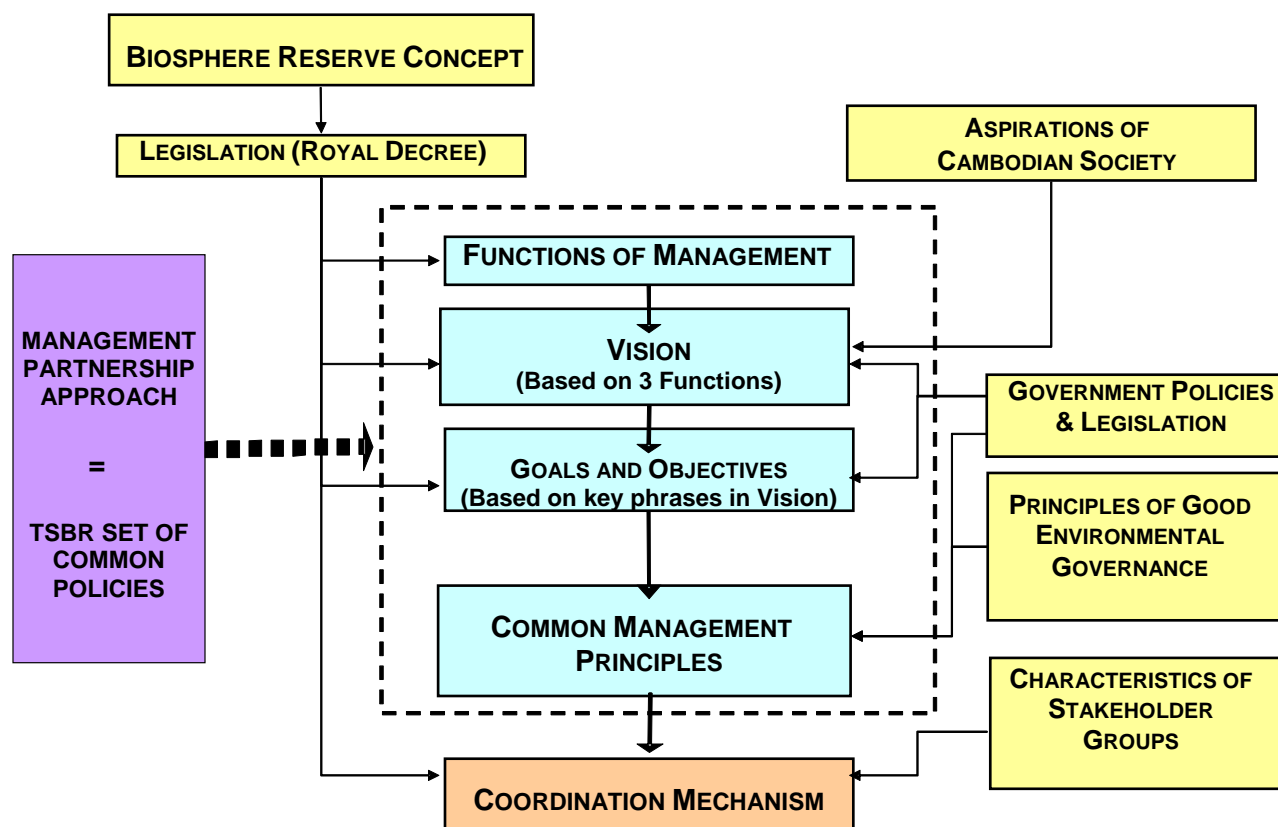
48. MPA as a common policy coordination mechanism for TSBR is presented in Figure ES-4. An appreciation of a diverse range of factors will affect the type of management approach that the partners are willing to accept and can establish. These factors include the multiple-use Biosphere Reserve concept, aspirations of Cambodian society in general, government policies and legislation, principles of good environmental governance and characteristics of the stakeholder groups.

49. The purpose of establishing organizational systems, in the context of TSBR management and RGC D&D policy, is to operationalize and enable decentralization, or devolution, of management responsibility and, ultimately to a sharing of power with local communities and authorities through comanagement arrangements. Sound organizational systems will provide the Secretariat and partners with disciplined tools for managing decentralization effectively and thus to confidently support decentralization.

50. Several key tasks to make the Secretariat's organizational systems operational will ultimately be determined by the Secretariat itself but could include:

- Identifying and clarifying roles, responsibilities and priorities in the context of what needs to get done and who needs to do it. This will lead to agreed job descriptions and will also help identify the capacities needed to fill these roles
- Developing work planning procedures and formats combined with effective performance monitoring of individual staff and the overall Secretariat
- Reviewing staffing needs and link these to a proposed decentralized structure, which would then fall into a new personnel policy system
- Developing a management information system for data archiving and sharing based on the existing system and coordinate and network data among users
- Developing improved financial systems and achieve sustainable financing from various sources
- Preparing a Secretariat organizational management or operations manual covering management support systems and human resources or staffing policies
- Preparing and conducting strategic workshops and other methods with line and provincial agencies to achieve consensus on common policies

**Figure ES-4. Proposed Management Partners Approach as the Basis for a TSBR Common Policy Coordination Mechanism**



### **Strengthening and Institutionalizing Common Policy Coordination**

51. Putting common policies into action will require institutionalizing priority common policies within line and provincial agencies by refining existing or establishing new policies in support of TSBR conservation and development objectives.

52. Government stakeholders at national and provincial levels hold most of the current “power and authority” and are those with whom the Secretariat can have its greatest initial impacts. To initiate the process of refining existing policies toward common policy acceptance and institutionalization, the Secretariat will need to focus on policy reforms and common policies. Policy issues are mainly in several critical NRM sectors (e.g., fisheries, water resources, forestry, agriculture, land-use, biodiversity conservation with special emphasis on the core areas) but must also include socioeconomic and livelihoods sectors.

53. A preliminary near- and mid-term action plan to be implemented by the Secretariat is presented. The intention is to gain support for common policies by working within line and provincial agencies over the next several years. The plan intends to make operational in a step-wise fashion the proposed policy coordination mechanism.

54. The purpose of the action plan is to develop collaborative intra-sector and intersector planning so as to build a foundation for conserving TSBR natural resources and biodiversity and reconciling this with development and livelihoods improvement over the long term. Another purpose is to introduce greater levels of accountability for natural resource management and governance within national and provincial government agencies. This will be done through a review and consultation process of common policies.

55. Actionable first steps linked to a near-term schedule must first be identified followed by steps linked to a long-term schedule over the next several years. The goal is two-fold: (i) over the near-term help the relevant ministries initiate critical policy reforms to correct and arrest the most severe environmental and natural resource trends facing TSBR, and (ii) over the long-term institutionalize this process as a principal ministerial function.

56. One significant objective is to develop shared or joint priority setting procedures that can be applied in Joint Policy Coordination Groups (JPCGs), responsible to MPLAB as the policy coordination body, for further common policy development. The intent is to develop a dialogue among key agency stakeholders to assess priorities. When this objective is achieved, it is expected that an effective and practical working relationship will be established in the long run surpassing current institutional barriers.

57. Within the supportive framework of the current TSEMP, the policy review and formulation teams, i.e. the JPCGs, will be organized within the relevant ministries that will lead the policy inventory and assessments according to the steps summarized in Table ES-1. The Secretariat's role is to ensure this process maintains momentum and that the JPCGs address appropriate regional, disciplinary and gender issues, among many others.

58. The proposed MPA forms the basis of the Secretariat's role of facilitating the development of a TSBR policy coordination mechanism. Preparing the MPA elements was an essential first step to develop a Secretariat strategy that includes a dynamic set of near-term and mid-term actions for implementation of the Secretariat. The purpose of MPA is to enhance effectiveness and efficiency especially in two fundamental areas namely: (i) enabling decentralization, and (ii) supporting the broadening of operational roles among agencies as TSBR become more effectively managed. The process begins through a strategic planning process.

59. Roles and responsibilities are presented as draft terms of reference for MPLAB, JPCGs at national and provincial levels and supportive technical working groups organized through the Secretariat.

60. Developing and strengthening the Secretariat's capacity for leadership to facilitate this process will be the key to long-term success. Developing capacity to institutionalize TSBR common policies within line and provincial agencies can include several means including (i) adapting existing policies, (ii) training, and (iii) hosting bilateral activities, among others.

**Table ES-1. Steps for Common Policy Adoption and Coordination**

<p><b>STEP ONE: Establishment</b>  Establishing MPLAB and JPCGs  Identifying membership, roles, responsibilities and expected outputs with timeframes  Developing a schedule of JPCG workshops</p> <p><b>STEP TWO: Review and Assessment</b>  Gathering information from existing sources, beginning with the 44 common policies proposed by the P&amp;S Phase 2 advisor and conducting additional consultation with resource users and managers as needed  Reviewing and collecting basic data on agencies' policies and enabling legislation  Identifying NRM conflicts and stakeholder coordination problems  Analyzing specific policy and legal problems  Identifying cross-sector and multi-level interdependencies  Ranking NRM and stakeholder priority common policies as problem-policy matrices  Preparing draft problem description papers and submitting these to MPLAB for review</p> <p><b>STEP THREE: Formulation</b>  Formulating final common policy recommendations as working policy papers for MPLAB consideration  Facilitating political consensus for reform  Drafting implementing regulations and operating procedures  Drafting legislation and moving it through the legislative process if necessary  Preparing briefing materials for legislators, key staff and stakeholders  Designing administrative tools for implementing new regulations and procedures</p> <p><b>STEP FOUR: Implementation</b>  Submitting final common policy recommendations to legislative Cabinet  Training line and provincial agencies to implement new policies and legislation  Training the judicial branch to adjudicate reform-related laws  Monitoring and evaluating the impact of the policies and legislation  Reformulating and fine-tuning policies and draft legislation as needed  Extend the process to included other stakeholders (e.g., civil society, Commune Councils)  Implementing communications and public awareness campaigns to explain new regulations and procedures to all stakeholders</p>
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## Defining Secretariat Roles and Responsibilities

61. Roles and responsibilities of the Secretariat are first described by its functions arising from Article 4 of the Prime Minister's "Sub-Decree on the Establishment, Role and Functions of the Secretariat for Tonle Sap Biosphere Reserve" (2001). The roles and responsibilities for the Secretariat and its staff positions and divisions are presented and terms of reference for the four proposed divisions are detailed as part of a Secretariat capacity building strategy.

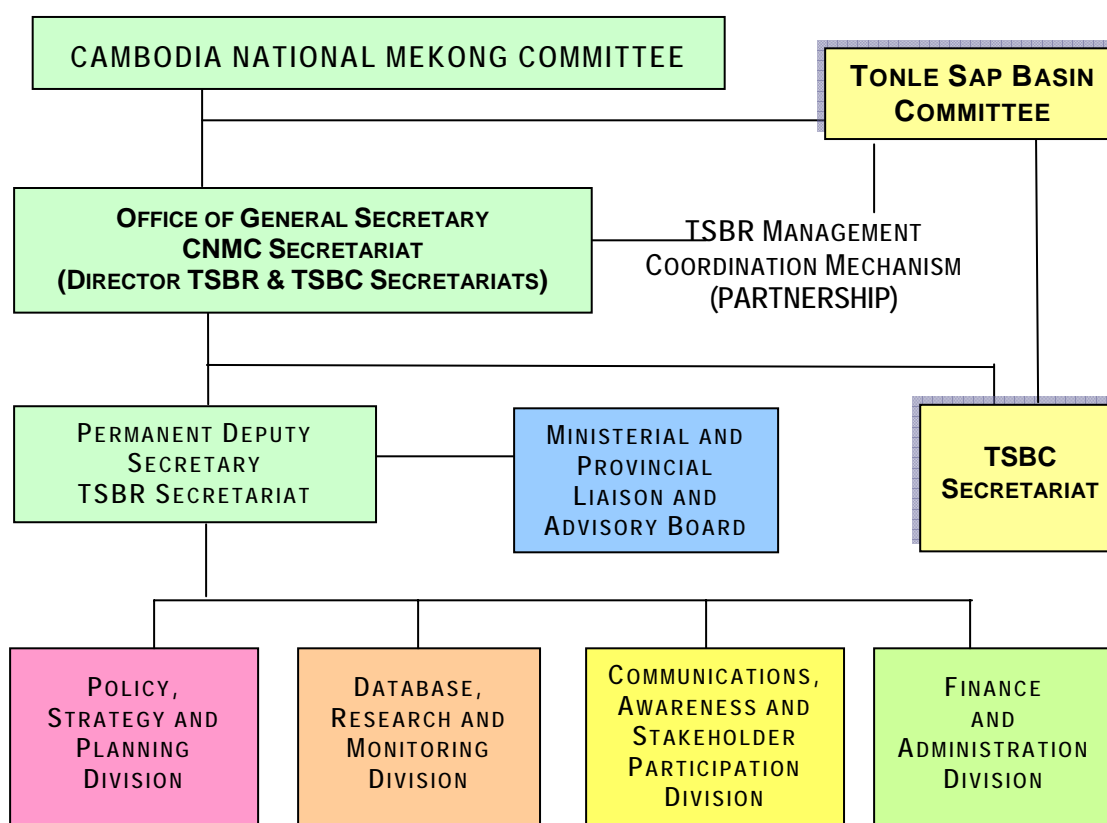
62. The Secretariat's organizational structure including proposed divisions is shown in Figure ES-5. Basically, changes are in the wording of divisions but also significantly adding one important new division for communications, awareness, and stakeholder participation.

63. Draft terms of reference for MPLAB include policy review and coordination as well as other responsibilities vis-à-vis Secretariat support and coordination. Draft terms of reference are also presented for the proposed Secretariat divisions: (i) Policy, Strategy and Planning (PSP); (ii) Database, Research and Monitoring (DRM); (iii) Communications, Awareness, and Stakeholder Participation (CASP), and (iv) Finance and Administration (F&A).

64. Each division requires a division head or coordinator working full-time at the Secretariat and dedicated to the work. For DRM and F&S Divisions this can be solved by utilizing current full-time staff. For PSP and CASP Divisions, two new full-time staff positions need to be approved and recruited.

65. Given the important role that the Secretariat will be taking on for communications strategy development, awareness and stakeholder participation, a new division is required particularly as the Secretariat will be receiving TSEMP consultant and VSO specialist support for these activities but with currently no staff to train or transfer knowledge. It is urgently recommended that the company contracted to implement this subcomponent be actively involved as one of its tasks in setting up the CASP Division.

**Figure ES-5. Proposed Secretariat Organizational Structure with Four Divisions**



66. CASP Division will have a long-term program with objectives that ensure high levels of awareness and understanding of the values of TSBR and the need for conservation and sustainable management through a cooperative effort. CASP Strategy will be directed not only at key decision-makers in partner agencies and influential persons in important stakeholder groups, but also at those whose support is essential for ongoing success of a cooperative approach (e.g., resource user communities, funding agencies, advisors on development assistance projects).

## **Building the Secretariat's Division and Staff Capacity**

67. The approach or process of a training needs assessment includes considering factors to arrive at training needs by first looking at current and anticipated future human resources development requirements (e.g., present staff and desired recruitment) to arrive at a proposed level of staff allocation and the systems or procedures that must be in place to support a target staffing level.

68. The training approach required for Secretariat staff includes several requirements that it must be primarily: (i) participatory and collaborative, (ii) learning oriented, (iii) comprehensive, (iv) integrated as much as possible, and (v) phased appropriately. By establishing an appropriate training-learning system, the capacity for training will be strengthened and adequate staff skills and knowledge will be provided through training actions.

69. Appropriate topics for proposed training programs needed to support staff and division roles and responsibilities are presented for each of the four secretariat divisions.

## **Developing and Strengthening the Secretariat's Division and Staff Work Planning**

70. A work plan is a planning tool to guide implementation of the strategy. Through a clear set of verifiable indications, work plans can serve as a tool for monitoring and evaluating progress. Steps to develop near- and mid-term work plans for the four proposed Secretariat divisions, but with special emphasis on PSP Division, are presented as 5-year implementation schedules.

71. When developing these work plans as implementation schedules it was important to consider the current divisions and staff allocation as well as the budget process and allocations from current TSEMP support. While this was considered as much as possible, it must be stressed that the Secretariat cannot function properly in its current limited structure and staff allocation. Each division requires a division head or coordinator working full-time at the Secretariat and dedicated to the work.

## **Establishing and Building the Secretariat's Institutional Support and Prestige**

72. Developing a progressive approach for the Secretariat to build its institutional prestige will need to be done both nationally and internationally primarily through strategic networking and well designed and implemented media campaigns initiated by the Secretariat and later expanded to include active partner participation.

73. At the national level, the critical element is successfully developing a communications and awareness strategy for the Secretariat, or rather in support of the Secretariat to facilitate TSBR initiatives. This is now underway with the sub-contracted Fiji-based environmental education and awareness agency Live and Learn implementing TSEMP subcomponent to formulate and implement a national environmental education and awareness campaign.

74. Generating broad-based political will for improved environmental governance is a critical issue for the success of the Secretariat's mandate. It is expected that the long-term results will produce innovative and results-oriented information, education, and communications programs that build on best practices and lessons learned to improve environmental governance and raise awareness of environmental governance issues at the national and local levels.

75. At the international level, much can be gained from extending the communications strategy to include a program to gain international interest in TSBR. Web site development, attendance at international conferences, newsletters sent out to priority institutions and universities could generate even further support, among other activities. This may be expected to ultimately result in future funding support and collaborative agreements (e.g., for training, technical assistance, research, cross-visits).

76. A priority toward international support is to link management of TSBR with that of the Angkor World Heritage Site based on a memorandum of understanding among the Secretariat, APSARA, and UNESCO for joint collaboration and mutual technical and funding support.

77. Improving increased and sustained communication and coordination with the UNESCO Man and the Biosphere Program Secretariat and its network of regional and international biosphere reserves is essential to raise the status of TSBR in the eyes of the world. There must be increased networking, cross-visits, research and information sharing between TSBR and other significant and well-managed Biosphere Reserves on nearly every continent. This will generate cooperative ventures with other international organizations and experts as well.

### **Future Support for the Secretariat Priority Actions**

78. The Secretariat's terms of reference for future support are presented as follows:

79. **Objective.** The objective of achieving Secretariat support requirements for priority concepts and actions is to transform the static vision for TSBR into dynamic actions for the Secretariat by implementing near- and mid-term multi-sector policy priority initiatives and facilitating management initiatives within partnerships in support of TSBR goals; namely, (i) contribute to biodiversity conservation and habitat restoration, (ii) foster compatibility of sustainable socioeconomic development with sound natural resource management and environmental protection, and (iii) provide supportive initiatives and mechanisms for biodiversity conservation and sustainable socioeconomic development.

80. **Scope.** The scope of Secretariat support required for priority concepts involves mobilizing an agenda of consensus-building around common policy, to begin implementing the Strategic Action Plan and for staff to implement its prescriptions including engaging common policies and relevant agencies with responsibility for them. Key priority features will go towards supporting (i) biodiversity, NRM conservation and environmental protection; (ii) sustainable development and livelihoods improvement; (iii) just and equitable distribution of stakeholder benefits and decision-making participation; and (iv) supportive mechanisms that will achieve the vision of developing a model Biosphere Reserve for innovative partnerships and comanagement systems, extension, training, environmental education, and research and monitoring programs.

81. **Key Priority Features.** The objective and scope for priority action support result in several key priority features that would unfold over the next 5 years and merge with the broader goals of TSI:

- Common policy coordination with and establishment of TSBR partnerships (e.g., acceptance, operationalizing, and institutionalizing)
- Organizational management and staff development
- Communications and awareness strategy
- Stakeholder participation and conflict resolution
- Information archiving and sharing

- Monitoring and evaluation
- Volunteers and other technical support
- Creative and sustainable financing

82. For translating priority features into actions, support comes first through the Secretariat's financial and staff resources offered by the current TSEMP and secondly by securing alternative funding during the life of TSEMP that will produce financial stability and sustainability of the Secretariat and its mandated initiatives.

## Summary of Recommendations

83. Achieving the vision of developing a model Biosphere Reserve will require sustained dedication of well trained staff and the financial resources to achieve the vision, goals, and objectives of TSEMP by 2002.

84. Successful policies result from using a whole spectrum of behavioral change techniques, typically through advocacy and communication programs targeted at relevant levels of government and civil society stakeholders. At another level, successful implementation of TSEMP activities will depend on understanding the policy environment of many economic development sectors (e.g., fisheries, agriculture, forestry, industries, tourism, shipping, trade) and their sometimes profound and unintended consequences for sustainable management of natural resources.

85. Implementing policy requires institutional structures based on mutual rights and responsibilities of stakeholders. This can only be realized in a decentralized system, whereby each government level has clearly defined rights and responsibilities. In this way the participation of stakeholders could be maximized as well as providing an overall integration of activities and avoiding duplication of efforts.

86. Main recommendations for the Secretariat follow:

- (i) Management Framework Elements
  - A priority list of 44 common policies was identified from the review and analysis. These will be reviewed through a process of consensus among key agency stakeholders to arrive at a final set of common policies that are acceptable.
  - The functions, vision, goals, objectives, and common policies form the elements of a management framework or MPA that will serve to facilitate collaboration and cooperation among TSBR management partners.
- (ii) Common Policy Coordination Framework
  - MPA is based on TSBR functions, vision, goals, objectives, common management principles and priority common policy objectives to define and guide how TSBR stakeholder partners will collaborate with strengthened Secretariat support and facilitation.
  - The proposed coordination mechanism is based on MPA to support common policies and in line with the overall proposed TSBO. The mechanism will need to become operational as a part of TSBR Secretariat's Strategic Action Plan and within the framework of the overall TSBO once it is established.
  - PMWG in each of the five TSBR provinces will be directly connected and facilitated by the proposed national policy coordination body, the TSBC.

PMWG focus will be on management of people, resources and ecosystems. Each PMWG will coordinate program formulation and implementation within TSBR to optimize biodiversity conservation and the sustainable development and to address conflicts, develop common programs and regularly monitor activities.

- PAF in each of the five TSBR provinces is intended to be primarily a civil society consultative forum and will be directly connected to and facilitated by TSBR Secretariat.
- Sub-basin Committees, as a part of the TSBO structure and where real ground work will be implemented, will be the entry point for initiating activities reviewed and endorsed by the relevant PMWG and PAF.

(iii) Approach to Strategic Planning

- To strengthen organizational management, with an emphasis on the RGC's general policy on decentralization, the Secretariat will need technical and financial support for activities in two main areas; namely: (i) establishing and supporting a management team approach, and (ii) establishing organizational systems and an effective organizational structure.
- From assessing progress, the Secretariat will need to periodically review the strategic plan, make necessary changes and adapt its course based on evaluations. Any revised plan must then take into consideration emergent strategies and any unexpected changes affecting the Secretariat's progress.
- Strategic planning should be conducted each year so as to be ready for the coming fiscal year. In this case, annual strategic planning will need to be conducted in time to identify the (i) goals to be achieved at least over the coming fiscal year, (ii) the resources that will be required to achieve those goals, and (iii) funding sources. Then, hopefully if the process is successful the required funds will be included in budget planning for the next fiscal year.
- The Secretariat's strategy will apply a landscape approach toward scientific management of TSBR.

(iv) Operationalizing a Coordination Mechanism to Support Common Policies

- MPA will guide how TSBR partner stakeholders will collaborate. MPA is a means to support the aspiration of the Secretariat that TSBR management will be through strategic collaborative multi-stakeholder partnerships. This is required to ultimately overcome detrimental effects of conflicting intersectoral policies and practices.
- Developing good systems and putting them in place will take considerable time. Developing skills for managing new procedures and systems requires training, particularly if a decentralized approach to management is the focus. The Secretariat will need technical and financial assistance to develop and carry out appropriate training programs as soon as possible while the proposed systems are being developed
- Several key tasks to make the Secretariat's organizational systems operational will ultimately be determined by the Secretariat itself but could include:
  - Identifying and clarifying roles, responsibilities and priorities in the context of what needs to get done and who needs to do it. This

will lead to agreed job descriptions and will also help identify the capacities needed to fill these roles.

- Developing work planning procedures and formats combined with effective performance monitoring of individual staff and the overall Secretariat.
- Reviewing staffing needs and link these to a proposed decentralized structure, which would then fall into a new personnel policy system.
- Developing a management information system for data archiving and sharing based on the existing system and coordinate and network data among users
- Developing improved financial systems and achieve sustainable financing from a variety of sources.
- Preparing the Secretariat organizational management or operations manual covering management support systems and human resources or staffing policies.
- Preparing and conducting strategic workshops and other methods with line and provincial agencies to achieve consensus on common policies

(v) Strengthening and Institutionalizing Common Policy Coordination

- Secretariat staff must be able to set priorities, define results and apply resources in response to each specific agency's requirements so as to ultimately see the common policies put into action. Enabling these agencies to review and understand their policies and practices is the necessary first step. The ways and means must be found to successfully promote, gain acceptance and ultimately institutionalize the priority common policies among key partner stakeholders within line and provincial government agencies.
- Steps to develop a common policy coordination mechanism will begin with establishing MPLAB comprised of influential representatives from CNMC member ministries and from each of the five TSBR Provincial Governor's offices.
- One significant objective is to develop shared or joint priority setting procedures that can be applied in JPCGs for further common policy development. The intent is to develop a dialogue among key agency stakeholders to assess priorities.
- Actionable first steps linked to a short-term (near-term) schedule must first be identified followed by steps linked to a long-term schedule over the next several years. Task categories are identified in the PSP Division implementation schedules.
- Steps to Institutionalizing Common Policy Coordination include
  - Step One: Establish and Convene MPLAB.
  - Step Two: Common Policy Review and Assessment.
  - Step Three: Common Policy and Legislation Formulation.
  - Step Four: Implementing an Improved and Enabling Set of Common Policies for Improved and Coordinated TSBR Management.

- (vi) Defining Secretariat Roles and Responsibilities.
  - The Secretariat requires a division skilled in stakeholder participation as part of a communications strategy, i.e. the proposed CASP Division.
  - Terms of reference for MPLAB, JPCGs at national and provincial levels should be considered and reviewed.
  - Technical working groups organized through the Secretariat will be established for four technical areas; namely, (i) land-use, agriculture and water resources; (ii) fisheries; (iii) biodiversity and environment and (iv) socioeconomic development and livelihoods. The proposed draft terms of reference for technical working groups.
- (vii) Building the Secretariat's Division and Staff Capacity
  - Strengthening the Secretariat's capacity for leadership in facilitating this process will be the key to long-term success. Developing capacity to institutionalize TSBR common policies within line and provincial agencies can include several means including (i) adapting existing policies, (ii) training and (iii) hosting bilateral activities, among others.
  - Assistance from accredited training institutions and universities appropriate for these topics should be engaged to conduct the Secretariat training preferably in a hands-on or learning-by-doing trial setting.
  - MPLAB and four Secretariat divisions are proposed: namely PSP, DRM, CASP, and F&A Divisions.
  - One full-time F&A Division Coordinator be selected from among the current F&A staff, one head of DRM from existing staff, but two new full-time staff need to be recruited to head PSP and CASP Divisions.
- (viii) Establishing and Building the Secretariat's Institutional Support and Prestige
  - Developing a progressive approach for the Secretariat to build its institutional prestige will need to be done both nationally and internationally primarily through strategic networking and well designed and implemented media campaigns initiated by the Secretariat and later expanded to include active partner participation.
- (ix) Future Support for Secretariat Priority Actions
  - The objective and scope for priority action support result in several key priority features that would unfold over the next 5 years and merge with the broader goals of TSI:
    - Common policy coordination with and establishment of TSBR partnerships (e.g., acceptance, operationalizing, and institutionalizing)
    - Organizational management and staff development
    - Communications and awareness strategy
    - Stakeholder participation and conflict resolution
    - Information archiving and sharing
    - Monitoring and evaluation
    - Volunteers and other technical support
    - Creative and sustainable financing

## ABBREVIATIONS

ADB	– Asian Development Bank
APM	– advanced participation method
APSARA	– <i>Autorité pour la Protection du Site et l'Aménagement de la Région d'Angkor</i> Authority for the Protection and Management of Angkor and the Region of Siem Reap; Sanskrit/Khmer word for a celestial flying nymph or angelic dancer often depicted in ancient Khmer temple sculpture
CARD	– Council on Agriculture and Rural Development
CASP	– Communications, Awareness, and Stakeholder Participation Division
CNMC	– Cambodia National Mekong Committee
C/SC	– commune/ <i>Sangkat</i> councils
D&D	– decentralization and deconcentration
DANIDA	– Danish International Development Assistance
DRM	– Research and Monitoring Division
E-Atlas	– Tonle Sap Basin Electronic Atlas, prepared by TSBMO
F&A	– Finance and Administration Division
FAO	– Food and Agriculture Organization of the United Nations
GEF	– Global Environment Facility
IUCN	– World Conservation Union (International Union for the Conservation of Nature)
JPCG	– Joint Policy Coordination Group
M&E	– monitoring and evaluation
MAFF	– Ministry of Agriculture, Forestry and Fisheries
MPLAB	– Ministerial and Provincial Liaison and Advisory Board
MEF	– Ministry of Economics and Finance
MLMUPC	– Ministry of Land Management, Urban Planning and Construction
MOE	– Ministry of Environment
MOI	– Ministry of Interior
MOP	– Ministry of Planning
MOWRAM	– Ministry of Water Resources and Meteorology
MPA	– Management Partnership Approach
MRC	– Mekong River Commission
MRD	– Ministry of Rural Development
MWVA	– Ministry of Women's and Veteran's Affairs
NEAP	– National Environmental Action Plan 1998–2002
NEEAC	– National Environmental Education and Awareness Campaign
NGO	– nongovernment organization
NRM	– Natural Resources Management
P&S	– policy and strategy
PAF	– Provincial TSBMR Advocacy Forum
PIO	– project implementation office
PMCO	– Project Monitoring and Coordination Office of TSEMP
PMWG	– Provincial Management Working Group
PPTA	– project preparatory technical assistance
PSN	– Policy, Strategy and Networking Division of TSBMR Secretariat
PSP	– Policy, Strategy and Planning Division
Ramsar	– “The Ramsar Convention” or “Wetlands Convention”; The International Convention on Wetlands of International Importance (Ramsar, Iran, 1971)
RGC	– Royal Government of Cambodia
SEILA	– The Seila Program is a national RGC effort to achieve poverty reduction through improved local governance; Khmer word meaning “foundation stone”.

TA	– technical assistance
TSBC	– Tonle Sap Basin Committee
TSBCC	– Tonle Sap Basin Coordination Committee
TSBCCS	– Tonle Sap Basin Coordination Committee Secretariat
TSBR	– Tonle Sap Biosphere Reserve
TSBMO	– Tonle Sap Basin Management Organization
TSBO	– Tonle Sap Basin Organization
TSCP	– Tonle Sap Conservation Project (Component 3 of TSEMP)
TSEMP	– Tonle Sap Environmental Management Project (Phase 1 and 2)
TSI	– Tonle Sap Initiative
TSSLP	– Tonle Sap Sustainable Livelihoods Program
TZ	– transition zone
UNDP	– United Nations Development Program
UNEP	– United Nations Environment Program
UNESCO	– United Nations Educational, Scientific and Cultural Organization
USAID	– United States Agency for International Development
VSO	– Voluntary Services Overseas, U.K.

