DFID

FRP

odi

Strategic Researchable Constraints for Participatory Forest Management

Kate Schreckenberg, Anna Lawrence, Cathy Mackenzie, Jane Bryden, Cecilia Luttrell and Helen O'Connor

Overseas Development Institute, London

Final report
29 November 2002

This publication is an output from a research project funded by the United Kingdom Department for International Development (DFID) for the benefit of developing countries. The views expressed are not necessarily those of DFID. (ZF0165 Forestry Research Programme)

Contents **Page**

Executive Summary 2

1. Introduction and background 4

2. Electronic survey 5
   2.1 Method 5
   2.2 Profile of Respondents 6
   2.3 Main research issues 8
   2.4 Appropriate research levels 10
   2.5 Sources of information 11

3. Combined results from electronic and previous surveys 12
   3.1 Organisations, institutions and governance 12
   3.2 Incentives 13
   3.3 Technical issues 13
   3.4 Impact 14
   3.5 Communication and tackling constraints to learning 15
   3.6 Methods for adaptive research / participatory experimentation 15

4. Conclusions 16

Annexes

1. Terms of Reference for the study 17
2. Summary of Anna Lawrence's study 20
3. Summary of Cathy Mackenzie's study 23
4. Summary of Oliver Springate-Baginski's report 24
5. Electronic survey form 25
6. Other background sources 27
7. List of participants at analysis meeting on 11 October 2002 30
8. Presentation on research issues in Nepal (Hemant Ojha) 31
9. Presentation on research issues in India (Sushil Saigal) 34
10. Presentation on research issues in Cameroon (Michael Vabi) 37
11. Presentation on research issues in Brazil (Andrea Pires) 39

Executive Summary

The Problem

Over the last decade Participatory Forest Management (PFM)[1] activities have attracted a large amount of donor funding and international interest. DFID, for example, was already funding over 200 PFM projects in 1997, and many countries are now implementing or experimenting with some form of PFM. While there has been some synthesis of experience and dissemination of lessons learned from PFM initiatives around the world, this has often focused on promoting PFM and spreading 'good news' rather than critically appraising experience and analysing the problems in carrying out PFM. This research set out to ascertain what exactly the problems are and whether such problems are situation-specific or whether they could be overcome by strategic research interventions.

The Research

An electronic survey of 700 members of the Rural Development Forestry Network was carried out in December 2001. The 126 respondents were profiled according to their current role, scale of work, forest type and management objectives. Between them they identified 281 different researchable issues, stating for each what level of research (community, with local PFM partners, national partners and/or at international level) they considered the most appropriate. The researchable issues were clustered into 11 keyword groups for further analysis. The results were compared with those of three previous studies funded by DFID's Forestry Research Programme, including a questionnaire survey of three stakeholder groups in each of six countries (Lawrence *et al.*, 1999), a survey of participants at the 16th Commonwealth Forestry Conference in Australia (Mackenzie, 2001) and a review of the problems presented at the RECOFTC-organised conference on 'Advancing Community Forestry' in Chiang Mai (Springate-Baginski, 2001). The combined conclusions were discussed at an expert meeting in London, at which evidence on researchable constraints in Brazil, Cameroon, India and Nepal was also presented.

Key Findings

- Despite the great variety of approaches, forest types and management objectives embraced by the term PFM, there was general agreement on key researchable constraints between the electronic survey, previous studies and evidence from national participants.

- There is concern that donors have been pushing PFM very hard, in part because the participatory 'fashion' suited their purposes of convincing their own paymasters to support forestry, but that this has diminished the political will to critically examine and learn from the results of PFM, negative as well as positive.

- There is no standard definition of what 'successful' or 'sustainable' PFM consists of, and very little documented evidence on its biodiversity or livelihood impacts.

- Related to this was a widespread interest in incentives, improving the understanding of why different stakeholders get involved in PFM and how the objectives of different stakeholders may change over time.

- Other issues commonly highlighted as problematic are clustered around the governance theme, including questions of institutional arrangements, empowerment and politics.

