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Australian Centre for
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Annual report

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1 Progress summary

The project has made important progress in various aspects of fieldwork, enhancing clarity of roles, improved communication channels, and defining procedures for research and research communication activities. The significant achievements of this first year concern the development of working relationships among project researchers, stakeholders, participating landholders and community forestry user groups (CFUGs). We have worked through some of the vagaries of roles, responsibility and accountability that existed after the Inception workshop by appointing an in-country project leader, Dr Naya Sharma Paudel, 3 Research Group Leaders, 5 disciplinary leaders (modelling; market; institutions, access and equity; policy; GIS;) and 2 activity coordinators (baseline survey; field action research).

This required a lot of discussion and documentation within the project team to develop:

1. roles and responsibilities of partners, especially among Nepal members;
2. resource allocation and acquittal processes;
3. research methodology integrating quantitative and qualitative research methods; and
4. system of communication and coordination across research teams /themes

The project structure is working well. However, the engagement, coordination and delivery are uneven across the 7 research activities. We started liberally with a large group of individuals suggested by the partner organisations in Nepal, and now we are settling on a more realistic number of researchers. Only about a third of the individuals listed on the project appear to be actively engaged. We expect that the team membership will evolve and we will continue to revisit the roles of marginally active researchers in the upcoming action research meetings for better streamlining the research investment and teamwork. This achievement will provide a solid foundation for effective work for the next four years.

The engagement of stakeholder-partners such Ministry of Forests and Soil Conservation (MFSC) and Federation of Community Forest Users in Nepal (FECOFUN) is critical for the success of this project and considerable effort has been directed to secure this. We have been able to hold several rounds of meetings with the heads of DoF and Secretary of the Ministry of Forests and Soil Conservation, and have been able to work collaboratively with DFO at the field level. The relationship with FECOFUN at the district level has become firmer but still needs to be field-tested and nurtured especially on the role of FECOFUN centre.

We have engaged six village research sites (aligned with six village development committees - VDCs) across Kavre and Lamjung districts and 24 CFUGs around them. A comprehensive baseline survey of 600 households across the sites has gathered quantitative and some qualitative data. This base-line survey will inform our discussions with farmers and CFUGs as we develop innovative agroforestry and community forestry systems and institutions in a participative process. The baseline survey data will also inform the modelling activity which will be used to estimate the impact of these innovations on food security and livelihoods. We have also planned qualitative baseline report covering household, community and district level data to complete the household survey. We developed both qualitative and quantitative baseline framework through extensive face-to-face and basecamp-based meetings and discussions (Refs: 2014_ 38 to 41).

The overarching research framework is that of action research that integrates biophysical, market, social,institutional and policy research activities. In this reporting period the project has had one full action research cycle: from Inception in May 2013 to Action Research Planning Meeting (ARPM) #1 in January 2014. It is also been through most of the second cycle as we schedule ARPM#2 for July 2014. This framework is working effectively because the Nepal partners, all with a long history in community forestry, are well-acquainted with deliberative action research processes. We are still refining the methodology to suit various research objectives, and anticipate that one of the science

outcomes of the project could be more refined version of AR methodologies that can work better in Nepalese context. Our use of the online project management platform, Basecamp has been very useful for facilitating some deliberative processes.

2 Achievements against project activities and outputs/milestones

Note on scheduled completion dates: The Y:Q completion dates from the original proposal are provided in [square brackets] in the outputs table. At the ARP meeting #1 (Jan 2014) we revised the expected delivery dates and these are given outside brackets and in *italics*. The dates have also been adjusted to account for the fact that the project started in Y1:Q2. Details of project documents referred to in this table are given in Section 9.1.1

Objective 1: To improve the capacity of household based agroforestry systems to enhance livelihoods and food security

Activities	Outputs/ Milestones	Planned & *Actual* Completion Date	Comments
Activity 1.1: Identify baseline conditions and drivers of agroforestry practice and opportunities to improve productivity and increase income generation	O1: Workshop proceedings including a list of 'best-bet' innovations in agroforestry practice (e.g. tree species, tree-compatible commercial crops and management systems). (PC)	[Y1:Q1]	This 'best-bet AF innovations" workshop was supposed to take place as part of Inception Workshop 12-17 May 2013 is reported in ref: 2013_2. However, the team was not yet ready for that at the time. A preliminary document listing these is ref:2014_21 . A complete document will be ready for ARP Meeting #2 (June 2014)
	O2: Report of baseline information for developing pilot sites for use in Activity 1.5. (PC)	[Y1:Q3] *May 2014*	The baseline survey was undertake in 2013 / early 2014 and was split into a quantitative and qualitative components. There has been delay in delivery of the report due to the time taken to devise and collate the database. The draft reports for Qualitative baseline survey were delivered AF (2014_38); CF (2014_39) and UUL (2014_40. The report of the Quantitative Baseline Survey has also been delivered (2014-41), but more organised narrative reports is expected to presented at ARPM#2
	O3: Scientific publication describing drivers to farming systems, farmers existing agroforestry practice, and perceptions about limitations to their livelihoods across **6** distinct agro-ecological settings. (A)	[Y2:Q1] *May 2014*	This is not ready yet because of the delay with the baseline survey. The report of the Quantitative Baseline Survey has also been delivered, but more organised narrative reports is expected to presented at ARPM#2 16) and 6th Community Forestry Workshop (see Table 5)
Activity 1.2: Analyse the markets and value-chains for products from agroforestry systems	O4: Report with short list of researchable existing and potential innovative market opportunities from both inside and outside Nepal that can be incorporated into agroforestry on private lands (PC)	[Y1:Q4] *Due April 2014, but late*	This activity group has not been working systematically to deliver this report. There are some working papers that need to be pulled together and discussed as part of ARP Meeting #2, before this report can be finalised
Activity 1.3: Analyse policy, institutional and governance issues associated with improving livelihoods from agroforestry systems	O5: A policy discussion paper highlighting links between key governance variables and agroforestry contribution to livelihoods (A leads, PC and ICRAF contribute)	[Y2:Q4] *April 2015*	Not due
	O6: A scientific paper demonstrating how prevailing policy, institutions and governance shape and determine the livelihoods and food security outcomes of agroforestry	[Y4:Q4] *April 2017*	Not due
Activity 1.4: Develop functioning models to inform improved interactions between farm and forest systems	O7: Report of model design workshop (PC)	[Y1:Q1] *July 2013*	This workshop was originally planned as part of Inception activities but the team was not ready. It was delayed until November 2013 for a special meeting in Bogor. The output is ref: 2013_10 which was completed in December 2013.
	O8: Model of decision-making processes in land use (A)	[Y1:Q4] *Sep 2014*	This model requires more time to interrogate the information from the qualitative baseline study, so the expected delivery date has been delayed
	O9: Model of nutrient and energy flows in farm-forest system (A)	[Y3:Q2] *Oct 2015*	Well on track to achieve this

	O10: Scientific publication quantifying nutrient and energy flows through the farm-forest system. (A)	pY3:Q3] *Jan 2016*	Not due
	O11: Scientific publication establishing the biophysical basis for sustainable agroforestry innovations (A & PC)	[Y5:Q4] *Apr 2018*	Not due
Activity 1.5: Plan, implement and evaluate participatory action research of innovative agroforestry systems and market opportunities at 6 sites	O12: Report of proposed participative research designs and value-chain enhancements	[Y2:Q2] *Dec 2014*	There has not been enough community engagement yet. So the due date has been set back to December 2014
	O13: 6 pilot sites of improved commercial agroforestry systems for demonstration purposes (PC)	[Y3:Q4] *Apr 2016*	Not due
	O14: Publication of appropriate agroforestry options for 6 agro-ecological zones(A)	[Y4:Q1] *Jul 2016*	Not due
	O15: A resource book and other extension products for farmers interested in new agroforestry and market opportunities (PC lead, A contribute)	[Y5:Q2] *Oct 2017*	Not due. However, SM Amatya & I Nuberg are currently writing an agroforestry textbook for the new university curriculum. This will be completed by end of 2014.
	O16: Farmer-to-Farmer training of improved agroforestry systems (PC)	[Y5:Q3] *Jan 2018*	Not due
	O17: Recommendations for institutional and policy arrangements to enhance livelihoods through agroforestry (PC)	[Y5:Q3] *Jan 2018*	Not due
	O18: Recommendations for service provision to further the enhancement of livelihoods and food security from agroforestry (PC)	[Y5:Q3] *Jan 2018*	Not due

PC = partner country, A = Australia

Objective 2: To improve the functioning of community forestry systems to enhance equitable livelihoods and food security of CFUG members.

Activities	Outputs/ Milestones	Completion Date	Comments
Activity 2.1: Analyse the status of community forestry systems and constraints to improving livelihoods and equitable benefit flows.	O19: Report of baseline information for developing pilot sites for use in Activity 2.5 (PC lead, A contribute)	[Y1:Q4] *Apr 2014*	In addition to baseline assessment, researchers are reviewing the literature both grey and scientific; collecting qualitative and quantitative data, undertaking preliminary analysis of findings and presenting in the conferences. These have enriched the baseline analysis report. A draft qualitative baseline report has been produced and shared among the project team members (May 31st). After comments from reviewers, the report will be finalis~~z~~ed .
	O20: Discussion paper outlining progressive and regressive links between a) critical community level dynamics and b) resource management, access and utilization (PC lead, A and ICRAF contribute)	[Y2:Q4] *Apr 2015*	Not due
	O21: A scientific paper highlighting key patterns of livelihood outomes from community forestry in the study sites (A lead, PC and ICRAF contribute)	[Y3:Q4] *Apr 2016*	Not due
Activity 2.2: Identify innovative community forestry institutions and management practices	O22: Report summarising the innovative options for improved community forestry management for presented by three altitudinal zones (PC lead, A and ICRAF contribute)	Y1:Q4 *Apr 2014*	This has not been completed yet. CF team collecting data from project districts as well as from the national level. A report on CF innovations will be shared before the next ARP meeting (8-9 July).
	O23: Workshop proceedings with recommendations for researchable forest management institution and practices, and indications for research to lessen constraints on best practice forest management (PC lead, A contribute)	[Y3:Q4] *Apr 2016*	Not due

	O24: A scientific paper identifying patterns of institutional innovations in community forestry systems (A lead, PC and ICRAF contributes)	[Y5:Q4] *Apr 2018*	Not due
	O25: Capacity building seminars (PC and A jointly)	[Y5:Q4] *Apr 2018*	Not due
Activity 2.3: Analyse markets and value-chains for products from community forests.	O26: Report with a short list of researchable market opportunities that can be incorporated into community forestry (PC)	[Y2:Q1] *Jul 2014*	It is intended that this report will be ready after ARPM #2 The report will also identify regulatory and policy barriers and opportunities for intervention. .
	O27: Publication of institutional innovations in CF systems (A)	[Y2:Q3] *Jan 2015*	Not due
Activity 2.4: Analyse policy, access, tenurial and institutional limitations of community forestry	O28: A research report detailing the policy, access, tenurial and institutional limitations of, and innovation opportunities in, community forestry (A lead, PC and ICRAF contribute)	[Y2:Q3] *Jan 2015*	Not due
	O29: A policy brief recommending policy changes for improving livelihoods and equitable benefit flows from community forestry (PC lead, A contribute)	[Y3:Q4] *Apr 2016*	Not due
	O30: A scientific paper analysing the critical policy and institutional constraints to food security in community forestry innovation systems (A lead, PC and ICRAF contribute)	[Y4:Q4] *Apr 2017*	Not due
Activity 2.5: Design, implement and evaluate participatory community forestry action research trials	O31: Report outlining research designs and agreements made with up to 6 CFUGs (PC)	[Y2:Q2] *Oct 2014*	Priority researchable areas have been identified through the joint meetings of the CFUG executive committees and the Local Research Groups (LRGs). A draft for the MOU with the CFUGs have been developed. These will form the basis for further action research in the six priority CFUGs
	O32: Report on a survey of the early impact of the project in the Middle Hills (PC, A contributes)	[Y3:Q3] *Jan 2016*	Not due
	O33: Report of results of silviculture trials in community forests	[Y4:Q4] *Apr 2017*	Not due
	O34: 6 pilot sites with functioning models of community forestry practice for demonstration purposes (PC lead, A contribute)	[Y4:Q4] *Apr 2017*	Not due
	O35: A resource book and other extension products for community forest user group (CFUGs) members on best practice forest management, commercial and institutional arrangements that increase the level and equitable access to benefits from community forests (PC lead, A contribute)	[Y4:Q4] *Apr 2017*	Not due
	O36: A practitioner's guidebook to facilitate adaptive action research in community forestry systems (PC lead, A contribute)	[Y4:Q4] *Apr 2017*	Not due
	O37: Scientific paper describing the refined adaptive action research approach to facilitate community forestry innovation including its challenges, (A lead, PC contribute)	[Y5:Q4] *Apr 2018*	Not due
	O38: Scientific paper analyzing the links between contexts, processes, and outcomes of adaptive action research on food security and equitable livelihoods (A lead, PC contribute)	[Y5:Q4] *Apr 2018*	Not due