**Policy and Strategy Phase 2  
FINAL REPORT**

**Tonle Sap Biosphere Reserve Policy Analysis and  
Secretariat Strategic Action Plan**

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2. Summary of Civil Society (NGO), Government and Donor Project Initiatives in the Tonle  
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## **PART ONE: Policy Analysis, Draft Policy Formulation, Prioritization and Coordination in Support of Tonle Sap Biosphere Reserve Management**

### **CHAPTER 1. BACKGROUND**

#### **1.1. Purpose**

1. Part One is the first of two parts of the Policy and Strategy (P&S) Final Report prepared for the Tonle Sap Biosphere Reserve Secretariat (the Secretariat) under the Cambodia National Mekong Committee (CNMC) of the Cambodia Council of Ministers, Royal Government of Cambodia (RGC), by the P&S Phase 2 advisor who worked within and for the Secretariat of the Tonle Sap Environmental Management Project (TSEMP).

2. Appendix A provides background on the Tonle Sap Biosphere Reserve (TSBR), the United Nations Environmental, Scientific and Cultural Organization (UNESCO)'s Man and the Biosphere Program, TSEMP and TSBR Secretariat. The Asian Development Bank (ADB) funds TSEMP Component 1, Strengthening Natural Resource Management Coordination and Planning for TSBR, which includes subcomponents relevant to policy and strategy as part of the Tonle Sap Initiative (TSI) group of projects.

3. The terms of reference for the P&S Phase 2 advisor are found in Appendix B, and the advisor's tasks in relation to sections in the Final Report are found in Appendix C with outputs in Appendix D.

4. The purpose of Part One is based on the first objective of the advisor's terms of reference inputs, i.e. to explicate coordinated near- and mid-term multi-sector policy priorities for TSBR. The scope includes reviewing and analyzing natural resource use and conflict and other related sector or jurisdictional policy and practice on the Tonle Sap Lake and surroundings, i.e. TSBR, vis-à-vis normative testing of common policy relevant to specific categories of natural resource use.

5. It is not intended to repeat or enhance all the P&S Phase 1 advisor's recommendations and plans articulated in Phase 1 reports (listed in Appendix D). The advisor worked as a member of TSBR Secretariat's Policy, Strategy and Networking (PSN) Division (Appendix E) to review and provide comments on Phase 1 common policy and coordination framework recommendations as well those for structural and functional issues and interpret their suitability (Appendix F). Finally, these recommendations and plans are taken to the next level by modifying and preparing what may be more feasible TSBR Secretariat strategies and recommendations within the Cambodian bureaucratic and cultural context.

6. Management of TSBR focuses on UNESCO Man and the Biosphere Program's guiding principle for Biosphere Reserves; namely, to integrate biodiversity conservation and sustainable socioeconomic development of natural resources (e.g., livelihoods improvement) including supportive human services and infrastructure. A glossary of useful terms relevant to TSBR management is found in Appendix G.

7. TSBR Secretariat has the long-term mandate to serve as both a supporter and facilitator among implementing stakeholders, i.e. national, provincial and local governments as well as civil society organizations, in line with its management vision (Sec.2.4.1). The ultimate purpose of this mandate is to create the conditions that will improve policy and management coordination

of TSBR stakeholders so as to support the guiding principle of Biosphere Reserves, and a clear strategy is required to accomplish this.

8. Thus, Part Two presents more appropriate strategic action plans and coordination mechanisms, both at the central and the grass roots levels. In this way, the Secretariat may successfully fulfill its long-term mandate to support and coordinate the diverse government and civil society stakeholders towards improved TSBR management.

9. This report is also intended to complement the strategies and policies of other initiatives, most notably those of the broader proposed Tonle Sap Basin Organization (TSBO) (TA 4427–CAM) as well as TSI's other ongoing, current and planned project interventions.

## **1.2. Policy Analysis, Formulation, Prioritization, and Coordination**

10. The best environmental management policies will be those that have been informed by the needs, impacts and priorities of issues most prevalent within the Biosphere Reserve. This project investigates the question, “What policies impacting and operating in TSBR run counter to good environmental practices and what policies are supportive”? Common policy identification and development, subsequent legislative drafting and technically focused strategic interventions will need to address uncoordinated or absent sector policies. These policies deal with such diverse topics as solid waste management, water use regulations, protected area management, multi-stakeholder participation, fisheries rights and regulations, to name a few.

11. Policy may be defined as a general principle or statement of intent by which a government, company, or organization is guided in its management decisions and which is then translated into a strategy. A strategy is a systematic plan, approach or course of action, based on policy decisions, that guides implementation choices and clearly identifies the sequence of tasks, means and direction to achieve predefined goals, objectives and policy implementation while also identifying a mechanism to adapt to changing circumstances.

12. Policy is a fundamental part of everyday life. It influences the way people organize themselves and behave by ultimately guiding and directing socially acceptable behaviors. Policy also influences decisions people make that affect their uses of and impacts on natural resources. In effect, policy determines who benefits from resources and who does not. Policies are created and implemented to influence human behaviors. A number of alternative means for changing behavior exist (e.g., incentives, disincentives, justice, advocacy, social pressures, law enforcement, education, information).

13. Successful policies result from using a whole spectrum of behavioral change techniques, typically through advocacy and communication programs targeted at relevant levels of government and civil society stakeholders. At another level, successful implementation of TSEMP activities will depend on understanding the policy environment of many economic development sectors (e.g., fisheries, agriculture, forestry, industries, tourism, shipping, trade) and their sometimes profound and unintended consequences for sustainable management of natural resources.

14. Analysis is the process of identifying the parts of a whole and their relationships to one another to better understand, for example, an organizational structure. This may include identifying the parts, comparing the relationships among or between parts and recognizing the organizational or governing principles that are involved.

15. Policy analysis requires an examination of many positive and negative sector policies and practices operating by and among the variety of stakeholders within the TSBR. Policy analysis must also consider identifying where there are absences of policy. The ultimate result would be a set of common policies that can become mutually accepted by most if not all stakeholders to enable sound management practices within the TSBR.

16. Common policies for the TSBR are a set of priority policies or policy objectives derived from its functions, vision, goals, objectives, common management principles, and required actions (Sec. 2.4.) and which can be accepted by all partners in management, i.e. non-sector-specific policies. Common policies are intended to facilitate their decisions and choice of actions aiming to achieve coordinated and integrated biodiversity conservation, sustainable development and good environmental governance.

## **CHAPTER 2. POLICY ANALYSIS AND FORMULATION**

### **2.1. Introduction**

17. With respect to policy analysis and formulation vis-à-vis TSBR management objective of integrating biodiversity conservation with sustainable socioeconomic development, the remainder of this part of the report (with more detail in Final Report Annex Appendices H and I) focuses on:

- Natural resource management (NRM) conflicts
- Stakeholder policy conflicts, power and authority
- Management functions, vision, goals, objectives, common management principles, and common policies.

### **2.2. Natural Resource Management Conflicts**

18. Before common policies are developed, a review of available literature, highlighting typical natural resource conflicts current in TSBR was required. Some general NRM issues are discussed followed by special consideration of natural resource conflicts within five sectors of particular importance to overcoming conservation and development conflicts, i.e. fisheries, water resources, biodiversity, agriculture and land-use and forestry. Appendix H provides much more detail from the analysis.

#### **2.2.1. Natural Resource Management Overview**

19. ADB web site has identified the general NRM issues to be addressed by TSEMP; namely, "...the natural resources of the Tonle Sap are a source of conflict among stakeholders. Inequality of access rights, growing population pressure, severe poverty, insufficient or nonexistent rights of tenure, and cultural and ethnic differences place the lake's ecosystem and the population that depends on it at risk."

20. Thus, the scope of these issues is obviously very broad as are the proximate and ultimate causes of the issues very complicated and often difficult to precisely identify and control. A thorough analysis of all the many policies and practices operating within and impacting management of TSBR is beyond the scope of this current analysis. However, it is possible to identify those primary policies and practices that may be of greatest relevance to biodiversity conservation and sustainable development impacts. Identifying policies and practices has been gleaned from a variety of sector and project reports as well as from direct and indirect field analysis, including one workshop held during Phase 1, for which several

sectoral papers were prepared, and from site visits and two participatory stakeholder workshops held during Phase 2.

21. A critical question for NRM conflict analysis is: “What are the trends for each natural resource sector of particular significance to TSBR’s viability, sustainability and maintenance of its biodiversity conservation and sustainable development values”?

22. A description of critical natural resource management conflicts for several sectors with significant impacts on TSBR are highlighted in the following sections and in Appendix H. Major natural resource issues are identified and evaluated with regard to extent, intensity and trends within each management sector. There are many critical natural resources over which conflicts occur. However, this section only focuses on those sectors that are perhaps of priority importance from the standpoint of minimizing NRM conflicts and integrating conservation and development values into TSBR management; namely, (i) fisheries, (ii) water supply, (iii) biodiversity conservation, (iv) agriculture and land-use, and (v) forestry, i.e. all uses of timber and nontimber forest products supplied from forests.

### **2.2.2. Fisheries**

23. The fisheries sector associated with Tonle Sap is one of the most important assets of Cambodia’s economic growth. Not only does this sector employ a very large number of people, but it also makes significant contributions to the nation’s food security as well as earning significant domestic and export income. However, this income is substantially less than it could be due to irregularities within management procedures and along the marketing pathway.

24. Appendix H provides more detail on this sector analysis. The following is a general summary of the many fisheries conflict issues:

- The sector is characterized by a weak regulatory framework, with unclear fishing rights and weak institutions, and if current fisheries practices continue with no new policy and strategy the number and intensity of conflicts among stakeholders will increase and consequently the resource will be destroyed.
- Due to the intense competition among resource users, low compliance with rules and regulations and unaccountability of infractions by government officers and power-holders, Department of Fisheries management cannot achieve its stated three main objectives of sustainability, equity and efficiency.
- Current reforms are ineffective in reducing pressures while other issues (e.g., enforcement, fishing rights as well as equitable and just tenure) are not resolved simultaneously.
- Domestic and export income is substantially less than it could be due to irregularities within management procedures and along the marketing pathway.

### **2.2.3. Water Resources**

25. Tonle Sap is unusual among large freshwater lakes in that it does not appear to constitute a significant proportion of the potential water supply for domestic, agricultural, industrial or energy purposes. This may be due in part to the very large seasonal fluctuations in depth, shoreline, i.e., moving over many kilometers between the wet and dry seasons, and water quality particularly around the Lake shoreline.

26. Appendix H provides more detail on this sector analysis. Furthermore, the final report of TA 4427–CAM: Establishment of the Tonle Sap Basin Organization II has focused specifically on these issues. Sondheimer (1996) identified several main issues to consider with regard to Cambodian water use law development to improve mitigation of water resources use conflicts, and these issues remain relevant today:

- Clarification of jurisdiction of the State over water resources, including groundwater, and of the boundaries of State and private ownership
- Clarification of the institutional jurisdiction, powers and responsibilities of the various ministries with authority over water resources development and management
- Clarification of the licensing and permitting requirements for construction that affects waterways
- Creation of entitlements to and licensing of private water use rights
- Substantive basis for allocation of water use rights
- Creation of authority to charge for the use of water, or other cost recovery mechanism
- Criteria for social, economic, and environmental evaluation of water projects.

#### **2.2.4. Biodiversity**

27. The Tonle Sap Lake and its floodplains have been characterized historically as having extremely high biodiversity values. For example, the lake and associated wetlands still maintain one of Asia's richest stocks of migratory water birds, including many endangered species that depend on TSBR as a primary wintering and breeding site. TSBR is also home to a variety of mammals, birds, reptiles, amphibians, and insects. The flora of the area includes almost two hundred different aquatic plants as well as a larger range of other plant species. Enormous quantities of water from the Mekong River drain seasonally into the Tonle Sap Lake eventually submerging its floodplain.

28. The following is a general summary of the many biodiversity conservation conflict issues:
- Uncoordinated research, monitoring and evaluation of species populations
  - Inadequate central and provincial funding
  - Inadequate dissemination of information to stakeholders for understanding regulations
  - Low level of coordination among the relevant Ministry of Environment (MOE) and Ministry of Agriculture, Forestry, and Fisheries (MAFF) departments and offices, and law enforcement agencies
  - Improper handling of serious biodiversity protection law infringement cases
  - Overlapping jurisdictions among government organizations.

#### **2.2.5. Agriculture and Land-use**

29. Approximately 23% of the Tonle Sap floodplain, extending over ca. 350,000 ha, is being cultivated. Much of this is under rice (ca. 450,000 tons annually comprising 12% of Cambodia's total production) as well a range of vegetables and fruit. Crops are planted as annual floodwaters recede. Shifting cultivation is a minor element, covering less than 300 ha. Dry season encroachment and land clearance throughout TSBR and within the flooded forests have increased, resulting in a direct area loss of this habitat.

30. Appendix H provides more detail on this sector analysis. The following is a general summary of the many agriculture and land-use conflict issues:

- Dry season encroachment and clearance of flooded forests has resulted in habitat loss, and underlying factors are increased local and regional demand for more agricultural land leading to high conversion pressures.
- An appropriate land use code to serve as a blueprint for zoning within TSBR as a multi-purpose land status is lacking. Zones need to be appropriately determined according to socioeconomic and environmental land-use (e.g., agricultural, municipal, conservation) with full transparency and public participation.
- There are few legal restrictions on land-use apart from delineating land reserved as public property by the State and requiring permission from competent authorities for new constructions or changes in the use of a building.
- Increasing the judicial system's capacity to mitigate land disputes through reorganization and retraining is a priority goal for institutional development.
- Land titling can be especially helpful in areas where land has become valuable and is subject to greater competition and disputes and where customary tenure system is either nonexistent or inadequate to cope with land-use conflicts, however technical and administrative capability of the Department of Land Titling is weak.

## **2.2.6. Forestry**

31. Forestry refers to all uses of timber and nontimber forest products supplied from forests and not just industrial forestry, which is no longer important within TSBR. The seasonally flooded forests were discussed under the agriculture sector (Appendix H). Flooded forests have the potential for providing a steady source of firewood, construction materials as well as many nontimber forest products (e.g., honey, resins, rattan, snakeskin, bush meat). Unfortunately, as has been discussed previously, these forests are in no way being sustainably managed except for some notable small-scale community forestry woodlots. Because of species composition and structure of TSBR's flooded forests the timber is not of highly significant commercial value, at least not as construction materials.

32. Appendix H provides more detail on this sector analysis. The following is a general summary of the many forestry conflict issues:

- Poor governance and instability have resulted in widespread illegal logging and forest conversion by locals and outsiders (e.g., seasonal migrants) for other land uses (e.g., agriculture) thus causing the potential for downstream damage from increased flooding and siltation of the Lake. Few areas with tall trees remain and most of these are located only in two of the core areas.
- Forested areas are vastly undervalued and under-protected with little enforcement of existing regulations. There has been little or no accountability for sound forest management or for conservation of biodiversity within forests.
- Deforestation is a major threat to the environment and is largely caused by (i) an inadequate land and forest management legal framework, (ii) inadequate enforcement of existing regulations including MOE approved environmental and social impact assessments, and (iii) inadequate policies and institutional capacity to collect data and monitor logging activities.

## **2.3. Stakeholder Policy Conflicts, Power, and Authority**

33. Stakeholders are defined as people, groups or institutions that may be affected by, can significantly influence or are important to achieving the stated purpose or goals of a development initiative. It is difficult to separate the previous section on natural resource conflicts from this section. Thus, stakeholder issues are addressed in both this and the preceding section and in more detail in Appendix I.

34. The Royal Decree (April 2001) for establishing and managing TSBR and the Prime Minister's sub-decree (September 2001) on establishment, role, and functions of TSBR Secretariat clearly recognize that the objectives of TSBR will not be achieved without coordination and cooperation among relevant stakeholders. Thus, the Decree (Part 3, Article 6) provides that: A Tonle Sap Biosphere Reserve Secretariat shall be established under the Cambodia National Mekong Committee (CNMC) to coordinate and strengthen cooperation between ministries, agencies, local authorities, and others concerned for the protection and sustainable management of the Tonle Sap Biosphere Reserve. Thus, initiating coordinated management will clearly be more successful if the diverse TSBR stakeholders can agree at an early stage on a common management approach based on common policies.

35. Stakeholder policy conflicts, linkages, effects, power and authority with regard to NRM are discussed. The remainder of this section of the report focuses mainly on:

- Government or official stakeholders,
- Civil society or unofficial stakeholders, and
- Donor project stakeholders.

### **2.3.1. Government Stakeholders**

36. A list of some of the most important official government TSBR stakeholders was identified during Phase 1 and modified for this report (Appendix I, Table I-1). The list includes those government stakeholders who need to be involved in management coordination, be consulted or kept informed of management directions and issues. The support and informed understanding of these agencies will be important to achieve management objectives.

37. The primary institutions involved with coordinating management of TSBR natural resources are CNMC and its TSBR Secretariat, MOE, and MAFF.

38. The key national institutions which can influence management of TSBR and its watershed include MOE; MAFF; Ministry of Water Resources and Meteorology (MOWRAM); Ministry of Rural Development (MRD); Ministry of Public Works and Transport; Ministry of Land Management and Urbanization; Ministry of Interior; Ministry of Justice; Ministry of Tourism; Ministry of Planning; Ministry of Defense; CNMC; Council of Ministers; National Assembly and the Office of the Prime Minister. Each ministry has its provincial department established in all five provinces. These ministries are given a broad mandate to manage state property for the common benefit.

39. Report Supplement Summary of Civil Society (NGO), Government and Donor Initiatives in TSBR: (Matrix II.) Current and Planned Government and Donor Project Interventions within the eight Tonle Sap Basin provinces, including the five TSBR provinces, provides details of 64 current and planned projects. Each project is identified by name, scope or objectives, donor name, funding source, timeframe, location (provinces and districts), and 21 management issues. This Supplement makes it easy to see what initiatives are being implemented in TSBR

and for which management issues. This very useful matrix of current and planned government and donor projects was prepared and provided with permission by the Establishment of the Tonle Sap Basin Management Organization II Project (TA 4427–CAM), June 2005.

40. For a clearer understanding of the institutional interactions or mandates over natural resource management, brief reviews are presented for the (i) fishery, (ii) water supply, (iii) biodiversity, (iv) agriculture and land-use, and (v) forestry sectors. However, the following sector stakeholder descriptions must be read in conjunction with the natural resource conflicts described in the previous section and in Appendix H. More detail on government stakeholder analysis is provided in Appendix I. Gender issues are defined and discussed as they revolve around the typically neglected stakeholders. Legal and policy support for stakeholder NRM coordination and planning is also reviewed.

#### **2.3.1.1. Fisheries Stakeholder Conflicts, Power, and Authority**

41. Primary stakeholders in the fisheries sector include MAFF, which is the designated lead agency. However, MAFF does share some significant natural resources management responsibilities with MOE and other ministries. Fisheries management authority is primarily with MAFF Department of Fisheries and MOE with regard to environmental impact assessments and protected area management. TSBR inundated areas are under the jurisdiction of the Department of Fisheries. At the local level, stakeholders include fishing lot owners, sub-leasees, sub-sub leasees, the military, and village artisanal fishers employed both in legal and illegal fishing activities.

42. The core problem with fisheries management is an inadequate institutional structure, power and authority to ensure that management systems function. MAFF has limited capacity to implement its responsibilities and shares similar constraints faced by MOE. Furthermore, the fisheries sector is subject to institutional weaknesses as well as uncoordinated and overlapping or conflicting management responsibilities.

#### **2.3.1.2. Water Resources Stakeholder Conflicts, Power, and Authority**

43. The official primary stakeholder in the water resource sector is MOWRAM, which is tasked with managing water resources in an efficient and sustainable manner. Also, MRD has rural water supply as one of its key areas of responsibility. MOE and MAFF also consider sustainable water resources management and protection a high priority.

#### **2.3.1.3. Biodiversity Stakeholder Conflicts, Power, and Authority**

44. The biodiversity conservation sector is subject to institutional weaknesses as well as uncoordinated and overlapping or conflicting management responsibilities among agencies. The primary implementing stakeholders in the biodiversity sector are MOE and MAFF. MOE's Department of Nature Conservation and Protection has a Protected Areas Office while MAFF's Department of Forestry and Wildlife has a Wildlife Protection Office.

45. Both ministries have a major stake in developing and protecting wetlands, including of course TSBR. However, MOE is the primary environmental protection agency and conservation of biodiversity through protected area management is also a main responsibility of MOE. However, as stated, MAFF and other agencies also have management responsibilities in this sector, and there is no mechanism for integrating or coordinating management planning or laws. Ostensibly the MOE is responsible for managing the protected core areas in TSBR. But both

MOE and MAFF have limited capacity to implement their responsibilities and share similar constraints.

#### **2.3.1.4. Agriculture and Land-use Stakeholder Conflicts, Power, and Authority**

46. The major government stakeholders for implementing and governing agriculture and land-use are MAFF and the Ministry of Land Management, Urban Planning and Construction (MLMUPC), which has a Committee for Land Use Disputes and a Department of Land Management. While the floodplain is under the jurisdiction of MAFF's Department of Fisheries, the Department of Agronomy is responsible for areas being rice farmed in the same area. MAFF has a broad mandate to develop and manage the entire agriculture sector. Also, the Ministry of Rural Development (MRD) is involved with agricultural livelihoods (e.g., rural water supply, rural health care, community development, rural economic stimulation). MRD carries out its mandate primarily through the Council for Agricultural and Rural Development (CARD), which is comprised of provincial, district, commune, and village development committees.

47. Also the Ministry of Land Management, Urbanization, and Construction (MLMUC) has a Department of Land Management, which is involved with preparing and controlling land use plans and land use master plans as well as collecting information, statistics and data on land use. The MLMUC's Department of Research and Regulation formulates legislation and regulations related to land management and collects information, statistics and data on land use.

#### **2.3.1.5. Forestry Stakeholder Conflicts, Power, and Authority**

48. MAFF is the principal official stakeholder for forest management, through its Department of Forestry and Wildlife. Other ministries include MOE through its Department of Nature Conservation and Protection (particularly the Office of Community Forestry and Buffer Zones and the Office of Wetlands, Watershed and Coastal Management).

### **2.3.2. Civil Society Stakeholders**

49. There are many unofficial civil society stakeholders (e.g., communities, NGOs, private sector industries, and business) whose policies or lack thereof have impacts on sustainable resource management within TSBR. Such civil society stakeholders, and their policies directed towards TSBR communities, cannot be ignored. NGOs, for example, typically use traditional human rights and advocacy tools (e.g., fact-finding, litigation, organizing) in an effort to enter communities, reduce poverty, promote workers' rights and environmental justice, and end discrimination or inequities among stakeholders.

50. Report Supplement Summary of Civil Society (NGO), Government and Donor Initiatives in TSBR: Civil Society/NGO Stakeholders Working Within the Five TSBR Provinces, provides details of 144 national and international NGOs. Each NGO is identified by name and their management issues from among a list of 38 issues (Table 2.1). The Matrix makes it easy to see what NGO initiatives are being implemented in TSBR with regard to management issues.

51. In addition, accompanying data sheets for each national and international NGO were prepared and are included in the Report Supplement. This set of data sheets should become a very useful tool for the Secretariat when considering and selecting NGO partnerships for advocacy and financing as a primary feature of its approach to TSBR management.

52. This two-week survey was funded by the P&S advisor. Matrices and NGO Survey Data Sheets were then given to Mr. Roy Fenn, Coordinator for the TA, Capacity Building for the Tonle Sap Poverty Reduction Initiative (TA CAM-4376), who funded an additional week so that he, with the continued assistance from Mr. Chea Chanthan, could expand the survey to include the three other provinces in the Tonle Sap Basin; namely, (i) Otdar Meanchey, (ii) Bantey Meanchey, and (iii) Preah Veah. This will result in a very useful and comprehensive overview of NGO management issues and activities for the entire Tonle Sap Basin.

53. Furthermore, it should be noted that the Fisheries Action Coalition Team is currently (July 2005) preparing a comprehensive database of NGO interventions in the region that will be extremely useful when it becomes available later in 2005.

**Table 2.1: Management Issues of 144 NGOs Working Within the Five Provinces of the Tonle Sap Biosphere Reserve**

Parameters of the Matrix on Inventory of Civil Society/NGO Interventions in the Five Provinces of the Tonle Sap Biosphere Reserve

No.	Management Issue	Province					Total
		Kg Th	Kg Ch	Pur	BTB	SR	
1	Watershed/catchment management	3	2	3	3	3	14
2	Natural resource management	7	6	5	10	6	34
3	Forest management	5	6	9	10	8	38
4	Fisheries management	8	5	7	8	7	35
5	Land and agriculture management	9	6	7	16	10	48
6	Irrigation development/management	3	2	3	4	3	15
7	Wetlands management	3	2	2	3	2	12
8	Biodiversity conservation	4	3	3	4	3	17
9	Resource mapping/inventories	2	2	2	2	2	10
10	Data collection and database management	4	3	4	4	4	19
11	Monitoring and evaluation	4	3	3	4	3	17
12	Water allocation/management/licensing	2	0	4	3	2	11
13	Domestic water supplies	6	3	7	8	5	29
14	Sanitation/waste water management	6	3	5	7	2	23
15	Urban waste water/pollution management	0	0	0	0	0	0
16	Urban industrial water supply	0	0	0	0	0	0
17	Flood management and mitigation	2	3	2	3	3	13
18	Navigation	0	0	0	0	0	0
19	Governance and decentralization	0	0	1	0	3	4
20	Advocacy and community organizing	10	9	7	20	13	59
21	Public participation	4	4	6	8	6	28
22	Human rights, social justice and law	4	8	13	15	11	51
23	Gender support/development	8	5	8	10	10	41
24	Conflict resolution and mitigation	0	2	3	2	1	8
25	Community participatory law enforcement	3	5	5	7	5	25
26	Comanagement/ Community-based Natural Resource Management/Land tenure	5	4	5	8	7	29
27	Traditional knowledge systems	3	0	1	7	6	17
28	Cultural development	3	2	2	7	6	20
29	Environmental education and awareness	12	4	7	12	6	41
30	Institutional capacity building	17	15	14	33	21	100
31	Human resource development	2	2	1	4	3	12
32	Livelihoods / Small business development	3	3	7	11	9	33
33	Animal husbandry	5	3	2	9	2	21
34	Marketing access and processing	1	3	3	7	5	19
35	Micro-finance (savings and credit)	6	4	9	15	9	43
36	Tourism development and services	1	0	1	0	1	3
37	Health services, extension and education	18	12	18	42	26	116
38	Public education and extension	5	12	12	24	17	70
NGOs	Province						
	Kg. Thom	Kg. Chhnang	Pursat	Battambang	Siem Reap		
National	21	14	28	40		23	
International	17	21	17	38		30	
<b>Total</b>	<b>38</b>	<b>35</b>	<b>45</b>	<b>78</b>		<b>53</b>	

### 2.3.3. Project Stakeholders

54. There is also an urgent need for coordination among the many donor assistance projects that have similar objectives and are working within or are of relevance to TSBR activities. Good coordination, currently ad hoc at best even among ADB funded projects, would lead to increased information sharing among various bilateral and multilateral donor agencies.

55. Report Supplement Summary of Civil Society (NGO), government and donor initiatives in TSBR: Current and Planned Government and Donor Project Interventions within the Eight Tonle Sap Basin provinces, including the five TSBR provinces, provides details of 64 current and planned projects.

56. Each project is identified by name, scope or objectives, donor name, funding source, timeframe, location (provinces and districts) and 21 management issues. This Supplement makes it easy to see what initiatives are being implemented in TSBR and for which management issues. This very useful matrix of current and planned government and donor projects was prepared and provided with permission by the Establishment of the Tonle Sap Basin Management Organization II Project (TA 4427–CAM), June 2005. Table 2.2 provides a summary of these current and planned donor and government project interventions with regard to specific management issues.

**Table 2.2. Management Issues of 64 Current and Planned Government and Donor Project Interventions Within the 8 Provinces of the Tonle Sap Basin, Including the 5 TSBR Provinces**

Adapted from matrix prepared by the TSBMO II Project (TA 4427–CAM)  
See Report Supplement, Matrix II) for details of each project

No	Management Issue	5 Tonle Sap Biosphere Reserve Provinces						3 Additional Tonle Sap Basin Provinces				Total
		Kg. Th	Kg. Chh	Pur	BTB	SR	Sub Total	OMC	BMC	PVH	Sub Total	
1	River basin planning/mgmt.	2	1	0	3	0	6	0	0	0	0	6
2	Watershed/catchments mgmt.	3	2	1	3	2	11	1	0	1	2	13
3	Irrigation development/ mgmt.	8	2	15	9	6	40	0	3	0	3	43
4	Natural resource mgmt	8	6	9	7	17	47	3	3	3	9	56
5	Forest management	6	5	7	5	14	37	1	1	2	4	41
6	Fisheries management	4	4	4	5	9	26	0	0	0	0	26
7	Land management	5	3	4	5	10	27	2	1	1	4	31
8	Resource mapping/ inventories	3	2	3	4	6	18	1	0	1	2	20
9	Domestic water supplies	8	2	14	8	6	38	1	2	1	4	42
10	Sanitation/waste water	2	2	4	2	2	12	1	0	1	2	14
11	Urban/industrial water supply	1	0	2	1	0	4	0	0	0	0	4
12	Urban/waste water mgmt.	1	0	2	1	0	4	0	0	0	0	4
13	Groundwater development	0	0	0	0	0	0	0	0	0	0	0
14	Flood mgmt./mitigation	2	3	2	2	2	11	0	0	0	0	11
15	Water allocation/licensing	0	0	0	0	0	0	0	0	0	0	0
16	Livelihoods development	14	6	21	14	16	71	4	6	2	12	83
17	Water related tourism	0	0	0	0	1	1	0	0	0	0	1
18	Navigation	0	0	0	0	1	1	0	0	0	0	1
19	Institutional capacity building	19	9	25	16	25	94	5	6	5	16	110
20	Awareness raising	8	7	19	7	14	55	2	2	3	7	62
21	Public participation	18	10	28	17	25	98	4	6	4	14	112
Project Interventions in the 5 Tonle Sap Biosphere Reserve Provinces								Interventions in the 3 Additional Tonle Sap Basin Provinces				
Kampong Thom	Kampong Chhnang	Pursat	Battambang		Siem Reap			Otdor Meanchey	Banteay Meanchey		Preah Vihear	
20	10	28	19		28			6	7		5	

#### **2.3.4. Gender Issues: Neglected Stakeholders**

57. An ADB/RGC Loan Covenant (LA, Sch. 6, Para. 9) states: **Gender.** The Borrower shall ensure that the Project will provide full opportunities for women, particularly female-headed households, to participate in community organization, representation and decision-making. At least 40 percent of seats in community organizations shall be allocated to women. Women shall be organized for training and capacity building for participation and leadership development. The borrower shall further ensure that women will be selected for training on livelihoods development, value adding activities and preparation of linkages with ongoing microfinance programs. ADB have noted that as of December 2004, compliance is ongoing, however at present, women make up about 9% of the 900 member positions in fisheries communities.