[1] PFM is taken to include community forestry, joint forest management, co-management and community-based forest management.

- In contrast with assumptions by respondents working at national and international level, a lack of understanding of technical forest management is still considered a constraint by those at local level. Much of the necessary research can be carried out at national level by adapting existing forest management practices to local conditions, and developing simple 'barefoot' silvicultural methods which build on local knowledge and management practices, including some of the effective techniques developed by 'illegal' small-scale loggers. Yet poorly established national constituencies for PFM may mean that donor support is required even for this national-level research.

- The issue of communication and the lack of locally appropriate and available information repeatedly emerged as a barrier to PFM implementation although it was rarely phrased in terms of a researchable issue. Many practitioners and planners do not have access to information because of poor dissemination or because it is presented without lessons being sufficiently distilled to convey general principles across cultural boundaries. There is also a strong sense that 'knowledge cannot be transported directly' but that there is a need to create the conditions in which knowledge can be generated.

Recommendations for international level research questions

International level research was considered to be appropriate for 76% of the issues raised, including all those grouped under the keywords 'information' and 'industry'. Respondents stressed the benefits of providing an international context for local-level solutions, including national-level policy-making, and the ability of international partners to increase scientific rigour, provide better access to funds and improve the dissemination of results. Some issues are inherently international such as international agreements, economic sustainability and links between the local and global economy. In other cases an international approach can provide 'moral' support to national researchers, sometimes ventriloquising what can be sensitive issues for local researchers.

The following research questions were raised as being of generic research interest for funding by international donors:

1. What are the institutional structures and processes which characterise successful PFM and, conversely, what lessons can be learned from unsuccessful PFM experiences?

2. How can lessons on institutional structures and processes which characterise successful PFM be scaled up and across, to succeed in different financial, political and ecological contexts?

3. What tools and generic frameworks can be used for the assessment of impact and outcomes of different PFM implementation strategies?

4. How can key incentives for involvement in PFM (over different time scales and spatial levels, and for a variety of stakeholders) be identified, developed and communicated?

5. What international lessons on 'new' products of PFM can be applied to improve local level understanding of technical forest management?

6. How can effective and locally appropriate extension and dissemination methods and systems be developed which could channel existing knowledge, create conditions in which knowledge can be generated and link with adaptive research methods?

SECTION 1. INTRODUCTION AND BACKGROUND

Participatory forest management (PFM)[2] has been an important theme for DFID technical assistance for the last 15 years, but the subject of relatively little focused research. With a view to informing the research agenda on PFM, DFID's Forestry Research Programme (FRP) has commissioned a number of different studies in the last three years. These have tried to determine whether the constraints faced in the implementation of PFM are situation-specific or whether there are elements which are commonly encountered at many sites and in many circumstances, and which might be at least partly susceptible to strategic research. The studies took different approaches including field-based interviews in case-study countries and consultations with foresters at meetings dealing with PFM.

The most substantive of these previous studies was a questionnaire survey of three stakeholder groups in each of six countries carried out by Anna Lawrence and colleagues at the University of Reading in 1999 (Project ZF0118, summary included as Annex 2). A second study by Cathy Mackenzie surveyed participants at the 16th Commonwealth Forestry Conference in Australia in 2001 (Project ZF0161, summary included as Annex 3). Both these studies applied the 'FRP filter' (Box 1) to define problems suitable for support by FRP. The third study was a brief review by Oliver Springate-Baginski of the problems presented at the RECOFTC-organised conference on 'Advancing Community Forestry' in Chiang Mai, 2001 (Project ZF0164, summary included as Annex 4).

Box 1. The FRP filter

To identify problems appropriate to a strategic, internationally oriented programme such as the FRP, problems are put through a four-fold filter. They should:

- Address a priority problem in a clearly defined area for the forest-dependent poor;
- Not be more appropriately addressed through local or project level action research;
- Not already be being addressed by other donors;
- Benefit from collaboration with a UK-based research organisation.