PC = partner country, A = Australia

Objective 3: To improve the productivity of, and equitable access to, underutilised and abandoned agricultural land

Activities	Outputs/ Milestones	Completion Date	Comments
Activity 3.1: Conduct key informant survey at district and village levels to identify the status of abandoned and under-utilised land in the study districts and sites complimented by GIS based information	O39: Preliminary key informant survey supported by GIS-generated maps of land use, tenure and access of 6 study sites with a focus on under-utilised and abandoned agricultural land (PC)	[Y2:Q2] *Oct 2014*	This survey is currently underway and requires more time to analyses and deliver the report. Expected delivery is in October 2014
	O40: Report on Training opportunity for Institute of Forestry students (PC)	[Y2:Q2] *Dec 2014*	Preliminary discussions are underway to develop an integrated study of Lapsi by Bachelors and Masters student projects at IOF. This will be developed further as part of ARP meeting #2
Activity 3.2: Generate in-depth case studies (8 different household / farm level cases) of land abandonment and underutilization to understand how multiple drivers cause underutilization and abandonment	O41: Report describing the drivers and dynamics of land use in the Middle Hills (PC)	[Y1:Q4] *Jul 2014*	This essentially completed in the form of the conference paper by K. Paudel et al (ref: 2014_13). The paper is now being refined for the submission to a peer reviewed journal publication (Output 43)
	O42: Household case studies of land access, use and abandonment (PC)	[Y1:Q4] *Dec 2014*	Delivery date revised to December because of delays in the baseline survey work.
	O43: A scientific paper explaining genesis of under-utilised agricultural land (A lead, ICRAF and PC contribute)	[Y2:Q2] *Dec 2014*	A journal article has been submitted to the Journal of Forests and Livelihoods. This is at the final stage of publication (Output 44)
Activity 3.3: Analyse institutional, policy and legal issues associated with accessing under-utilised and abandoned land.	O44: Report on policy and legal environment of land access with particular reference to the 6 study sites, along with the identification of opportunities for action research innovations (PC lead, A contribute)	[Y3:Q4] *Apr 2016*	Not due
	O45: Report analysing the policy and legal implications of the action research innovations coming out of 3.4 (to be conducted in year 5) (A lead, ICRAF and PC contribute)	[Y4:Q4] *Apr 2017*	Not due
	O46: Policy brief with recommendations on how to encourage the productive use of under-utilised and abandonned land, and how the benefits of this use is equitably distributed (A lead, ICRAF and PC contribute)	[Y4:Q4] *Apr 2017*	Not due
	O47: A scientific paper explaining on how and why policy and institutional regimes produce (or do not produce) fallow land (A lead, PC and ICRAF contribute)	[Y4:Q4] *Apr 2017*	Not due
Activity 3.4: Plan, implement and test management options to bring under-utilised and abandoned land back into production and equitable use	O48: Workshop proceedings with a short-list of feasible options for under-utilised and abandoned land (PC lead, A contribute)	[Y2:Q4] *Apr 2015*	Not due
	O49: Report outlining specific action research threads along with agreements on planned land management and institutional experiments (PC lead, A and ICRAF contribute)	[Y2:Q4] *Apr 2015*	Not due
	O50: Report of the success of integrated land management options (PC lead, ICRAF contribute)	[Y5:Q4] *Apr 2018*	Not due
	O51: A scientific paper analysing the context, process, and outcomes of the innovations (A lead, ICRAF and PC contribute)	[Y4:Q4] *Apr 2017*	Not due

3 Impacts

3.1 Scientific impacts

The project has made several important starts towards scientific publications:

- analysis of community level dynamics of forestry/agroforestry/land use
- analysis of policy regimes in relation to CF/AF use for food security and livelihoods
- development of models to understand resource management and livelihoods
- wider communication of preliminary findings via World Agroforestry Congress
- presentation in the upcoming Community Forestry Workshop and sharing ideas with policy makers

We have also started a comprehensive review of food security related literature related to both Nepal and outside with relevance to the project (ref: 2014_37). This will allow research team to present their findings fully informed of what is already out there. It has also advanced research methodology through an especially designed workshop participated by over 30 researchers and collaborators.

The project is still young, yet there has been significant scientific impact by nature of the scoping papers developed for the Project Planning Workshop in June 2012 (ref: 2012_1). In addition the papers and posters presented at the 3rd World Congress on Agroforestry (February 2014) have taken some of the project's scientific capital to the international audience (see Section 3.4.4).

The Research Methodology Workshop held in January 2014 resulted in a series of definitions and agreements which are codified in the Yalamaya Protocol (see appendix 9.3). This will define the capacity for the project to undertake interdisciplinary research.

3.2 Capacity impacts

The project has started to generate considerable capacity outcomes in the following aspects:

- Two researchers joined PhD (one supported by JAF and the other by Swedish government)
- Research methodological skills were enhanced through a two-day workshop. There has been ongoing research mentoring and communication between international,national and local researchers, and within the national researchers with various research capacities
- On-site joint learning and sharing between international and national researchers
- Conference presentation skills were enhanced through peer to peer mentoring for the World Agroforestry Congress presentation
- Paper writing skills
- Science literature review skills around the concepts of food security and increased ability in the team to undertake more structured and purposeful review of literature.
- Better understanding of the AF/CF/UUL -food security link through workshops, trainings

A series of workshops, small meetings and training events have been organised as part of the project implementation right from the national level through district to community levels. Stakeholder had opportunity to learn and engage in dialogue on issues of food security, livelihoods and research methods. District level stakeholders enjoyed similar opportunities in two separate meetings in Kavre and Lamjung. Such meeting were organised at the site level and CFUG level with emphasis on assessment of potential natural resources and their

markets. Several interactions that were held at the community level as the part of site selection and later on baseline, community member learnt a lot on the issues of food security and livelihoods. A large mass of activists and community members have benefitted from such events. (the outcomes are documented in report on these workshops, trainings and meetings refs: 2014_15, 2014_26).

3.3 Community impacts

3.3.1 Community engagement

Engagement with the community forest users groups and the Village Development Committee in the six research villages in Kavre and Lamjung Districts has been a pivotal precursor step in all field activities of the project. Table 1 lists the villages and CFUGs engaged at the six research sites. These engagements take many forms including attendance to CFUGs general assembly, CFUG and VDC level meetings to obtain permission in conducting the Baseline Survey, focus group discussion to collect baseline data and community consultations leading to the formation of local research groups. A chronological listing of all community engagement is provided in Table 2. This listing does not include training activities which is reported under Section 4 of this report.

Moreover, these series of community engagement created impacts such as:

a) Building-up partnership of CFUGs and the whole village to major Agroforestry and Community Forestry non-government organisations in Nepal that are involved in the project, e.g. Nepal Agroforestry Foundation, Forest Action Nepal, SEARCH Nepal, and International Union for Conservation of Nature

b) Exposure of CFUGs and the whole village to international and national academic/research organizations involved in the project, i.e. The University of Adelaide (Australia), The University of New South Wales (Australia), Tribhuvan University (Nepal), the World Agroforestry Centre (ICRAF) (Indonesia), and Australian Centre for International Agricultural Research (ACIAR). We are aware that there are some issues relating to raising of unrealistic rexpectations, and improved the communication and engagement strategy

c) Boost enthusiasm in advancing community forestry-based initiatives for conservation of natural resources and improving livelihoods resulting from informal and formal dialogue with project staff and community members

d) Created space for CFUG members' reflections to make the most of the opportunities that the EnLiFT Project could potentially bring to them. This has been exhibited with the upfront expression of the communities expectations form the project

e) Held workshops with district level stakeholders including political leaders to create conducive environment for action research at local level

In some situations, we have experienced raising of community expectations from the project, partly associated with the previous legacy of development projects. We have discussed this and have incorporated guidelines to manage expectations in the Yalamaya Protocol.

Table 1 Research sites and participating CFUGs (Note: the CFUGs listed as #1 are priority for intensive research activities)

District	Village Research Site	Community Forest User Groups	
Kavre	**Chaubas**	**1. Pahagar khola baneko danda** 2. Thople kamere	3. Chapani kawa gadi danda 4. Dhara Pani Hile
	Dhungkharka	**1. Kalopani Ban** 2. Narayensthan Ban	3. Khahare Ban 4. Jana Jagriti
	Methinkot	**1. Saune Pakha/Saparupa** 2. Charuwa Ban	3. Methinkot Ban 4. Iapse Ban
Lamjung	**Nalma**	**1. Langdi Hariyali** 2. Kagrodevi Hariyali	3. Khundu Devi 4. Sunkot Devi
	Dhamilikuwa	**1. Aamp chaur** 2.Lupu Gaun	3. Simalchor narighat 4. Garambesi/Champhabati
	Jita/Taksar	**1.Lampata** 2.Nag Bhairab	3.Sathi mure 4.Kritipur

Table 2. List of community visits, purpose, community meetings attended, institutions of community visitors