58. Gender means examining the constraints and opportunities for both men and women. Including gender in planning means to assess: (i) how the problems and natural resource uses of men and women may be different, (ii) what the different roles and opportunities are for each during project implementation and (iii) how the contributions of men and women may provide different results.

59. Empowerment of women must begin with equal access to education, information and extension services. Sensitivity to gender issues needs to be translated into effective project implementation. Because of both economic and equity issues, gender's inclusion in TSEMP activity planning will result in better-targeted and more effective programs.

#### **2.3.5. Legal and Policy Support**

60. Identifying existing policies, found in legislation and informally-in-effect, for NRM can also be referenced from various literature sources. The stakeholder decision-making structures and instruments of power and authority on the Lake and within the entire TSBR have also been studied to some degree, although the situation can change rapidly in the dynamics of stakeholder interactions over natural resource management. However, as for precise stakeholder identification, such policy (positive, negative, or absence) identification is again so far incomplete as would be expected for an area so vast, heavily populated and particularly diverse (e.g., ethnically, economically) and with competing demands on resources.

61. Identifying current policies must also include identifying fundamental absences of policy for many resources. Such situations can only be expected to intensify conflicts among user groups at all levels when resource rights, power and authority remain in a state of ambiguity and conflict. These ambiguities thus hinder relevant jurisdictional policy development, i.e. the question of clearly delegated functions and responsibility within provincial governments, districts and communes to identify conflicts, mitigate, enforce and resolve any natural resource management issue.

#### **2.3.6. Participatory Stakeholder Workshops**

62. Two participatory stakeholder workshops were held for all provinces of TSBR. The first workshop was held over two days (28–29 March 2005) at Kampong Thom for participants from the provinces of Kampong Thom and Siem Reap. The second workshop was held at Battambang for participants from the provinces of Battambang, Pursat and Kampong Chhnang for two days, 16–17 June 2005. Results from these two workshops may be found in the Report Supplement, Summary Report on Provincial Workshops: Tonle Sap Biosphere Reserve

Coordination Mechanisms, Stakeholders and Natural Resource Management Conflicts in Kampong Thom, Siem Reap, Battambang, Pursat, and Kampong Chhnang Provinces.

63. During each workshop, presentations were made by the PSN Division members. Then all participants began the four working group sessions. The working group participants were facilitated by TSBR Secretariat PSN Division members to develop matrices in Khmer for each of the four themes focusing on: (i) current conditions or efforts expressed either as strengths or weaknesses, (ii) recommended solutions, and (iii) delivery mechanisms, i.e. identifying responsibilities and authority to implement recommendations. These matrices were then presented during a second day plenary session and subsequently translated into English.

64. Several issues were selected as being particularly important for each thematic group. Main issues and conflicts for resource management, coordination and recommendations at the provincial level for TSBR were developed by the working groups. Each of the four working groups produced matrices for the four thematic topics; namely: (i) livelihoods improvement (ii) coordination and community participation, (iii) conflicts of land and water management, and (iv) conflicts of fisheries management (Table 2.3).

65. The approach and design of the matrices allows for easy analysis of the workshop outputs. Primary analysis of workshop results can actually be presented by the matrices themselves just by their design. However, analyzing and summarizing the results includes finding differences and commonalities between the two groups, i.e. those at Battambang and those at Kampong Thom workshop. Commonalities presented some priority issues and recommendations (Report Supplement on Provincial Workshops; Section 1.4, Table 1.1).

## **2.4. Management Framework Elements**

66. This section provides significant departures from many of the Phase 1 recommended steps and approaches to developing priority common policies. Common policies may be prioritized according to their relative benefit to the goals and objectives of TSEMP and their importance to overall TSBR management. A priority list of common policy categories with specific common policies is identified from the review and analysis in previous sections. This section thus provides identification of these priority common policies in keeping with TSEMP and TSI overall vision and similarly the proposed TSBR vision with sets of goals, objectives and priority actions to support conservation and sustainable socioeconomic development. Identifying the priority actions as priority common policies requires reviewing results from NRM and multi-stakeholder analyses.

67. The functions, vision, goals, objectives, and common policies form the elements of a management framework or Management Partnership Approach (MPA) that will serve to facilitate collaboration and cooperation among TSBR management partners (Sec. 3.3).

**Table 2.3. Themes and Management Issues Used in the Provincial Workshops**

See Report Supplement for details: Summary Report on Provincial Workshops: Tonle Sap Biosphere Reserve Coordination Mechanisms, Stakeholders and Natural Resource Management Conflicts in Kampong Thom, Siem Reap, Battambang, Pursat, and Kampong Chhnang Provinces.

Themes	Management Issues
Livelihoods Improvement	<ul style="list-style-type: none"> <li>• Employment opportunities</li> <li>• Extension and training services</li> <li>• Access to markets</li> <li>• Public-private partnerships</li> <li>• Microfinance (credit and savings)</li> <li>• Women and disadvantaged groups</li> <li>• Population growth and control</li> <li>• Clean water, sanitation and health care</li> <li>• Tourism</li> </ul>
Coordination and Community Participation	<ul style="list-style-type: none"> <li>• Coordination among government agencies for environmental management</li> <li>• Coordination between Government agencies and Communities / Communes</li> <li>• Public awareness of environmental issues and Biosphere Reserve</li> <li>• Community participation in decision-making and management</li> <li>• Involvement of women and disadvantaged groups</li> <li>• Financial resources to support better environmental management and stakeholder involvement</li> </ul>
Conflicts of Land and Water Management	<ul style="list-style-type: none"> <li>• Training opportunities for environmental management</li> <li>• Institutional capacity to implement better environmental management</li> <li>• Institutional capacity to enforce environmental laws</li> <li>• User rights and conflicts over land and water</li> <li>• Zoning for multiple uses and monitoring of open and restricted areas</li> <li>• Agricultural practices</li> <li>• Deforestation and illegal logging</li> <li>• Clean water resources and solid waste (sewage) management</li> </ul>
Conflicts of Fisheries Management	<ul style="list-style-type: none"> <li>• Pollution (pesticides and other industrial pollutants)</li> <li>• Over-fishing, illegal and destructive fishing practices</li> <li>• Pollution and destruction of fish habitats</li> <li>• Coordination among government agencies, private sector and community fishers</li> <li>• Institutional capacity to implement better fisheries management</li> <li>• Institutional capacity to enforce fisheries laws</li> <li>• User rights and conflicts in fisheries</li> <li>• Employment opportunities in the fisheries sector</li> <li>• Access to markets in the fisheries sector</li> </ul>

#### 2.4.1. Functions and Vision

68. **Functions.** The functions of TSBR management are derived from the Royal Decree on the Establishment and Management of the Tonle Sap Biosphere Reserve (April 2001). Relevant phrases for arriving at a proposed Vision for TSBR management are:

- "... to contribute to the conservation of biological diversity ... and to the restoration of the essential character of the environment and habitat ..."
- "... to foster sustainable development ..."
- "... to provide support to demonstration projects, environmental education and training , research and monitoring ... related to ... conservation and sustainable development".

69. Thus, from the Royal Decree the three general functions of TSBR management are basically (i) *conservation*, (ii) *sustainable development* and (iii.) *support*.

## Vision

*By 2020 the Tonle Sap Biosphere Reserve will be a productive and restored environment supporting biodiversity conservation and sustainable development through internationally recognized model management, extension, training, environmental education, research and monitoring programs.*

70. This proposed TSBR management vision for the Secretariat is consistent with Article 3 of UNESCO Man and the Biosphere Program's *Statutory Framework of the World Network of Biosphere Reserves* on Functions of a Biosphere Reserve. In combining the three functions below, biosphere reserves should strive to be sites of excellence to explore and demonstrate approaches to conservation and sustainable development on a regional scale:

- (i) **Conservation**—contribute to the conservation of landscapes, ecosystems, species and genetic variation
- (ii) **Development**—foster economic and human development which is socio-culturally and ecologically sustainable
- (iii) **Logistic support**—support for demonstration projects, environmental education and training, research and monitoring related to local, regional, national and global issues of conservation and sustainable development.

71. The proposed vision and functions, which defined the vision, are also consistent with those of the Ramsar Convention COP-6 Recommendation on Framework for National Wetland Policy Development and Implementation" and the Ramsar COP-7 "Resolution on Guidelines for Developing and Implementing National Wetland Policies.

### 2.4.2. Goals, Objectives, and Priority Common Policies

72. TSBR common management goals are based on the vision. Each general goal has a set of relevant objectives, which in turn contain priority actions that become a set of proposed priority common policies. Table 2.4 represents the results of the analysis and prioritization of policies to derive the set of common policies. The goals, objectives and policies are also consistent with the UNESCO Man and the Biosphere Program and Ramsar Convention guidelines for biosphere reserve and wetlands management, respectively.

**Table 2.4: Management Goals, Objectives and Priority Actions as Common Policies**

Objective	No.	Common Policy
<b>GOAL ONE: Contribute to biodiversity conservation and habitat restoration</b>		
<b>1.1 To Ensure Core Area Biodiversity is Protected from Development Activities</b>	1.1.1	The policy framework must provide for a way to increase the level of coordination among the relevant MOE and MAFF departments and offices as well as law enforcement agencies.
	1.1.2	Partnership arrangements must work to provide adequate budgets for habitat and species recovery plans without total dependence of international donor assistance.
	1.1.3	TSBR Secretariat's role as facilitating coordinator and its strategy will be promoted to gain support from the Partners involved in biodiversity conservation.
	1.1.4	Uncontrolled developments in Core Areas are not compatible with biodiversity conservation and must be denied access or removed.
	1.1.5	Local community participation, including comanagement arrangements and participatory law enforcement must be established and include incentives for community participation.
<b>1.2 To Ensure Biodiversity throughout TSBR is Conserved through Identifying and Establishing Additional Protected Core Areas and Enforcing Regulations on Development Impacts</b>	1.2.1	The policy framework must provide the means to increase cooperation among relevant authorities involved in conservation and development projects and establishing or maintaining protected areas (e.g., fish sanctuaries).
	1.2.2	Partnership arrangements (e.g., provincial and district committees) must be established with a commitment to mitigating development impacts on biodiversity conservation efforts and establishing additional protected habitats are core areas.
	1.2.3	TSBR Secretariat's role as facilitating coordinator and its strategy will be promoted to gain support from the Partners involved with reconciling biodiversity conservation and development impacts throughout TSBR and establishing or maintaining protected areas (e.g., fish sanctuaries).
	1.2.4	Effective biodiversity conservation legislation must be enacted and enforced and must include means for establishing additional core areas, conflict resolution, legal sanctions for local community enforcement, proper handling of law infringement cases and control over ecotourism quality and practices.
<b>1.3 To Ensure Protection of the Remaining Flooded Forests as a Critical Environmental and Economic Habitat</b>	1.3.1	The policy framework must enable the means to provide consistent intersectoral policy for flooded forest protection as a high priority.
	1.3.2	Partnership arrangements among communities, NGOs and government agencies must be established locally to support forest protection through integrated projects.
	1.3.3	TSBR Secretariat's role as facilitating coordinator and its strategy will be promoted to gain support from the Partners towards long-term forest protection.
	1.3.4	Poor forest management and deforestation must be attacked on three fronts: (i) establishing a legal framework for land and forest management, (ii) serious enforcement of existing regulations (e.g., MOE requirements for environmental and social impact assessments), and (iii) establish enabling policies and the institutional capacity to collect data and monitor logging activities.
<b>1.4 To Establish Programs for Habitat Restoration Particularly in Existing and Remaining Flooded Forest Areas but also in Other Wetland Habitat Types</b>	1.4.1	The policy framework must be supportive of ensuring correct management prescriptions are followed for all forms of habitat restoration and with a commitment to ensure habitat maintenance.
	1.4.2	Partnership arrangements among communities, NGOs and government agencies must be established locally to support wetland habitat restoration through integrated projects and sustainable funding and maintenance of restored areas.
	1.4.3	TSBR Secretariat's role as facilitating coordinator and its strategy will be promoted to support the Partners' capacity and efforts towards long-term habitat restoration and maintenance.
	1.4.4	Adequate institutional capacity and technical training must be put into place as a high priority for habitat restoration that involves local collaborative efforts among many stakeholders.

Objective	No.	Common Policy
<b>GOAL TWO: Foster compatibility of sustainable socioeconomic development with sound natural resource management and environmental protection</b>		
<b>2.1 To Ensure Environmental Protection and Ecologically Sustainable Natural Resource and Land-use Management Practices within the Framework of Integrated Basin Management</b>	2.1.1	The policy framework must provide for a way to increase the level of coordination among the relevant agencies to enable coordinated planning in all provinces of the Tonle Sap Basin.
	2.1.2	Partnership arrangements must be developed at all local levels from village to province to establish communication and collaboration among those agencies involved with development and environmental protection initiatives throughout the Basin.
	2.1.3	TSBR Secretariat's role as facilitating coordinator and its strategy will be promoted to gain support from those Partners who promote environmental protection and sustainable natural resource and land-use management by extending beyond the boundaries of TSBR and who have influence as key players at the Basin-wide level.
	2.1.4	Strong networks of communication and collaboration must be established among the provinces within the Tonle Sap Basin to ensure that upstream effects of development and land-use activities do not jeopardize the downstream quality of TSBR environment.
<b>2.2 To Achieve Informed Government and Civil Society Participation for Sustainable Socioeconomic Development that Does Not Threaten the Long-term Values of Natural Resources or the Maintenance of a Healthy Environment</b>	2.2.1	The policy framework must enable full participation from all relevant government and civil society sectors to integrate development and conservation values and principles in planning and project implementation.
	2.2.2	Partnership arrangements, especially involving NGOs, must be developed at all levels to promote advocacy of conservation and development values and principles.
	2.2.3	TSBR Secretariat's role as facilitating coordinator and its strategy will be promoted to gain support from the Partners involved with advocacy and with achieving informed government and civil society stakeholder support for socioeconomic development that does not threaten the natural resource values and long-term environmental health of TSBR.
	2.2.4	Achieving informed participation from government agencies and civil society requires capacity building and appropriate institutional arrangements, and training initiatives must be made available.
<b>2.3 To Enhance Community Well-Being and Welfare in Ways that Safeguard Long-Term Environmental Health by Ensuring Regulated but Just and Equitable Access and Rights to Natural Resources, Full Participatory Decision-making and Equitable Benefits from Socioeconomic Development</b>	2.3.1	The policy framework must enable just and equitable rights and access to the benefits of development for all sectors of society while ensuring that those benefits are not detrimental to the long-term environmental health of TSBR.
	2.3.2	Partnership arrangements must be established, particularly with NGO advocacy programs, to achieve the objective.
	2.3.3	TSBR Secretariat's role as facilitating coordinator and its strategy will be promoted to gain support from the Partners involved with community welfare and rights in ways that enable them to understand the importance of incorporating environmental safeguards in all development projects.
	2.3.4	Particular attention must be directed towards the typically neglected stakeholders (e.g., women, marginalized poor groups and ethnic minorities) and issues of gender equity in general in support of this objective.
	2.3.5	Cost effective and flexible policy instruments must be adopted so as to improve local commodity valuation, pricing, market access and incentive mechanisms that are just and open to all sectors of society, including the very poor and marginalized groups.

Objective	No.	Common Policy
2.4 To Ensure that all Civil Works, Infrastructure, Building Construction, Agricultural and Industrial Estates Comply with Strict Regulations that Ensure Environmental Protection during all Phases of Development, from Planning through to Maintenance	2.4.1	The policy framework must ensure that the legal requirements of environmental and social impact assessments in all development projects be enforced and monitored.
	2.4.2	Partnership arrangements among the private sector, community groups, NGOs and government agencies must be established to promote an understanding and compliance with environmental protection laws.
	2.4.3	TSBR Secretariat's role as facilitating coordinator and its strategy will be promoted to gain support from the Partners involved with public works and for the need to enforce environmental protection measures including but not limited to ensuring independent environmental and social impact assessments are made for all development projects planned within TSBR.
	2.4.4	All development schemes, including but not limited to those works that require land conversion, land fills, mining, large-scale agricultural and industrial estates, must require environmental and social impact assessments, and competent independent staff must be trained to be able to conduct these assessments and ensure compliance through regular and frequent monitoring.
<b>GOAL THREE: Provide supportive initiatives and mechanisms for biodiversity conservation and sustainable socioeconomic development</b>		
3.1 To Provide Support Systems for Socioeconomic Growth and Biodiversity Conservation by Developing Internationally Recognized Models for <u>Management, Environmental Advocacy, Education and Awareness Programs</u>	3.1.1	The policy framework must enable support for developing management, environmental advocacy, education and awareness programs at the national and local (TSBR) levels.
	3.1.2	Partnership arrangements must be established at all levels, with special involvement from relevant NGOs, to develop appropriate procedures, strategies, materials and dissemination mechanisms.
	3.1.3	TSBR Secretariat's role as facilitating coordinator and its strategy will be promoted to gain support from the Partners involved with management, environmental advocacy, education and awareness programs at the national and local (TSBR) levels, but with particular focus on engaging capable and well-respected NGOs in these activities to work with local communities.
	3.1.4	Establish networking with other Biosphere Reserves and institutions involved with management, advocacy, education and public awareness to improve skills and competence through cross-visits and study tours, for example.
3.2 To Provide Support Systems for Socioeconomic Growth and Biodiversity Conservation by Developing Internationally Recognized Models for <u>Institutional Development, Capacity Building, Extension and Training Programs</u>	3.2.1	The policy framework must enable support for establishing institutional development, capacity building and training for a variety of biodiversity conservation and socioeconomic themes at the national and local (TSBR) levels.
	3.2.2	Partnership arrangements must be established at all levels, with special involvement from relevant educational institutions within and outside Cambodia, to develop appropriate materials and implement institutional development, capacity building and training programs.
	3.2.3	TSBR Secretariat's role as facilitating coordinator and its strategy will be promoted to gain support from the Partners involved with institutional development, capacity building and training for a variety of biodiversity conservation and socioeconomic themes at the national and local (TSBR) levels and establishing international linkages with appropriate institutions to provide appropriate support.
3.3 To Provide Support Systems for Socioeconomic Growth and Biodiversity Conservation by Developing Internationally Recognized Models for <u>Research, Monitoring and Database Management Programs</u>	3.3.1	The policy framework must enable support for developing a state-of-the-art model research, monitoring and database management program.
	3.3.2	Partnership arrangements must be established at all levels (district, provincial, national, regional and international) with institutions within and outside Cambodia, to develop state-of-the-art model research, monitoring, and database management programs.
	3.3.3	TSBR Secretariat's role as facilitating coordinator and its strategy will be promoted to gain support from the Partners involved with developing model research, monitoring and database management programs and establishing national, regional and international linkages with appropriate institutions to support the partners.

### 2.4.3. Common Management Principles

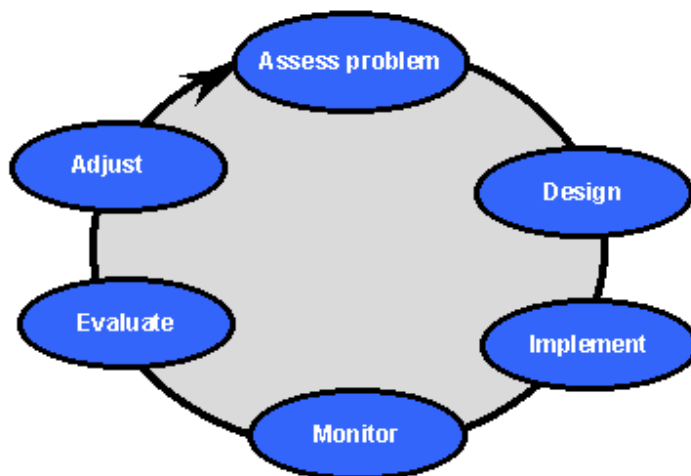
73. Shared or common management principles or implementation pillars of TSBR partners are intended to guide management decisions. Principles are based on government sector policy documents that are supportive of and include decentralization, deconcentration (D&D) and good environmental governance in support of biodiversity conservation, just socioeconomic development and wise-use of natural resources. The nine common principles for TSBR management, not in any order of importance, are:

- Partnerships at many levels and among a variety of stakeholders
- Decentralized and Deconcentrated (D&D) decision-making and implementation
- Eco-Governance
- Transparency
- Advocacy
- Social justice
- Adaptive management
- Stakeholder participation and power-sharing (e.g., comanagement, CBNRM)
- Recognizing women, poor marginalized people and ethnic minorities for affirmative action, i.e. special consideration for support and participation

### Definitions of Common Management Principles

74. **Adaptive Management** has been defined in various ways since its development in the early 1970s. However, the British Columbia Forest Service uses an appropriate and commonly accepted working definition: Adaptive management is a systematic process for continually improving management policies and practices by learning from the outcomes of operational programs. Its most effective form—active adaptive management—employs management programs that are designed to experimentally compare selected policies or practices, by evaluating alternative hypotheses about the system being managed. The adaptive management process is typically seen as a six-step cycle of differentiating characteristics, and emphasizes that successful adaptive management of a resource or an area requires that managers be flexible while completing all six steps (Figure 2.1).

**Figure 2.1: The Adaptive Management Cycle**  
(Source: British Columbia Forest Service, Vancouver, Canada)



- (i) First, acknowledging the inherent uncertainty about what policy or practice is best for a particular management issue
- (ii) Thoughtfully selecting those policies or practices to be applied, i.e. the assessment and design stages of the cycle
- (iii) Carefully implementing a plan of action, i.e. a strategy, designed to reveal the critical knowledge currently lacking
- (iv) Monitoring key response indicators
- (v) Evaluating the management outcomes in consideration of the original objectives
- (vi) Incorporating the results and adjusting future decisions in light of these results.
- (vii) Then, the adaptive management process cycles again in response to changing circumstances.

75. **Advocacy** is essential to policy reform and changing opinions. It has been defined as “the action of delivering an argument to gain commitment from political and social leaders and to prepare a society for a particular issue. Advocacy involves the selection and organization of information to create a convincing argument, and its delivery through various interpersonal and media channels. Advocacy includes organizing and building alliances across various stakeholders. Increasingly advocacy is people-based and people-driven” (de Jong 2004). Advocacy approaches can be used for lobbying to influence the policy process and negotiation. Advocacy intends to build the constituency for change and to mobilize public opinion around issues of common concern. Several advocacy strategies can be used to influence the decisions of policy makers, such as discussing problems directly with them, delivering messages through the media, or strengthening the ability of local organizations to advocate.

76. **Collaborative or Comanagement** is defined by The World Parks Congress, Durban 2004, as a management system for protected areas (as per IUCN categories I-VI) “where management authority, responsibility and accountability are shared among two or more stakeholders, including government bodies and agencies at various levels, indigenous and local communities, nongovernment organizations and private operators, or even among different state governments as in the case of trans-boundary protected areas.” While the definition implies increased local stakeholder involvement in management, it must be stressed that involvement here is not “a process of token participation in which community leaders have been coerced into agreeing to developments” (Claridge 1997) but rather a true process of participatory power sharing through collaborative decision-making and implementation with explicit rights and responsibilities. The World Parks Congress Recommendation No. 25 on Comanagement of Protected Areas noted that current efforts to involve indigenous peoples, mobile peoples and local communities in protected area management are often limited to consulting them, asking their help in implementing predetermined activities or assigning to them some benefits (often unrelated to the costs incurred), without effective discussion and negotiation of options. This may be due to various causes, but lack of supportive policies and capacities are at the root of many failures. Actions are needed to facilitate: Understanding the potential of, and obstacles to, comanagement approaches.

77. **Community-based Natural Resource Management** may be defined as management by communities of a natural resource in which they have a vested livelihoods improvement interest but with support from relevant authorities, institutions or organizations with expertise and authority for national natural resource management.

78. **Conservation** is often mistaken for only strict preservation; however, it is not. In fact, conservation pertains to the wise use through good management of a resource; those uses run the spectrum from rather flexible yet sustainable utilization to strict and uncompromising protection. Thus, we speak of not only biodiversity conservation, but also forest, soil, water and general land conservation, among others (e.g., conservation of tropical hardwoods requires strict protection in some areas but sustainable utilization in others). The main element is to conserve a particular resource for this and future generations through various methods.

79. **Decentralization** as applied to the management of natural resources decentralization refers to implementation and enforcement at regional or local levels, which have adapted national-level formulated legislative frameworks (e.g., guidelines, policies, laws, regulations) to local circumstances and authority.

80. **Eco-Governance or Environmental Governance** in its most general sense refers to the processes and systems by which an organization or government operates to safeguard the environment. It includes all the rules, processes, practices, systems, and controls that affect the way in which powers are exercised. In particular, it refers to issues such as accountability, clarity, transparency, coherence, efficiency, effectiveness and institutional capacity to influence and take decisions with regard to sound environmental management. It also includes issues about the role of regional, local, and nongovernment actors in the environmental policy-making process with a pro-active commitment to make environmental protection and enhancement an integral part of the organization or nation's mission.

81. **Gender** means examining the constraints and opportunities for both men and women. To include gender in planning and implementation means to assess: (i) how the problems and natural resource uses of men and women may be different, (ii) what the different roles and opportunities are for each during project implementation, and (iii) how the contributions of men and women may provide different results.

82. **Social Justice** is the pursuit of a society that offers fair and equal opportunity to access freedoms and choices and encourages the development of all the capacities of all its individual members (ADB 2004).

83. **Sustainable Development**, as defined by the Brundtland Commission (1987) and consistently used thereafter is "development that meets the needs of the present without compromising the ability of future generations to meet their own needs". The World Commission on Environment and Development (1987) has stated that "... sustainable development is ... a process of change in which the exploitation of resources, the direction of investments, the orientation of technological development, and institutional change are made consistent with the future as well as present needs." By definition then, sustainable development is a development process that takes environmental impacts into account and tries to minimize damage to the environment resulting from development activities.

84. **Transparency** refers to the quality, quantity and ready availability of information to the general public (and to other government agencies), the level of clarity about government rules, regulations, and decision-making processes, and a tolerance for public debate, public scrutiny and public questioning of policy choices. Transparency in government decision making and public policy implementation reduces uncertainty. It encourages investment and can help inhibit corruption. To support transparency, laws, policies and decision-making procedures should be simple, straightforward, and easy to apply.

## **CHAPTER 3. POLICY COORDINATION**

### **3.1. Introduction**

85. With respect to prioritization and coordination of common policy objectives for the Tonle Sap Biosphere Reserve, this chapter will focus on:

- TSBR Management Partnership Approach facilitated by the Secretariat
- Tonle Sap Basin Organization (TSBO) in relation to TSBR Secretariat
- Coordination mechanism to support priority common policies
- Partnership arrangements in relation to furthering the coordination mechanism and achieving TSBR goals for conservation, development and support.

### **3.2. Common Policy Coordination Framework**

#### **3.2.1. Management Partnership Approach**

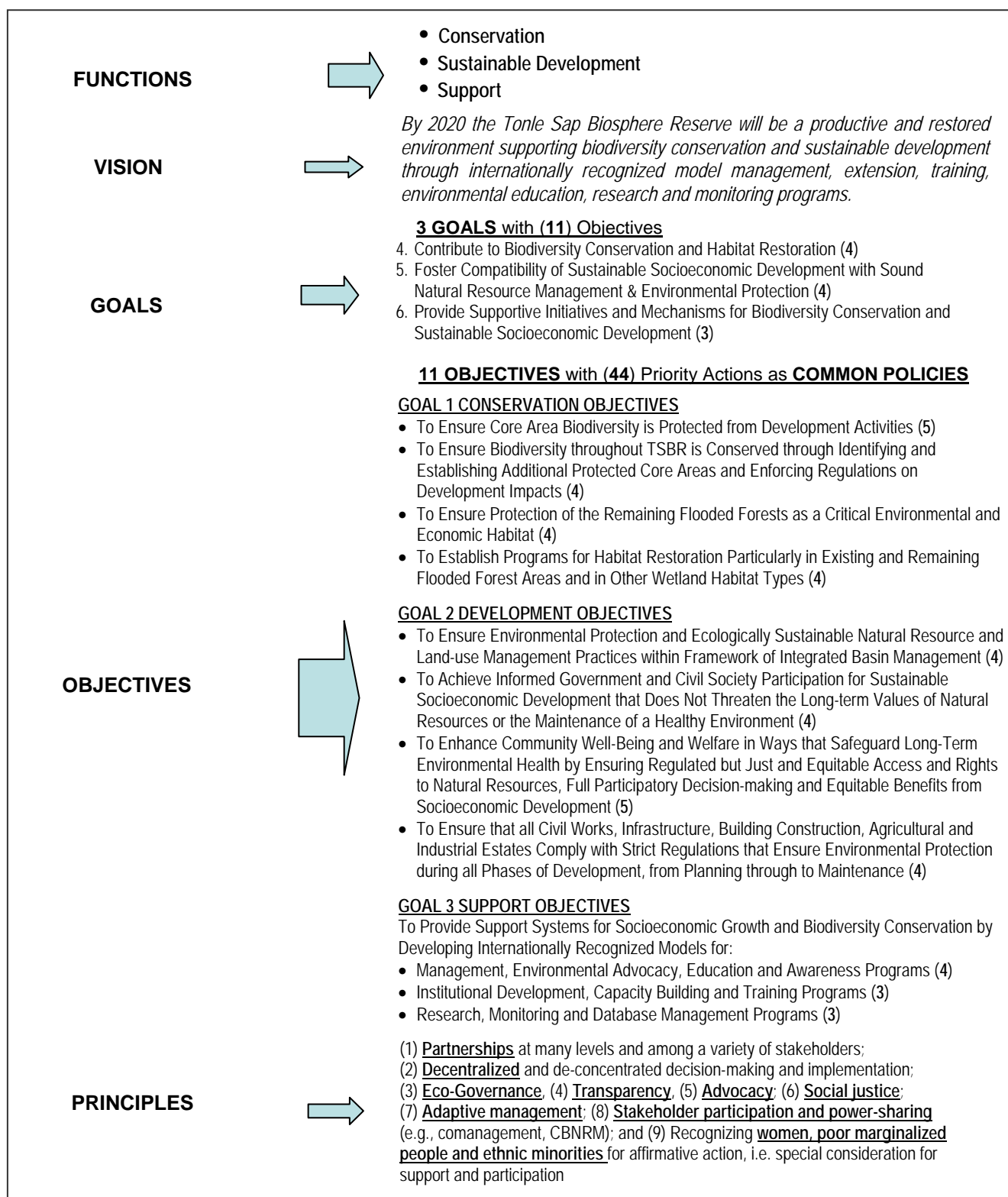
86. The proposed MPA is based on TSBR functions, vision, goals, objectives, common management principles and priority common policy objectives (Sec.2.4) to define and guide how TSBR stakeholder partners will collaborate with strengthened Secretariat support and facilitation. The basic elements of a Management Partnership Approach are shown in Fig. 3.1.

87. MPA is a means to support the aspiration of TSBR management through collaborative multi-stakeholder partnerships. This is required to ultimately reverse the detrimental effects arising from conflicting intersectoral policies and practices that have led to serious environmental decline throughout TSBR.