None of these studies was considered by FRP to provide sufficient direction for future action. It therefore commissioned the Overseas Development Institute (ODI) to carry out an electronic survey of the members of the Rural Development Forestry Network (RDFN). The aim of the survey was to highlight researchable constraints in PFM which might inform the research agendas of various international organisations funding PFM work (Terms of Reference included as Annex 1). The methods and results of this survey are presented in Section 2. They were combined with the results of the three previous studies and developed into a set of research hypotheses for discussion at an experts meeting (11th October 2002) in London. The outcome of the discussion is presented in Section 3, followed by conclusions drawing on all of the above-mentioned studies in Section 4.

[2] For the purposes of this study, participatory forest management (PFM) is taken to include community forestry, joint forest management, co-management and community-based forest management.

SECTION 2. ELECTRONIC SURVEY

2.1 Method

An electronic survey (Annex 5) was developed by a team including authors of two of the previous FRP studies. It was tested on 30 RDFN members selected to be representative of regions, types of organisation, scale of work and language. A first set of questions was included to determine the profile of the respondent (current role, scale of work, forest type and management objectives). A second set of questions gave the respondent the opportunity to raise three different research issues, in each case also asking at what level the issue should be researched – whether at community level or involving local PFM partners, national partners and/or at international level. Finally, respondents were asked about their sources of information and for any other comments.

Email questionnaires were sent out to 700 of the 2900 RDFN members. Selection criteria were:

- Interest in PFM (as expressed on RDFN application form)
- Access to email

A 3-week deadline was given and one reminder was sent out. A return rate of 18% (126 responses) was achieved.

All responses were entered into an Access Database. The 126 respondents raised 281 issues. Based on a reading of around 30% of the issues, 11 'clusters' or keyword groupings were defined (Table 1). Some issues were not clearly defined by the respondents or touched on more than one area and were therefore included in two or more keyword groupings, resulting in a total of 367 records.

Table 1

Keyword grouping	**Keywords included in grouping**	**Abbreviation used in tables and graphs**	**No. of records**
1	Biodiversity, Climate change, Ecological impact, Environment, Ecology	Ecology	29
2	Case study, info, networking, communication, (Indigenous knowledge as a cross cutting issue)	Info	13
3	Equity, gender, forest dependence, benefit sharing, income generation	Equity	24
4	(Incentives), Economic, Economic value of ecology, watersheds, land use, market economy, income generation, integration, livelihood impacts, tourism	Incentives	58
5	Facilitation, Staff capacity	Capacity	15
6	Scaling up, Donor issues, Finance (large scale), 'the system', integration	Scaling-up	26
7	Marketing, forest products, NTFPs, processing	Marketing	32
8	Government, legal, policy, regulations, land tenure	Legal & Policy	41
9	Governance, institutions, politics, power, stakeholders, indigenous knowledge, participative values	Governance	87
10	Private sector, timber industry	Industry	7
11	Silviculture, inventory	Technical	35