| Date of Visit	Place Visited	Purpose of Visit	Institutional Affiliation of Visitors
May 14, 2013	Dhulikhel and Ratmate, Kavre	District inception and field visit to Ratmate CFUG	All partner organisations and team members
May 15-16, 2013	Besisahar, Jyarkhang, Lamjung	District inception and visit to Jyarkhang, Nalma,	All partner organisations and team members
21-23 May	Chaubas, Chautara (Sindhupalchowk), Dhulikhel	Interaction with community in Chaubas and DFOs in Sindhupalchowk and Kavre	UNSW, UniAdelaide, FAN, SN
7-9 June (Kavre)	Pachkhal, Methinkot, Bhakundebesi, Dhungkharka, Kusadevi	Potential CFUG visit	FECOFUN, FAN, IUCN, SN, DFO
25-27 June (Lamjung)	Dhamilikuwa, Jita/Taksar	Potential CFUG visit	FAN, NAF, SN
9-11 August, 2013	Dhungkharka, Methinkot, Chaubas	CFUGs selection	FAN, NAF,DFO, FECOFUN
16-18 August, 2013	Jita/Taksar, Dhamilikuwa, Nalma	CFUGs selection	FAN, NAF,DFO, FECOFUN
6-20 December, 2013	3 sites of Kavre and 3 sites of Lamjung	Baseline survey	All partner organizations and enumerators hired at local level
16 January, 2014	Methinkot, Kavre	Team visit after Action Research Meeting	All partner organizations
17 January, 2014	Dhungkharka, Kavre	Observation on farming system	ICRAF team
26-27 January, 2014	Dhungkharka, Kavre	Interaction and observation with the communities	UNSW, Uniadelaide, FAN, NAF
3-6 February, 2014	Dhamilikuwa, Tandrang-Taksar/Jita	Interaction and observation with the communities	UNSW, Uniadelaide, FAN, SN
16-18 Feb, 2014 23-28 Feb	Phagarkhola (Chaubas), Langdi Hariyale and Lampata (Lamjung)	Quick silvicultural appraisal	Madan Basyal, Ajay Bhandari, Govinda Paudel,
2 March 2014	Methinkot	Saparupa General Assembly	Govinda Paudel, Sabina Lamichane
1-5 March	Kalopani and Saparupa (Kavre)	Quick silvicultural appraisal and qualitative date of CF	Madan Basyal, Ajay Bhandari, Govinda Paudel
8 March 2014	Methinkot	Charuwa CFUG General assembly	Govinda Paudel
10-14 March and	Kalapani, Saparupa, Lampata	Qualitative data collection of CF	Govinda, Ajaya, Madan, Khadka, Krishna P
12-14 March	Visit of AF team to Lamjung	Best bet AF system documentation	NAF, FAN
13-14 March	Visit to Taksar/Jita by GIS team	Getting acquainted with village and informing about upcoming activities on GIS	IOF
20-22 March	AF team to Kavre	Best bet AF system documentation	NAF, FAN
22-23 March	Methinkot and Dhungkharka by GIS team	Getting acquainted with village and informing about upcoming activities on GIS	IOF
26-29 March 2014	Visit of UUL team to Nalma	Pilot testing of UUL checklist and tools and qualitative baseline	FAN, IUCN
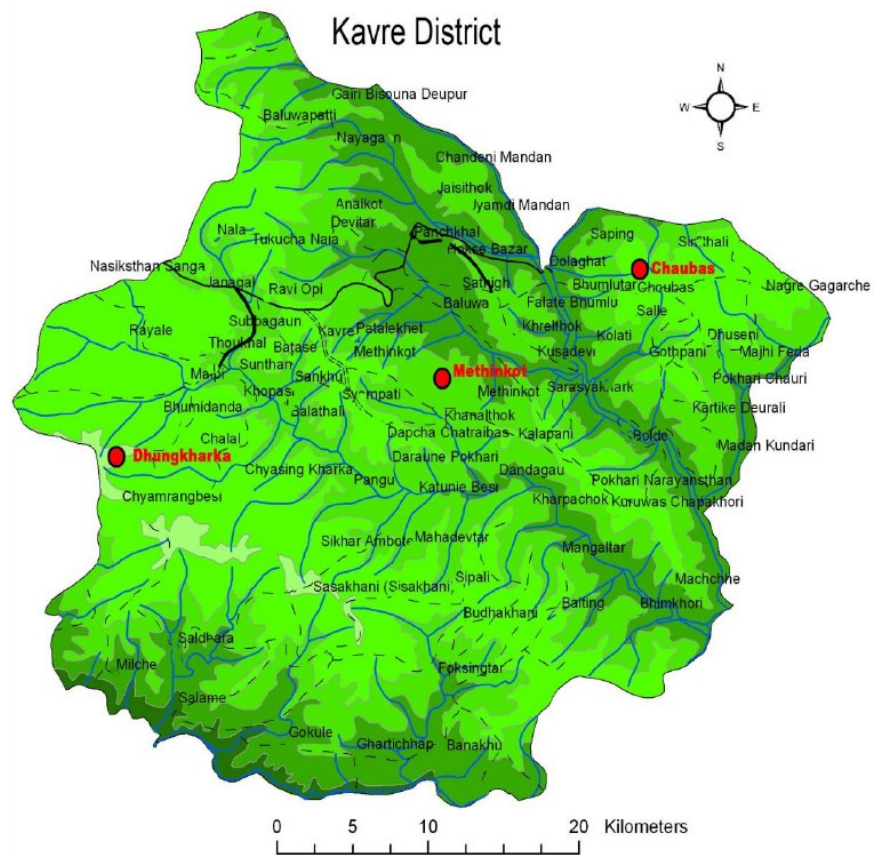
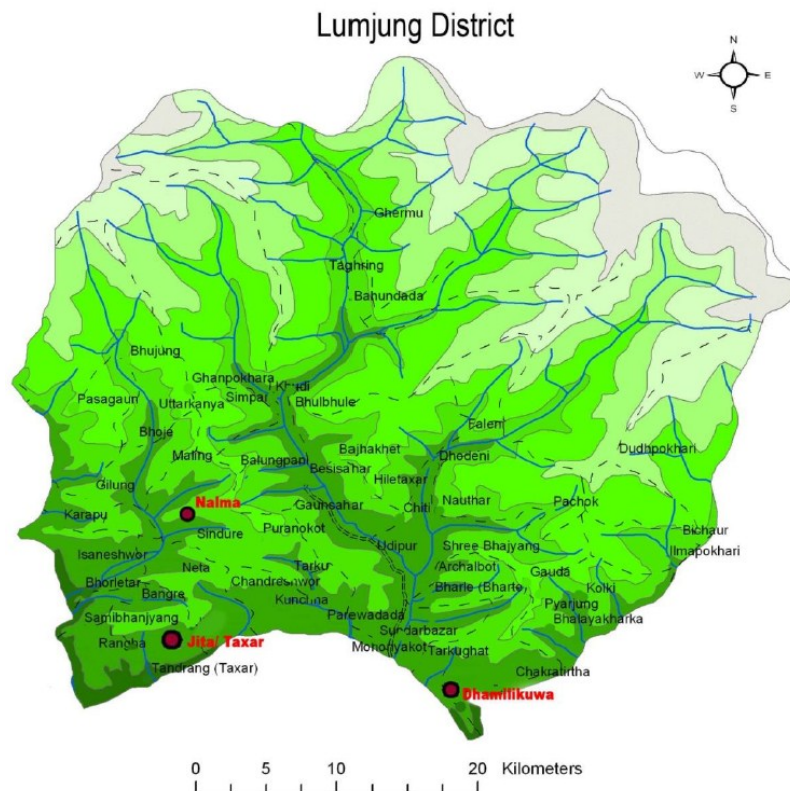**Figure 1 Kavre district and research sites**

Figure 2 Lamjung district and research sites

3.3.2 Economic, Social and Environment impacts

At this early stage of the project we can not expect any significant impact on incomes, social institutionsand the environment from the project activity. Our research is informed by a good consideration of impact pathways:

- Identifying market, exploring value chains and analysing policy barrers to marketing of CF and AF products
- Focus on inclusion at community level
- Identifying and analysing institutional innovations for enhancing entrepreneurship activities at the community level
- Learning from indigenous knowledge system and practices of AF and CF to create synergy for improved policy recommendations
- Conducting silvicultural assessment to ensure sustainability in harvesting

3.4 Communication and dissemination activities

The improvement of communications within and beyond the project has been an extremely important activity for this first year of the project. The problems that emerge from poor communications became apparent very early after the Inception Meeting. The team has therefore worked hard, and with great patience, to develop clear lines of communication and responsibility within the project with a view to ensure that the project has aa recognisable public presence in Nepal.

3.4.1 Internal communication

It should be noted that the configuration of organisations involved in this project is quite unusual both in terms of ACIAR projects and how the Nepal partners themselves usually operate. There are 3 international partners (Uni Adelaide, Uni NSW and ICRAF) and 7 Nepali partners (FAN, NAF, IUCN, SEARCH, IOF, CFD, and FECOFUN). Four of the Nepali partners are NGOs which in other circumstances would be competitors for research funding. In this project they are collaborators in the joint delivery of project outputs. They also need to negotiate the salaries and operating budget. This is an unknown workspace for us all and there have been challenges on the way.

Accordingly the Nepal partners have spent a lot of time in meetings working through issues such as the design and coordination of the baseline survey, selection of field sites, and engagement with stakeholders. These meetings have been costly in time and resources and so progress with respect to delivery of outputs has been sluggish. The core problem has been one of uncertainties about responsibility, resource sharing and accountability. This was resolved by the appointment of the National Project Leader (NS Paudel) at ARPM#1 (see section 7).

We have also established an Executive Committee consisting of NS Paudel, KK Shrestha and I Nuberg, with H Ojha and E Cedamon in attendance. This committee meets on a 2-3 weekly basis via Skype to discuss both urgent business and strategic matters.

All other significant internal communication is through Basecamp (see next section) and where necessary via emails, skype and telephone calls.

3.4.2 Basecamp

Basecamp is an online project management platform used for all internal communications (https://basecamp.com/).   Our account is USD50/month which allows us to have 40 separate 'projects' (currently we are running 23 projects) and 15 GB of cloud storage.

Basecamp has been used for the project's main communication and management platform. In the first year of the EnLiFT Project, there were 22 projects created on Basecamp (Figure

3) with 53 individuals comprising Basecamp project membership. During the first year, Basecamp has registered 292 discussion threads and 813 files uploaded (Table 3). In each discussion thread, several project members will be involved in a back and forth discussion in which the highest registered comments for a particular discussion thread is 137. This statistics on basecamp usage is a clear indication on state-of-play in the first year of the EnLiFT Project. Basecamp has not only been used as an effective communication and project management platform for such a project with a diverse project partners but has also been used as an official *repository* of project documents and reports.
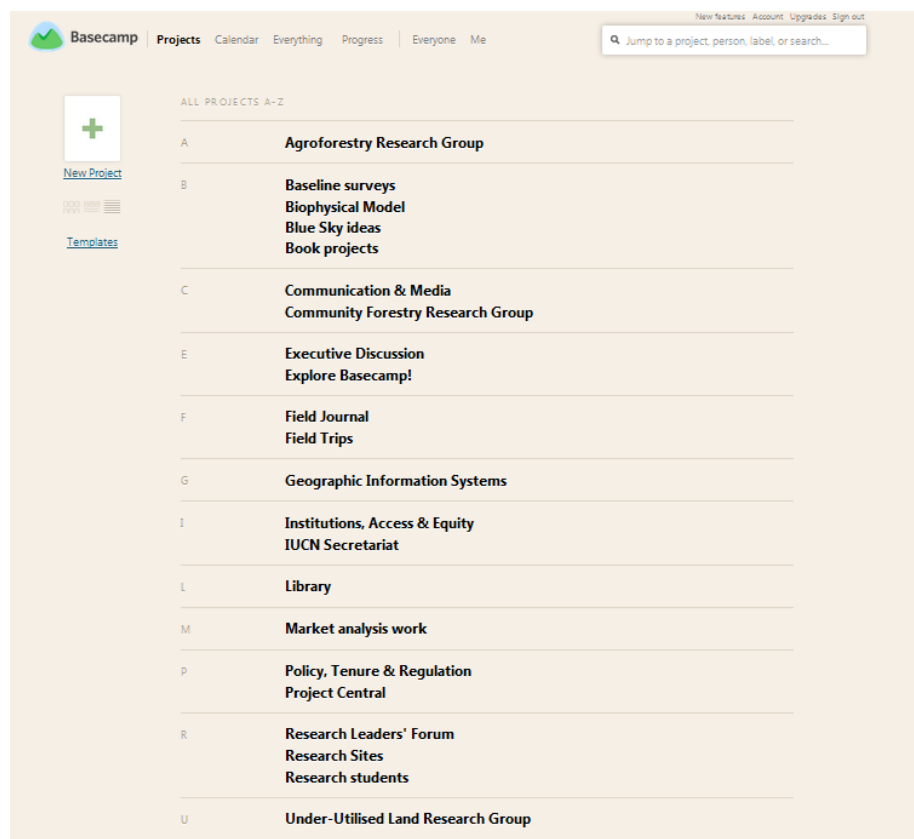

Figure 3 Frontpage of Basecamp

Table 3 Use of Basecamp up to 25 May 2014

Basecamp project	Number of discussion threads	Number of files uploaded
AF Research Group	26	36
Baseline Surveys	40	269
Biophysical discussions	15	44
Blue sky ideas	7	2
Book projects	4	3
Communication and media	6	4
Community Forestry research Group	19	59
Executive discussion	2	1
Field Journal	9	9
Field Trips	13	26
GIS	7	7
Institution, access and equity	4	0
IUCN Secretariat	13	37
Library	18	92
Market analysis work	10	19
Policy, tenure and regulation	8	6
Project Central	40	74
Research Leaders Forum	12	15
Research Sites	23	53
Under-utilised land	6	37
Total	282	793

The number thread does not necessarily mean the good or bad progress. It does indicate the diversity of platforms for research communication.