88. MPA is based on the fact that a very diverse range of opinions, influences and interests will affect a management approach that can be agreed upon and established by TSBR partners. MPA has significant implications for moving towards a TSBR management coordination mechanism with financially and technically feasible, appropriate and supportive TSBR Secretariat structures and functions that will be strengthened. In keeping with the requirement that common policy objectives must be adopted through a process of deliberation and learning, and then modified as necessary, it is necessary that the proposed MPA undergo a consultation process at national and provincial levels.

## Figure 3.1. Basic Elements of a Tonle Sap Biosphere Reserve Management Partnership Approach

Source: Modified from an original design in Claridge, G. (2004). *The Formulation of Common Policy Objectives for the Coordinated Management of the Tonle Sap Biosphere Reserve*. TSEMP P&S Phase 1.



89. Several reasons for a Management Partnership Approach include:
- Partnerships promote communication and cooperation
  - Partnerships help to overcome suspicion that conservation or development goals will dominate management
  - Partners have relevant expertise and experience in appropriate areas
  - Conservation and sustainable development are multisectoral, multistakeholder issues

### **3.2.2. Proposed Tonle Sap Basin Organization**

90. The Tonle Sap Basin Organization (TSBO) will assist the RGC to sustainably develop the Tonle Sap Basin's economy and infrastructure, and functions to advise on formulation of (i) water policy and strategy to manage, preserve, investigate, plan, and develop water and related natural resources; and (ii) policy and strategy to conserve biological diversity and maintain, use and manage natural resources within TSBR.

91. Activities of the TSBO will be guided and regulated by the Tonle Sap Basin Committee (TSBC) within CNMC. A Tonle Sap Basin Committee Secretariat (TSBCS) will facilitate TSBC and will coordinate with TSBR Secretariat both of which will be within CNMC Secretariat, headed by CNMC General Secretary proposed as a new CNMC Deputy Director General. More information on the proposed TSBO and TSBR Secretariat may be found in Appendix L.

92. Establishing a TSBO will potentially increase the Secretariat's ability to facilitate stakeholder activities beyond the borders of TSBR to the wider Tonle Sap Basin. The overall organization of the proposed TSBO, as prepared by the Establishment of Tonle Sap Basin Management Organization Project (TA 4427–CAM), is found in Appendix L, Figure L-2.

### **3.2.3. Coordination Mechanism**

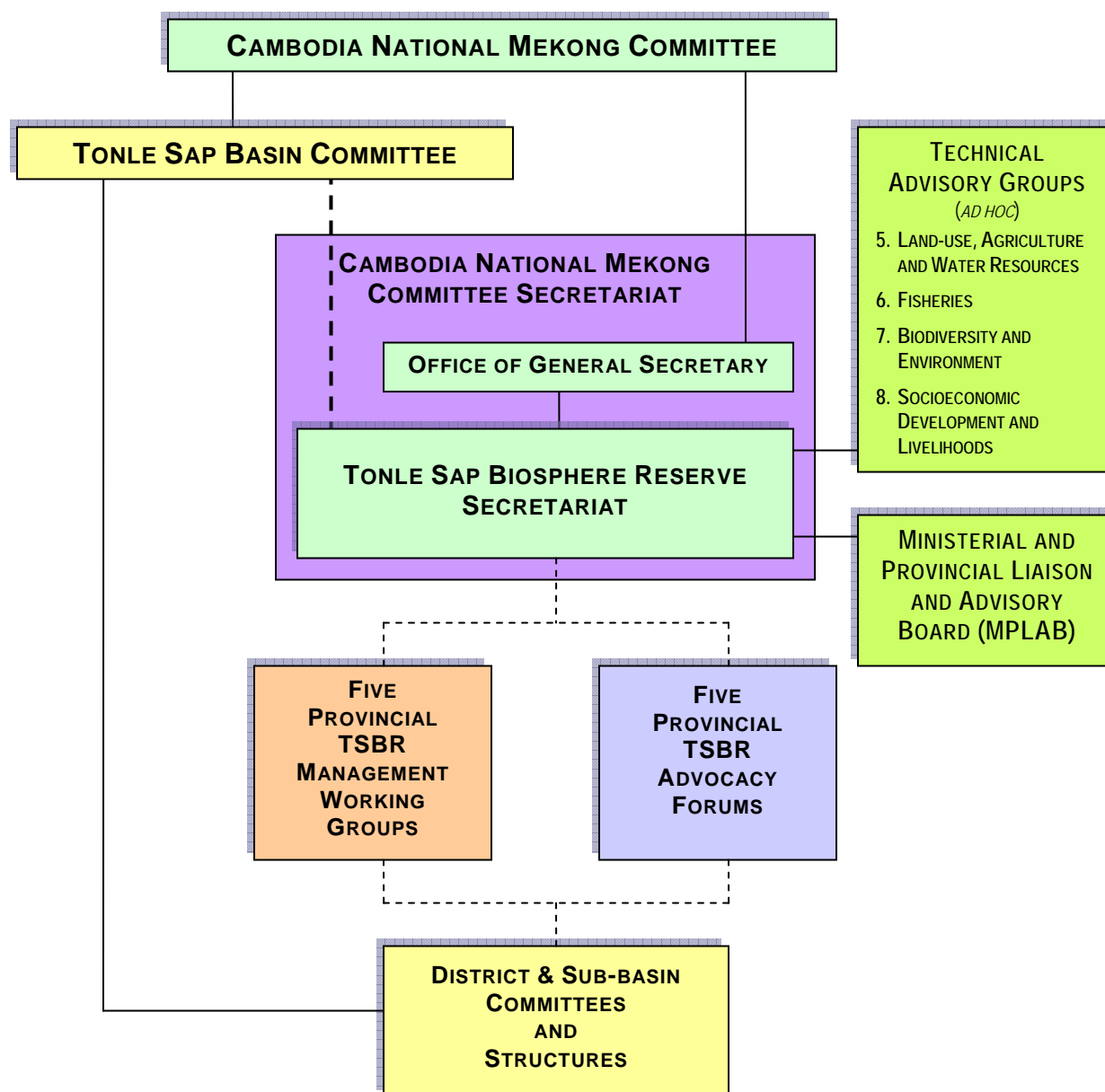
93. Thus, the opportunity presents itself to establish an important mechanism that would integrate TSBR activities within those of the wider landscape of the Tonle Sap Basin and to promote common policies of TSBR among stakeholders. This section proposes a coordination mechanism based on MPA (Section 3.2.1) to support common policies and in line with the overall TSBO. The mechanism will need to become operational as a part of TSBR Secretariat's Strategic Action Plan and within the framework of the overall TSBO. Fig. 3.2 presents a proposed structure of a TSBR management coordination mechanism. Section 5.3 provides details on how to operationalize a coordination mechanism to support TSBR common policies.

### **3.2.4. Partnership Arrangements**

#### **National Arrangements**

94. TSBC will be supported by both Secretariats within the proposed Tonle Sap General Bureau (TSGB), headed by CNMC General Secretary: TSBCS and TSBRs. The functions of TSBC are described in Sec. 3.2.2.

**Figure 3.2. Proposed structure for a TSBR management coordination mechanism**



95. Membership of TSBC (18 as proposed by the TSBMO II TA) would include:
- Provincial Governors of the eight provinces in the Tonle Sap Basin, including five in TSBR
  - Representatives from the Ministries of Environment, Agriculture, Water Resources and Meteorology; Rural Development, Land Management, Urban Planning and Construction; and the National Committee for Disaster Management
  - Representatives from the Ministries of Economics and Finance; Foreign Affairs and International Cooperation; Planning; and Women's Affairs.
96. Each TSBC member would have powers deriving from their respective RGC positions. Each member may use this delegated power to influence decisions and agreements. The

TSBMO TA considered peer pressure to be the only power to initiate individual action, and it concluded that making committee resolutions binding on members would be inappropriate, because if decisions are accepted and formulated as sub-decree this would probably inhibit decision-making.

97. A Stakeholder Advisory Board is proposed to allow national inputs to TSBC from donors, NGOs, universities, community NRM bodies, and natural resource projects.

98. TSBR Secretariat will provide support to TSBC and to sub-national bodies through four technical advisory groups that will provide expert technical advice to TSBR Secretariat on an ad hoc or as needed basis on management and other issues pertaining to: (i) land-use, agriculture and water resources; (ii) fisheries; (iii) biodiversity conservation, and (iv) socioeconomic development and livelihoods improvement.

99. The proposed organization, structure and further responsibilities of TSBR Secretariat, its divisions, and staffing are found in Section 5.5.

### **Provincial, District, and Sub-Basin Arrangements**

100. Sub-national arrangements will support and rely on the RGC's Decentralization and Deconcentration (D&D) Strategy.

101. As part of the TSBO organization, a District Task Force for Water Sector and Natural Resource Management in each district will be under the chairmanship of each district governor. It will evaluate and consider water and NRM related issues and conflicts within the district, linking with the District Development Committee and contributing proposals that will be formulated as the District Development Plan.

102. Focusing specifically on TSBR, a Provincial Management Working Group (PMWG) in each of the five TSBR provinces will be directly connected and facilitated by the proposed national policy coordination body, the TSBC. PMWG focus will be on management of people, resources and ecosystems. Each PMWG will coordinate program formulation and implementation within TSBR to optimize biodiversity conservation and the sustainable development and to address conflicts, develop common programs, and regularly monitor activities.

103. Each PMWG will also promote several principles of MPA: (i) developing partnerships among a variety of stakeholders, (ii) decentralized and deconcentrated (D&D) decision-making and management implementation, (iii) eco-governance, (iv) adaptive management, and (v) stakeholder participation and power-sharing (e.g., comanagement, community-based natural resource management).

104. Membership of each PWMG will be from:

- Provincial and district government agencies with relevant mandates (e.g., environment, land-use management, fisheries, forestry, rural development, planning, health, agriculture, women's affairs, non-formal education agencies);
- Commune Chiefs from the districts;
- Representatives of community resource management organizations (e.g., fisheries, forestry, water user groups, other significant organized groups including animal husbandry and those who depend upon specific natural resources for their livelihoods); and

- Several people representing local businesses with impacts on resources (e.g., major urban and private water users).

105. A Provincial TSBR Advocacy Forum (PAF) in each of the five TSBR provinces is intended to be primarily a civil society consultative forum and will be directly connected to and facilitated by TSBR Secretariat.

106. Each advocacy forum will promote several principles of TSBR Management Partnership Approach; namely, (i) advocacy, (ii) transparency, (iii) social justice, (iv) stakeholder participation and power-sharing (e.g., comanagement, community-based natural resource management), and (v) recognizing women, poor marginalized people, and ethnic minorities for affirmative action (e.g., special consideration for support and participation). The primary function is to promote advocacy among communities of TSBR objectives and issues.

107. Advocacy intends to build the constituency for change and to mobilize public opinion around issues of common concern. Approaches of the Provincial Advocacy Forums can include lobbying to influence the policy process and negotiation. Several advocacy strategies can be used (e.g., discussing problems directly with those concerned, delivering messages through media, strengthening the ability of local organizations to advocate). Advocacy is essential to policy reform and changing opinions. It has been defined as "the action of delivering an argument to gain commitment from political and social leaders and to prepare a society for a particular issue. Advocacy involves the selection and organization of information to create a convincing argument, and its delivery through various interpersonal and media channels. Advocacy includes organizing and building alliances across various stakeholders... Increasingly advocacy is people-based and people-driven" (de Jong 2004).

108. Membership of each PAF will be from:

- Representatives of NGOs working within TSBR
- Chairperson should be elected from a reputable NGO (e.g., Fisheries Action Coalition Team, Seila)
- Representatives from community resource management organizations and other community service organizations
- Representatives from local schools and other educational and training institutions
- Representatives from the local media.

109. **Sub-Basin Committees**, as a part of the TSBO structure (Appendix L) and where real ground work will be implemented, will be the entry point for initiating activities reviewed and endorsed by the relevant PMWG and PAF. Sub-basin committees will coordinate water and other natural resource management issues across provincial boundaries. Sub-basin Committees will be established for the four sub-basins that have substantial areas in more than one province. The role of sub-basin committees is to ensure that the planning, management and development of the resources of the sub-basin are fully coordinated across provincial boundaries in accordance with national policies for sustainable development. The long term function of a sub-basin committee would be joint formulation of a sub-basin vision, goals and objectives, all of which would lead to resource development, management and service delivery plans.

110. As identified by the TSBMO TA, membership of each sub-basin committee with two provinces will consist of at least four people:

- Provincial Governor from the provinces (one of whom will be the Chair), and the Governor(s) will represent each sub-basin committee at the national level TSBC;
- Directors of two agencies (one of whom should be from the Provincial Department of Environment) most concerned with resource management issues between provinces;
- Additional resource persons as needed (e.g., Governors of adjoining districts); and
- Director of PDWRAM (as a non-voting secretary).

## **PART TWO: Tonle Sap Biosphere Reserve Secretariat Strategy**

### **CHAPTER 4. BACKGROUND AND APPROACH**

#### **4.1. Purpose**

111. The purpose of Part Two is based on the second objective of the advisor's terms of reference inputs, i.e. to develop an actionable strategy for staff of the Secretariat to engage with priority common policies and the relevant government agencies with responsibility for them. The scope includes:

- (i) setting a strategic framework to establish an agenda of mobilized consensus building around common policy through the actions of Secretariat staff and TSEMP resources; and
- (ii) transforming a static vision for TSBR into dynamic actions, which the Secretariat would put into operation over the next 5 years, i.e. 2006–2010.

112. This part of the report is also intended to complement the strategies and policies of other initiatives, most notably those of the broader proposed Tonle Sap Basin Organization (TSBMO II, TA 4427–CAM) as well as TSI's other ongoing, current, and planned project interventions in the region.

113. Management of TSBR focuses on UNESCO's guiding Biosphere Reserve principle of integrating biodiversity conservation and sustainable socioeconomic development. Thus, more appropriate strategic action plans and coordination mechanisms, both at the central and the grass roots levels, are required for the Secretariat to successfully fulfill its long-term mandate of supporting and coordinating the very diverse government and civil society stakeholders within TSBR.

114. The Secretariat has the long-term mandate to serve as both as a supporter and facilitator among the implementing stakeholders (Appendix I). The ultimate purpose of the mandate is to create the conditions that will improve management coordination of TSBR so as to support integrating the goals and objectives of both biodiversity conservation and sustainable development of natural resources (e.g., livelihoods improvement) including supportive human services and infrastructure.

115. The ultimate purpose of the Secretariat's mandate is to improve TSBR management coordination national, provincial and local governments as well as civil society organizations in line with its management vision, and thus a strategy is required to accomplish this.

## **4.2. Approach to Strategic Planning**

### **4.2.1. Factors Required for Successful Change**

116. To fulfill its mandate within a more sustainable framework, TSBR Secretariat must implement its conservation and development vision and strategy. Progress in this direction has been made with drafting the functions, vision, goals, objectives and priority actions as a set of common policies as well as common management principles. Now, a change management strategy must be built on consensus among key stakeholders regarding the issues and the shared vision of what the future should be for the Secretariat and TSBR. The strategy will need to develop capacity and resources, both financial and human, and provide an outline of actions to implement a long-term strategy with clear adaptive management mechanisms.

117. Four factors will condition the Secretariat's success in meeting the challenges of institutional strengthening and change posed by the Project. The Secretariat and its partners must:

- Clearly see and agree on the need for change
- Agree on a common vision within the Secretariat and among the partners of the vision, goals, objectives and common policies designed for specific changes and a broad strategy for reaching the objectives and implementing the common policies
- Develop the capacity to change
- Define actionable first steps.

118. One of the main challenges facing the Secretariat will be to develop all four of these factors. Figure 4.1 presents a simple sketch that points out four undesirable outcomes that will follow if, on the one hand, any one of these key elements is lacking and, on the other, the strong foundation that will be established when all four are present. The envisaged approach to change, i.e. to address all four of the success factors, will avoid activities and programs of low priority that suffer from false or haphazard starts and ineffective outcomes.

119. To strengthen organizational management, with an emphasis on the RGC's general policy on decentralization, the Secretariat will need technical and financial support for activities in two main areas; namely: (i) establishing and supporting a management team approach, and (ii) establishing organizational systems and an effective organizational structure. Other supportive sector activities, and their approaches, are discussed in the remainder of this report.

### **4.2.2. Strategic Approach and Steps**

120. Common policies may be defined as a set of actionable general principles or statements of intent by which the Secretariat and its partners are guided in their management decisions and which are then translated into a strategy.

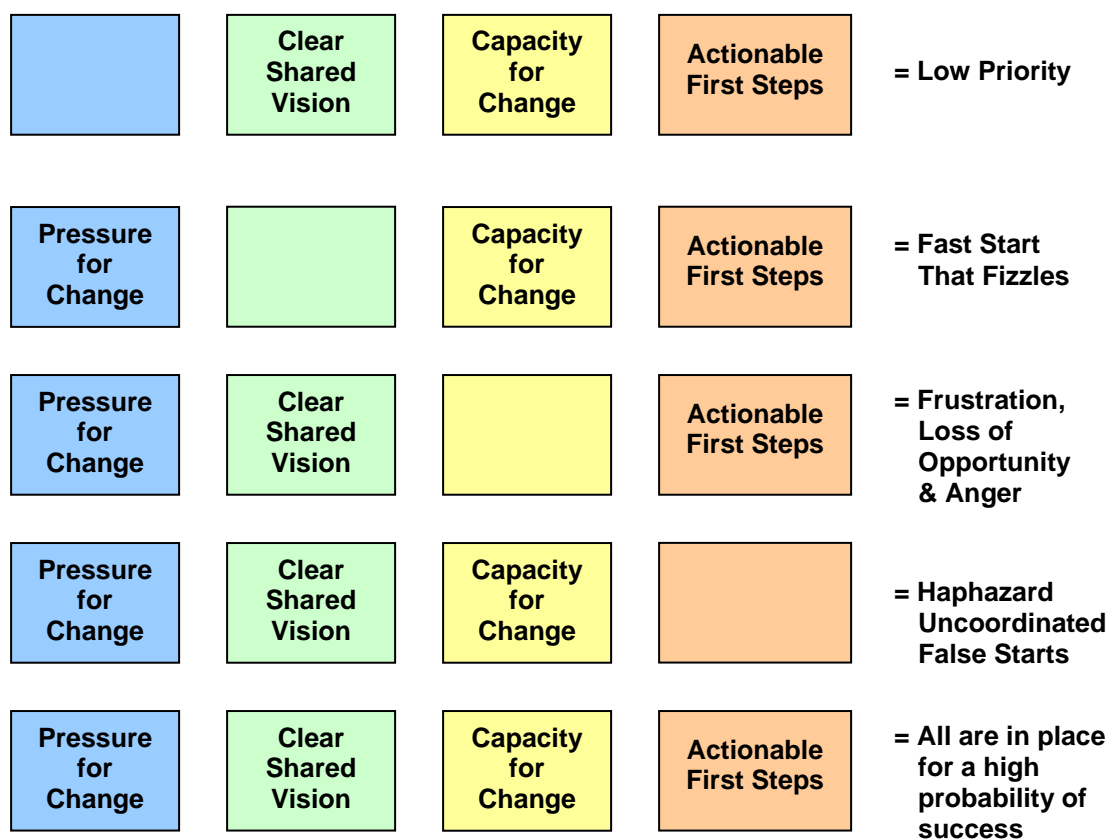
121. A strategy is a systematic plan, approach or course of action, based on policy decisions, that guides implementation choices and clearly identifies the sequence of tasks, means, and direction to achieve predefined goals, objectives, and policy implementation while also identifying a mechanism that can adapt to changing circumstances.

122. Putting policies into successful implementation results from a strategy that uses a whole spectrum of behavioral change techniques, typically through advocacy and communication

programs targeted at relevant levels of government and civil society stakeholders. Policies influence the way people organize themselves and behave by ultimately guiding and directing socially acceptable behaviors.

123. Policy also influences decisions people make that affect their uses of and impacts on natural resources. In effect, policy determines who benefits from resources and who does not. Policies are created and implemented to influence human behaviors. A number of alternative means for changing behavior exist (e.g., incentives, disincentives, advocacy, social pressures, justice, law enforcement, education, information).

**Figure 4.1. Factors Required for Successful Management to Create Appropriate Change**



124. Strategic planning results in a variety of benefits for the Secretariat, including being able to:

- Clearly define its purpose and establish realistic goals and objectives that are consistent with its vision in a defined time frame and within its capacity to implement
- Communicate those goals and objectives to the partners
- Develop a sense of ownership of the plan
- Ensure that the most effective use is made of its limited resources by focusing those resources on key priority activities
- Provide a base or benchmark from which progress can be measured and then establish a mechanism for appropriate change as needed
- Provide clearer focus, producing greater efficiency and overall effectiveness

- Increase productivity as a result of increased efficiency and effectiveness
- Build strong teams between and among staff of the divisions
- Enable the ability to solve major problems by responding adaptively.

125. The strategic planning process has begun by identifying the Secretariat's vision. Once this is clearly defined and agreed, the process moves on to a series of analyses, including external, internal, gap, and benchmarking, all of which provide a context for developing the Secretariat's strategic issues. Strategic programming then follows as the Secretariat develops specific strategies (e.g., strategic goals, action plans, and tactics). Periodically, the Secretariat will need to evaluate its strategies and review its strategic plan, considering new strategies in view of changing circumstances. It may take several years before strategic planning becomes institutionalized and the Secretariat and its partners are effectively able to think strategically.

126. Identifying the Secretariat's vision and purpose is the first step of the strategic planning process. The importance of a clear vision cannot be overemphasized, and the subsequent steps will not really matter if the Secretariat is not clear on where it is headed.

127. Once the vision, as well as goals, objectives and common policies are clearly identified, the next step is to analyze the Secretariat's external (e.g., economic, social, demographic, political, legal, technological, and international factors) and internal environment or factors (e.g., organizational structure, roles, and responsibilities).

128. Organizations typically evaluate the difference between their current situation and desired future through gap analysis. As a result, the Secretariat can develop specific strategies and then allocate priority resources accordingly to close the gap and achieve its desired state.

129. Measuring and comparing the Secretariat's operations, practices, and performance against others is useful for identifying best practices that can be replicated. Through an ongoing systematic benchmarking process reference points can be found for setting goals and targets.

130. Then a next step involves determining strategic issues that are based on and consistent with the vision. Strategic issues are the fundamental issues to be addressed by any successful organization so as to achieve its purpose and move toward a desired future. To address these strategic issues and develop specific strategies, the Secretariat sets strategic goals, action plans, and tactics during this strategic programming step.

131. Strategic goals are the milestones the Secretariat aims to achieve and that have evolved from the strategic issues. The SMART goal model is important for setting meaningful goals. Smart goals are intended to be Specific, Measurable, Agreed upon, and Realistic as well as Time and cost bound. Action plans define how we get to where we want to go, i.e. the steps required to reach our strategic goals. Tactics are specific actions used to achieve the strategic goals and implement an overall strategic plan. A vehicle for determining tactics is through establishing a clear set of common policies required to gain partner support for TSBR's broad objectives of conservation and sustainable development.

132. Unpredicted and unintended events will, of course, frequently occur that differ from the Secretariat's expected, initial and intended strategies, and it must be able to adaptively respond. An emergent strategy is thus a pattern that was not originally intended during the original strategic planning process.

133. Therefore, periodic evaluations of strategies, tactics, and action plans are essential for assessing success of the strategic planning process. It is important to be able to measure performance at least annually but preferably more often. There must be a view toward evaluating the effects that specific actions appear to be having on the desired long-term results in support of the Secretariat's vision. The Secretariat will need to be able to measure its current performance against previously set expectations and then consider any changes or activities that may have impacted the desired course.

134. From assessing progress, the Secretariat will need to periodically review the strategic plan, make necessary changes and adapt its course based on evaluations. Any revised plan must then take into consideration emergent strategies and any unexpected changes affecting the Secretariat's progress.

135. Strategic planning should be conducted each year so as to be ready for the coming fiscal year. In this case, annual strategic planning will need to be conducted in time to identify the Secretariat's (i) goals to be achieved at least over the coming fiscal year, (ii) the resources that will be required to achieve those goals, and (iii) funding sources. Then, hopefully if the process is successful the required funds will be included in budget planning for the next fiscal year.

136. Over time, staff will routinely make their decisions within the framework of the strategic vision and other factors that make up MPA (Sec. 3.2.1). Strategic planning will become a normal activity for the Secretariat and deeply embedded within its decision-making process. Key staff will need to think strategically as part of their regular daily activities. Strategic thinking involves "arraying options through a process of opening up institutional thinking to a range of alternatives and decisions that identify the best fit between the institution, its resources, and the environment" (Rowley, et al. 1997).

#### **4.2.3. Landscape Approach to Ecosystem Management**

137. The Secretariat's strategy will apply a landscape approach toward scientific management of TSBR. Establishing a large multi-purpose zoned area such as TSBR allows for a landscape approach to ecosystem management. This is sometimes referred to as integrated management or structure-based management.

138. Landscape ecology is an interdisciplinary interest in spatial heterogeneity and patterns in the environment while conservation biology is an interdisciplinary interest in preserving biodiversity at the genetic, population, community, ecosystem level, and landscape scale. As an applied science, landscape ecology attempts to support a landscape approach to ecological management. Like conservation biology, landscape ecology is not so much a discipline in itself as an intersection of many disciplines linked by a shared focus towards environmental management. Defined as the study of structure, function, and change in a heterogeneous land area composed of interacting ecosystems, landscape ecology is an interdisciplinary science dealing with the interrelationship between human society and the natural environment (Barnes 2000).

139. Thus, the landscape approach to ecosystem management is the appropriate scientific management approach for a multiple-use and multiple-ecosystem TSBR. The approach involves segregating TSBR into zones and sub-zones that provide for different uses or ecosystem functions. The landscape approach offers the greatest opportunity to meet the goal

of overall ecosystem management for both conservation and development. Managing TSBR requires looking at large spatial scales (e.g., watersheds, sub-basins, critical wildlife habitat).

140. A key challenge facing TSBR management is how to manage landscape ecosystems so as to promote both a high quality of life for people within TSBR and maintain or restore healthy ecological processes and biodiversity. Pressures from population growth, demographic shifts, i.e. immigration and emigration, and natural resource use will continue to alter the ecological patterns and processes of TSBR. Specific effects on ecological functions and biodiversity will depend to a great extent on changes in land-use patterns and the management techniques selected for different land uses.

141. Ecosystem management faces a number of strategic challenges, including:

- management across a hierarchy of scales;
- management across a diverse set of land-use types; and
- management across a diverse set of public and private land ownership.

142. Thus, to develop and implement appropriate management strategies, TSBR management will require:

- scientific research oriented and designed to address practical management issues;
- a theoretical framework with which to predict effects from different planning and management scenarios on ecological functions and biodiversity as well as on social and economic structures;
- planning processes with which we can resolve conflicts among diverse constituencies with different economic, social and ecological priorities; and
- integrate planning and management strategies across the different scales, land uses and ownership types.

143. Of further relevance to managing and monitoring progress of TSBR towards achieving its objectives are twelve principles of the landscape approach to ecosystem management, which have been developed by UNESCO (2000) for Biosphere Reserve management:

- (i) The objectives of management of land, water and living resources are a matter of societal choice;
- (ii) Management should be decentralized to the lowest appropriate level;
- (iii) Ecosystem managers should consider the effects (actual or potential) of their activities on adjacent and other ecosystem;
- (iv) Recognizing potential gains from management, there is usually a need to understand and manage the ecosystem in an economic context. Any such ecosystem-management program should (a) reduce those market distortions that adversely affect biological diversity, (b) align incentives to promote biodiversity conservation and sustainable use, and (c) internalize costs and benefits in the given ecosystem to the extent feasible;
- (v) Conservation of ecosystem structure and functioning, in order to maintain ecosystem services, should be a priority target of the ecosystem approach;
- (vi) Ecosystems must be managed within the limits of their functioning;
- (vii) The approach should be undertaken at appropriate spatial and temporal scales;
- (viii) Recognizing the varying temporal scales and lag-effects that characterize ecosystem processes, objectives for ecosystem management should be set for the long-term;
- (ix) Management must recognize that change is inevitable;

- (x) The approach should seek the appropriate balance between, and integration of, conservation and use of biological diversity;
- (xi) The approach should consider all forms of relevant information including scientific and indigenous local knowledge, innovations and practices; and
- (xii) The approach should involve all relevant sectors of society and scientific disciplines.

144. To approach the problem of TSBR management at such large spatial scales without becoming overwhelmed by its complexity requires a framework that can address the scale and complexity of the problem of management. There are scales or levels of management within the landscape approach. For example, flooded forest management ultimately involves managing individual trees; however to achieve overall conservation objectives it is necessary to coordinate management at other higher levels. Protecting an endangered species may be a regional or international concern, while creating or protecting nesting habitat for a locally endangered bird species may be a local or TSBR landscape-scale management issue.

145. Making detailed plans with upper management of the bureaucratic hierarchy often leads to confusion and conflict as plan implementation moves to lower levels of the hierarchy. Instead, common policy objectives expressed at higher levels should be general enough to allow for the variation and unpredictability expected at more site-specific levels.

146. Managing for biodiversity provides a good example of the systems approach to achieving a management objective (Barnes 2000). In this case we refer to a coarse filter approach to protecting biodiversity, i.e. maintaining certain areas of all habitat types at all times as opposed to a fine filter approach that focuses on managing critical habitat for certain key or endangered species.

147. Table 4.1 shows an approach to organizing the different levels of management hierarchy using forest management as an example. At the highest levels within the hierarchy, management objectives must be rather general. Each lower level within the hierarchy becomes increasingly specific in its management objectives. The lowest level (e.g. individual trees) is where the management prescriptions or decisions will take place (e.g., which tree to cut or leave, which species to plant, which species requires a recovery plan). Managing and monitoring (M&E) is thus required at many levels within the management hierarchy. In this way, M&E ensures that management objectives are achieved across a wide range of ecosystems found in TSBR.