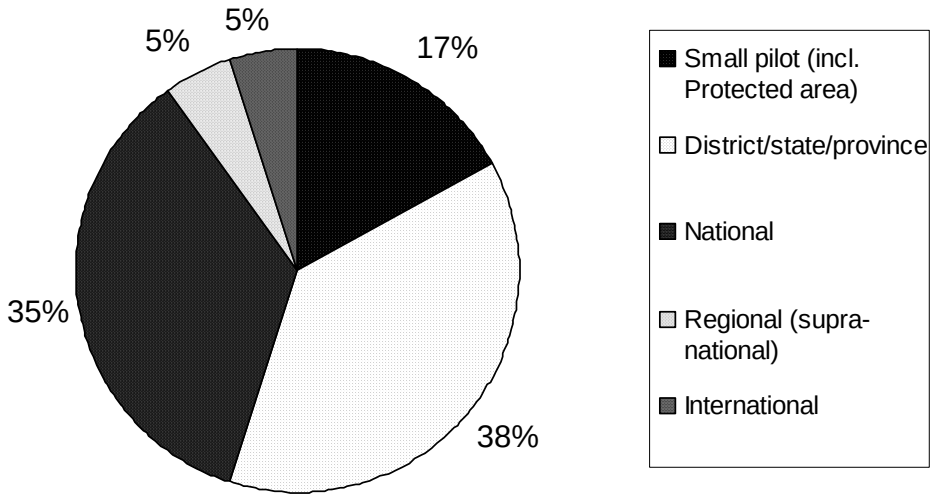
2.2 Profile of respondents

This section presents a summary of the types of people who responded to the questionnaire. The fact that the sample was drawn from the RDFN membership means that current undergraduates would have been excluded[3] and that the proportion of community-level members would have been very small. The results nevertheless provide an interesting picture of the kinds of people working on PFM issues from field to policy level around the world.

Current role
We hoped to achieve representation across the range of possible roles played by people but were particularly interested in the concerns of practitioners. We were pleased, therefore, that 39% of the 126 respondents were practitioners of PFM, having described their role as working with communities, managing a project or acting as an independent facilitator. A further 22% were researchers. Only 6% defined themselves as having a policy function, though this figure would be doubled by including the various donor, NGO and UN staff who defined their role as 'Other' (the latter category also included trainers and a few consultants). 20% of respondents had multiple roles.

Scale of work (Fig. 1)
In line with the declining donor interest in project-level work, only 17% of respondents worked solely at small pilot project level (including three respondents who worked in protected areas). By far the majority worked either at district/state/province level (38%) or at national level (35%). About half of those working at national level also had experience at sub-national level. The smallest groups of respondents were working at the supra-national regional level (5%) or international level (5%).

Fig. 1 Scale of work of respondents

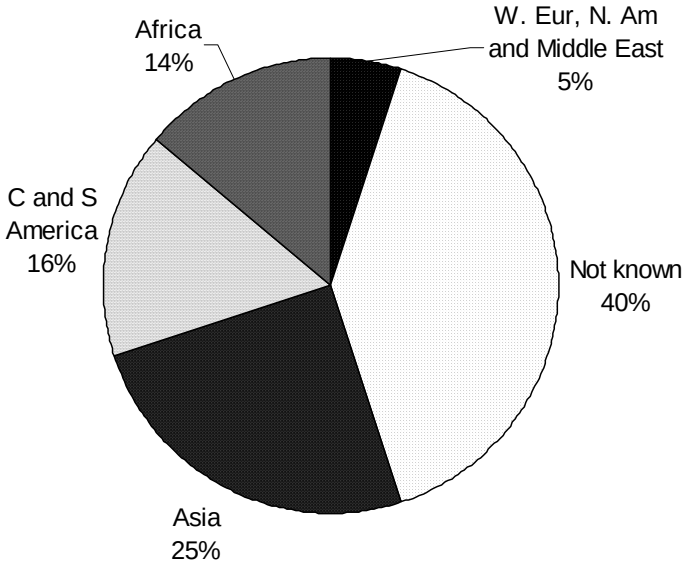


Work region (Fig. 2)
We did not specifically ask people where they had obtained their experience but were able to deduce this for many people on the basis of their responses to other questions. For around 40% of respondents this was either not possible or it was clear that the person was drawing

[3] This is the only category of people specifically excluded from RDFN membership as they are considered to have access to RDFN materials through their libraries.

on experience from several regions. For the remainder, the split was rather as one might expect on the basis of regions where PFM is proceeding most rapidly: 25% in Asia, 16% in Latin America, 14% in Africa and just 5% in Western Europe and North America.

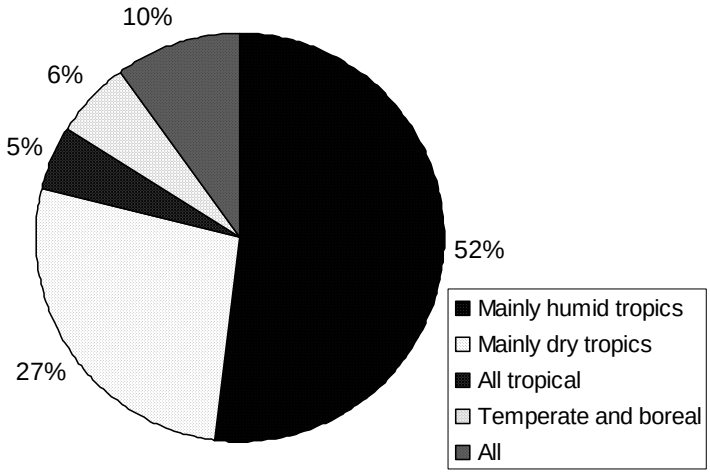
Fig. 2 Work region of respondents



Forest type (Fig. 3)