3.4.3   Public profile of the project

This project is seen as a comeback of Australian Project in Nepal at national level and also in the districts where we work (especially Kavre). The good reputation of the previous Australian project has created both challenges and opportunities to this project, and this has become an important aspect of public profile management.

At the ARPM#1 in January 2014 we realised that we needed to put some more effort into our public image.   There was mismatch of expectations between the project on the one hand, and FECOFUN and DFOs on the other hand, about the nature of the project and their role in it. For example, the original project organogram used in a 2-page flyer describing the project (in Nepali; ref: 2013_8) implied that they were not 'project partners'. A revised flyer (ref: 2014_10) was constructed with the revised project organogram (discussed in Section 7). We also developed a 29 page project description for general circulation (ref: 2014_11).

The project's impact is enhanced by the reputation of researchers and their organisations working in Nepal and from outside, and the involvement of Australian Universities is seen very favourably. The project's profile has also been related to the involvement of various former staff of the previous Australian project. A balanced approach to engaging both the government and civil society including FECOFUN has also raised the profile of the project significantly.

The formal title for the project is too long for everyday communication. We felt the need for a more tractable name; a simple, but meaningful, acronym that can be used as a short-hand description. There was considerable debate with some fine submissions. The final title for the project is: **EnLiFT**

The logic behind this name is: **En**hancing **Li**velihoods and **F**ood security from **T**rees (= agroforestry and community forestry)

There were also enthusiastic contributions for a project logo. The final logo (Figure 4) has of course the Himalayan background, but importantly images and Nepali text to convey the message that through "farm and forest, the prosperous life'..

The new name and logos are now on all official project documents.

Figure 4 EnLiFT project logos

3.4.4   Dissemination activities

The project team has been very active in dissemination activities during this first year. Nine of the Nepal partner members and the 4 team members from UNSW and UA attended the 3rd World Congress on Agroforestry in New Delhi from 10-14 February 2014. Members of the team delivered five oral presentations, four posters, and two papers for the congress compendium (Table 4).

Congress registration and travel costs were met partly from an application to ACIAR for congress attendance ($5,875) and partly from UA's budget ($4,500) (ref: 2013_9). This application was part of a consortium including four other ACIAR projects (FST/2010/034, FST/2012/014, FST/2012/041, FST/2012/039). After the congress members of the five projects met for a dinner and an evening of sharing presentations of our projects.

Table 4 Papers and posters presented at the 3rd World Congress on Agroforestry in New Delhi 10-14th February 2014

Authors	Title	Type of submission	Reference no.
S.Tamang, K. Paudel & K. K. Shrestha	" Agricultural (in) justices: Investigating feminization of agriculture and its implications to food security in Nepal"	Oral	2014_12
K.Paudel, S.Tamang, K. K. Shrestha, R.Shah	Transforming land and livelihoods: Analysis of agriculture land abandonment in the mid hills of Nepal"	Oral	2014_13
B.Pandit, K. K. Shrestha & S.Bhattarai,	Conservation and livelihood impacts of agroforestry system: A case study of Kavrepalanchok district of Nepal	Oral	2014_14
R.Shah, A. Adhikari and R. Khanal	"In search of Dynamic Linkages between Agroforestry and Ecosystem based Adaptation: A Case Study of Rural Mid Hills of Nepal"	Oral	2014_15
D. Khatri, N.Sharma, K. K. Shrestha, H.Ojha, G.Paudel	" Why has community forestry made limited contribution to agroforestry in Nepal? : institutional constraints for fodder and grazing in community forestry"	Oral	2014_16
I.Nuberg, K.K. Shrestha, H.Ojha, E.Cedamon	"Enhancing livelihoods and food security from agroforestry and community forestry through action research in Nepal"	Poster	2014_17
H.Ojha & K. K. Shrestha,	" Agroforestry response to water stress: Comparative insights from Australia, India and Nepal"	Poster	2014_18
B.Pandit, H.Ojha & K. K. Shrestha	Barriers to integrating forestry into agricultural system: Analysis of forest legislation and policy in Nepal"	Poster	2014_19
L.Puri & H. Meilby	" Trees on Farmland: composition, abundance and role of trees on farmland in rural communities	Poster	2014_20
S.Amatya, I.Nuberg, R.Neupane, B, Pandit	The business of Nepalese agroforestry: applying science to improve livelihoods"	Compendium	2014_21
R.Neupane	" Agroforestry's contribution in enriching soil fertility to improve livelihoods of the subsistence farm households in the Hills of Nepal"	Compendium	2014_22

The oral presentations above are already developed as draft papers. It is intended that these papers will be further developed along the line of scientific outcomes outlined in the project outcomes and will be submitted for peer-reviewed journals for publication.

During this reporting period the project was invited to submit papers to the 6th National Community Forestry Workshop to be held in Kathmandu on 16-18 June 2014. Table 5 list the papers that were submitted. At the time of writing this report it is unknown which papers have been accepted for oral presentation.

The workshop organisers (CFD) also sought for a financial contribution for organising the workshop. The project executive committee determined that CFD can use as much of the $10,000 allocated to them for 2014 for this purpose. This is expected to raise the prolife of the project, as well as help better facilitate policy uptake of the research findings in time to come. Use of this allocation must well-considered as CFD will also have other project-related expenses in this period (mainly travel).

Table 5 Papers submitted for the 6th National Community Forestry Workshop in Kathmandu 16-17/06/14

Authors	Title
Deepak Tamang, ...	Problems and Prospects in Marketing of Timber and Non-Timber Forest Products from Community Forestry in Nepal
BH Pandit, HR Ojha, KK Shrestha, I Nuberg	Why cannot local communities do forestry business? Analysis of legal barriers in the value chain of forestry products in Nepal
NS Paudel, HR Ojha, KK Shrestha, R Karki, G Paudel	Reframing the farm –forest interface: How can community forestry better address food security and livelihoods in Nepal?
HR Ojha, KK Shrestha, R Karki and SM Amatya	The forest-food paradox: Rethinking Community Forestry in Nepal
SM Amatya, BH Pandit, I Nuberg,E Cedamon, and YR Subedi.	Survey of innovative agroforestry systems of Kavre and Lamjung Districts of Nepal.
E Cedamon, I Nuberg, NS Paudel, G Poudel, D Tamang	Timber stock, stand structure and composition of community forests in Nepal: managing community forests to enhance triple-bottom returns

In this reporting period we also began a parallel dissemination activity to write an Agroforestry textbook to suit the M.Sc. Forestry curriculum, as well as an updated edition of the Nepal Forestry Handbook (Amatya & Shrestha). Dr SM Amatya initiated this activity, Ian Nuberg will be co-author on both books and Edwin Cedamon will be co-author on the new edition of the handbook.

KK Shrestha and HR Ojha will be organising a panel sponsored by the Environmental Sustainability Study Group and presenting the current findings in Australian Institute of Geographers conference on June 30-July 2, 2014 to be held in Melbourne, Australia.

Several papers which the researchers are writing building on their prior research will be further enhanced by the input of this project.

4 Training activities

4.1 John Allwright Fellowships

Two project members applied for the 2013 round of JAFs. The successful applicant for this round was Lila Puri who is Lecturer in Remote Sensing at the Institute of Forestry, Pokhara. Lila's project is notionally titled "Silviculture in Community Forestry: Practices, trends and policy issues" however, his project is likely to have a stronger biophysical emphasis than this title implies. It will further develop his GIS skills with field survey and quantitative analytical techniques.

There is interest for nominations for the 2014 round. Project leader has already notified and encouraged to apply. Potential applicants are preparing applications.

4.2 Field training activities

Participatory action research (PAR) and Agroforestry Nursery and Market Value Chain trainings were held in Lamjung (10-14 March 2014) and Kavre districts (20-24 March 2014). The trainings were organised by Nepal Agroforestry Foundation and Forest Action Nepal for the EnLiFT project. In Kavre district, 15 individuals representing the three research villages and two from District Forest Office (Ilaka Forest Office) participated in the training. In Lamjung district 17 individuals from the 3 research villages one from district FECOFUN participated the trainingThe objectives of the trainings are

- To develop common understanding on Action Research approach and methods among the Local Resource Persons (LRPs) and CFUG leadership;
- To develop facilitation skills of the LRPs and Lead farmers on Participatory Action Research;
- To impart skill and knowledge to participants on propagation and cultivation (nursery) techniques of selected agro- forestry species - a first stage of AF value chain development;
- To introduce suitable climatic conditions and cultivation methods for the development of selected NTFPs/MAPs available in the community forest and private farm lands;
- To discuss the importance of relationship between community forestry and agro-forestry as well as the role of agro-forestry in community forestry development; and
- To deliver knowledge and understanding on value chain and marketing of the selected AF products (both existing and new market opportunities)

Reports from these trainings are provided as refs: 2014_25 and 2014_26.

At the Research Methodology Workshop it was decided to train selected project members in the use of Nvivo for content analysis of qualitative data. This is still to be organised for PP4.

4.3 Institute of Forestry students

Project Output 4 (in Activity 3.1) is perhaps poorly worded as "Report on Training opportunity for Institute of Forestry students". We believe that there is no point of having such a report on training opportunities early in the project life if the training opportunities are not given. Notwithstanding this, the project is committed to providing some training opportunities to IOF students after the report's delivery despite the fact there is no pre-determined budget allocation for this training.

This report is linked with Activity 3.1 to"…*conduct key informant survey at district and village levels to identify the status of abandoned and under-utilised land in the study*

districts and sites complimented by GIS based information". Notionally, any funding for student projects would come from the 'general research operating' account allocated to this activity.

So far, no such opportunities emerged for students in specific GIS projects. However, there is interest in developing a suite of projects building a knowledge base for Lapsi (*Choerospondias axillaris*). This would be available for BSc Forestry students (active August / September 2014) and MSc students beginning in 2015.

The executive committee supports the notion of this work on Lapsi with the caveat that we should not limit this sort of work to one species. Perhaps more importantly, this work on tree species does not really fit the description for work in Activity 3.1.   This means we have to look for other areas in the project where Lapsi, and other species, can add value. At first glance this looks like the agroforestry market (Activity 1.2), perhaps community forestry market (Activity 2.3), and even perhaps as part of the case-studies on UUL (Activity 3.2). The aim would be to gather all the information from student projects so that it can be logically woven into a single scientific publication with all the contributing students as co-authors (including project staff providing significant contribution).

The details and final approval of this venture will be determined at ARPM#2.

4.4 Australian university students

There are two University of Adelaide students with research projects aligned with the EnLiFT project. Manoj Badu (a Nepali forester who is now Australian permanent resident) is enrolled as a PhD candidate. His project will examine the impact of community forestry on catchment hydrology. Hiroshi Endo (a Japanese student) is enrolled in a masters program with his project work associated with modelling the nutrient flow from fodder to farmyard manure. This work will feed into the larger FOSELNEP model. Endo has worked on JICA projects in Nepal for 3 years and speaks Nepali. Nuberg is also looking for students to undertake honours research projects aligned with the EnLiFT project. The operating costs of these student projects are all funded from a research account independent of the EnLiFT budget.

There are two PhD students at UNSW whose researches at related to the project. One student Abbie White attended a project field meeting in Lamjung with the project team. The other student, Anisha Pradhan, who is of Nepali heritage but now Australian, researching into social inclusion and environmental change in Nepal. There are further two students from Nepal who have now applied for Australia Awards with support from KK Shrestha at UNSW. Prativa Sapkota at University of Melbourne (co-supervised by Hemant Ojha) has her field sites in Kavre and already joined some field research activities of the project, and with additional inputs from Don Gilmour. The UNSW team is talking with students at the masters and honours levels who could potentially undertake honours research projects aligned with the EnLiFT project.

5 Variations to future activities

At this stage the main variations to future activities are simply the delivery dates of various outputs. These are mainly due to the delay in project fieldwork and other research activities impacted by organisational management and the national election. These changes are recorded in Section 2. No other significant variations are proposed.

However as this project has an action research framework we need to reflect not only on what we have done in any action research cycle, but also on what we are scheduled to achieve from the Outputs Table. The logic, feasibility and timing of some outputs are already under informal questioning. At future ARPMs we intend to formally reflect on proposed outputs so that actual outputs better reflect the core research objectives.