**Table 4.1. Hierarchy and Objectives of a Landscape Approach to Ecosystem Management**

(Source: adapted from: Barnes, 2000)

Management Hierarchy Level	Management Objective or Focus
National	Coarse filter biodiversity
Regional	Habitats of species native to the region
Watershed	Habitats native to the watershed
Forest	Habitats of species specific to the forest
Landscape	Mixtures and distributions of tree stand structures that can be achieved within the planning period, based on current stand structures
Stand	Current and future tree stand structures that can be achieved within the planning period
Individual Tree	Numbers, sizes, species, etc. of trees needed to provide targeted tree stand structure and composition

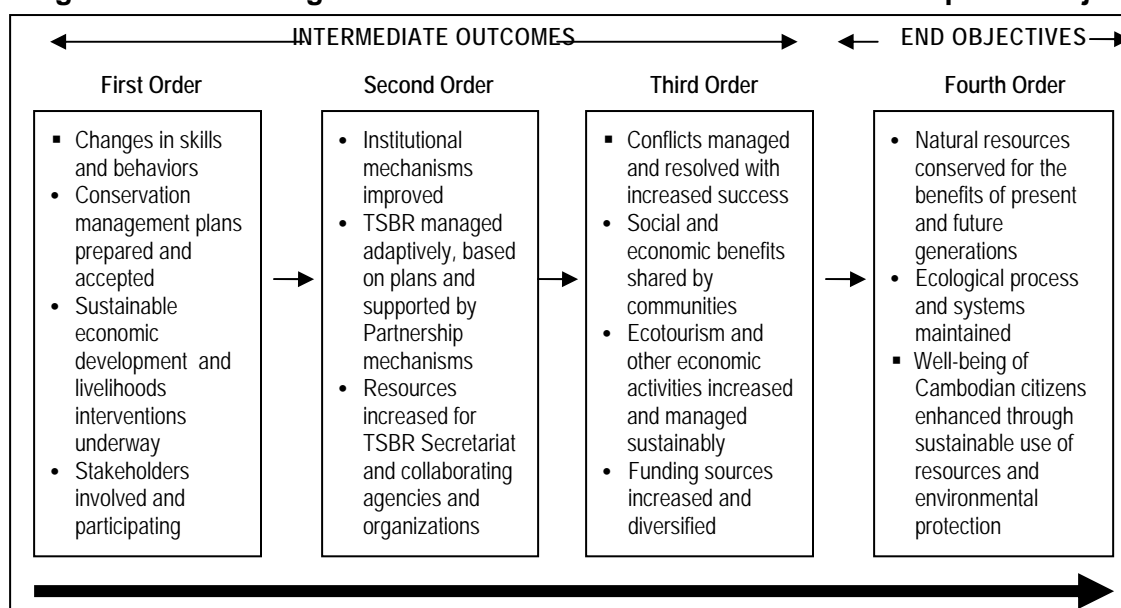
#### 4.2.4. Achieving Conservation and Development Objectives: Moving Biosphere Reserve Management Forward to 2020

148. Enhancing the Secretariat's institutional capacity to facilitate management of protected areas, biodiversity and socioeconomic development among stakeholders will enable it to set priorities, define results and apply resources more effectively. This also enables the Partners to more effectively respond to threats and opportunities facing the balance between conservation and development.

149. By the end of 2020 and in line with the vision, strategic relationships at multiple levels will have been developed among a diversity of stakeholders (e.g., government agencies, NGOs, targeted communities, community-based organizations, and the private sector). At the national level, TSEMP will have helped improve understanding of biodiversity conservation and development priorities, gaps and redundancies and have facilitated collaborative action in support of specific priorities. At the local level, communities will be receiving tangible benefits (e.g., increased income and services) from improved natural resource management, will understand the importance of conservation and will have developed relationships with the wider economy that enable them to contribute to continued conservation of those natural resources upon which they depend.

150. Figure 4.2 shows the progression of a dynamic, adaptive process that would achieve the dual objectives of conservation and sustainable development within TSBR. The Secretariat's initial facilitation activities and resources are designed to create conditions that will achieve lasting beneficial changes for both the environment and people. The Secretariat staff will gain experience and improve their ability to influence management at many levels. A strong foundation of adaptive management in TSBR will serve as a model for the RGC to face challenges when influencing other areas, protected or not, as well as the larger landscape, i.e. beyond TSBR boundaries, that must become better managed to conserve the nation's biodiversity.

**Figure 4.2. Achieving TSBR Conservation and Sustainable Development Objectives**



Source: Adapted from Mitchell *et al.* (2004). *Assessment of the Forest Department's Institutional Organization and Capacity to Manage the Protected Area System of Bangladesh* (USAID/GoB/MoEF), Dhaka.  
Design adapted from Olsen, *et al.* (1998), who in turn adapted it from the US Environmental Protection Agency, 1994.

## CHAPTER 5. INSTITUTIONAL AND HUMAN RESOURCE DEVELOPMENT

### 5.1. Assessing the Current Situation

151. Four questions must be asked when assessing the Secretariat's current situation:

- *Where are we now?*  
What actions is the Secretariat doing now to achieve the objectives?
- *Where do we want to be?*  
What specifically should the Secretariat achieve by the end of the next 5 years, i.e. the period covered by this strategy, with respect to the objectives?
- *How do we want to get there?*  
What specific priority actions, including actionable first steps, can the Secretariat do to achieve the objectives?
- *What support do we need to get there?*  
What assistance will be needed by the Secretariat to implement the priority actions?

#### 5.1.1. Challenges Facing the Secretariat

152. Characterizing the Secretariat's background and staff functions within the framework of TSEMP (Appendix A) is the first step to establish a practical yet dynamic set of strategic approach recommendations and an action plan for further institutional and human resource development. This included an institutional gap analysis and a capacity building needs assessment of the Secretariat to develop a human resources development strategy, which includes identifying necessary staff management and communication skills (e.g., team building and change management).

153. Establishing and supporting a team building and change management approach to critical issues will require:

- Reviewing and orienting the Secretariat's organizational management systems and structure
- Operationalizing common policy within provincial and line agencies
- Addressing decentralization implications, capacity, roles and responsibilities
- Identifying and establishing clear staff job descriptions, roles, and responsibilities
- Identifying staff training and development needs
- Strengthening monitoring, reporting and performance review
- Clarifying the means to facilitate management approaches and roles (e.g., common policies, participatory approaches, comanagement arrangements, communications and awareness building, management partnership support services, public-private sector partnerships).

154. Enhancing the Secretariat's institutional capacity for the Secretariat and TSBR management partners will require two major approach shifts:

- The Secretariat and partners must develop collaborative and cooperative systems and procedures that will enable decentralized planning and delegation of authority.
- Meeting the challenges and opportunities requires that the Secretariat and partners strengthen their functions, collaboration, and responsibilities beyond those they have traditionally assumed.

155. The Secretariat must develop systems and procedures that will enable decentralized planning and delegation of authority. This will permit greater management responsiveness to conservation threats and opportunities at the field level. For example, a revised budget structure linked to the public-sector (e.g., NGO) support could give the Secretariat greater flexibility within the limitations of RGC's administrative systems. To facilitate at the national level, the Secretariat needs administrative systems that enable delegation but also ensure accountable tracking of resources, processes, and results. Appropriate changes in financial and administrative systems and procedures could help recast the role of the Secretariat's administration to better support activities (e.g., through procurement, operational budgets, and training more closely tied to programs) beyond the current TSEMP financial support.

156. To achieve results, the Secretariat must be able to set priorities, define results and apply resources in response to specific threats and opportunities facing TSBR management. In this way it can evaluate outcomes and learn more optimal approaches to facilitating improved management based on principles of good environmental governance. At present, the Secretariat's capacity to respond to these threats and opportunities is limited. For example, the Secretariat has limited authority to prioritize and manage its RGC and TSEMP expenditure. A program for sustainable financing of the Secretariat is required, particularly beyond the life of TSEMP.

157. Meeting the challenges and opportunities requires that the Secretariat and Partners strengthen their functions, collaboration and responsibilities beyond those they have traditionally assumed and thus influence positive impacts on conservation and development in TSBR. Results from various delivery mechanisms for implementing recommendations are expected to come from fundamental changes in ways the Secretariat carries out its role. There is not yet complete consensus on which ways, or to what degree, this should be done.

158. The Secretariat could contribute more significantly to achieving RGC's conservation and development objectives for TSBR through broadened its role in promoting common policies, MPA, monitoring, research, information management and exchange, field management approaches, communications and awareness, participatory management and facilitating private-sector partnerships. More active engagement in these areas will require more complex management decision processes, more effective strategy development, increased staff capacity, and working in areas of little experience or going beyond traditional bureaucratic methods.

159. Financial and technical support is needed to assist Secretariat facilitation of Partner management for biodiversity conservation and sustainable development through three main courses of action:

- Strengthening its management systems and resources, with an emphasis on responding to policy coordination, decentralization, stakeholder facilitation, teamwork, adaptive learning, and outreach requirements.
- Improving TSBR management by working to support and facilitate consensus among Partners engaged in TSBR management zones through:
  - **Strengthening Secretariat staff capacity and experience.** Supported by improved management systems, clear roles and responsibilities, training and teamwork, Secretariat staff will improve their motivation and ability to facilitate management strategies, make decisions and work together with local stakeholders.
  - **Building capacity among local stakeholders.** It is essential to be able to strengthen commitment and resources for conservation by engaging

local stakeholders and helping them develop sustainable economic activities. This will help develop the means to conserve biodiversity through managing the broader landscape, including private lands within TSBR. Community participation in management and wider regional planning could also be enhanced through grants from a supporting Partnership trust or fund, if one successfully develops (Section 6.1.8).

- Increasing understanding of TSBR functions and conservation issues and building consensus and commitment for biodiversity and development priorities among a broad array of stakeholders at multiple levels and in many sectors.

160. In line with the vision, i.e. by 2020 TSBR will be a productive and restored environment supporting biodiversity conservation and sustainable development through internationally recognized model management, extension, training, environmental education, research and monitoring programs, several Secretariat initiatives will have been implemented for institutional strengthening:

- The Secretariat will have facilitated and supported the partners to manage TSBR scientifically by using landscape and site level management plans that bring together best practices with skilled technical staff and local people living in association with TSBR zones. The partners will move beyond the current ad hoc mode of responding to day-to-day urgencies and putting out fires by adopting a long-term perspective supported by a well understood and widely shared vision and guided by a clear strategy that includes local stakeholders.
- The Secretariat and partners' staff attitudes and approaches will have changed. Field staff will interact easily with community members and other locally active stakeholders. They will no longer think that their role ends at TSBR or particular zone boundary. They will have both the technical understanding and the practical skills to assess threats and manage TSBR zoning system as integral parts of the larger basin-wide landscape essential for the well-being of biodiversity and human communities.
- The Secretariat will have strengthened its working relationships within all government levels and the natural resources sector. The Secretariat and Partners will apply a consistent approach towards management of TSBR initially through acceptance of common policies. The Secretariat will have engaged a wider array of stakeholders at local, provincial and national levels.
- The Secretariat will have developed new relationships with stakeholders in other sectors. It will have developed working relationships with private enterprises that benefit local communities, strengthen support for TSBR zoning system, provide revenues for conservation and livelihoods improvement and provide sustainable financing of the Secretariat's operations.

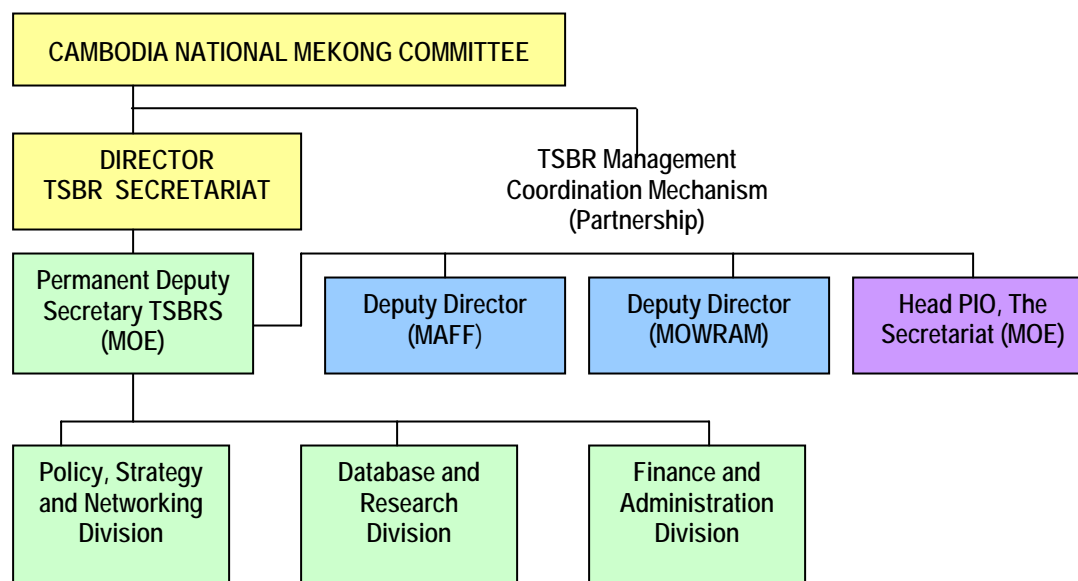
### **5.1.2. Current Divisions and Staff Roles**

161. The Secretariat has three original main functions: (i) to serve as an information clearing house, (ii) to conduct a nationwide communications, public awareness and mobilization campaign for protection and sustainable use of TSBR, and (iii) to develop long-term revenue sources for conservation and research activities and secondarily to assist to generate funds for enforcement and monitoring officials from MAFF/FD, MOE, and relevant government agencies.

162. Figure 5.1 shows the current Secretariat organizational structure. To accomplish these functions, three Secretariat divisions have been established for (i) policy, strategy, and

networking; (ii) database and research, and (iii) finance and administration. A CNMC Secretariat Deputy Director assumes the role of the Secretariat's Director, with day-to-day operation of the Secretariat the responsibility of a Permanent Deputy Secretary seconded from MOE, who also serves as TSEMP Project Coordinator, and with two advisory deputy directors appointed from MAFF and MOWRAM during the life of TSEMP. A Head of the Project Implementation Office (PIO) has been assigned to the Secretariat from MOE during TSEMP. A vague undefined TSBR Management Coordination Mechanism or Partnership is also part of the structure. During TSEMP implementation, all Secretariat and Project activities are overseen by a TSEMP Project Steering Committee (PSC) and a Project Monitoring and Coordination Office (PMCO) for the period of TSEMP implementation.

**Figure 5.1. Current Tonle Sap Biosphere Reserve Secretariat organizational Structure**



163. Currently the Secretariat has five full-time and six part-time staff members distributed among the three divisions. Current Secretariat division and staff functions are shown in Table 5.1.

164. One issue facing the Secretariat is the current use of staff seconded from other ministries but who also retain heavy workloads and responsibilities of their respective ministries. For example, all members of the PSN Division are seconded from several ministries and have additional Secretariat's responsibilities (Appendix E). However, their responsibilities to their respective ministries take precedence. This issue is further addressed in Section 5.5.2. Given the current situation, the Secretariat will not be able to fulfill its expanded mandate.

**Table 5.1: Current Secretariat Division and Staff Functions and Roles**

DIVISION	STAFF	STATUS (PT / FT)	CURRENT FUNCTIONS AND ROLES
Policy, Strategy and Networking	<ul style="list-style-type: none"> <li>• PSN Team Leader and Water Resources Officer</li> </ul>	• PT	<ul style="list-style-type: none"> <li>• Collect information on water resources and water development, fishery resources and fishery development, land resources and land development, agricultural resources and development, natural resources laws and regulations and institutional arrangements</li> </ul>
	<ul style="list-style-type: none"> <li>• Agriculture Officer</li> <li>• Fisheries Officer</li> <li>• Public Relations and General Affairs Officer</li> <li>• Planning and Legal Affairs Officer</li> <li>• General Assistance and Workshop Preparation Officer</li> </ul>	<ul style="list-style-type: none"> <li>• PT</li> <li>• PT</li> <li>• PT</li> <li>• PT</li> <li>• FT</li> </ul>	<ul style="list-style-type: none"> <li>• Liaise with the Ministry of Water Resources and Meteorology, Fishery Department, Ministry of Land Management and Urban Planning, Department of Agronomy and MOE Departments (DNRC and DEEC)</li> <li>• Contribute to developing common policies for TSBR management</li> <li>• Prepare work plans for developing and implementing common policies</li> <li>• Assist to establish the Environmental Database and Network</li> <li>• Ensure timely implementation of activities of PSN staff</li> <li>• Prepare monthly progress reports</li> <li>• Individual PSN staff responsibilities are found in Appendix E</li> </ul>
Database and Research	<ul style="list-style-type: none"> <li>• Database Management Officer</li> <li>• Geographical Information System Officer</li> </ul>	<ul style="list-style-type: none"> <li>• FT</li> <li>• PT</li> </ul>	<ul style="list-style-type: none"> <li>• Collect information on biodiversity and land development</li> <li>• Develop a research plan</li> <li>• Liaise with the Forestry Department</li> <li>• Assist the international and local consultants (when mobilized) to establish the Environmental Database</li> <li>• Design the environmental database</li> <li>• Enter text and spatial data to the Environmental Database</li> <li>• Develop geographical information system based data and information outputs and maps</li> <li>• Ensure proper maintenance and update environmental and geographical information system data</li> <li>• Ensure proper management of database, including maintenance, updating, and analysis</li> <li>• Ensure maintenance of all computers and their network</li> <li>• Prepare monthly progress reports</li> </ul>
Finance and Administration	<ul style="list-style-type: none"> <li>• Accountant</li> <li>• Secretary</li> <li>• Procurement Officer</li> </ul>	<ul style="list-style-type: none"> <li>• FT</li> <li>• FT</li> <li>• FT</li> </ul>	<ul style="list-style-type: none"> <li>• Prepare annual budgets and accounting spreadsheets</li> <li>• Assist to prepare financial and disbursement requests</li> <li>• Keep all financial and accounting records</li> <li>• Prepare monthly accounting and procurement reports</li> <li>• Prepare list of required office equipment</li> <li>• Assist proper procurement of equipment</li> <li>• Maintain all procurement documents</li> <li>• Maintain inventory of all equipment</li> <li>• File and maintain Project documents and ensure their safe storage</li> <li>• Develop and maintain the Secretariat library</li> <li>• Assist to organize meetings, workshops and seminars</li> <li>• Type documents and ensure good care of office equipment</li> </ul>

### 5.1.3. TSEMP and TSI Goals and Objectives

165. TSEMP aims to enhance multi-stakeholder coordination and management systems and to develop the capacity for natural resource management coordination and planning, community-based natural resource management, and biodiversity conservation in TSBR. TSEMP is financed by means of a loan provided from ADB's Special Funds (SF) resources, a Global Environment Facility (GEF) grant, a UNDP Capacity 21 grant and additional substantial funds equivalent in local currency provided by the Government of Cambodia.

166. To accomplish the Secretariat's mission, role, functions, and strategic objectives, TSEMP operates within three closely interrelated components to support TSBR:

- (i) Strengthening Natural Resources Management Coordination and Planning
- (ii) Organizing Communities for Natural Resources Management
- (iii) Building Management Capacity for Biodiversity Conservation (TSCP)

167. There is a need to maximize intra-project coordination among the three TSEMP components. All components and subcomponents of TSEMP are affected to some degree by enabling climates based on policy decisions and intersectoral coordination, which in turn affect the success potential of all multi-stakeholder participatory strategic planning, initiatives and implementation at the national and local levels.

168. TSI is described as follows: In line with Cambodia's National Poverty Reduction Strategy (2003–2005) and the program formalized in the poverty partnership agreement between ADB and the RGC, ADB Country Strategy and Program for Cambodia (2005–2007) highlights the Tonle Sap Basin. In July 2003, in support of the country strategy and program, the Tonle Sap Basin Strategy was formulated. The set of loans and TA grants that execute it, known as TSI, places demands on human and social capital of many stakeholders, including line agencies, local government bodies, communities, research institutes, NGOs, and other elements of civil society. However, human and social capital has been diminished by 25 years of strife. Thus, a multi-year, integrating instrument is building the necessary skills, awareness and networks knowledge and strengthening partnerships within and beyond Cambodia to generate ever-higher returns from TSI.

169. TSI approach to addressing the threats and opportunities within the Tonle Sap region includes several tactics:

- Focusing on a basin-wide approach but with strategic geographical phasing of interventions and donor project coordination
- Developing institutional, policy and regulatory frameworks
- Acquiring and disseminating knowledge
- Enabling stakeholders (e.g., increased and effective participation with special focus on the very poor, ethnic minorities, and women)
- Forging partnerships and cofinancing

## Current Internal TSEMP, TSBR Secretariat, and TSI Communications

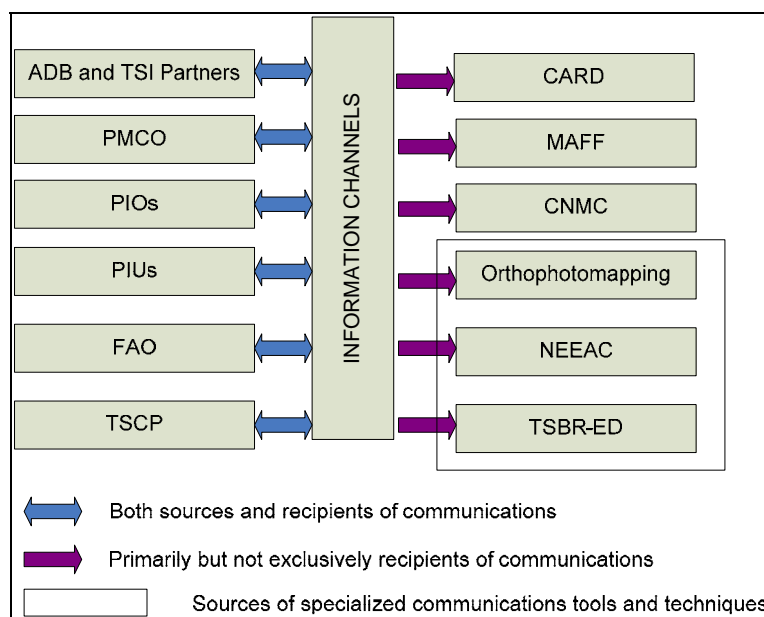
170. Current active communications agents within TSEMP (Whittington and PMCO 2005) include (i) the PMCO, (ii) three PIO's, (iii) the PIO's respective PIU's, (iv) the Components of FAO (Component 2), TSCP (Component 3), (v) UNDP Cap 2015/CBSD, (vi) the Component 1 subcomponent for Orthophotomapping, (vii) the Component 1 subcomponent for TSBR Environmental Information Database, (viii) the NEEAC, and (vi) the funding and implementing agencies, i.e. ADB, UNDP, FAO, MAFF/Department of Fisheries, CNMC/TSBR Secretariat, MOE/DNRC, and DEEC. Other potential agents include NGO's, Commune Councils and Community Fishery and Forestry Organizations as well as other community based organizations. In addition to these potential agents, other important external communications agents include ADB's coordinating agency for TSI and CARD. Main agents are seen as both generators and recipients of TSEMP communications, or primarily recipients (Figure 5.2). This figure shows the variety and complexity of TSEMP communications and how it fits within TSI.

## 5.2. Defining Roles and Relationships within CNMC and to the Proposed Tonle Sap Basin Organization

### 5.2.1. Cambodia National Mekong Committee

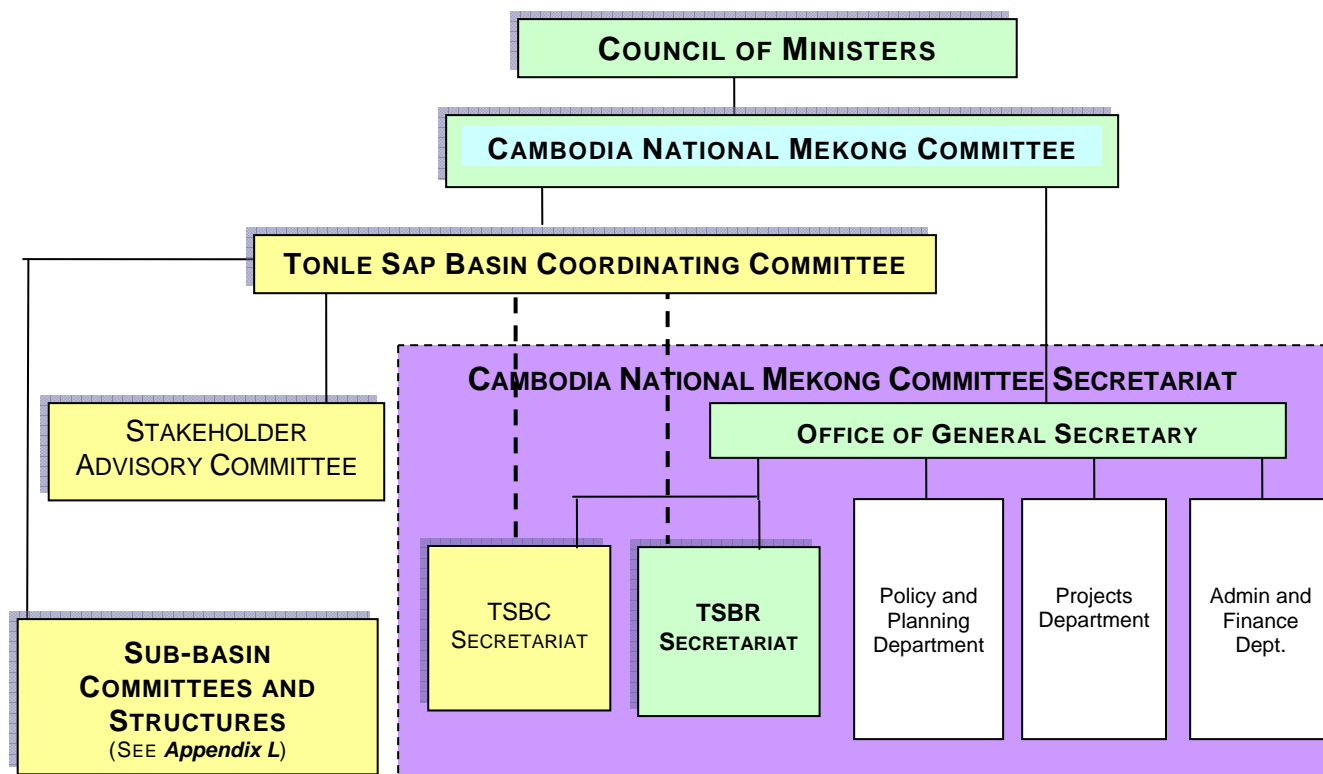
171. The relationship of TSBR Secretariat within CNMC is presented in Appendix A. The position of TSBR Secretariat within CNMC and its relation to the proposed TSBO structure is shown in Fig. 5.3.

**Figure 5.2. Active TSEMP Internal Communications Agents**



Source: Whittington, T. P. and PMCO (2005). *Draft TSEMP Communications Framework*.

**Figure 5.3: Position of TSBR Secretariat Within CNMC and the Proposed TSBO Structure**



To guide its operations, CNMC has adopted six working principles:

- **Neutrality:** to work in a neutral manner for the collective benefit of the four member-countries of the Mekong River Commission
- **Openness:** to be fair and honest in sharing knowledge and information with its partners
- **Learning:** to continually learn and enable its staff officers to develop their professional, technical and administrative skills to high levels
- **Teamwork:** to have a multi-disciplinary team's approach in all works, and to continually explore ways to enhance and improve cross-discipline integration
- **Quality:** to establish the skills, competencies, and systems to ensure management practices and work across all programs is off high quality
- **Dialogue:** to be tolerant in the individual and cultural differences for the values of the points of view, and to seek mutual respect and best understanding through dialogue.

As part of CNMC, TSBR Secretariat must also follow these principles. Only the first principle as applied to the Secretariat, i.e. neutrality, should be reworded to read: to work in a neutral manner for the collective benefit of the people of Cambodia.

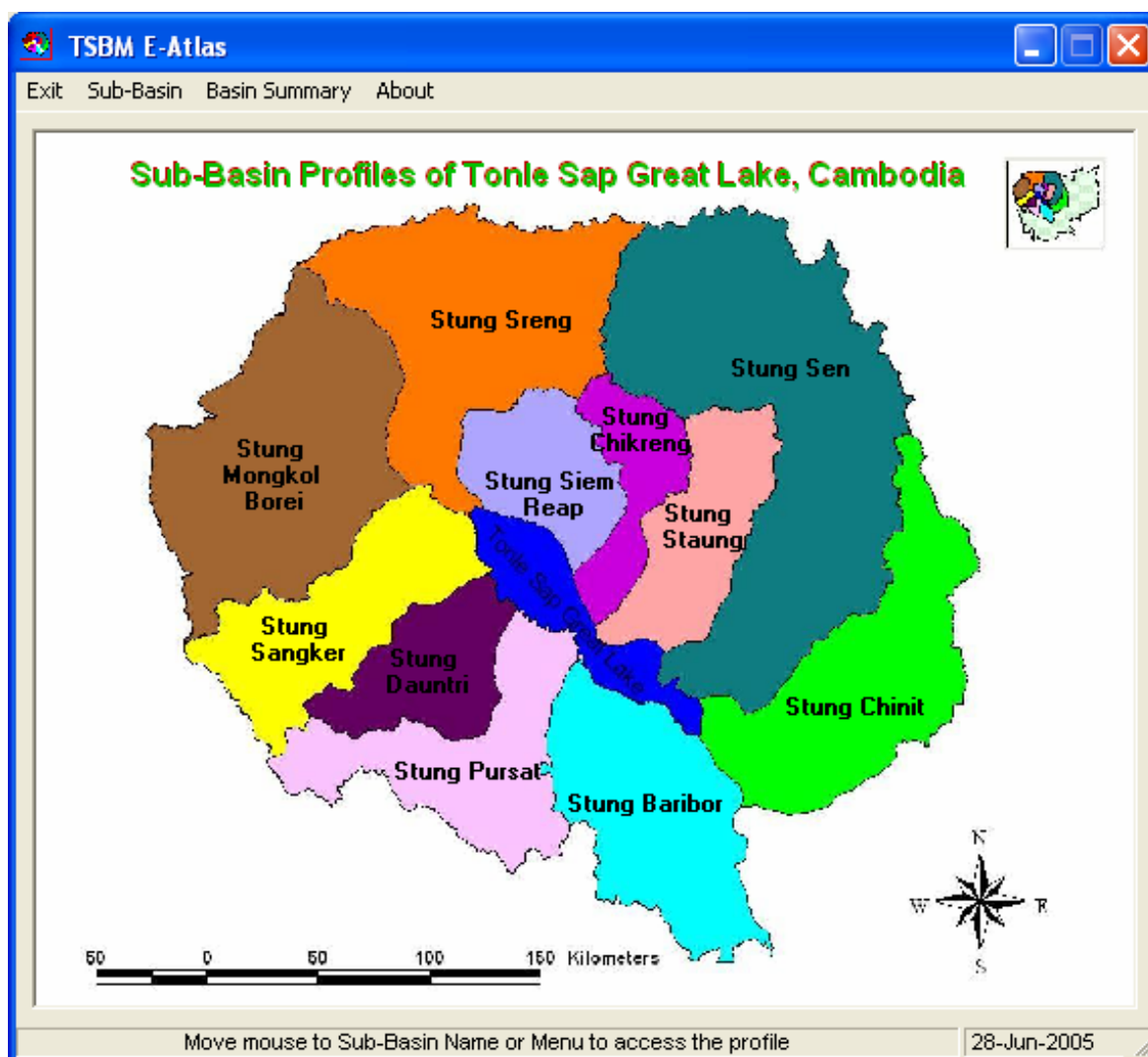
### **5.2.2. Proposed Tonle Sap Basin Organization**

172. The draft Final Report for the Establishment of the Tonle Sap Basin Management Organization Project (TA 4427–CAM) was prepared and presented in July 2005. The overall organization of the proposed TSBO is found in Appendix L, Figure L-2. Brief details of the proposed TSBO, particularly in relation to TSB Secretariat, are provided in Appendix L, but the reader should refer to the TSBMO draft final report.

173. Activities of the TSBO will be guided and regulated by TSBC within CNMC. TSB Secretariat will facilitate the TSBC and will coordinate with TSB Secretariat both of which will be within CNMC Secretariat, headed by CNMC General Secretary proposed as Deputy Director General.