6 Variations to personnel

One of the functions of the Inception Workshop was to indicate which individuals and organisations were to be involved with which project activities. During this process many more names were added to the project than are listed in the original project proposal. Throughout the year the commitment of individuals to the project became obvious by their active involvement. There were several versions of the project personnel list at various stages. The final version of project personnel and their assignment to project activities is outlined in ref: 2014_9 and which is summarised in Appendix 9.2

The key researchers with specific roles and responsibilities at the end of the first project year are shown in Table 6.

Dr Naya Sharma Paudel was selected as the in-country leader of the project. This appointment was arrived after a expression of interest process where project members self-nominated and were interviewed. Dr Paudel's appointment was unanimously applauded including by the other candidates.

Table 6 Key project personnel and responsibilities, 2014

Researcher	Organisation	Responsibilities
Australian researchers		
Ian Nuberg	University of Adelaide	Project Co-leader, particularly responsible for quantitative research methods
Krishna K Shrestha	University of New South Wales	Project Co-leader, particularly responsible for social, institutional and policy, and qualitative research methods
Edwin Cedamon	University of Adelaide	Quantitative research and project coordination
Hemant Ojha (half time)	University of New South Wales	Qualitative research, social science & policy analysis
Nepali researchers		
Naya S Paudel	Forest Action Nepal	In-country project leader Community Forestry Research Group Leader
Yam Malla	IUCN	Under-Utilised Land Research Group Leader
Bishnu H Pandit	Nepal Agroforestry Foundation	Agroforestry Research Group Leader Market Activity Coordinator
Deepak Tamang	Search Nepal	Baseline survey coordinator
Ramji Neupane	Nepal Agroforestry Foundation	Modelling coordinator, to change to undertake Market role
Ram Chhetri	Tribhuvan University	Institutions, access and equity coordinator
Swoyambhu M Amatya	Search Nepal	Policy and regulations coordinator
Krishna Paudel	Forest Action Nepal	Action research coordinator
Rachhya Shah	IUCN	Secretariat
Sujata Tamang	Forest Action Nepal	Field coordination

Of the 25 Nepal team members listed as Delivery Researchers in Appendix 9.2 there is a varying degree of active contribution to the project. The contribution will be closely monitored and it is likely that the configuration of team members and the roles they hold will continue to change as the project evolves.

7 Problems and opportunities

Most of the significant problems this last year have been centred around the issue of responsibility and accountability among Nepal partners. This description and resolution of this problem is dealt with in Section 3.4.1 and Section 6. As the core problem was the definition of how partners are related within the project, part of its resolution has been a clarification of relationships as shown in the organogram Figure 5
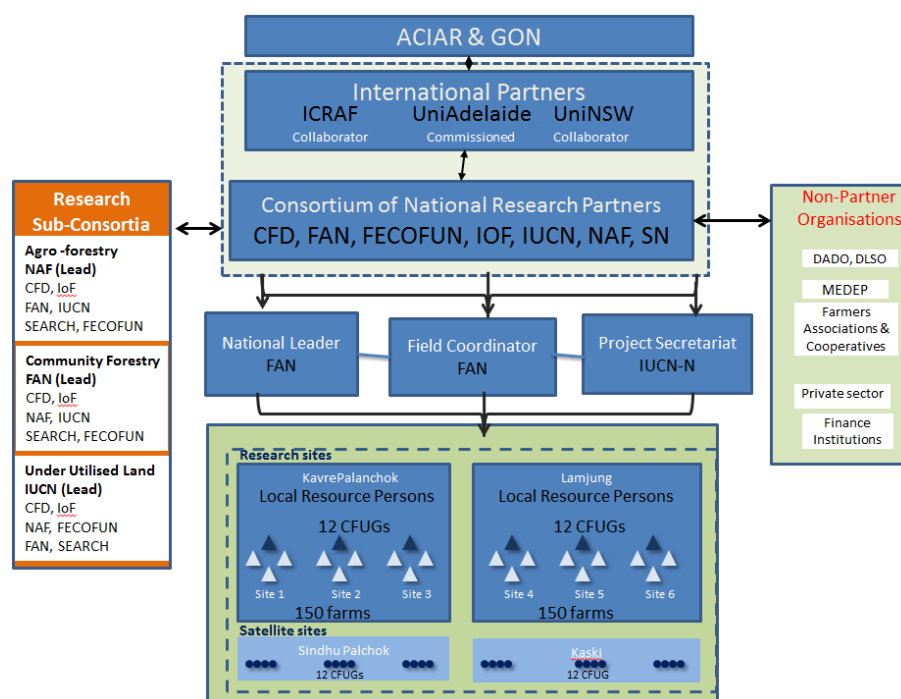

Figure 5 Organogram of communication flows

The confusion regarding the roles of CFD and FECOFUN has now been formally addressed by recognizing them as the equally important actors in research activities. The programme and budget was not formally entered into the government's annual prorgamme and budget. Now EnLiFt falls under the GON's Blue Book – the budget lines that is implemented with foreign aid with direct funding. Now we are submitting a new form with details of project description to the MoFSC which will lead to formalisation of the project throughout the Ministry including officials letters to the two DFOs of the project districts. Having said this, there is a good level of collaboration at the local level project events and other activities.

The issue with FECOFUN has been resolved now. We now have Manju Marasini as the focal person from its central office. She has been involved in project activities based on her availability. The two focal persons at the district level have been fully involved in the project activities at the local level.

Our opportunity to work with MEDEP has significantly improved. Ramji Neupane appointed National Programme Manager for MEDEP. While he still wants to maintain a role in the Agroforestry Research Group, clearly we now have a closer link with MEDEP. Sita Bantha Magar is a MEDEP project officer also listed on Basecamp as involved with project activities.

8 Budget

The allocation of resources to Nepal partners in the original budget proposal was written with very scant information on operating costs and appropriate salary rates for Nepal team members. It was very difficult to predict operating costs and their allocations when the operation details are to be determined in action research cycles. The poor information on salary rates probably lay in the fact that, at the time of project development (and even for some time after Inception), the Nepal partners felt they were in a competitive environment. Also, 4 of them are NGOs, and professional researchers from these organisations are enjoying relative higher pay rates than government and university staffs. Accordingly, it has taken us some time to arrive at an equitable and transparent process for resource allocation that matches resources to activities that achieve project outputs.

In Pay Periods 1 and 2 (2013) we followed the allocations in the initial budget with a negotiated split of notional operating costs (see re:2013_13). This was a pragmatic arrangement but did not accurately allocate resources among Nepal partners for actual time and costs of involvement. All partners were patient and cooperative in this less-than-ideal arrangement. They kept details of all meetings, travel and other project-related costs and reported these on a specially designed acquittal template (re: 2014_29). This information was collated and reported at ARPM#1 in January 2014. As would be expected, some partners had overspent and some underspent their allocation. However, the effective daily pay rate that the various organisations determined for their members ranged from approximately AUD50 – 300 /day (with an individual at AUD600/d) (see Figure 6).
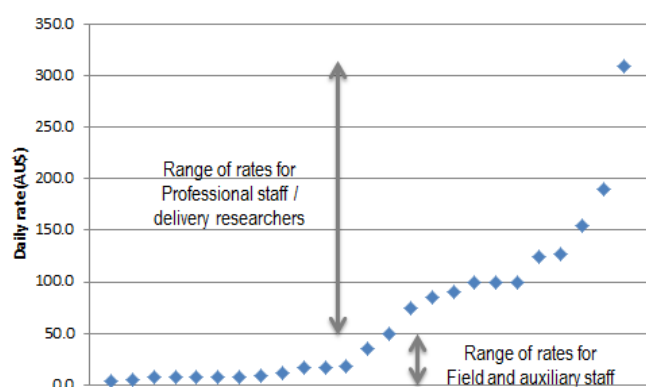
Figure 6: Range of daily pay rates from Pay Periods 1 and 2

Another deficiency in that arrangement was that there was no way to deal with cross-organisational accountability. Members from different organisations were working together on the same activity, but there was lack of clarity about who was responsible for final delivery.

So at ARPM#1 (and the weeks following) we undertook a laborious and detailed process of:

- Agreed on the principle of an output-based pay arrangement (illustrated in Ref: 2014_28)
- Mapping out the timing and resourcing of specific activities to achieve scheduled outputs over pay periods 3 and 4 (i.e. 2014)
- Designation of delivery researchers for each activity and the key person responsible for delivering each output from that activity.
- Estimated the number of days required by each individual for work in each activity in each pay period
- Negotiated a 4-tiered pay rate scale to reflect the seniority and responsibility of each individual (vis: AUD 125, 90, 75 and 50 per day)

- Negotiated overhead costs for NGO partners
- Final allocation of PP 3 and PP4 payments to each organization which also accounted for over/under spends in PPs1-2

The details and final allocations from this process are all shown on ref: 2014_8. This negotiation process required a radical departure from the notional allocations in the original budget. Only the allocation to IUCN was left relatively intact because of their budget had well-itemised overheads.

It must be noted that in order to make it possible to pay for 2014's activities we also had to be flexible with the operating costs allocated to ICRAF. The allocations to ICRAF for operating costs in the Market and Modelling activity for 2014 were AUD34,000 and 31,000 respectively. As the field work for all this activity is in Nepal, and at the hands of Nepal partners, ICRAF agreed for proportions of these amounts to be given to Nepal partners for work in these activities. This helped to balance the budget considerably.

Even though the above process arrived at an allocation for PP4 (second half 2014), this will be revised at ARPM#2 (July 2014) on the basis of the acquittals for PP3. It is intended that this 6-monthly revision of the budget at every action research cycle will deliver an efficient and equitable use of available funds.

9 Appendices

9.1 Key project documentation

These documents, spreadsheets, databases, modelling files are available in the "Project Documents" site on Basecamp.

Ref	Title	Content, author, date, file name
2012_1	**Project Planning & Development**	Identifying research to enhance livelihoods and food security from agroforestry and community forestry systems in Nepal SRA FST/2011/076 including conclusions form the planning workshop June 2012 Collated by: Rob Finlayson, ICRAF *File: SRA Nepal FST 2011 076 Final Report*
2013		
2013_1	**Project Proposal**	The original project proposal that serves as a baseline from which the project evolved. Authors: Ian Nuberg, Krishna K Shrestha, Yam Malla. 4 March 2013 *FST-2011-076 Proposal FINAL.pdf*
2013_2	**Inception Meeting**	A 102-page record of the project inception meeting in Kathmandu on 12-17 May 2013 Collated by: Racchya Shah *ACIAR Inception W'shop Proceedings_070813.pdf*
2013_3	**District Research Coordinator**	States job description of District Research Coordinator who reports to National Field Coordinator Author: Krishna Paudel; 30 April 2013 *TOR_District Research Coordinator 30 April.docx*
2013_4	**IUCN's role as Project Secretariat**	The purpose of this document is to clearly state the role of IUCN and its project manager in its function as Project Secretariat. In doing so it explains the rationale and describes the process of disbursal and acquittal of project funds. Author: Ian Nuberg; 20 May 2013 *IUCN role as secretariat_130520.docx*
2013_5	**The relationship between IUCN and Forest Action Nepal**	The purpose of this document is to clearly state the roles and interaction of IUCN and FAN Author: Ian Nuberg; 20 May 2013 *TOR_IUCN_FAN_130520.docx*
2013_6	**Nepal Partner Contracts**	These Terms of Reference concern the payment of salaries in Pay Periods 1 & 2 and operating costs to the research organisations ForestAction Nepal, Nepal Agroforestry Foundation, SEARCH Nepal, Institute of Forestry, and IUCN-Research; and the payment for facilitation and dissemination services provided by the Community Forestry Division and FECOFUN Ian Nuberg, 20 May 2013 *Nepal partners subcontracts_130520.docx*
2013_7	**Revised communication framework**	Following the Inception Workshop and meetings with FECOFUN and the Kabhre DFO it is important to recognise that our Institutional Communication Framework has changed. This needed to be formalised and communicated, particularly to FECOFUN and CFD / DFO. Later replaced by organogram in project summary re:2014-11 Author: Ian Nuberg; 27 June 2013 *RevisedCommunicationFramework_130627.docx*
2013_8	**2-page project flyer : Ver 1**	This 2-page colour flyer for general public dissemination explains the project objectives and partner relationships. It was re-placed by 2014_10 Prepared by: R.Shah, 8/07/2013 File: *ACIAR Nepali Draft.pdf*
2013_9	**WCAF funding application**	Attachment to Event Attendance Application: 3rd World Congress on Agroforestry Author: I Nuberg 25/10/2013 File: *WorldAgroforestryCongress_Event Attendance Application_131025.docx*
2013_10	**Modelling workshop report Bogor 25-29/11/13**	**Output 7: Report of model design workshop** Proceedings of Model Design Workshop: Developing functioning models to inform improved interactions between farm and forest systems in Nepal. 51pp Compiled by: Reny Juita, Avniar N. Karlan, Lisa Tanika and Betha Lusiana With contributions from: I Nuberg, E Cedamon, B Lusiana, R Neupane, D Gautam, YR Subedi, N Khasanah and R Mulia File: *ModelDesignWorkshopProceeding_Final.pdf* December 2013

2013_11	**Kavre district level workshop**	Synthesis report of Inception workshop held 14/05/2013 at Dhulkhel and field trip to Ratmate CFUG, Panchkhal. Prepared by: Sujata Tamang 29/05/13 *ACIAR Distirct Workshop Report Kavre.doc*
2013_12	**Lamjung district level workshop**	Synthesis report of Inception workshop held 15-16/05/2013 at Dhulkhel and field trip to Ratmate CFUG, Panchkhal. Prepared by: Yubaraj Subedi 28/05/13 *ACIAR Distirct Workshop Report Lamjung.doc*
2013_13	**Nepal partners sub-contract**	These Terms of Reference concern the payment of salaries and operating costs to the Nepal partners for pay periods 1 & 2; 20 May 2013 Author: I.Nuberg *File: Nepal partners subcontracts_130520.docx*
2014		
2014_1	**CFD's role in the ACIAR research project**	States agreements on project relationship with CFD in conversation with Resham Dangi and Devi Pokhrel Author: Ian Nuberg; 8 January 2014 *CFD_Agreement_140110.docx*
2014_2	**Revised Outputs Table**	This spreadsheet summarises the agreements for revised outputs based on a meeting amongst the Research Group Leaders. Author: Ian Nuberg, 18 January 2014 *Outputs Table_140118a.xlsx*
2014_3	**Project Summary**	Early project summary using the ACIAR template. Later replaced by ref:2014-10 *ACIAR-Nepal Forestry Project Summary_140123.docx*
2014_4	**IUCN vehicle use**	Internal Guidelines for IUCN Nepal Vehicle Usage Author: Racchya Shah *Guidelines for vehicle usage_140108.docx*
2014_5	**Action Research Planning Meeting #1**	An 18-page report of the outcomes of the Action Research Planning meeting held in Patan on 13-14 January 2014 Prepared by: Racchya Shah, 29 January 2014 *ARPM1 Notes_140129.docx*
2014_6	**Research Methodology Workshop**	A 14-page DRAFT report on the outcomes of the Research Methodology Workshop held in Patan on 17-18 January 2014 Collated by: Racchya Shah, 29 January 2014 *RMW report 140129.docx*
2014_7	**Standardised Resource Allocation Schedule.**	This tool was developed to collate the estimates of personnel requirements and operating costs from the 3 Research Groups. This information is then fed into the Budget Allocation spreadsheet Ian Nuberg, 2 February 2014 *StandardResourceEstimateTool_140202IKN.xlxs*
2014_8	**Budget Allocation Pay Periods 3 & 4**	The objectives of this workbook are: 1] to collate the estimates of personnel requirements and operating costs from the 3 Research Groups; 2] to match these requirements against available funds; 3] to determine the payments to each organisation on the basis of the time inputs of their staff, and the operating costs of outputs for which they are responsible. Ian Nuberg, 20 February 2014 *Budget_PP3&4_140220.xlsx*
2014_9	**Research Project Personnel 2014**	This document is a table listing the various project personnel and their involvement in the various project activities as at the end of the reporting year. *Research Groups_140115 EDC Revised.docx*
2014_10	**EnLiFT project flyer**	A 2-page colour flyer outlining project aims and partners printed in both English and Nepali. It has revised organogram and new logo and EnLiFT acronym. Coordinator: Racchya Shah, 30 May 2014 *File Nepali Introductory Leaflet Draft_140530*
2014_11	**EnLiFT public document**	A 27-page document which is based on the original project proposal but updated and prepared for general public distribution. Coordinator: Racchya Shah, 21/05/14 *File: Working Doc ACIAR-Nepal-Public 140521*
2014_12	WCAF paper: **Agricultural injustices**	" Agricultural (in) justices: Investigating feminization of agriculture and its implications to food security in Nepal" Authors: S.Tamang, K.Paudel & K K Shrestha *Sujata_20140211_Feminization of agriculture and its impact on FS.pdf*

2014_13	WCAF paper: **Transforming land and livelihoods**	**Output 41: Drivers and dynamics of land use in the Middle Hills** Transforming land and livelihoods: Analysis of agriculture land abandonment in the mid hills of Nepal" Authors: K.Paudel, S.Tamang, K.Shrestha, R.Shah *Paudel_20140112_Transforming lands and livelihood.pdf*
2014_14	WCAF paper: **Conservation and livelihood impacts of AF**	Conservation and livelihood impacts of agroforestry system: A case study of Kavrepalanchok district of Nepal Authors: B.Pandit, , K.Shrestha & S.Bhattarai *Bishnu_20140211_AF for conservation and livelihood- paper.pdf*
2014_15	WCAF paper: **AF & ecosystem based adaptation**	"In search of Dynamic Linkages between Agroforestry and Ecosystem based Adaptation: A Case Study of Rural Mid Hills of Nepal" Authors: R.Shah, A. Adhikari and R. Khanal *Shah etal_20140220 Agroforestry Presentation.pdf*
2014_16	WCAF paper: **CF contribution to AF**	" Why has community forestry made limited contribution to agroforestry in Nepal? : institutional constraints for fodder and grazing in community forestry" Authors: D.Khatri, N.Sharma, K.Shrestha, H.Ojha, G.Paudel *Khatri et al WCA conference-CF and food security - final.pdf*
2014_17	WCAF poster: **Project introduction**	" Enhancing livelihoods and food security from agroforestry and community forestry through action research in Nepal" Authors: I.Nuberg, K.Shrestha, H.Ojha, E.Cedamon *Nuberg etal_140208_Project intro poster.pdf*
2014_18	WCAF poster: **AF response to water stress**	" Agroforestry response to water stress: Comparative insights from Australia, India and Nepal" Authors: H.Ojha, K.Shrestha, A Koirala *Ojha et al water stress and AF- WAC 2013.pdf*
2014_19	WCAF poster: **Barriers integrating forestry and agriculture**	Barriers to integrating forestry into agricultural system: Analysis of forest legislation and policy in Nepal Authors: B.Pandit, H.Ojha, K.Shrestha *Bishnu_20140223_barriers to AF cultivation.jpg*
2014_20	WCAF poster: **Trees on farmland**	" Trees on Farmland: composition, abundance and role of trees on farmland in rural communities Authors: L.Puri & H.Meilby *Poster_WCA2014-020_Lila Puri.jpg*
2014_21	WCAF compendium: **Business of Nepalese AF**	The business of Nepalese agroforestry: applying science to improve livelihoods" Authors: S.Amatya, I.Nuberg, R.Neupane, B, Pandit *Amatya et al_20140315_The business of Nepalese agroforestry.pdf*
2014_22	WCAF compendium: **AF contribution to soil fertility**	Agroforestry's contribution in enriching soil fertility to improve livelihoods of the subsistence farm households in the Hills of Nepal" Authors: R.Neupane File: ???
2014_23	**Yalamaya Protocol for Effective Research Practice**	This 14-page document , an output of the January 2014 Action Research Workshop, outlines the operational guidelines for effective implementation of the EnLiFT Project Author: Hemant R Ojha, Krishna K Shrestha, Rahul Karki, Sujata Tamang, Dipankar Tamang, Yuba R Subedi, and Ian Nuberg *Yalamaya Protocol of effective reseach practice - Draft 1 April 30.pdf*
2014_24	**Final Quantitative Baseline Survey Questionnaire in Nepali**	A copy of the final version of the Baseline Survey Questionnaire in Nepali *Final Printed Nepali Questionnaire.pdf*
2014_25	**Value Chain in Kabhrepalanchok District**	This 16-page document reports the training conducted in Kavrepalanchok District on Agroforestry Nursery Establishment and Market Value Chain using Participatory Action Research (PAR) approach. Coordinator: BH Pandit *Training Report -Kabhre-revised-April 12.pdf*
2014_26	**Value Chain in Lamjung District**	This 16-page document reports the training conducted in Lamjung District on Agroforestry Nursery Establishment and Market Value Chain using Participatory Action Research (PAR) approach. Coordinator: BH Pandit *Training Report- Lamjung-bhp-Apr11.pdf*
2014_27	**Draft Field Site Selection Report**	Draft report of the process and results of field site selection Authors: K Paudel, YR Subedi, S.Tamang File: Paudel et al 2013_Draft Site Selection Report.pdf
2014_28	**Output based pay arrangement**	Presentation at ARPM#1 explaining the logic and process of output-based pay arrangements Author: I Nuberg File: NewPayArrangement_140109.pptx
2014_29	**Acquittal template**	This spreadsheet was used by Nepal partners to acquit their allocations for pay periods 1 & 2. This information was collated to determine the budget allocation for pay periods 3&4 Author: I.Nuberg File: TemplateAcquittalForm_130603
2014_30	**Research site selection**	A 62-page report describing the process involved in the selection of villages and Community forest user groups as sites for the EnLiFT Project Author: K. P. Paudel, Y.R. Subide and S. Tamang *Paudel et al 2013_Draft Site Selection Report.pdf*
2014_31	**Research methodology workshop outline**	Outline of Research Methodology workshop held on 17-18 January 2014 Authors: Hemant Ojha and Krishna Shrestha *File: Research Method Workshop_short outline - Dec 2-2013.docx*

2014_32	**Research methodology workshop – session guideline**	Outline of sessions for Research Methodology workshop held on 17-18 January 2014 Authors: Hemant Ojha and Krishna Shrestha *File:*
2014_33	Abstract Submission for CFD-Workshop: **Forest-food Paradox**	The forest-food paradox: Rethinking Community Forestry in Nepal Author: HR Ojha, KK Shrestha, R Karki and SM Amatya *Abstract-Shresta Ojha etal.docx*
2014_34	Abstract Submission for CFD-Workshop: **CF Silviculture**	Timber stock, stand structure and composition of community forests in Nepal: managing community forests to enhance triple-bottom returns Author: E Cedamon, I Nuberg, NS Paudel, G Poudel, D Tamang *Abstract - Cedamon et al 140415.docx*
2014_35	Abstract Submission for CFD-Workshop: **NTFP marketing**	Problems and Prospects in Marketing of Timber and Non-Timber Forest Products from Community Forestry in Nepal Author: Deepak Tamang *Abstract -Tamang et al.docx*
2014_35	Abstract Submission for CFD-Workshop: **Analysis of barrier to forestry Business**	Why cannot local communities do forestry business? Analysis of legal barriers in the value chain of forestry products in Nepal Author: BH Pandit, HR Ojha, KK Shrestha, I Nuberg *Abstract-Pandit et al.docx*
2014_36	Abstract Submission for CFD-Workshop: **Innovative Agroforestry Practices**	Survey of innovative agroforestry systems of Kavre and Lamjung Districts of Nepal. Author: SM Amatya, BH Pandit, I Nuberg,E Cedamon, and YR Subedi. *Abstract - Amatya et al.docx*
2014_37	**Preliminary food security review**	Compilation of revie notes on food security literature Coordinator: HR Ojha, *File: FoodSecurityReviewCompilation_140107.docx*
2014_38	**Qualitative Baseline Report –** Agroforestry Theme	Qualitative Baseline Report – Agroforestry Theme Coordinator: Bishnu Hari Pandit
2014_39	**Qualitative Baseline Report -** Community Forestry Theme	Draft Qualitative Baseline Report - Community Forestry Theme Authors: Naya S Paudel, Rahul Karki, Govinda Paudel, Madan Bashyal, Ajay Bhandari
2014_40	**Qualitative Baseline report** – Under Utilised Land Theme	Qualitative Baseline report – Under Utilised Land Theme Coordinator: Yam Malla
2014_41	**Quantitative Baseline Household Survey Report**	This survey of 600 respondents over the 6 research sites comes in the form of a 9 page narrative and 3 appendices of: Descriptive results tables (in Excel), Dataset tables 9in SPSS), and a Survey code Book (in Excel) Compiler: Deepak Tamang 31 May 2014 Files: Various