174. Special mention is made of the TSBMO's data base management and Tonle Sap Electronic Atlas (E-Atlas) as it has great potential as a tool for further land-use planning within TSB. The TSBO E-Atlas and Sub-basins of the Tonle Sap Lake are shown in Figure 5.4. The E-Atlas is an easy to use electronic data base for storing collected data, which are compiled as maps and graphs pertaining to social and physical features of the Tonle Sap Basin, including TSB. Features compiled in the E-Atlas include administrative boundaries, population, a digital elevation model, flood extent and duration, dry season irrigation areas, rivers and hydrology, current land-use, roads and soils.

Figure 5.4. The TSBO E-Atlas and Sub-basins of the Tonle Sap Lake



Source: Prepared by and used with the permission of the *Establishment of the Tonle Sap Basin Management Organization Project (TA 4427–CAM)*

### 5.2.3. Roles, Convergences, and Transformations

175. As stated in the TSBMO II Final Report, the proposed TSBC mandate will function to:
- Provide advice through CNMC to the RGC on:
    - Water and related resource policy
    - Strategy, investigation and planning for integrated development and management of water and related land resources
    - Management and preservation of water resources as these matters relate to the Tonle Sap Basin
    - Policy, strategy, and actions to conserve biological diversity and to manage natural resources and development within TSBM.
  - Coordinate activities of the Provincial and lower level governments as well as of the line agencies in relation to water use activities that may affect the quality,

quantity or timing of water resources as well to conservation and management of natural resources and biodiversity within TSBR

- Actions may take the form of mediation, arbitration or other forms of conflict resolution and to reduce the conditions that could result in conflicts
- Regulatory actions must be effected through line agencies, in accordance with their sectoral mandates.

176. Establishing TSBO with its TSBC will potentially increase the Secretariat's ability to facilitate stakeholder activities beyond the borders of TSBR to the wider Tonle Sap Basin and in areas outside TSBR but which have impacts on the reserve. It will also decrease the load of responsibilities that the Secretariat currently holds through a sharing of responsibilities with the TSBC Secretariat.

177. However, when TSBC and its Secretariat are created and TSBR Secretariat and TSBC Secretariat are brought together within CNMC Secretariat, a clear rationalization of functions and roles of the two secretariats will be required to avoid overlaps and to maximize synergy between the two. Two of the most important requirements of this rationalization will be to identify responsibilities between the two secretariats for (i) information collection, and (ii) stakeholder participation.

178. Reliable and accessible information is fundamental to both integrated water resources of the Tonle Sap Basin and overall TSBR management. It is important that TSBC has a major influence on data collected for the Tonle Sap Basin and TSBR and that data are readily accessible to all users. Issues of institutional responsibility are important to agree on a national structure for water and other natural resources data collection management and sharing (Section 6.1.6).

179. The custodian of the Tonle Sap Basin data base directory should be TSBC when it is created, and it is logical that this should reside in a data and information division managed jointly between TSBR and TSBC Secretariats. A mechanism for how this will work, including funding and staff allocation, will have to be developed. Such decisions will depend on the ability of TSBR and TSBC Secretariats to develop cooperative leadership.

180. Both secretariats require a supporting division for stakeholder participation and awareness. Well designed and implemented participation and awareness programs are essential foundations for sustainability. Initially the primary focus will be to raise awareness of Secretariats' role with provincial and national government agencies.

181. TSEMP has a subcomponent on community awareness and the TA for Coordination of the Tonle Sap Initiative also has a similar component to generate increased community awareness and participation. It is recommended that when TSBC is established, it should review the variety of community awareness and participation initiatives and then take responsibility for consolidating these ongoing awareness programs with a basin-wide approach, including TSBR.

## 5.3. Operationalizing a Coordination Mechanism to Support Common Policies

### 5.3.1. Coordination Mechanism

182. MPA is based on and comprised of TSBR functions and proposed vision, goals, objectives and priority common policy objectives (Sections 2.4.1 and 2.4.2) as well as the shared or common management principles (Section 2.4.3) to guide how TSBR partner stakeholders will collaborate. MPA is a means to support the aspiration of the Secretariat that TSBR management will be through strategic collaborative multi-stakeholder partnerships. This is required to ultimately overcome detrimental effects of conflicting intersectoral policies and practices.

183. MPA is based on the assumption that a diverse range of opinions, influences and interests will affect a suitably agreeable management approach that can be established by TSBR partners. MPA is in line with TSEMP design for developing a set of common policies that will delineate an interministerial vision for sustainable management and conservation of natural resources and biodiversity (ADB 2002).

184. MPA has significant implications as a TSBR management coordination mechanism given the prospect of financial and technical feasibility as well as supportive and strengthened TSBR Secretariat structures and functions. Ideally, a set of common policies should be adopted as a result of a deliberation and learning process to achieve consensus. Subsequently the proposed MPA and set of common policies could then be modified as required. Thus, it is recommended that the proposed MPA be reviewed through a consultation process at national and provincial levels.

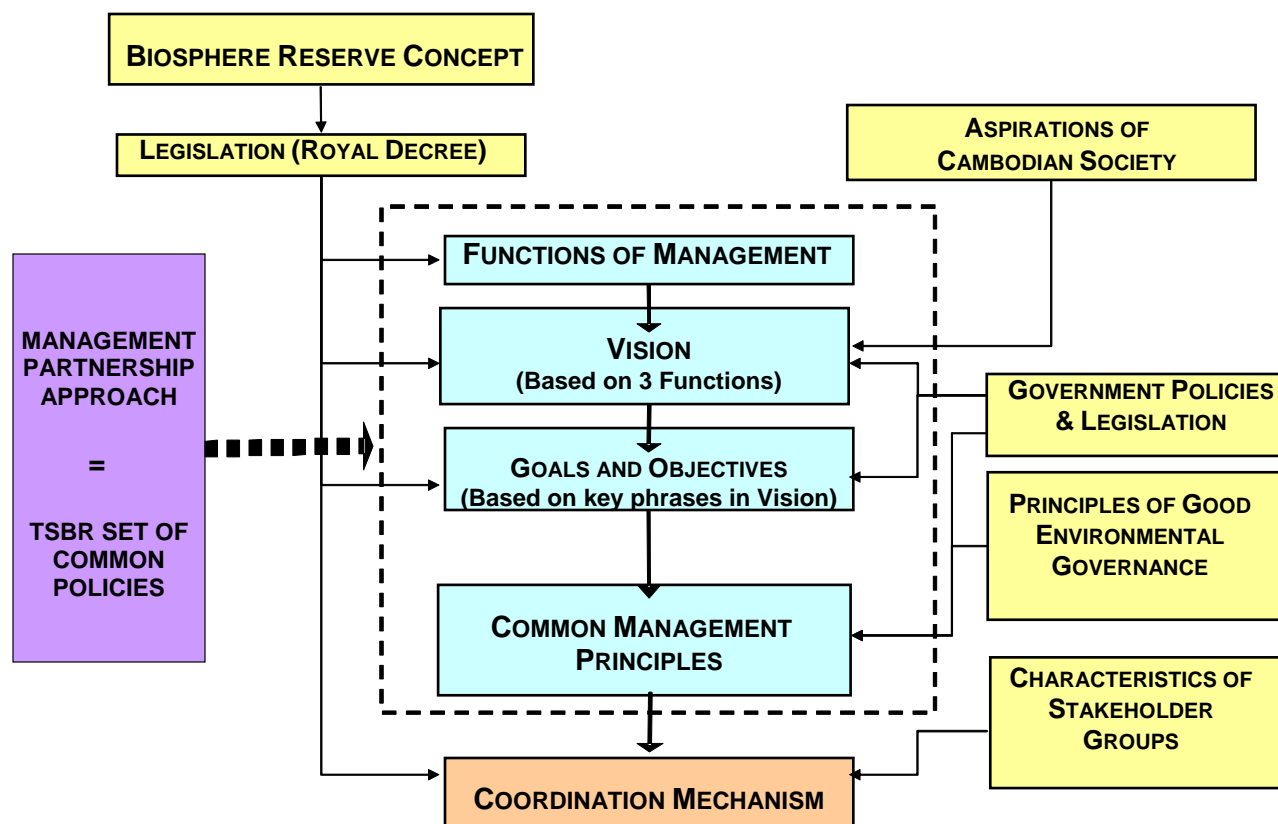
185. The basic elements of MPA are shown in Figure 3.1. MPA as a common policy coordination mechanism for TSBR is presented in Figure 5.5. As shown in Figure 5.5, an appreciation of a diverse range of factors will affect the type of management approach that the partners are willing to accept and can establish. These factors include the multiple-use Biosphere Reserve concept, aspirations of Cambodian society in general, government policies and legislation, principles of good environmental governance and characteristics of the stakeholder groups.

186. Several reasons for using MPA include:

- Partnerships promote communication and cooperation and can be sustained
- Partnerships help overcome suspicions that conservation or development goals or the aspirations of any one sector will dominate management decisions
- Partners come from various backgrounds and can offer relevant expertise and experience in appropriate areas
- Conservation and sustainable development issues for TSBR involve participatory multisector and multistakeholder mechanisms, i.e. partnerships, to achieve solutions

**Figure 5.5. Proposed Management Partners Approach as the Basis for a TSBR Common Policy Coordination Mechanism**

Modified from Figure in: Claridge, G. (2004). *Coordination of Management of the Tonle Sap Biosphere Reserve*, TSEMP, P&S Phase 1, October 2004



### 5.3.2. Establishing Organizational Systems and an Effective Structure

187. The purpose of establishing organizational systems, in the context of TSBR management and RGC D&D policy, is to operationalize and enable decentralization, or devolution, of management responsibility and, ultimately to a sharing of power with local communities and authorities through comanagement arrangements. Sound organizational systems will provide the Secretariat and partners with disciplined tools for managing decentralization effectively and thus to confidently support decentralization.

188. Developing good systems and putting them in place will take considerable time. Developing skills for managing new procedures and systems requires training, particularly if a decentralized approach to management is the focus. The Secretariat will need technical and financial assistance to develop and carry out appropriate training programs as soon as possible while the proposed systems are being developed (Section 5.6.2).

189. Initially, decentralization should be focused on pilot sites identified by key partners, and new appropriate organizational systems would enable these sites to be managed in a decentralized manner. The systems thus developed through trial-and-error would provide the

Secretariat with information needed to monitor and facilitate management at pilot sites with implementing partners. To gain maximum benefit from pilot site innovations, clear and consistent reporting will be required.

### **5.3.3. Key Actions and Tasks**

190. Several key tasks to make the Secretariat's organizational systems operational will ultimately be determined by the Secretariat itself but could include:

- Identifying and clarifying roles, responsibilities and priorities in the context of what needs to get done and who needs to do it. This will lead to agreed job descriptions and will also help identify the capacities needed to fill these roles (Section 5.5.2).
- Developing work planning procedures and formats combined with effective performance monitoring of individual staff and the overall Secretariat (Section 5.7 and Appendix O).
- Reviewing staffing needs and link these to a proposed decentralized structure, which would then fall into a new personnel policy system (Sections 5.1.2, 5.5.2, and 5.6.1).
- Developing a Management Information System for data archiving and sharing based on the existing system and coordinate and network data among users (Section 6.1.6)
- Developing improved financial systems and achieve sustainable financing from a variety of sources (Section 6.1.8)
- Preparing a Secretariat organizational management or operations manual covering management support systems and human resources or staffing policies (Section 6.1.9 and Appendix N)
- Preparing and conducting strategic workshops and other methods with line and provincial agencies to achieve consensus on common policies (Section 5.4)

## **5.4. Strengthening and Institutionalizing Common Policy Coordination**

### **5.4.1. Putting Common Policies into Action**

191. Part of the overall TSEMP strategy is to work initially and primarily with national and local governments to improve resource management and environmental policy coordination in TSEMP. This section addresses a means for Secretariat staff to develop the capacity to assist line and provincial agencies with institutionalizing common policies by refining existing or establishing new policy.

192. Government stakeholders at national and provincial levels hold most of the current power and authority and are those with whom the Secretariat can have its greatest initial impacts. To initiate the process of refining existing policies towards common policy acceptance and institutionalization the Secretariat will need to focus on policy reforms and common policies. Policy issues are mainly in several critical NRM sectors (e.g., fisheries, water resources, forestry, agriculture, land-use, biodiversity conservation with special emphasis on the core areas) but must also include socioeconomic and livelihoods sectors.

193. Secretariat staff must be able to set priorities, define results and apply resources in response to each specific agency's requirements so as to ultimately see the common policies put into action. Enabling these agencies to review and understand their policies and practices

is the necessary first step. The ways and means must be found to successfully promote, gain acceptance and ultimately institutionalize the priority common policies among key partner stakeholders within line and provincial government agencies.

#### **5.4.2. Establishing Coordinated Policy through Near- and Mid-Term Actions**

194. This section provides a preliminary near- and mid-term action plan to be implemented by the Secretariat. The intention is to gain support for common policies by working within line and provincial agencies over the next several years. The plan intends to make operational in a step-wise fashion the proposed policy coordination mechanism (Section 5.3.1) and must be viewed in conjunction with the more detailed Secretariat division implementation schedules (Appendix O).

195. The purpose of the action plan is to develop collaborative intra-sector and intersector planning so as to build a foundation for conserving TSBR natural resources and biodiversity and reconciling this with development and livelihoods improvement over the long term. Another purpose is to introduce greater levels of accountability for natural resource management and governance within national and provincial government agencies. This will be done through a review and consultation process of common policies beneficial to and in support of TSBR conservation and development objectives. An active process of collaboration among the broad array of government and other stakeholders will promote consensus, ensure legitimacy of policy priorities and enhance support for conservation and development strategies.

196. The first step will begin with establishing a Ministerial and Provincial Liaison and Advisory Board (MPLAB) comprised of influential representatives from CNMC member ministries and from each of the five TSBR Provincial Governor's offices. An initial meeting must be organized in Phnom Penh at CNMC to select membership and begin the process of reviewing and considering the set of 44 priority common policies (Section 2.4.2) within the 11 objectives of 3 goals based on the vision as identified through NRM and stakeholder analyses. Exact membership of MPLAB can be determined by the Secretariat in collaboration with CNMC member ministries. However, it is recommended that it is chaired by the Minister of MAFF, MOE, MOWRAM or from another CNMC member ministry. This initial meeting is an essential formality and introductory first step while the real work will be done by smaller focus groups discussed later in this section. MPLAB, however, should meet every quarter, i.e. four times a year, to review progress and find the means to overcome constraints; certainly during the first few years of the process and if only to maintain the momentum of the process.

197. Detailed actions are built into the implementation schedule for the Secretariat's Policy, Strategy and Planning Division (Appendix O-1), including near- and long-term time tables, specific tasks and targets. Nevertheless, the key elements of the process to establish coordinated policy identification, acceptance, institutionalization and enforcement are presented in this section and the following sections as a framework of actions for the Secretariat to implement with key partner stakeholders within line and provincial government agencies.

198. A series of strategic planning exercises with relevant stakeholders will be conducted to continue the important process of identifying common policies that intersect with existing policies as well as where there is an absence of any clear policy within any particular agency that influences TSBR. For example, where the FD's policy may call for an action, difficult in the near-term (e.g., curtailing fish catch in an area) but beneficial in the long-term (e.g., conserving the resource and preventing depletion), there is an intersection. The existing policy is, for

example, to sell the rights to fish in the area while the common policy states that fish catch from the area must be reduced to conserve the resource; hence an intersection. In many cases there is no policy, merely a practice (e.g., a commune chief selling land in the buffer zone in a loose titling arrangement thus leading to forest clearing and loss of fisheries habitat). This is not a policy but rather, a practice that exists in the absence of a contrary government policy (T. Whittington, pers. com.).

199. One significant objective is to develop shared or joint priority setting procedures that can be applied in Joint Policy Coordination Groups (JPCGs) for further common policy development. The intent is to develop a dialogue among key agency stakeholders to assess priorities. When this objective is achieved, it is expected that an effective and practical working relationship would be established in the long run surpassing the current institutional barriers. It is essential to have a greater inter- and intra-sector coordination to learn the best ways to address policy development needs. It will also be helpful, through process documentation, to learn which and where things went wrong and why it happened in that way to correct it rationally.

200. JPCGs will deliberate and produce theme report documents. The consolidation of these theme documents will result in a common policy document for TSBR. Immediate actions that are both required and feasible will be implemented, while other areas will be referred to MPLAB. Consolidation of JPCG documents will be done at a TSBR common policy workshop.

201. Actionable first steps linked to a short-term (near-term) schedule must first be identified followed by steps linked to a long-term schedule over the next several years (Appendix O-1). Task categories are identified in the PSP Division implementation schedules.

202. Similarly, the Secretariat can simultaneously begin collaborative actions with organizations at the local level. These local-level initiatives can help strengthen the collaborative process, not only through the insights they provide into local issues but also by building a base of experience and skills for carrying out joint undertakings with multiple stakeholders.

203. Establishing more favorable and enabling common policies in support of sound natural resource and biodiversity conservation and stakeholder coordination must be done in a systematic, step-wise manner using both quantitative and qualitative methodologies. Participation must be broad-based within the agencies concerned and with continuous involvement of JPCG members and ministerial decision-makers.

204. The goal is two-fold: (i) over the short term help the relevant ministries initiate critical policy reforms to correct and arrest the most severe environmental and natural resource trends facing TSBR and (ii.) over the long-term institutionalize this process as a principal ministerial function. Within the supportive framework of the current TSEMP, the policy review and formulation teams, i.e. JPCGs, will be organized within the relevant ministries that will lead the policy inventory and assessments described in the steps below and summarized in Table 5.2. The Secretariat's role is to ensure that this process maintains momentum and that JPCGs address appropriate regional, disciplinary and gender issues, among others.

**Table 5.2: Steps for common policy adoption and coordination**

<p style="text-align: center;"><b>STEP ONE: Establishment</b></p> <p>Establishing MPLAB and JPCGs Identifying membership, roles, responsibilities and expected outputs with timeframes Developing a schedule of JPCG workshops</p> <p style="text-align: center;"><b>STEP TWO: Review and Assessment</b></p> <p>Gathering information from existing sources, beginning with the 44 common policies proposed by the P&amp;S Phase 2 advisor and conducting additional consultation with resource users and managers as needed Reviewing and collecting basic data on agencies' policies and enabling legislation Identifying NRM conflicts and stakeholder coordination problems Analyzing specific policy and legal problems Identifying cross-sector and multi-level interdependencies Ranking NRM and stakeholder priority common policies as problem-policy matrices Preparing draft problem description papers and submitting these to MPLAB for review</p> <p style="text-align: center;"><b>STEP THREE: Formulation</b></p> <p>Formulating final common policy recommendations as working policy papers for consideration by MPLAB Facilitating political consensus for reform Drafting implementing regulations and operating procedures Drafting legislation and moving it through the legislative process if necessary Preparing briefing materials for legislators, key staff and stakeholders Designing administrative tools for implementing new regulations and procedures</p> <p style="text-align: center;"><b>STEP FOUR: Implementation</b></p> <p>Submitting final common policy recommendations to legislative Cabinet Training line and provincial agencies to implement new policies and legislation Training the judicial branch to adjudicate reform-related laws Monitoring and evaluating the impact of the policies and legislation Reformulating and fine-tuning policies and draft legislation as needed Extend the process to included other stakeholders (e.g., civil society, Commune Councils) Implementing communications and public awareness campaigns to explain new regulations and procedures to all stakeholders</p>
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205. **Step One: Establish and Convene a Meeting of MPLAB** to establish the process for common policy review through JPCGs and consider the set of priority common policies identified through the analysis and proposed by P&S Phase 2 advisor as presented in this Final Report (Section 2.4.2). Identify JPCG themes and membership as well as procedures for reporting the results of JPCG meetings. Secretariat PSP Division staff members to facilitate the process and organize initial meetings. This will be done during the first month of the process.

206. Step One actions will include:

- Establish MPLAB and JPCGs

- Identify membership, roles, responsibilities and expected outputs with timeframes
- Develop a schedule of JPCG workshops

207. **Step Two: Common Policy Review and Assessment.** A review of the main socioeconomic and biophysical issues related to natural resource use and stakeholder conflicts and coordination has been done by the advisor but should continue to be modified and improved through the knowledge of PSP Division members, MPLAB and JPCGs. As the fundamental first step for subsequent policy analysis, problem identification provides the framework for organizing policy assessment. TSBR management problems are organized around natural resource conflicts and stakeholder coordination and correspond to the inter-institutional working groups at the national and regional levels, i.e. JPCGs. The final product of this step will be draft problem description papers that identify natural resource, environmental and stakeholder issues ranked by importance that will have been prepared during a series of JPCG workshops facilitated by Secretariat PSP Division members. The draft problem descriptions will be ranked and problem-policy matrices produced as a dynamic, comprehensive framework for examination of a broad array of common policy alternatives relevant to TSBR. These papers will be the basis for further discussions during the process and will be submitted to MPLAB for review at the end of Step Two. This will be done in the first 6 months of the process.

208. Step Two actions will include:

- Gather information from existing sources, beginning with the 44 common policies proposed by P&S Phase 2 advisor and conduct additional consultation with resource users and managers as needed
- Review and collect basic data on agencies' policies and enabling legislation
- Identify NRM conflicts and stakeholder coordination problems
- Analyze specific policy and legal problems
- Identify cross-sector and multi-level interdependencies
- Rank NRM and stakeholder priority common policies as problem-policy matrices
- Prepare draft problem description papers and submit these to MPLAB for review

209. **Step Three: Common Policy and Legislation Formulation.** This step involved formulating existing policies and regulations of the agencies at national and provincial levels and encouraging behaviors that result in addressing the problems identified in Step Two. These policies will be formulated by JPCGs and MPLAB.

210. Step Three actions will include:

- Formulate final common policy recommendations as working policy papers for consideration by MPLAB
- Facilitate political consensus for reform
- Draft legislation and move it through the legislative process if necessary
- Draft implementing regulations and operating procedures
- Prepare briefing materials for legislators, key staff and stakeholders.
- Design administrative tools for implementing new regulations and procedures

211. **Step Four: Implementing an Improved and Enabling Set of Common Policies for Improved and Coordinated TSBR Management.** The culmination of the above steps is to move effectively and forcefully to adopt the most critical policy and regulatory decentralization reforms identified during the process. It is anticipated that ongoing input, participation and consultation during the previous review, assessment and formulation steps will generate the

desired political will to push through the priority common policy reforms and, when needed, accompanying legislation. To this end, the Secretariat PSP Division members will assist the agencies in any way necessary to harness full support from the combined political influence of MPLAB members.

212. Step Four actions will include:

- Submit final common policy recommendations to legislative Cabinet
- Train line and provincial agencies to implement new policies and legislation
- Train the judicial branch to adjudicate reform-related laws
- Monitor and evaluating the impact of the policies and legislation
- Reformulate and fine-tune policies and draft legislation as needed
- Extend the process to included other stakeholders (e.g., civil society, Commune Councils)
- Implement information campaigns to explain new regulations and procedures to all stakeholders

#### **5.4.3. Establishing and Supporting a Management Partnership Approach**

213. MPA (Section 3.2.1) forms the basis of the Secretariat's role of facilitating development of a TSBR policy coordination mechanism. Preparing MPA elements was an essential first step to develop a Secretariat strategy that includes a dynamic set of near-term and mid-term actions for Secretariat implementation.

214. The Secretariat requires a division skilled in stakeholder participation as part of a communications strategy, i.e. the proposed CASP Division (Section 5.5.2.5 and 6.1.3). An appropriately targeted communications (education and awareness) program is the important foundation for establishing and sustaining participation in support of MPA. Initially the primary focus will be to raise awareness of the Secretariats' role with provincial and national government agencies. Secondly, the focus is to raise their awareness of the complexities and issues of TSBR.

215. The purpose of MPA is to enhance effectiveness and efficiency especially in two fundamental areas; namely, (i) enabling decentralization, and (ii) supporting the broadening of operational roles among agencies as TSBR become more effectively managed. The process begins through a strategic planning process.

216. This process should first include, for example, a strategic partnership framework-setting workshop at CNMC. Ideally, this would include as broad a range of inputs as possible and feasible from member of CNMC and Provincial governments. PNP Division would address and propose approaches for dealing with several critical issues as:

- Operationalizing a coordination mechanism to support common policies and laws
- Institutionalizing common policy coordination, i.e. partnership
- Operationalizing a management coordination mechanism via MPA
- Decentralization mechanism and implications
- Clear roles and responsibilities
- Training and capacity development for agencies required to implement policies
- Monitoring and reporting progress
- Database sharing and networking
- Mechanisms to evaluate and support agency funding requests

- An additional range of concerns related to the approach and roles (e.g., participatory approaches, comanagement arrangements and private-sector partnerships).

217. Later, once the process has been established and some progress has been made among the agencies, consideration can be given to organizing a TSBR Partnership Congress (TSBRPC) to gain further support (e.g., civil society) and to gain publicity for TSBR and its management issues.

#### **5.4.4. Coordination Roles and Responsibilities**

218. Roles and responsibilities of the Secretariat are first described by its functions arising from Article 4 of the Prime Minister's Sub-Decree on the Establishment, Role and Functions of the Secretariat for Tonle Sap Biosphere Reserve (2001). The roles and responsibilities for the Secretariat and its staff positions and divisions are found in Section 5.5.2 where job descriptions of Secretariat staff positions and terms of reference for the four divisions are detailed as part of a Secretariat capacity building strategy.

219. The draft terms of reference for MPLAB with regard to policy review and coordination<sup>7</sup> are to:

- Consider, review and make recommendations on policies of TSBR Management Partnership including vision, goals, objectives and common management principles
- Facilitate a joint priority setting process through the JPCGs and other bodies to develop common policies
- Adopt common policies and objectives for achieving TSBR vision and goals
- Make recommendations on government policy in relation to TSBR management
- Receive information on the state of TSBR and review policy theme report documents and other results of JPCGs and consider how these relate to policies and programs of the individual partners
- Ensure that the final JPCG policy theme documents will result in a common policy document for TSBR
- Coordinate with donors or potential donors for funding joint, i.e. multi-agency, project activities relevant to improved collaborative TSBR management
- Form sub-committees on relevant topics as appropriate

220. Proposed draft terms of reference for JPCGs at national and provincial levels are to:

- Support the process of joint common policy priority setting, review and rationalization of the common policies from a particular sector
- Deliberate and produce theme report documents on sector agency policies and other written recommendations for submission to MPLAB
- Identify overlaps or conflicts between agencies that might detract from achieving biodiversity conservation or sustainable development goals and agree on appropriate and acceptable adjustments
- Consolidate common policies and translate into on the ground actions for the sector

<sup>7</sup> Note that additional roles and responsibilities for MPLAB *vis-à-vis* the Secretariat are identified in Section 5.5.2.2.

- Identify what is required to assist JPCG to consolidate common policies and identify on the ground actions (e.g., training, improving wording of existing sector agency policies)
- Plan and arrange for investigations of significant management issues within the sector
- Request and receive advice from technical working groups through the Secretariat
- Appoint chairpersons and secretaries for each JPCG with clear responsibilities
- Organize workshops to identify and define common policy within the sector agency

221. Technical working groups organized through the Secretariat will be established for four technical areas; namely, (i) land-use, agriculture and water resources; (ii) fisheries; (iii) biodiversity and environment, and (iv) socioeconomic development and livelihoods. The proposed draft terms of reference for technical working groups are:

- As individuals with relevant expertise and experience, provide focused advice to JPCGs and MPLAB on specific technical issues as needed;
- Develop terms of reference for each technical working group with clear objectives, list of members and a period of availability; and
- Provide written recommendations to JPCGs and MPLAB based on requests for assistance.

#### **5.4.5. Developing Capacity to Institutionalize Common Policies**

222. Strengthening the Secretariat's capacity for leadership in facilitating this process will be the key to long-term success. Developing capacity to institutionalize TSBR common policies within line and provincial agencies can include several means including (i) adapting existing policies, (ii) training, and (iii) hosting bilateral activities, among others.

#### **Adapting Existing Policies**

223. Developing Secretariat staff capacity along these lines will require learning how to conduct a consultation process that will need to be organized by the agencies themselves with support and guidance from the Secretariat. Steps in the process for government agencies to evaluate their current sector policies and institutionalize common policies by refining their existing policies will involve sector analysis, formulation and implementation:

##### **Step One: Analysis**

- Basic data collection on the sector
- Analysis of specific sector policy problems

##### **Step Two: Formulation**

- Formulating policy recommendations in line with the common policies
- Facilitating a political consensus for reform within the agency
- Drafting legislation and moving it through the legislative process if necessary
- Drafting implementing regulations in support of TSBR conservation and development objectives

##### **Step Three: Implementation**

- Training provincial and line agencies to implement the new policy or legislation
- Training the judicial branch to adjudicate reform-related laws
- Monitoring and evaluating impacts of the legislation
- Reformulation of regulations and fine-tuning as needed

## Training

224. Thus, before Secretariat staff can provide any of the valuable required guidance and facilitation to agencies or even consider helping them to approach the above steps, which can be of long-term duration, a certain amount of training or skills enhancement will need to be acquired by staff. Only then can they effectively work within line and provincial agencies to accomplish the goal of refining current sector policies and then proceed toward institutionalize TSBR common policies.

225. One of the first steps for Secretariat staff capacity building will be to help establish joint policy coordination groups (JPCGs) in focal agencies to being the process. This can be accomplished in a participatory strategic workshop setting with clear objectives. It can be expected that only the Secretariat will be able to accomplish this cross-sectoral assistance.

226. Well organized training plans will aim to give Secretariat staff a thorough understanding of the policy formulation process, identify agency weaknesses and strengths and how they can influence or facilitate the process among the agencies (Section 5.6.2). Staff would be exposed to skills required to facilitate and formulate effective advocacy strategies, implement appropriate work plans and incorporate monitoring and evaluation systems as the process of institutionalizing the common policies evolves. Staff will need to know how to:

- Identify or frame an issue and understand the policy making process
- Set priorities, define results, and apply resources in response to the specific agency requirements and capacity
- Understand the importance of using advocacy methods as a tool in support of this institutionalization goal
- Gain experience with the fundamentals of change management and team building
- Identify those within the agencies who wield the most influence
- Understand decentralization policy reform and local government capacity building
- Understand legislative processes and development involving internal operations, rules and procedures, information management, policy analysis, and constituency relations
- Monitor and evaluate how the process is developing and where the strengths and weakness are in each agency and thus develop a strategy to facilitate improvement
- Understand the implications and benefits of integrating advocacy and policy influencing work

227. The role of leadership that the Secretariat must provide is clear for building decentralized capacity. One of the basic weaknesses commonly found in centralized institutions is the absence of training for decision-making leadership positions. There is an effective response to this basic weakness, i.e. developing an understanding of the implications and opportunities of decentralization, which intends to devolve authority and power. However, learning to make decisions as genuine judgments, based on risk and uncertainty, must be accepted as part of the process. Substituting strict rules for on the spot judgment is self-defeating, because judgment can be developed only by using it. Secretariat staff as leading facilitators in this process must set the values (e.g., high standards for conservation and social outreach), but they cannot devolve authority.

228. Assistance from accredited training institutions and universities appropriate for these topics should be engaged to conduct the Secretariat training preferably in a hands-on or learning-by-doing trial setting. Section 5.6.2 identifies an integrated capacity building and institutional development training program for staff to accomplish this and other tasks in support of the Secretariat's mandate.

### **Hosting Bilateral Activities**

229. Identifying the means for the Secretariat to host bilateral activities among agencies with specific mutual concerns can assist in institutionalizing common policies within line and provincial agencies.

230. This will be a task of PNP Division of the Secretariat and identified in the implementation schedules (Appendix O). A variety of activities can be pursued from local-level meetings and workshops to hosting a possible TSBRPC, which would involve many stakeholders, but bilateral activities can take many forms that should be kept to a minimum unless financial and technical capacity is available to enable them.

## **5.5. Defining Secretariat Roles and Responsibilities**

### **5.5.1. Proposed Divisions**

231. The Secretariat organizational structure including proposed divisions is shown in Figure 5.6. Basically, changes are in the wording of divisions but also significantly adding one important new division for CASP.

### **5.5.2. Roles and Responsibilities**

232. Roles and responsibilities of the overall Secretariat are first described by its functions arising from Article 4 of the Prime Minister's Sub-Decree on the Establishment, Role and Functions of the Secretariat for Tonle Sap Biosphere Reserve (September 2001). The terms of reference for the potentially very important proposed MPLAB are presented. This is followed by a description of the roles and responsibilities for the four Secretariat divisions. The characteristics and primary functions of the proposed Secretariat divisions are shown in Figure 5.7.

```
graph TD; CNMC[CAMBODIA NATIONAL MEKONG COMMITTEE] --- OGS[OFFICE OF GENERAL SECRETARY  
CNMC SECRETARIAT  
(DIRECTOR TSBR & TSBC SECRETARIATS)]; CNMC --- TSBR[TSBR MANAGEMENT  
COORDINATION MECHANISM  
(PARTNERSHIP)]; OGS --- PDS[PERMANENT DEPUTY  
SECRETARY  
TSBR SECRETARIAT]; OGS --- MPL[MINISTERIAL AND  
PROVINCIAL  
LIAISON AND  
ADVISORY BOARD]; OGS --- TSBC[TSBC  
SECRETARIAT]; PDS --- PS[POLICY,  
STRATEGY AND  
PLANNING  
DIVISION]; PDS --- DR[DATABASE,  
RESEARCH AND  
MONITORING  
DIVISION]; PDS --- CAP[COMMUNICATIONS,  
AWARENESS AND  
STAKEHOLDER  
PARTICIPATION  
DIVISION]; PDS --- FA[FINANCE  
AND  
ADMINISTRATION  
DIVISION];
```

The organizational chart illustrates the structure of the Cambodia National Mekong Committee (CNMC) and its relationship with the Tonle Sap Basin Committee (TSBC). At the top level, the **CAMBODIA NATIONAL MEKONG COMMITTEE** is connected to the **OFFICE OF GENERAL SECRETARY CNMC SECRETARIAT (DIRECTOR TSBR & TSBC SECRETARIATS)** and the **TSBR MANAGEMENT COORDINATION MECHANISM (PARTNERSHIP)**. The **OFFICE OF GENERAL SECRETARY** oversees the **PERMANENT DEPUTY SECRETARY TSBR SECRETARIAT**, the **MINISTERIAL AND PROVINCIAL LIAISON AND ADVISORY BOARD**, and the **TSBC SECRETARIAT**. The **PERMANENT DEPUTY SECRETARY** manages four divisions: **POLICY, STRATEGY AND PLANNING DIVISION**, **DATABASE, RESEARCH AND MONITORING DIVISION**, **COMMUNICATIONS, AWARENESS AND STAKEHOLDER PARTICIPATION DIVISION**, and **FINANCE AND ADMINISTRATION DIVISION**.

233. Roles and responsibilities of the overall Secretariat can be described by its functions arising from Article 4 of the Prime Minister's Sub-Decree on the Establishment, Role, and Functions of the Secretariat for Tonle Sap Biosphere Reserve (September 2001). Immediate objectives of TSEMP are to promote systems and develop the capacity for natural resource management coordination and planning, community-based natural resource management and biodiversity conservation in TSBR, and the Secretariat's current role is to support those objectives, among others.

234. The Secretariat functions that are required to strengthen coordination have been defined in Article 4 of the sub-decree. It is useful to review these functions before considering specific Secretariat division roles and responsibilities (Table 5.3). The Secretariat's role, as set out in its Mission Statement is to coordinate and strengthen cooperation; therefore its strategic objectives relate to this role. However, coordinate is not precisely correct as the Secretariat's role is that of a facilitator rather than a coordinator, and the difference in meaning is significant. The Secretariat has no responsibility for carrying out or otherwise implementing management but rather to facilitate TSBR stakeholder partners to support, establish and maintain collaborative partnerships.

### Figure 5.7: Characteristics and Primary Functions of the Proposed Secretariat Divisions

Modified from Figure in: Claridge, G. (2004). *Coordination of Management of the Tonle Sap Biosphere Reserve*, TSEMP, P&S Phase 1, October 2004

<u>CHARACTERISTIC</u>		<u>MAIN FUNCTION</u>
COORDINATION	POLICY, STRATEGY AND PLANNING	Assist Partners to coordinate policies, strategies and programs
MONITORING & SERVICE	DATABASE, RESEARCH AND MONITORING	Support Partners for monitoring, evaluation, information sharing, coordination and management
MOTIVATION	COMMUNICATIONS, AWARENESS AND STAKEHOLDER INVOLVEMENT	Maintain commitment of Partners to be involved in coordinated management and promote a Communications & Awareness Strategy
SUPPORT & SERVICE	FINANCE AND ADMINISTRATION	Provide administrative and accounting support services to the Secretariat

235. To guide its operations, CNMC has adopted six working principles, i.e. neutrality, openness, learning, teamwork, quality and dialogue (Section 5.2.1). As part of CNMC, TSBR Secretariat must also follow these principles. Only the descriptive wording of the first principle as applied to the Secretariat, i.e. neutrality, should be reworded to read: “to work in a neutral manner for the collective benefit of the people of Cambodia”.

**Table 5.3. Comments on Requirements for Coordination Based on Secretariat Functions and Responsibilities**

Modified from Table in: Claridge, G. (2004). *Coordination of Management of the Tonle Sap Biosphere Reserve*. TSEMP, P&S Phase 1, October 2004

Secretariat Functions and Responsibilities According to Sub-Decree Article 4	Comments on Requirements for Coordination Among Relevant Agencies
(i) To develop strategies and mechanisms for the achievement of the functions of the Tonle Sap Biosphere Reserve	<ul style="list-style-type: none"> <li>• The Secretariat is not mandated to implement strategies and mechanisms but rather to develop them by facilitating collaboration among line agencies.</li> <li>• The broad range of government agencies with management responsibilities in the area could resist the imposition of strategies and mechanisms developed by the Secretariat. However, these are to be developed collaboratively. Strengthening the Secretariat and gaining the trust of the partner agencies may be a long process.</li> <li>• It can be interpreted that this function gives the Secretariat the task of developing strategies and mechanisms by coordinating the efforts of relevant agencies, according to its role mandated in the Royal Decree of coordination and strengthening cooperation. However, this is a misinterpretation as the role of the Secretariat is facilitation not coordination</li> </ul>

Secretariat Functions and Responsibilities According to Sub-Decree Article 4	Comments on Requirements for Coordination Among Relevant Agencies
	<p>or developing strategies other than for the secretariat itself.</p> <ul style="list-style-type: none"> <li>• The Secretariat could prepare drafts for consideration by partner stakeholders and can assist them to come together (e.g., in working groups or as bilateral activities) to develop drafts.</li> <li>• Because of the difficulty of facilitating and strengthening such a diverse array of agencies in any kind of informal or <i>ad hoc</i> manner, it is necessary that the Secretariat reorient the current PSN Division as the Policy, Strategy and Planning (PSP) Division to carry out this function. These would also be the part of the strategies and mechanisms referred to in the Sub-Decree.</li> </ul>
(ii) To coordinate the establishment of integrated database management system for the Tonle Sap Biosphere Reserve and data exchange mechanism among agencies.	<ul style="list-style-type: none"> <li>• The wording of this function does not require the Secretariat to establish a separate database system, but gives the Secretariat the function of facilitating other agencies so that an integrated database management sharing information system among agencies can be established.</li> <li>• A mechanism is required to do this, and there will be a need to establish an ongoing collaborative mechanism such as a database working group among agencies.</li> </ul>
(iii) To monitor, evaluate and review the status of the Tonle Sap Biosphere Reserve within 4 to 10 year period as required.	<ul style="list-style-type: none"> <li>• While the Sub-Decree gives the function of monitoring and reviewing to the Secretariat, the Secretariat will need to proceed with caution and respect in relation to the current programs of line agencies and other bodies.</li> <li>• An adequate monitoring and evaluation review will require the assistance of several agencies for M&amp;E of such a vast and diverse area as TSBR.</li> <li>• If ongoing collaboration is achieved, cooperative and effective working relationships will need to be developed</li> <li>• Monitoring and evaluation activities in TSBR will need to be through a cooperative process in which the relevant agencies play key roles.</li> <li>• Cooperation requires establishing a mutually agreed strategy and mechanism for involving relevant agencies in M&amp;E and review and thus maximizing effectiveness.</li> <li>• The costs, range of technical expertise required and the staff time involved in monitoring ecosystem health and sustainable development throughout TSBR would be well in excess of the resources that the Secretariat is likely to ever have at its disposal.</li> </ul>
(iv) To coordinate and cooperate for review of the existing law, regulations, in order to furnish recommendations for sustainable management of the Tonle Sap Biosphere Reserve.	<ul style="list-style-type: none"> <li>• The above comments can also apply to this function.</li> <li>• Review of laws with regard to how well they serve the objectives of TSBR needs to be done as a collaborative activity.</li> <li>• A strategy and mechanism needs to be established to achieve consensus on any review conclusions and proposed changes, so that recommendations are not opposed by the concerned line agencies.</li> <li>• Legal reviews should be undertaken through a coordination body (e.g., an appropriate technical working group).</li> </ul>
(v) To establish a network with local authorities, civil society, relevant agencies, international organizations, nongovernment organizations in order to facilitate data collection, planning, and to request approval for conservation and management plans for the Tonle Sap Biosphere Reserve.	<ul style="list-style-type: none"> <li>• This function clearly envisages establishing a network of partners that will need to meet or otherwise collaborate to carry out the specific tasks mentioned.</li> <li>• The network will require a structure with a mutually agreed consultation and decision-making process, and this could be accomplished effectively through an ongoing collaborative mechanism.</li> </ul>
(vi) To organize meetings and forum to discuss issues related to the management of Tonle Sap Lake region and prepare	<ul style="list-style-type: none"> <li>• Such meetings and forums would be more effective if they were part of an ongoing mechanism in which participants achieve a high level of understanding of Biosphere Reserve through a Communications and Awareness process.</li> </ul>

<b>Secretariat Functions and Responsibilities According to Sub-Decree Article 4</b>	<b>Comments on Requirements for Coordination Among Relevant Agencies</b>
proceedings to be submitted to the government leaders.	<ul style="list-style-type: none"> <li>• An advocacy program run by a contracted NGO would be useful for this responsibility rather than any established coordination body.</li> </ul>
(vii) To coordinate with relevant ministries, agencies and organizations for the preparation of project plans for financial assistance from the government and international donors.	<ul style="list-style-type: none"> <li>• This function would flow directly from coordinated management, and particularly coordinated M&amp;E and review of progress.</li> <li>• The Secretariat will be in a position to assist or facilitate groups of relevant agencies and other bodies to prepare proposals for joint activities to achieve TSBR management objectives.</li> <li>• Putting this function into effect would flow directly from an ongoing coordination mechanism.</li> </ul>
(viii) To prepare and submit quarterly and annual reports on its activities to CNMC.	<ul style="list-style-type: none"> <li>• not specifically relevant to coordination</li> </ul>
(ix) To carry out other tasks assigned by the Cambodian National Mekong Committee.	<ul style="list-style-type: none"> <li>• not specifically relevant to coordination</li> </ul>

### 5.5.2.2. Ministerial and Provincial Liaison and Advisory Board

236. The terms of reference for a proposed MPLAB are similar to those of the earlier Policy Coordination Board (PCB) proposed during Phase 1 but with an expanded role and with a more direct connection to the Secretariat.

237. The draft terms of reference for MPLAB were presented in Section 5.4.4 with regard to policy review and coordination. These plus additional roles and responsibilities for MPLAB vis-à-vis Secretariat support and coordination are to:

- Provide advice to the Secretariat on how best to establish collaborative partnerships with agencies and identify constraints and opportunities
- Maintain effective liaison between the Secretariat and key line ministries
- Provide high-level government support to the Secretariat and to the process of developing partnerships for TSBR management
- Support the Secretariat's division activities for policy, strategy and planning development as well as for communications and awareness and database management with inter-agency data sharing
- Consider, review and make recommendations on policies of TSBR Management Partnership including vision, goals, objectives and common management principles
- Facilitate a joint priority setting process through JPCGs and other bodies to develop common policies
- Adopt common policies and objectives for achieving TSBR vision and goals
- Make recommendations on government policy in relation to TSBR management
- Receive information on the state of TSBR and review policy theme report documents and other results of JPCGs and consider how these relate to policies and programs of the individual partners
- Ensure that the final JPCG policy theme documents will result in a common policy document for TSBR
- Coordinate with donors or potential donors for funding joint, i.e. multi-agency, project activities relevant to improved collaborative TSBR management

- Form sub-committees on relevant topics as appropriate
- Prepare summary reports on meetings with assistance from Secretariat staff
- Members of MPLAB should be available to provide assistance and advice to the Secretariat at short notice.

238. MPLAB will be comprised of influential representatives from CNMC member ministries and from each of the five TSBR Provincial Governor's offices. As a high-level advisory and liaison body, MPLAB should be chaired by the Minister of MAFF, MOE, MOWRAM or from another CNMC member ministry.

239. Membership of MPLAB will be best determined by the Secretariat in collaboration with CNMC member ministries. This membership identification and establishment of MPLAB should be done as soon as possible. However, during the life of TSEMP the current support from the following should continue unless decided otherwise, namely, Deputy Director (MAFF/ Department of Fisheries) and Deputy Director (MOWRAM).

### **5.5.2.3. Policy, Strategy, and Planning (PSP) Division**

240. One issue facing the Secretariat with regard to the current PSN Group is the current use of staff seconded from other ministries but who also retain heavy workloads and responsibilities of their respective ministries. All members of the PSN Group are seconded from several ministries but have additional responsibilities (Appendix E). However, their responsibilities to their respective ministries always take precedence. They are not based at the Secretariat but rather at their respective ministries.

241. It is recommended that one full-time PSP Division Head be recruited. Appropriate qualifications for this position can be developed by the Secretariat Director. Funding must be secured to hire a division head as soon as possible to begin planning and coordination of the division. Otherwise, this important division's functions and sustained commitment to facilitate and motivate agencies for common policy coordination (Sections 5.3 and 5.4), for example, will not be realized. The division head, possibly a national TSEMP consultant, should be hired on a 3-year performance-based renewable contract to supply most of the full-time professional capacity required to implement division activities, which are very demanding and comprehensive.

242. It is also recommended that all current part-time seconded ministry staff (Appendix E) be retained as important members of the PSP Division; however decision-making with regard to the division will ultimately be made by the division head in consultation with the Secretariat director.

243. PSP Division has a key function for the Secretariat to promote and support coordination of TSBR partners' approaches to management of TSBR.

244. The PSP Division's proposed terms of reference are to:

- Work with partners, primarily with MPLAB and JPCGs, to assist them to coordinate common policies and strategies relevant to TSBR conservation and sustainable development so as to achieve the vision and objectives.
- Support these coordination and planning bodies by organizing meetings and workshops, preparing, or coordinating the preparation of, draft reports for discussion and agreement by those bodies,

- Identify the need for meetings and working groups and facilitating their establishment
- Work with partners at national and provincial levels to coordinate joint planning and implementation exercises to support multisectoral activities associated with achieving TSBR objectives and assist to establish coordination mechanisms for cross-sectoral programs
- Work with partners to identify gaps in data and understanding relevant to conservation and sustainable development objectives and assist the partners to develop priorities for research in collaboration with the Secretariat Database, Research and Monitoring (DRM) Division
- Develop an overview of funding needs of partner agencies for policy, strategy and planning activities supportive of TSBR coordinated management
- Assist partners to develop joint policy, strategy and planning program funding proposals, liaise with funding sources and ensure proper implementation of funded joint projects
- Prepare funding proposals to the Secretariat Director in support internal division activities

#### **5.5.2.4. Database, Research and Monitoring Division**

245. It is recommended that one full-time DRM Division head be recruited. Appropriate qualifications for this position can be developed by the Secretariat Director. Funding must be secured to hire a division head as soon as possible to begin planning and coordination of the division with the consulting company to be contracted for this TSEMP subcomponent. In addition, the division head must be in place so as to learn from the consultants for division and staff capacity building, i.e. transfer-of-knowledge. Otherwise, this important division's functions and sustained commitment to facilitate and support partner agencies may not be realized in the long-term after the consultants have left.

246. The division head, possibly a national TSEMP consultant, should be hired on a 3-year performance-based renewable contract to supply most of the full-time professional capacity required to implement division activities, which are very demanding and comprehensive.

247. It is also recommended that all staff of the current Database and Research Group be retained as important members of the DRM Division; however decision-making with regard to the division will ultimately be made by the division head in consultation with the Secretariat Director.

248. DRM Division has a key function for the Secretariat to promote and support coordination of TSBR partners' approaches to database management and sharing

249. DRM Division's proposed terms of reference are to:

- Review data management, establish data collection protocol, establish database networks, communicate research outputs and provide or arrange for training
- Work with partners to identify and review criteria to assess ecosystem health, sustainable development and livelihoods improvement, i.e. socioeconomic data
- Work with partners to plan, coordinate and implement ecosystem health and sustainable development monitoring programs
- Assist partners to collate, interpret and evaluate monitoring data

- Identify and keep partners current with relevant new science related to resource management, sustainable development and landscape or ecosystem management approaches
- Assist partners to develop joint monitoring and evaluation program proposals for funding
- Manage biodiversity data and M&E requirements (e.g., species ecology, climate and hydrology changes, habitat changes, human-animal conflicts, TSBR core area threats, management impacts, endangered species status)
- Liaise with funding sources and, in some cases if necessary and requested, coordinate implementation of funded projects.
- Maintain relevant common databases and arrange data sharing among partners and other stakeholders
- Assist partners to coordinate database functions relevant to TSBR management;
- Provide database support to the other Secretariat Offices; and
- Assist partners to develop joint database program proposals for funding, liaise with funding sources and coordinate implementation of funded projects.
- Prepare funding proposals to the Secretariat Director in support of internal division activities

#### **5.5.2.5. Communications, Awareness and Stakeholder Participation Division**

250. It is recommended that one full-time CASP Division Head be recruited. Appropriate qualifications for this position can be developed by the Secretariat Director. Funding must be secured to hire a division head as soon as possible to begin planning and coordination of the division with the consulting company, Live and Learn, contracted for this TSEMP subcomponent. In addition, the division head must be in place so as to learn from the consultants and volunteer advisor (Section 6.1.9 and Appendix N) for division and staff capacity building, i.e. transfer-of-knowledge. Otherwise, this division's functions and sustained commitment to motivate and support partner agencies may not be realized in the long-term after the consultants have left.

251. The division head, possibly a national TSEMP consultant, should be hired on a 3-year performance-based renewable contract to supply most of the full-time professional capacity required to implement division activities, which are very demanding and comprehensive.

252. Good communications, education and awareness programs are important foundations for sustainable Secretariat and partner activities. The CASP Division has a key function for the Secretariat to maintain the Secretariat's commitment to TSBR partners and to motivate and support coordination of the partners' approaches to communications, awareness and stakeholder participation. The CASP Division, with the consultants from Live and Learn, will also prepare a Communications and Awareness Strategy to be implemented by the Secretariat and TSBR partners.

253. CASP program will have the objectives of ensuring high levels of awareness and understanding of the values of TSBR and the need for conservation and sustainable management through a cooperative effort. CASP Strategy will be directed not only at key decision-makers in partner agencies and influential persons in important stakeholder groups, but also at those whose support is essential for ongoing success of a cooperative approach (e.g., key political figures, funding agencies, advisors on development assistance projects).

254. Many of the partner agencies will already have components of their own awareness raising and education programs which are relevant to the promotion of the goals of TSBR. It is important that these activities present a consistent and coherent account of TSBR, its goals and values and the way in which coordinated management is being approached. CASP Division would cooperate with relevant bodies in partner agencies to identify relevant components of programs and to coordinate the content and messages being delivered. The division will also continuously develop new material that could be incorporated into partner agency campaigns and thus save costs for those partners.

255. In some situations the partner agencies might seek the involvement of CASP Division to design and implement programs. Alternatively, a group of partner agencies might decide that it would be most effective for the division to carry out a program on their behalf. In some cases CASP Division might initiate specific activities or campaigns to promote and maintain stakeholder involvement in cooperative management of TSBR.

256. There will be a need to regularly assess the progress and effectiveness of awareness raising and educational activities among the target audience and thus help refine selected strategies and media. CASP Division may not carry out this monitoring itself, but could arrange for suitably qualified consultants or NGOs to do this on behalf of the Secretariat and its partners. Alternatively, if DRM Division has the capacity, then it would be appropriate and cost-effective for its staff could conduct M&E activities.

257. In many cases it will be advantageous and more effective to develop an awareness raising and education program across a number of agencies simultaneously and in a coordinated and integrated manner. CASP Division will help such partner agencies to identify opportunities for joint action and to develop program proposals and, when typically necessary, to seek adequate funding. The division could then become a coordination center or honest broker for managing joint program funds. In addition, once the capacity of CASP staff is sufficiently developed, they may also coordinate program management.

258. CASP Division's proposed terms of reference are to:

- Coordinate with other agencies to provide ongoing reinforcement of the importance of TSBR and the need for stakeholder involvement and cooperation, so as to maintain commitment to the coordinated management approach
- Carry out programs directed at maintaining awareness and knowledge among Partners and other important stakeholders of key issues related to TSBR and maintaining support for the partnership
- Cooperate with partners to help coordinate their awareness and education programs relevant to TSBR
- Undertake programs, either alone, with, or on behalf of, partners to ensure and maintain stakeholder involvement
- Carry out or supervise monitoring of the levels of awareness and attitudes of important stakeholders in relation to TSBR, its Secretariat and the need for coordination of management
- Assist partners to develop joint education and awareness raising program proposals for funding, liaise with funding sources and coordinate implementation of funded projects.
- Prepare funding proposals to the Secretariat Director in support internal division activities

### **5.5.2.6. Finance and Administration Division**

259. It is recommended that one full-time F&A Division Coordinator be selected from among the current F&A staff.

260. It is also recommended that all staff of the current Finance and Administration Group be retained as important members of the F&A Division; however decision-making with regard to the division will ultimately be made by the F&A Coordinator, who also serves as Office Manager, in consultation with the Secretariat Director.

261. The F&A Division has a key function for the Secretariat to provide administrative, secretarial and accounting services for the Secretariat. In addition, the division staff will be able to learn from the organizational management volunteer advisor (Section 6.1.9 and Appendix N) for division and staff capacity building, i.e. transfer-of-knowledge.

262. The F&A Division's proposed terms of reference are to:

- Provide administrative, secretarial and accounting services to the other three divisions and to the Secretariat Director
- Assist to organize and arrange partner meetings and workshops
- Conduct human resource management and development planning for the Secretariat
- Identify relevant human resources development opportunities for the partner agencies and in collaboration with the other three divisions
- Arrange and supervise contracts for work done for, or by, the partners through the Secretariat
- Prepare funding proposals to the Secretariat Director in support internal division activities

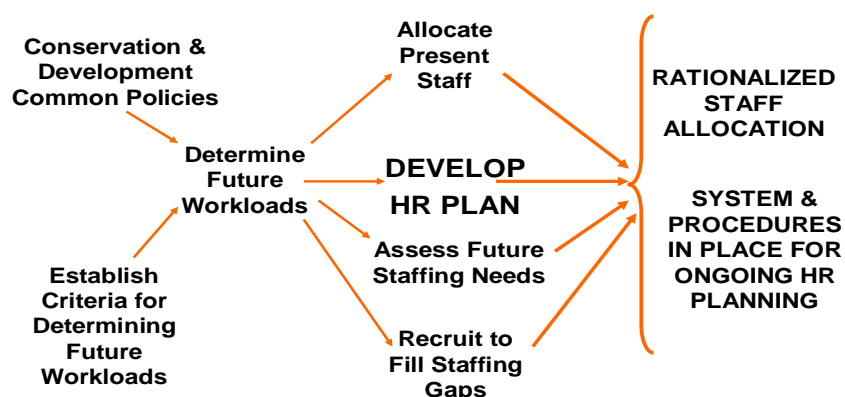
## **5.6. Building Division and Staff Capacity**

### **5.6.1. Training Needs Assessment**

263. Conducting a Secretariat staff training needs assessment is not difficult as the Secretariat does not have a large number of staff, does not intend to grow significantly and has relatively few divisions in comparison with large complex organizations. Furthermore some training topics and needs were identified under P&S Phase 1. Staff training needs for the four proposed Secretariat divisions (Section 5.5) are largely based on the terms of reference, which in turn relate to implementing the proposed common policies for TSBR management (Section 2.4.2)

264. The approach or process of a training needs assessment, typically required for assessing a more complex organization, is shown in Figure 5.8. However, no matter how large the organization, the process is typically the same but obviously less complex and lengthy for one the size of the Secretariat. The figure clearly shows the process of factors that must be considered to arrive at training needs as part of a process that must first look at current and anticipated future human resource development requirements (e.g., present staff and recruitment) to arrive at a proposed level of staff allocation and the systems or procedures that must be in place to support the target level of staffing.

**Figure 5.8: Secretariat Staff Training Needs Assessment**



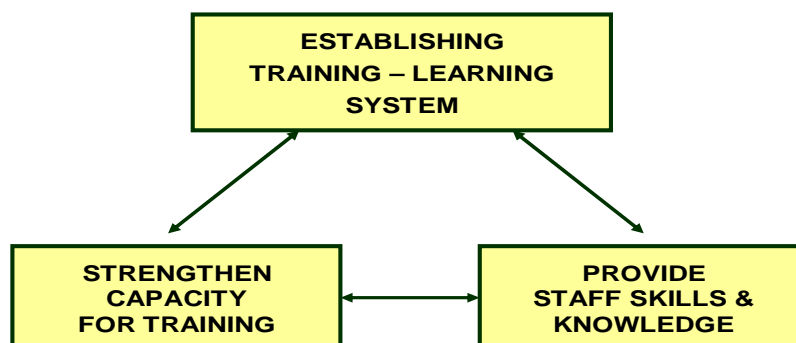
## 5.6.2. Training Action Plan

### 5.6.2.1. Training Approach

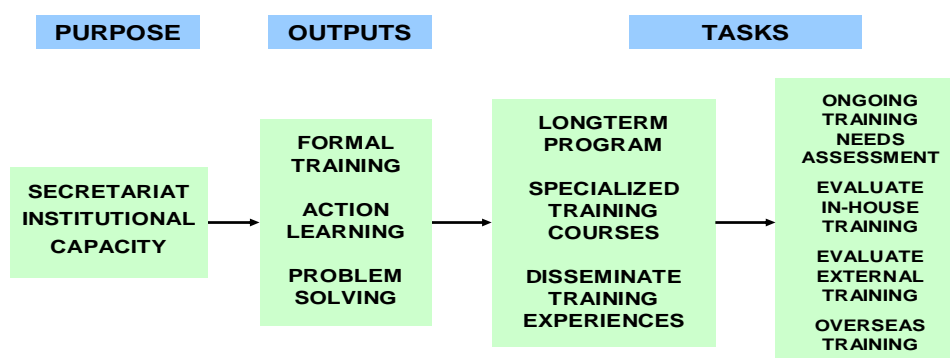
265. The training approach required for the Secretariat staff includes several requirements that it must be primarily: (i) participatory and collaborative, (ii) learning oriented, (iii) comprehensive, (iv) integrated as much as possible, and (v) phased appropriately. By establishing an appropriate training-learning system, the capacity for training will be strengthened and adequate staff skills and knowledge will be provided through training actions (Figure 5.9).

266. The purpose, outputs and tasks required to strengthen the Secretariat's staff capacity must be determined as part of any training needs assessment (Figure 5.10) and as the basis for designing an approach to appropriate training.

**Figure 5.9. Secretariat Staff Training Actions**



**Figure 5.10. Strengthening Secretariat Training Capacity**



267. Participatory approaches to institutional development and capacity building within the Secretariat need to be incorporated into programming that builds capacity, enhances performance, expands partnerships and promotes accountability. A set of institutional development and capacity tools known as Advanced Participation Methods (APM) have been employed in a variety of institutional settings around the world (Appendix M). As a series of tools, APMs can be tailored to an extremely broad array of participatory challenges. APMs are founded on seven distinct yet interrelated principles: (i) participation, (ii) teamwork, (iii) creativity, (iv) consensus, (v) reflection, (vi) action, and (vii) empowerment. These methods have been very effective in bringing groups of people together to solve mutual institutional problems and enhance their performance. APM includes strategic action planning workshops, participatory event design, quality service improvement and facilitated group discussion, all of which are relevant to strengthening the institutional and human resource capacity of the Secretariat.

268. An additional method that should be considered is the Institutional Development Framework (IDF) approach. The IDF systematically employs process as a priority-setting institutional strengthening tool. The IDF, which can be developed through a short two-day workshop, can help the Secretariat see its role more clearly by fostering a common language and understanding of its vision, functions or role. It provides a roadmap for the next stage in institutional development, and, most importantly, helps groups to quickly and systematically identify the specific areas that require priority attention for strengthening or planning purposes.

269. A program of participatory training for Secretariat staff, using APM and IDF, would be useful. Furthermore, once TSBR partnerships have been established using the IDF is appropriate for inter-agency strategic planning and coordination. If Secretariat staff are trained to facilitate such workshops, then that would be very advantageous for building collaborative teams of partners.

270. For the Secretariat staff as a single group, this would be best accomplished through consideration by the VSO organizational management advisor (Section 6.1.5 and Appendix N) when designing appropriate institutional and capacity building training exercises.

#### **5.6.2.2. Policy, Strategy and Planning**

271. Section 5.4.5 presented a discussion on training for PSP Division staff members as a means towards capacity building within that division. Specifically, this requires developing capacity to work with and assist line and provincial government agencies to coordinate and then institutionalize common policies. This requires knowing how to conduct a consultation process that will need to be organized by the agencies themselves with support and guidance from the PSP Division. Steps in the process for government agencies to evaluate their current sector policies and institutionalize common policies by refining their existing policies will involve sector analysis, formulation and implementation.