9.2 Research Group Membership and Roles from Inception workshop

Research Theme		Agroforestry		Community Forestry		Under-Utilised Land	
Coordinated Discipline Activity	*ROLE* *Research Group Leader*	Bishnu H Pandit		Naya S Paudel		Yam Malla	
			Activity		Activity		Activity
Baseline	*Coordinator*	*Deepak Tamang*	1.1	*Deepak Tamang*	2.1 2.2	*Deepak Tamang*	3.1
	Delivery	Sujata Tamang Deepak Gautam Edwin Cedamon		Ragendra Khanal Dipankar Tamang Lila Puri Edwin Cedamon		Rachhya Shah Binod Heyojoo SL Shrestha Narayan Gautam Edwin Cedamon	
	Forum	BH Pandit SM Amatya S. Bhattarai R.Neupane KK Shrestha H.Ojha I.Nuberg		NS Paudel K.Paudel KK Shrestha H.Ojha I.Nuberg		Yam Malla CP Upadhaya KK Shrestha H.Ojha I.Nuberg	
Market chain	*Coordinator*	*BH Pandit*	1.2	*BH Pandit*	2.3	*BH Pandit*	3.3
	Delivery	Aulia Perdana Sobhan Shrestha Sujata Tamang Sita Bantha Magar Deepa Paudel Edwin Cedamon I.Nuberg		Aulia Perdana DeepakTamang Narendra Rasaily Sujata Tamang Edwin Cedamon I.Nuberg		Aulia Perdana Racchya Shah Sobhan Shrestha Edwin Cedamon I.Nuberg	
	Forum	Suman Bhattarai SM Amatya R.Neupane KK Shrestha H.Ojha		Suman Bhattarai KK Shrestha H.Ojha		CP Upadhyaya Yam Malla	
Institutions, access, equity	*Coordinator*	*Ram Chhetri*	1.3	*Ram Chhetri*	2.4	*Ram Chhetri*	3.3
	Delivery	Bishnu Pandit Deepak Tamang Sujata Tamang Narayan Gautam Krishna Shrestha Hemant Ojha		Lila Puri Rachhya Shah Narayan Gautam Krishna Shrestha Hemant Ojha		Racchya Shah Sujata Tamang Krishna Paudel Lila Puri Krishna Shrestha Hemant Ojha	
	Forum	Suman Bhattarai Deepak Gautam SM Amatya Yogendra Yadav		Yam Malla Sujata Tamang Deepak Tamang Naya Sharma		Naya Sharma Bishnu Pandit CP Upadhyaya Binod Heyjoo	
Policy and regulations	*Coordinator* *Delivery*	*SM Amatya* Deepak Gautam BH Pandit Krishna Shrestha Hemant Ojha	1.3	*SM Amatya* Ram Chhetri Dil Khatri Krishna Shrestha Hemant Ojha	2.4	*SM Amtya* Krishna Paudel Yam Malla Ram Chhetri Krishna Shrestha Hemant Ojha	3.3
	Forum	Deepak Tamang Ram Chhetri Suman Bhattarai Ramji Neupane		Yam Malla Deepak Tamang Dipankar Tamang SM Amatya		Deepak Tamang Bishnu Pandit	
Modelling	*Coordinator* *Delivery*	*Ramji Neupane* B.Lusiana Deepak Gautam Yubaraj Subedi I.Nuberg Edwin Cedamon	1.4				
	Forum	S M Amatya BH Pandit Krishna Shrestha Krishna Paudel Yam Malla NS Paudel					

Research Theme		Agroforestry	Activity	Community Forestry	Activity	Under-Utilised Land	Activity
GIS	Coordinator					Binod Heyojoo	3.1 3.2
	Delivery					Lila Puri Racchya Shah Ragendra Khanal SL Shrestha Deepak Tamang Edwin Cedamon	
	Forum					S M Amatya BH Pandit Krishna Shrestha Hemant Ojha Yam Malla NS Paudel Krishna Paudel I.Nuberg	
Action research	Coordinator	Krishna Paudel	1.5	Krishna Paudel	2.5	Krishna Paudel	3.4
	Delivery	Ramji Neupane Suman Bhattarai Deepak Gautam Deepa Paudel Ragendra Khanal Yuba Raj Subedi Edwin Cedamon		Sujata Tamang Narayan Gautam Deepak Tamang Ragendra Khanal Govinda Paudel Yuba Raj Subedi Edwin Cedamon		Racchya Shah Ragendra Khanal Deepak Tamang Edwin Cedamon	
	Forum	SM Amatya BH Pandit Krishna Shrestha Hemant Ojha Yam Malla NS Paudel CP Upadhyaya I.Nuberg		CP Upadhyaya SM Amatya BH Pandit Krishna Shrestha Hemant Ojha Yam Malla NS Paudel I.Nuberg		CP Upadhyaya SM Amatya BH Pandit Krishna Shrestha Hemant Ojha Yam Malla NS Paudel I.Nuberg	

ROLES

Research Group Leaders
- Oversee the conceptual development and practical delivery of the Research Theme's activities
- Ensure the engagement and communication between all members of the research theme.
- Ensuring timely delivery of outputs of the research group
- Can act as Delivering Researcher, Forum member, and /or Activity Leader

Delivering Researcher
- Responsible for delivering the outputs of the activity through involvement with field work within a research theme
- Actively and constructively participates in activities within a research group and where necessary across research themes as part of a coordinated discipline activity.

Research Forum Member
- Participate (e.g. on Basecamp) with other forum members in the Activity in conceptual and methodological development
- May also act as Delivering Researcher, but not necessarily so.

Activity leader
- Responsible for leading and coordinating the work of Delivery Researchers within a specific Research Activity (of which there are 14)
- Reports to Research Group Leader

Discipline Coordinator
- Responsible for the coordination of the Coordinated Activities that span across research themes
- To liaise with Activity Leaders and Research Group Leaders across themes to achieve integrated deliberation, action and achievement.

9.3 Yalamaya Protocol for Effective Research Practice

Prepared by the project team at the Research Methodology Workshop February 2014

Drafted by: Hemant R Ojha, Krishna K Shrestha, Rahul Karki, Sujata Tamang, Dipankar Tamang, Yuba R Subedi, and Ian Nuberg

(We acknowledge the contributions made by all other colleagues)

Section One: Introduction

1. This protocol is called "Yalamaya Protocol for the conduct of ethical and professional research practice within ACIAR project" or in short *"The Yalamaya Protocol"*. 'The Project' in this Protocol denotes "Enhancing Livelihood and Food Security from Agroforestry and Community Forestry in Nepal" supported by ACIAR.
2. This protocol emphasizes the need to promote the respectful and responsible research relationships among the researchers and between the researchers, the participating communities and other stakeholders.
3. It recognizes a number of practical, ethical and coordination related issues on conducting field research in the Project. The Research Methodology Workshop held on January 17-18, 2015 at Yalamaya Kendra in Kathmandu has developed this protocol for the conduct of professional, ethical, and high quality research practice. Moreover, the protocol is also stimulated by the motivation of the Project Team to develop and implement commonly agreed norms by translating latest thinking on ethical and high quality research practice in the field of social and natural sciences.
4. This protocol is based on the reflections of, and discussions among, the Project researchers over the past nine months of project experience (April 2013-January 2014), and also draws on the wider principles of ethical and professional research practice. It aims to address many of the issues and opportunities identified – such as those related to coordination among various research functions, collaboration and communication, authorship and recognition, fieldwork planning, data collection, analysis and reporting.
5. This protocol provides guidance for Project team to ensure that their work achieves high level of integrity, professionalism, ethics and effective coordination among the teams, while also being less abstractive to the communities with the study is conducted.
6. The scope of Protocol may not be limited to issues / aspects mentioned below and is open for elaboration and further development as the Project team gains more experience and reflection in the project implementation.
7. The Protocol, once agreed by all, will be used as the binding framework, and if there are any issues about implementing this, the Project leadership team will resolve them and improve the Protocol in the biannual Action Research Meeting.
8. Once approved by the Project team, the Protocol becomes an official, guiding principle for research activities for all the members of the Project. Every individual associated with the project is obliged to abide by this throughout the project duration, subject to reasonable and justifiable discrepancies in practice. Failure to abide by these principles may result in disciplinary warnings or penalties as recommended by a relevant investigation panel.
9. Definitions and abbreviations:
    a) Theme Leader = TL
    b) National Leader = NL
    c) Field Coordinator = FC
    d) Community Forest User Groups = CFUG
    e) District Forest Office = DFO
    f) Project team – denotes all members of the project including researchers based in Nepal, Australia and Indonesia.

Section two: protocol for research practice

1 Engaging with communities during action research, field visits and other type of interactions related to the Project

1. All field activities at the local level will conducted in a transparent and fair manner, with minimum possible obtrusive effects at the community level. Every Theme Coordinator (TC) should carefully plan and take a decision on the field visit, in consultation with respective members of the research theme, on who should go to the communities for field research in specific field visit plan, how many researchers go at a specific time and how frequently.
2. Every visit and fieldwork should have specific plan, agenda and objectives which should be clearly communicated to the participating communities at the beginning or even before the visit where possible. There should be clear briefing of the purpose of every visit to the community so they know what is being discussed, why the project staff members are doing this and what are they expected to do.
3. There should be proper and timely information to the communities and respective community leaders about the upcoming visits, interactions, discussions or any activities to be conducted at the community level so they can plan their time accordingly.
4. Any message to the community should be clear, concise and in Nepali language so that community members properly understand the intention and activities of the ongoing research activities and processes.

5. To avoid raising unrealistic expectations from the research team, the researchers should not commit any developmental or other support or assurance to the communities.
6. To minimize obtrusive effects on the local community and also to ensure the quality of data, in normal circumstances, the fieldwork team should not exceed 5 persons. If the size is larger than this, smaller sub-teams (of not over 5 persons) should be formed immediately after the reaching the community for conducting interviews with the people or for observation of the forest, farms and households.
7. Research members wishing to visit the field should aim to fit their schedule with the time availability of the community members with whom the research team wants to interact. If a researcher is not sure of the community seasonal calendars, FC should be consulted to find out the details at the time of fieldwork planning.
8. Research teams should consider and avoid the peak seasons of the farming activities so that respondents will not be disturbed by the research activities. A prior agreement can be made with community leaders / farmers if there is a need to observe activities and interact with the farmers during their busy seasons, as visits during this season may be a necessity for particular research objectives, such as setting of field trials or undertaking ethnographic research.
9. A research team planning to visit a particular field site should inform the Field Coordinator (FC) about their planned visits normally at least 7 days prior to the date of field visit, explaining the purpose, duration and locations of the field visits. The FC should advise the researchers any issues to be considered while planning the field research activity within 3 days of receiving the information about the field visit plan.
10. Any participants for action research (e.g. field trials, leasehold farming piloting within CF etc) should be selected in a participatory manner – with consent from concerned farmers and CFUGs where relevant, and also with informed consent of the individual respondents or households.
11. At the time of the fieldwork and interviews, researchers should actively and attentively listen to participants, take notes accurately and avoid making recommendations or advocating particular viewpoints of their own. They must acknowledge respondent's time and contributions at the end of the interactions. Researchers should not make any promises for development action or any other support which they cannot deliver.
12. Researchers should be sensible to recognise the diversity among community members in terms of gender, ethnicity, caste, political ideology and economic class, and make an active effort for the inclusion of the marginalised community groups in every research activities, by properly engaging diverse group members and also by trying to win the confidence of local elites and powerful groups.