272. Well organized training plans will aim to give PSP Division staff a thorough understanding of the policy formulation process, identify agency weaknesses, strengths and opportunities and how they can influence or facilitate the process among the agencies. Staff would be exposed to skills required to formulate appropriate advocacy strategies, implement effective work plans and incorporate monitoring and evaluation systems as the process of institutionalizing common policies evolves. Staff will need to be able to know how to:

- Identify or frame an issue and understand the policy making process
- Set priorities, define results, and apply resources in response to the specific agency requirements and capacity
- Understand the importance of using advocacy methods as a tool in support of this institutionalization goal
- Gain experience with the fundamentals of change management and team building
- Identify those within the agency who wield the most influence
- Understand decentralization policy reform and local government capacity building
- Understand legislative processes and development involving internal operations, rules and procedures, information management, policy analysis and constituency relations
- Monitor and evaluate how the process is developing and where the strengths and weakness are in each agency and thus develop a strategy for improvement

- Understand the implications and benefits of integrating advocacy and policy influencing work.

273. Assistance from accredited training institutions and universities appropriate for these topics should be engaged to conduct the PSP Division training preferably in a hands-on or learning-by-doing trial setting.

274. Additional desirable training could include:

- English language to a standard relevant to international professional communications
- Written communications skills, including report writing and standard reporting formats
- Facilitation and negotiation skills
- Integrated natural resource management
- Adaptive management theory and practice
- Organizational management skills

### **5.6.2.3. Database, Research and Monitoring**

275. DRM Division will be working later in 2005 with consultants from a company contracted to begin implementation of TSEMP subcomponent: Develop a TSBR Environmental Information Database. Thus it is expected that there will be training programs and transfer of knowledge to DRM staff from the consultants.

276. DRM, currently called the Database and Research Group, will be responsible for coordinating TSBR monitoring among partners with the main purpose of evaluating how well management is achieving the two major TSEMP goals, i.e. contributing to biodiversity conservation of fostering sustainable development. Evaluations will determine whether or not management strategies are operating effectively and should indicate where modifications to earlier strategies are needed.

277. Whether data is held in the Secretariat database or preferably in the databases of partner agencies, there will be a need for coordination and standardization of data management software for example to ensure that data is in a format useful to multiple agencies. This division will liaise with partner agencies and help them maximize the effectiveness and usefulness of their data banks.

278. A reasonably high level of staff capacity and ongoing professional development will be required for a successful DRM Division and its data management, research and monitoring functions. DRM will ensure that other secretariat divisions, partner agencies, and certain key stakeholders have access to the data they need and will share data required for coordinated TSBR management.

279. There will be a need for common databases. At the minimum these will include a meta-database of management-relevant data held by partner agencies and others, and a monitoring database for collating data from TSBR monitoring program databases.

280. The consultants will work with DRM staff to identify training needs for staff. Where there are knowledge gaps, training or hands-on learning by doing should be designed. Including research in this division requires that staff members basically are not only technically competent

in all aspects of data management and storage as well as geographical information system but also are familiar with research methodology and an appropriately wide range of applied research topics for biodiversity, natural resource and socioeconomics. However, specific training topics cannot be determined without knowing the gaps.

281. Nevertheless, a broad array of topics or skill sets are listed here, all of which are relevant to database management, research or monitoring. The provisional list of skill sets include, but are not limited to:

- English language to a standard relevant to international professional communications
- Written communications skills, including report writing and standard reporting protocols
- Monitoring and evaluation, including designing and implementing M&E plans
- Wildlife management, rehabilitation and species recovery
- Sociological and economic research
- Gender issues and ethnic diversity
- Ecological and biodiversity inventory and research
- Habitat management and restoration applied research
- Hydrology and meteorology
- Strategic and adaptive management planning
- Information technology or management information systems and spatial data management or geographical information system
- Communications hardware technology
- Community relations: conflict management and resolution
- Community support: livelihoods improvement (e.g., micro-finance, small business development)
- Environmental, natural resource and wildlife protection laws and regulations
- Law enforcement
- Participatory comanagement of protected areas and community-based
- Conservation biology (a very broad and integrated discipline crossing between biological and human ecology with a view towards conservation of natural resources)
- In-depth training in data systems and data management for integrated natural resource management and sustainable development
- Data security issues and strategies
- Programming in relevant software packages

#### **5.6.2.4. Communications, Awareness, and Stakeholder Participation**

282. Subcomponent: Formulate and implement a national environmental education and awareness campaign, has contracted the Fiji-based environmental education company, Live and Learn, to provide consulting services in this area. In addition one VSO volunteer specialist for Communications Strategy and Awareness will begin assisting the CASP Division by the end of 2005. Thus it is expected that there will be training programs and transfer of knowledge to CASP staff from the consultants.

283. However, there is no CASP staff. The division is proposed and recommended to be staffed as soon as possible as a high priority so that the Secretariat can capture the knowledge

from these consultants and specialists and thus become self-sufficient in running a Communications and Awareness Program as the backbone of its operations.

284. The Secretariat must build its own staff capacity and not continue to rely on outside technical assistance, except for very specialized topics for which local expertise is really not available. Having Live and Learn consultants and a VSO volunteer specialist assisting this program for the Secretariat but without any CASP staff, will, and I think the reader will agree with me here, make very little sense in the long-term.

285. An earlier proposal to have the current PSN Group staff be counterparts to the consultants and specialist is totally unrealistic as the current part-time PSN seconded staff cannot even devote enough time to PSN activities let alone additional duties (Section 5.5.2.3).

286. It is expected therefore that the Live and Learn consultant and volunteer specialist will make it a high priority to establish the CASP Division and assist to recruit staff and train as necessary as early in their assignment as possible. Some of the most appropriate training topics needed to support staff responsibilities include, but are not limited to, the following fields as the basis for further training design and development:

- English language to a standard relevant to international professional communications
- Written communications skills, including report writing
- Project and funding proposal design and management
- In-depth training and education in communications, including, but not limited to:
  - Principles of communication
  - Communications strategy design for behavioral change
  - Pre- and post-testing of behavioral change strategies
  - Attitude surveying
  - Marketing
- Journalism and science writing
- Ecosystem ecology
- Sustainable development
- Integrated natural resource management
- Organizational management skills

#### **5.6.2.5. Finance and Administration**

287. Currently there are three staff in this division who are quite competent. However, if additional training is required, some of the most obvious F&A Division topics include the following:

- English language to a standard relevant to international professional communications
- written communications skills, including report writing
- Accounting, bookkeeping and secretariat assistant
- Human resource management and development
- Conference and workshop planning and implementation
- Administrative systems establishment and management
- Contract management, including basic principles of contract law
- Organizational management skills

## 5.7. Developing and Strengthening Division and Staff Work Planning

### 5.7.1. Work Planning Process

288. A work plan is basically a sequential set of activities with expected outputs to be produced over a specific phased period of time. It is intended to be precise with verifiable indicators that are time-bound to show achievement of results. A work plan is a planning tool to guide implementation of a strategy. Through a clear set of verifiable indications, a work plan can serve well as a tool for monitoring and evaluating progress. More simply, it is just a list of tasks necessary to complete a project or assignment.

289. Doing work plans can be tedious yet somehow annoying. It may feel like an exercise in futility, i.e. projecting what work needs to get done and when. However, writing a work plan does not waste time. It saves time in the long-run and is a road-map on how to arrive at your target. By documenting clearly defined tasks, we can know where we are at any moment and then what needs to happen next. We can show a work plan to others and gain their understanding and support. Also, achieving pre-set milestones can be very motivating especially on long projects.

290. Steps to develop a work plan include:

- **Identify the tasks.** Using the defined purpose of the project, ask the question, "*What needs to be done in order to complete this project?*" Make your answers the milestones of the project. After looking at the big picture, begin to breakdown each milestone into individual tasks or activities. It is important to note that identifying tasks is not the same as developing a vision or goals. In fact, if the project has strong public involvement, each of those would probably be a task (e.g., Task one: define vision with task force, Task two: hold public meeting to brainstorm goals, and so on).
- **Prepare a schedule.** When the tasks are identified, begin to assign relationships among them. What needs to happen first? What can happen simultaneously? How long will it really take to accomplish this task or set of activities given the fact that most activities take twice as long as we expect (insert cough here). Be realistic.
- **Print the plan for sharing and review.** A diagram like a flow chart or time line indicating milestones and associated tasks is excellent information to share with others. Hold an informational meeting to give whoever is significant in this matter the opportunity to raise questions about the plan and to learn more about the project. In that way, the preparer of the workplan can learn a lot to improve the plan even is overcoming some initial criticism is required. Constructive criticism can be good albeit initially painful, and it is from that that we learn.
- **Use it to manage you time and resources.** Depending upon the complexity of the project, the work plan may need to go through several iterations, duh. As work progresses, make sure deadlines are being met, or if not, determine why and readjust the deadline to make it more realistic. Do not see such flexibility as a setback but rather as approaching a more realistic way of reaching your target. Also make sure that time and efforts are being expended just on those activities that directly relate to achieving each of the milestones and thus completing the project.

### 5.7.2. Work Plans and Implementation Schedules

291. Near- and mid-term work plans for the four proposed Secretariat divisions, but with special emphasis on PSP Division, are prepared and presented as implementation schedules in Appendix O.

292. When developing these work plans as implementation schedules it is important to consider the current divisions, staff allocation and budget allowance from the current TSEMP support. While this is followed as much as possible, it must be stressed, and has been stressed before, that the Secretariat cannot function properly in its current condition. Each division does require a division head working full-time at the Secretariat and dedicated to the work.

293. As for the F&S Division, no division head is proposed but rather a coordinator chosen from among the current F&S staff. But for the other two current divisions, PSP, DRM, and CASP Division heads are required. The division head for DRM could come from the current staff members or could be recruited.

294. A full-time dedicated division head for PSP is urgently required other wise the writer feels there is really little hope of implementing this strategy, particularly with regard to operationalizing and institutionalizing a coordination mechanism in support of common policies (Section 5.4).

295. Given the important role that the Secretariat will be taking on for communications strategy development, awareness and stakeholder participation, a new division is required particularly as the Secretariat will be receiving TSEMP consultant and VSO specialist support for these activities but with currently no staff to train or transfer knowledge. It is urgently recommended that the company contracted to implement this subcomponent be actively involved as one of its tasks in setting up this new CASP Division.

296. The above will certainly have implications for budget allocation to the Secretariat from TSEMP donors. There will need to be some creative reallocation of resources to more priority activities, such as staff recruitment, i.e. only about two or three new staff initially, that were not envisioned during original project design and budget preparation. Thought should also be given to allocating additional financial resources to the Secretariat so that it can approach fulfilling its mandate.

297. Work plans or implementation schedules (Appendix O) are based on the terms of reference (Section 5.5.2), which are in turn largely based on the common policies that trace back to the goals and vision of TSBR management and the Secretariat's role in that process. Therefore, especially for the PSP Division, the task categories and tasks as presented in the implementation schedules either follow very closely in some cases or are otherwise derived from TSBR objectives and common policies.

## **CHAPTER 6. FUTURE SUPPORT AND RECOMMENDATIONS**

### **6.1. Establishing and Building Institutional Support and Prestige**

298. Developing a progressive approach for the Secretariat to build its institutional prestige will need to be done both nationally and internationally primarily through strategic networking and well designed and implemented media campaigns initiated by the Secretariat and later expanded to include active partner participation.

299. At the national level, the critical element is successfully developing a Communications and Awareness Strategy for the Secretariat, or rather in support of the Secretariat to facilitate TSBR initiatives. This is now underway with the sub-contracted Fiji-based environmental education and awareness agency Live and Learn implementing TSEMP subcomponent: Formulate and implement a national environmental education and awareness campaign.

300. Generating broad-based political will for improved environmental governance is a critical issue for the success of the Secretariat's mandate. For example, the best drafted enforcement legislation amounts to little if the authorities turn a blind eye to illegal practices. It is expected that Live and Learn will implement innovative and results-oriented information, education and communications programs that build on best practices and lessons learned from the excellent work they have already done in Cambodia. Improved environmental governance and raised awareness of environmental governance issues at the national and local levels are expected to be the long-term results.

301. Private sector involvement, or corporate sponsorship of awareness-raising initiatives should also feature prominently in an overall communications strategy, and it should be stressed that private sector targeting and ultimately their participation and support will improve the chances of generating genuine political will to manage TSBR for conservation and sustainable development.

302. One of the most important channels of communication for generating political will among senior policy and decision makers at national and local levels will always be face-to-face communications or interaction. This will involve the Secretariat's PSP Division members arranging for individual meetings, small group discussions, briefings, forums, results demonstrations and especially workshops aimed at explaining, clarifying and publicizing relevant issues in environmental governance through the common policy coordination process. This necessitates recruitment of a full-time and well qualified PSP Division head to work with and coordinate the current part-time staff members seconded from several key ministries.

303. Facilitating dialogue among national, local and community-level stakeholders will not be an easy process. With small, then larger successes from working with and gaining trust among line and provincial agencies through collaboratively strengthening and institutionalizing common policy acceptance and coordination (Section 5.4), the Secretariat's prestige will increase, but this may be expected to take some considerable time. PSP Division staff members will thus need to be the focus of much training and capacity building (Section 5.6.2.2) so as to accomplish their facilitating tasks, which will require tact and patience.

304. Working with the media to reach a wider audience is one of the strategies that can be critical to ensuring correct environmental messages are reaching the maximum and most appropriate target audiences.

305. In addition to policy coordination, developing innovative and successful mechanisms for stakeholder participation and conflict resolution or mediation (Section 6.2.5) as well as serving to competently archive and share database information (Section 6.2.6) can increase trust and national institutional prestige.

306. At the international level, much can be gained from extending the communications strategy to include a program to gain international interest in TSBR. Web site development, attendance at international conferences, newsletters sent out to priority institutions and universities could generate even further support, among other activities. This may be expected to ultimately result in future funding support and collaborative agreements (e.g., for training, technical assistance, research, cross-visits).

307. There are a number of reasons for including attendance at relevant international conferences as a key element of professional training for Secretariat staff and to increase the profile of the Secretariat. The reasons for this additional focus are many but include the fact that the Biosphere Reserve status, linked to the World Heritage Site at Angkor Wat together with the historical, cultural, biodiversity and economic significance mean that it has already become a globally high-profile area. However, the connection with the Tonle Sap Lake is little known. Many might say, “Yes, we now its there, but so”?

308. Linking management of TSBR with that of the Angkor World Heritage Site could be based on a memorandum of understanding among the Secretariat, APSARA, and UNESCO for joint collaboration and mutual technical and funding support. It is not at all unrealistic to then approach large mass media film organizations to produce documentaries that not just focus on Angkor Wat but also on the Lake, the people past and present, and the Biosphere Reserve. National Geographic, Discovery, Anglia Films and many others would find such a documentary very appealing. An international spokesperson promoting the cause of TSBR would have tremendous impact (e.g., as Angelina Jolie, Harrison Ford, Jacky Chan, Sting, Luciano Pavarotti, Bill Gates, Julie Packard, Princes Charles and William, Bono and U-2 have done for similar causes). This is neither ridiculous nor a trivial matter; what is needed is innovative leadership and an influential intermediary to set such high-level international support in place. The Secretariat must not fall into the inhibited trap of “thinking small and remaining small” and must dare to dream what may seem the impossible.

309. The National Geographic magazine, among others such as the Smithsonian and Audubon, have tremendous readerships around the world and would likely be very interested in this mix of culture and the environment that links human ecological interactions from the past and present. It is also not trivial to say that the “Lonely Planet” guide, used by almost every tourist who comes to Cambodia, must be updated as a high priority with a detailed and improved section on the Tonle Sap Lake and its surroundings as a Biosphere Reserve; current information in the guide is confusing at best. Relevant information in this guide is very sketchy, in error and does not stress the importance of TSBR, linked with the ancient Angkor temples. Yet the incredible influence of this guide world-wide must be stressed.

310. Improving increased and sustained communication and coordination with the UNESCO Man and the Biosphere Program Secretariat and its network of regional and international biosphere reserves is essential to raise the status of TSBR in the eyes of the world. There must be increased networking, cross-visits, research and information sharing between TSBR and other significant and well-managed Biosphere Reserves on nearly every continent. This will generate cooperative ventures with other international organizations and experts as well.

## 6.2. Support for Priority Actions

### 6.2.1. Secretariat Support Terms of Reference

311. **Vision:** By 2020, TSBR will be a productive and restored environment supporting biodiversity conservation and sustainable development through internationally recognized model management, extension, training, environmental education, research and monitoring programs.

312. **Objective:** The objective of achieving Secretariat support requirements for priority concepts and actions is to transform the static vision for TSBR into dynamic actions for the Secretariat by implementing near- and mid-term multi-sector policy priority initiatives and facilitating management initiatives within partnerships in support of TSBR goals; namely, (i) contribute to biodiversity conservation and habitat restoration, (ii) foster compatibility of sustainable socioeconomic development with sound natural resource management and environmental protection, and (iii) provide supportive initiatives and mechanisms for biodiversity conservation and sustainable socioeconomic development.

313. **Scope:** The scope of Secretariat support required for priority concepts involves mobilizing an agenda of consensus-building around common policy, to begin implementing the Strategic Action Plan and for staff to implement its prescriptions including engaging common policies and relevant agencies with responsibility for them. Key priority features will go towards supporting (i) biodiversity, NRM conservation, and environmental protection; (ii) sustainable development and livelihoods improvement; (iii) just and equitable distribution of stakeholder benefits and decision-making participation and (iv) supportive mechanisms that will achieve the vision of developing a model Biosphere Reserve for innovative partnerships and comanagement systems, extension, training, environmental education, research, and monitoring programs.

314. **Key Priority Features:** The objective and scope for priority action support result in several key priority features that would unfold over the next 5 years and merge with the broader goals of TSI:

- Common policy coordination with and establishment of TSBR partnerships (e.g., acceptance, operationalizing, and institutionalizing)
- Organizational management and staff development
- Communications and awareness strategy
- Stakeholder participation and conflict resolution
- Information archiving and sharing
- Monitoring and evaluation
- Volunteers and other technical support
- Creative and sustainable financing

315. For translating priority features into actions, support comes first through the Secretariat's financial and staff resources offered by the current TSEMP and secondly by securing alternative funding during the life of TSEMP that will produce financial stability and sustainability of the Secretariat and its mandated initiatives.

### 6.2.2. Policy Coordination

316. Common policies coordination with TSBR partners (e.g., acceptance, operationalizing, and institutionalizing) was discussed in Sections 5.3 and 5.4. There needs to be discussion on the extent to which this can be provided through the current TSEMP as part of participatory

processes. Other funding and or reallocation of current funds will be required to implement this pivotal activity to be implemented by PSP Division, members of which will require capacity building exercises to professionally approach this delicate issue.

317. Funding is required to support the a large number of consultation meetings in Phnom Penh and the relevant provinces in support of the policy and management coordination mechanisms, but refer to Appendix O for the 5-year implementation schedule of PSP Division.

### **6.2.3. Organizational Management and Staff Development**

318. For the Secretariat, this would be best accomplished initially through the VSO Organizational Management Specialist (Appendix N), contracted for 1 year, to produce manuals and design appropriate training exercises for staff as a single group. Several major actions will be required:

- Develop a program for change management, team building and leadership training
- Carry out strategic planning workshops with Secretariat staff.

319. The costs are expected to be minimal thanks to the generosity of VSO support. However, for long-term implementation of ongoing organizational management, additional funding will be required.

320. Funds are required to recruit two well-qualified full-time heads of divisions as soon as possible for PSP and CASP. No additional staff recruitment is anticipated at this time.

### **6.2.4. Communications and Awareness Strategy**

321. A Communications and Awareness Strategy for the Secretariat, or rather in support of the Secretariat to facilitate TSBR initiatives, is now underway with the sub-contracted environmental education and awareness agency Live and Learn to implement TSEMP subcomponent: Formulate and implement a national environmental education and awareness campaign. Budgets have been allocated.

322. Additional technical support will be provided by VSO for a 1-year Communications Strategy and Awareness Specialist (Appendix N).

323. For long-term implementation of ongoing communications and awareness, which never really ends, additional funding will be required.

### **6.2.5. Stakeholder Participation and Conflict Resolution**

324. The Secretariat requires a supporting division for stakeholder participation and awareness, i.e. the CASP Division. Well designed and implemented participation and awareness programs are essential foundations for sustainability.

325. Skills in community relations and conflict mitigation and resolution will be required as apart of an overall integrated training program for CASP and PSP staff. TSEMP budget should be able to cover this under training, but for long-term implementation of this ongoing activity additional funding will be required.

### **6.2.6. Information Archiving and Sharing**

326. A company will soon be contracted to implement TSEMP subcomponent: Develop a TSBR Environmental Information Database and to support and build the capacity of DRM Division. This will be a very large and potentially expensive initiative with current funding secured for the short-term to get TSBR Environmental Information Database underway. For long-term implementation of this ongoing activity additional funding will be required. Once TSBO is established with a Secretariat, it is envisaged that there will be a sharing not only of information and staff but of costs as well.

### **6.2.7. Monitoring and Evaluation**

327. DRM Division has, of course, monitoring and evaluation as part of its terms of reference. Thus, the information presented in Section 6.2.6 is just as relevant to M&E sustainable funding.

### **6.2.8. Volunteers and Other Technical Support**

328. Two 1-year VSO specialists will be based at the Secretariat in 2005–2007 and will have expertise in (i) Organizational Management, and (ii) Communications and Awareness Strategy Development. Through the generosity of VSO these two 1-year senior specialists from VSO's Business Partnership Program are expected to provide significant assistance to the Secretariat. The Secretariat should consider a long-term arrangement with VSO and other foreign aid agencies to provide additional assistance as needed. As for the more expensive TA consultants, a long list of desirable expertise could be prepared but this will depend upon budget limitations. After TSEMP, it is doubtful that the Secretariat will be able to hire expensive TA consultants.

### **6.2.9. Creative and Sustainable Financing**

329. There are many ways to overcome funding constraints so that the Secretariat can be secure and sustainable beyond the life of TSEMP.

330. One possibility is to establish a Tonle Sap Biosphere Reserve Trust or Fund, which will most definitely require expert technical support and probably from an international consultant. However, this would be money well spent as the process to develop such a Trust or Fund is lengthy.

331. A program of Sustainable Financing for Community Partnership Building should be considered to establish the mechanism to manage a TSBR Fund or Trust to finance activities that relate communities with biodiversity conservation. Such a program's explicit aim would be to empower buffer-zone communities so as to improve governance over local development processes and build a foundation for increasingly sustainable management of natural resources. Empowerment necessarily means that communities will play a significant role in creating rules and making decisions. The implication is that rules and decisions will improve and, equally important, communities will accept greater responsibility for and become more effective at increasing compliance and managing conflicts. The design of the Fund or Trust's competitive grants process, the Secretariat's role in guiding adaptive management planning at specific sites within in TSBR and the quality of training and field support will all be important to ensure these results occur.

332. Other grant sources to name but a few, include UNESCO, UNDP, UNEP, FAO, and GEF through eligible GEF agencies as well as the Ramsar Small Grants Program. However, this

requires someone who can prepare sometimes lengthy project proposals according to specific funding agency guidelines. Funding can also come from bilateral agencies (e.g., USAID, JICA, GTZ, DANIDA) but also from a whole range of international philanthropic organizations. Some funding can be acquired through NGO partners with the Secretariat, particularly for community advocacy and NRM issues, as the Secretariat as a RGC agency is unable to access many such funds through government bureaucratic restrictions.

### **6.3. Summary of Recommendations**

333. Achieving the vision of developing a model Biosphere Reserve will require sustained dedication of well trained staff and the financial resources to achieve the vision, goals, and objectives of TSEMP by 2002.

334. Successful policies result from using a whole spectrum of behavioral change techniques, typically through advocacy and communication programs targeted at relevant levels of government and civil society stakeholders. At another level, successful implementation of TSEMP activities will depend on understanding the policy environment of many economic development sectors (e.g., fisheries, agriculture, forestry, industries, tourism, shipping, trade) and their sometimes profound and unintended consequences for sustainable management of natural resources.

335. Implementing policy requires institutional structures based on mutual rights and responsibilities of stakeholders. This can only be realized in a decentralized system, whereby each government level has clearly defined rights and responsibilities. In this way the participation of stakeholders could be maximized as well as providing an overall integration of activities and avoiding duplication of efforts.

336. Main recommendations for the Secretariat follow:

- **Management Framework Elements**
  - A priority list of 44 common policies was identified from the review and analysis. These will need to be reviewed through a process of consensus among key agency stakeholders to arrive at a final set of common policies that are acceptable.
  - The functions, vision, goals, objectives and common policies form the elements of a management framework or MPA that will serve to facilitate collaboration and cooperation among TSBR management partners.
- **Common Policy Coordination Framework**
  - MPA is based on TSBR functions, vision, goals, objectives, common management principles and priority common policy objectives to define and guide how TSBR stakeholder partners will collaborate with strengthened Secretariat support and facilitation.
  - The proposed coordination mechanism is based on MPA to support common policies and in line with the overall proposed TSBO. The mechanism will need to become operational as a part of TSBR Secretariat's Strategic Action Plan and within the framework of the overall TSBO once it is established.
  - A Provincial Management Working Group (PMWG) in each of the five TSBR provinces will be directly connected and facilitated by the proposed national policy coordination body, the TSBC. PMWG focus will be on management of people, resources and ecosystems. Each PMWG will coordinate program formulation and implementation within TSBR to

optimize biodiversity conservation and the sustainable development and to address conflicts, develop common programs and regularly monitor activities.

- PAF in each of the five TSBR provinces is intended to be primarily a civil society consultative forum and will be directly connected to and facilitated by the Secretariat.
- Sub-basin committees, as a part of the TSBO structure and where much real “on the ground” work will be implemented, will be the entry point for initiating activities reviewed and endorsed by the relevant PMWG and PAF.
- **Approach to Strategic Planning**
  - To strengthen organizational management, with an emphasis on the RGC’s general policy on decentralization, the Secretariat will need technical and financial support for activities in two main areas, namely: (i) establishing and supporting a management team approach, and (ii) establishing organizational systems and an effective organizational structure.
  - From assessing progress, the Secretariat will need to periodically review the strategic plan, make necessary changes and adapt its course based on evaluations. Any revised plan must then take into consideration emergent strategies and any unexpected changes affecting the Secretariat's progress.
  - Strategic planning should be conducted each year so as to be ready for the coming fiscal year. In this case, annual strategic planning will need to be conducted in time to identify the Secretariat’s (i) goals to be achieved over the coming fiscal year, (ii) the resources that will be required to achieve those goals, and (iii) funding sources. If the process is successful, the required funds will be included in budget planning for the next fiscal year.
  - The Secretariat's strategy will apply a landscape approach toward scientific management of TSBR.
- **Operationalizing a Coordination Mechanism to Support Common Policies**
  - The proposed MPA will guide how TSBR partner stakeholders will collaborate. MPA is a means to support the aspiration of the Secretariat that TSBR management will be through strategic collaborative multi-stakeholder partnerships. This is required to ultimately overcome detrimental effects of conflicting intersectoral policies and practices.
  - Developing good systems and putting them in place will take considerable time. Developing skills for managing new procedures and systems requires training, particularly if a decentralized approach to management is the focus. The Secretariat will need technical and financial assistance to develop and carry out appropriate training programs as soon as possible while the proposed systems are being developed
  - Several key tasks to make the Secretariat’s organizational systems operational will ultimately be determined by the Secretariat itself but could include:
    - Identifying and clarifying roles, responsibilities and priorities in the context of what needs to get done and who needs to do it. This will lead to agreed job descriptions and will also help identify the capacities needed to fill these roles

- Developing work planning procedures and formats combined with effective performance monitoring of individual staff and the overall Secretariat
- Reviewing staffing needs and link these to a proposed decentralized structure, which would then fall into a new personnel policy system
- Developing a management information system for data archiving and sharing based on the existing system and coordinate and network data among users
- Developing improved financial systems and achieve sustainable financing from a variety of sources
- Preparing a Secretariat organizational management or operations manual covering management support systems and human resources or staffing policies
- Preparing and conducting strategic workshops and other methods with line and provincial agencies to achieve consensus on common policies
- Strengthening and Institutionalizing Common Policy Coordination
  - Secretariat staff must be able to set priorities, define results, and apply resources in response to each specific agency's requirements so as to ultimately see the common policies put into action. Enabling these agencies to review and understand their policies and practices is the necessary first step. The ways and means must be found to successfully promote, gain acceptance and ultimately institutionalize the priority common policies among key partner stakeholders within line and provincial government agencies.
  - Steps to develop a common policy coordination mechanism will begin with establishing MPLAB comprised of influential representatives from CNMC member ministries and from each of the five TSBR Provincial Governor's offices.
  - One significant objective is to develop shared or joint priority setting procedures that can be applied in JPCGs for further common policy development. The intent is to develop a dialogue among key agency stakeholders to assess priorities.
  - Actionable first steps linked to a short-term (near-term) schedule must first be identified followed by steps linked to a long-term schedule over the next several years. Task categories are identified in the PSP Division implementation schedules.
  - Steps to Institutionalizing Common Policy Coordination include
    - Step One: Establish and Convene MPLAB
    - Step Two: Common Policy Review and Assessment.
    - Step Three: Common Policy and Legislation Formulation
    - Step Four: Implementing an Improved and Enabling Set of Common Policies for Improved and Coordinated TSBR Management.
- Defining Secretariat Roles and Responsibilities
  - The Secretariat requires a division skilled in stakeholder participation as part of a communications strategy, i.e. the proposed CASP Division
  - Terms of reference for MPLAB, JPCGs at national and provincial levels should be considered and reviewed.

- Technical working groups, organized through the Secretariat will be established for four technical areas; namely, (i) land-use, agriculture and water resources; (ii) fisheries; (iii) biodiversity and environment, and (iv) socioeconomic development and livelihoods. The proposed draft terms of reference for technical working groups
- Building the Secretariat's Division and Staff Capacity
  - Strengthening the Secretariat's capacity for leadership in facilitating this process will be the key to long-term success. Developing capacity to institutionalize TSBR common policies within line and provincial agencies can include several means including (i) adapting existing policies, (ii) training, and (iii) hosting bilateral activities, among others
  - Assistance from accredited training institutions and universities appropriate for these topics should be engaged to conduct the Secretariat training preferably in a hands-on or learning-by-doing trial setting.
  - MPLAB and four Secretariat divisions are proposed: PSP, DRM, CASP, and F&A.
  - One full-time F&A Division Coordinator be selected from among the current F&A staff, one head of DRM from existing staff, but two new full-time staff need to be recruited to head up the PSP and CASP Divisions.
- Establishing and Building the Secretariat's Institutional Support and Prestige
  - Developing a progressive approach for the Secretariat to build its institutional prestige will need to be done both nationally and internationally primarily through strategic networking and well designed and implemented media campaigns initiated by the Secretariat and later expanded to include active partner participation.
- Future Support for Secretariat Priority Actions
  - The objective and scope for priority action support result in several key priority features that would unfold over the next 5 years and merge with the broader goals of the Tonle Sap Initiative:
    - Common policy coordination with and establishment of TSBR partnerships (e.g., acceptance, operationalizing, and institutionalizing)
    - Organizational management and staff development
    - Communications and awareness strategy
    - Stakeholder participation and conflict resolution
    - Information archiving and sharing
    - Monitoring and evaluation
    - Volunteers and other technical support
    - Creative and sustainable financing

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