2 Communicating with government and other stakeholders

1. National Leader (NL) should ensure that Project researchers are consistent and coherent in explaining the plan, purpose, scope, strategy, and outputs of the project to the various stakeholders and collaborators.
2. Attempts should be made to engage the government and other stakeholders at all levels in all research events/process which help in collaboration and partnerships
3. All research members should engage and communicate with the government partners such as DFO while planning and implementing field research activities. FC should communicate their progress regularly to the key district level government agencies related to the research - District Forest Offices, District Development Committees and District Agricultural and Livestock offices. FC should immediately report to the national leader of any incidences of mis-communication with local level government staff concerning the matters related to the project.
4. The three TLs will play the lead role to maintain necessary communication with the national level government agencies related to their research themes.
5. NL will ensure that the project progress is communicated adequately and clearly with the national level Government agencies, mainly the Department of Forest and the Department of Agriculture.
6. Where possible, the project should also aim for building capacity and address the concerns of the collaborating stakeholders.
7. Government staff and other stakeholder representatives should be invited to contribute to any research outputs if they are willing to do so.
8. Members of collaborating agencies should also be recognized for their contributions of data, insights and evidence. Acknowledgement of their contribution should be made properly in any form of publication. Different ways in which such contributions can be acknowledged in the research publications or reports include:
    a. Writing a specific acknowledgement section at the end of the report.
    b. Identify and recognize the contributions of various actors in the context and methodology of the report.
    c. Write a footnote in the first page of the report – identifying names and organizations and acknowledging their contributions.

3 Write up, publication, authorship

1. Authorship and recognition of contributions to the research outputs are determined and managed as per the following provisions:
    a. An author is someone who makes substantive intellectual contribution to the publication.
    b. Free authorship or honorary authorship shall not be entertained.
    c. The ideal number of authors in one publication shall be five or less. However, this should not limit the inclusion of individuals who qualify for the authorship mentioned above.

      d.   The lead author is one who takes the overall leadership of the publication, prepares the first draft and shall manage to identify and limit the number of authors needed for the publication.

      e.   The lead author (first author usually) shall assess the contribution of the co-authors and include their/his/her name as author(s) in the publication

      f.   The lead author (usually the first author) is usually the one who leads the idea, and outline the publication and writes the first draft. The lead author is also responsible to manage (consolidate the contributions of co-authors, integrate and submit) the publication.

      g.   The lead author shall decide on the order of the co-authors based on their contribution. He/she (lead) will be responsible to resolve any issue (conflicting) among the co-authors regarding the order of the authorship.

      h.   If a large group is involved in a publication, the lead author may invite 2-3 co-authors as the core writing team, to be listed immediately after the lead author. All other co-authors will make contributions as asked by the core writing team and the order of authorship will be as per the assessment of the lead author who will make a judgment in consultation with the core writing team.

      i.   All the individuals who do not meet the criteria for authorship, but have contributed to the work in some way or the other, shall be listed in the acknowledgement section of the publication. The individuals who deserve to be acknowledged are those who comment on the conceptual framework of the publication; provide technical support like statistics, formatting/designing, drawing charts/figures etc; assist in typing/writing the text; data collection and compilation of literature; financial and material support.

      j.   The lead author shall be responsible to include the names of the individual(s)/institution(s) in the acknowledgement section for the above task and make sure to mention the nature of contribution in the publication.

2.   Correspondence between the writing team and the publisher will be handled as per the following provisions:

      a.   The lead author is usually the corresponding author of the publication.

      b.   The lead author can also delegate the responsibility of correspondence to one of the co-authors. In case the correspondence of the publication is delegated to one of the co-authors, the lead author shall make it transparent among all the authors of the publication.

      c.   The corresponding author shall be responsible to communicate the comments/feedback or any information pertaining to the publication with rest of the authors.

      d.   The corresponding author shall take the consent of the authors before taking any decision on sharing the manuscript under review to anyone outside of the project research group.

3.   Ethical standards on authorship and recognition will ensured through the following arrangements:

      a.   The lead author shall be responsible for the ethical considerations – such as related to avoiding plagiarism, ensuring acknowledgement, and other aspects.

      b.   If the order of the authorship agreed initially needs to be changed, that shall happen in consent with all the authors, including those whose name in the authorship is being altered.

      c.   Exclusion of a name from authorship during the last minute of submission will be considered unethical. In case of a need to exclude a name of author not meeting the criteria of authorship, the decision must always be made through prior and informed consent of the persons involved, and with clear explanation of the reasons for the exclusion.

      d.   Any co-authors or excluded co-authors unhappy with the decisions of the lead author can appeal to the project leadership explaining the reasons for dissatisfaction, and the NL will mediate between the lead author and those who appealed him. If the unhappy co-authors want to complain against the NL acting as the lead author, they can write to project leader and co-leader in Australia.

4.   To ensure that any publication that comes out as an output of ACIAR project meets the expected quality and message, the following actions will need to be taken before the submission.

      a.   The manuscript of the publication should be forwarded to the international team members in Australia for peer review ahead of its submission and/or printing. If the Australian researchers are already involved as authors of the manuscript, other researchers from within or outside of the project will be consulted for peer review.

      b.   The lead or the corresponding author shall be responsible to forward the manuscript to the concerned individuals/groups for a peer review.

      c.   The lead or the corresponding author shall be responsible to compile the comments/feedback from the reviewers and discuss ways to address them among the authors.

      d.   The lead author shall make sure that the comments are genuinely addressed (and in a different file indicating the changes made) and the corresponding author or the lead shall forward it back to the reviewers for verification.

      e.   The write up team shall make arrangements for English editing, if necessary, after the reviewers comments have been addressed.

      f.   The NL should be informed of the process of peer review process. The NL shall make sure that these procedures have been followed for publications.

4 Opportunity allocation/scholarship nominations/capacity building opportunities

Following procedures will be adopted in allocating opportunities associated with the ACIAR project including scholarships and participation in trainings/ programmes both within and outside Nepal. This includes, among others, John Allwright Fellowship and John Dillon fellowships.

1. All the interested individuals, who may qualify, will be provided with all relevant information about the application process and support wherever needed.
2. The person directly involved in the project shall be given the priority for the nomination of scholarship. The person selected should have a substantial contribution to the ACIAR project and the organizations he/she represents.
3. The nomination process involves various steps, starting with the nomination of potential candidates for the training by the thematic leaders or by the heads of the project partner organizations.
4. If any aspiring researchers are not nominated by both TL or organizational heads, they can write to NL expressing their interests for the opportunity. The NL may nominate if the candidate is found suitable for the opportunity.
5. Nominations by TL/NL or organizational heads does not automatically lead to an award being conferred to the nominees. The Australian research and funding institutions will undertake further assessment and scrutiny of the candidate capacity and suitability, and only then the final selection will be made.
6. In the case of PhD or Masters by Research Degrees programmes, the prospective supervisor (s) of the Australian Universities will conduct interviews and other necessary assessments of the candidates nominated by the TL or organizational heads, and decide on the suitability and relevance of the candidate for the programmes. Candidates nominated by partner organizations and research themes need not be automatically admitted at the University and accepted for the programme, unless the prospective supervisors see the candidates as suitable and recommend for admission. Besides, the candidates also need to meet other University admission requirements such as English Language score and prior academic accomplishments.
7. Once nominated by the respective organization and endorsed by the concerned theme leader, the candidate can request the national leader to write a reference letter to be submitted to the concerned University for admission. NL will have the responsibility to communicate the strengths of the candidates in the reference letter.
8. In case of any grievances related to nomination, national leader can mediate and resolve the issue. The overall process of nomination/selection shall be transparent and communicated via the base camp.

5 Relationship, reporting, communication and coordination within/ between research teams

1. Regular Coordination, Communication and Reporting are essential to ensure the smooth "workability" and efficient functioning of the Project in the spirit of collaborative and active mutual support. This will be accomplished through a number of provisions:
   a. Monthly strategic meeting among the NL and TLs in Kathmandu. Such strategic meetings will guarantee that coordination, communication, reporting, and cooperation are functional between various mechanisms and structures of the ACIAR project in Nepal.
   b. Quarterly meeting of NL, TL, disciplinary and activity leaders including relevant organizational heads.
   c. Fortnightly communications/sharing/meetings within thematic research groups, under the leadership of the respective TL.
   d. Posting of issues, ideas, insights, recommendations in the basecamp on a regular basis.
   e. Monthly skype meetings between NL and international researchers.
   f. Email, phone and skype communications among the researchers as per the need.

6 Conflict Management

Conflict of interests that arises due to various expectations among partner organizations including human resources management, financial management, assignment of roles, any issues in collaborative working culture, and any breakdown in communication will be resolved amicably between the, national leaders and relevant thematic, disciplinary or activity leaders to resolve the issues.

7 Delivery of the research outputs and clarity of roles

1. Timely output delivery from researchers will be ensured by the thematic leader and if needed thematic leader will follow-up periodically with the researcher to ensure the quality of the deliverable
2. Thematic leader will inspect the quality of the final output and convey for peer review if necessary.
3. International researchers will contribute to and approve the final research outputs as per the following arrangements:
   a. UniAdel team responsible for ensuring the quality of all research related to the biophysical aspects. It will assess and approve all outputs related to the theme of Agroforestry. UniAdel will also do the same for market related outputs of all research themes in collaboration with WAC.
   b. UNSW team will be responsible for ensuring quality in social and institutional analysis in the research. It will approve all outputs related to community forestry themes.
   c. UniAdel will approve the research outputs related to biophysical and markets, and UNSW will do the same for social and institutional aspects related to the theme of Underutilised Land.

8 Ethical research practice / personal behaviours/ professional integrity

This section includes some standards which researcher must follow in their research:

1. Research member should be honest, fair and respectful to others in the professional and research activities. There should be honest communication among research team regarding the work in progress.
2. Researchers will have an obligation to ensure the confidentiality of the information which could jeopardize the project activities.
3. Researcher will demonstrate sensitivity for local ritual, culture and personal beliefs during field visits and community interaction.
4. Researcher will establish and maintain trust and respect within the research team.
5. National leader will be responsible to handle any conflicts and grievances, if the condition is serious.
6. Research teams must obey and remain sensitive to the gender related norms in the study sites and more generally in the Nepalese society.

9 Fostering synergy across qualitative/quantitative and action research practices

1. Communication and sharing mechanism will be established within and between the research themes to update research progress
2. A common database will be developed as well as appropriate data sharing mechanism will be established to blend the qualitative and quantitative research progress

10 Monitoring and Evaluation

1. Project leadership will develop relevant framework for monitoring and evaluation of the project and then communicate with the research teams for any information needed or action to be taken in this regard.

9.4 Acronyms used in this report

AF	Agroforestry
AR	Action Research
ARPM	Action Research Planning Meeting
CF	Community Forestry
CFD	Community Forestry Division
CFUG	Community Forest User Group
DFO	District Forest Officer
EnLiFT	**En**hancing **Li**velihoods and **F**ood security from agroforestry and community forestry [= **T**rees] in Nepal
FAN	Forest Action Nepal
FECOFUN	Federation of Community Forest Users Nepal
GoN	Government of Nepal
IOF	Institute of Forestry,
IUCN	International Union for Conservation of Nature
MEDEP	Micro-Enterprise Development Program
MFSC	Ministry of Forests and Soil Conservation
NAF	Nepal Agroforestry Foundation
NGO	Non-Government Organisation
PAR	Participatory Action Research
PP	Pay Period
SN	Search Nepal
TU	Tribhuvan University
UUL	Under-Utilised Land
UA	University of Adelaide
UNSW	University of New South Wales
WCAF	World Congress on Agroforestry