Respondents were asked to describe the forest type in which they did most of their work. The majority (52%) worked in the humid or seasonally humid tropics. Another 27% worked in the drier tropics (from arid and semi-arid to savannas with some inclusion of seasonally humid areas). A few (5%) also worked across the whole of the tropics. Only (6%) worked in temperate or boreal forests. A fairly large group (10%) worked across all forest types, both tropical and temperate.

Fig. 3 Distribution of respondents by forest type

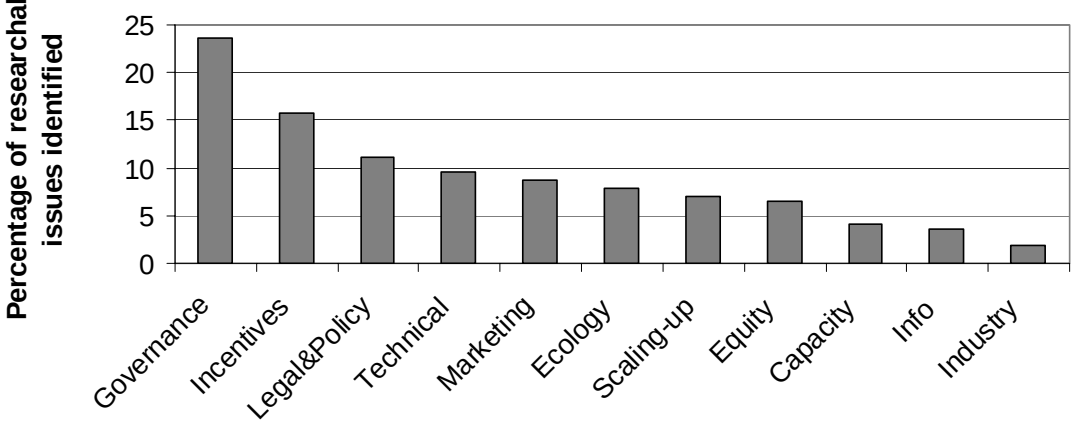


Management aims
It was encouraging to see that the multiple roles of forests are clearly being recognised. Nearly half of all respondents (46%) were working with forests being managed for multiple aims. Only 12% were working with forests managed solely for timber, although a further 23% dealt with forests in which timber was one of only two management aims (the second usually being NTFPs). Fully 39% of respondents work with forests in which NTFPs are either the sole management objective (11%) or one of two objectives, providing justification for the large amount of recent research in this area. A small but significant group of respondents works with forests in which tourism or wildlife (both 7%) is the sole or joint management aim. Other management aims such as environmental services, fuelwood and biodiversity are of very low significance (each around 2%) in this sample.

2.3 Main research issues

Keyword distribution
The main research issues were categorised into 11 keyword groupings as indicated in Table 1. The pattern of keyword distribution (Fig. 4) was very uneven with 24% of researchable issues being categorised within the governance grouping. Another important grouping (16%) was broadly concerned with the incentives for PFM. Slightly less important were the keyword groupings around legal & policy (11%), technical (10%), marketing (9%), ecology (8%), equity (7%) and scaling-up (7%). Staff capacity and information both came in at a surprisingly low 4% perhaps because, although people identify low capacity and information as serious constraints (cf. Lawrence *et al.* 1999, Mackenzie 2001), they do not conceive of them as a researchable issue. Of least importance was industry with just 2%, reflecting the very low proportion of PFM being carried out in conjunction with the private sector.

Fig. 4 Percentage mention of different keyword groupings



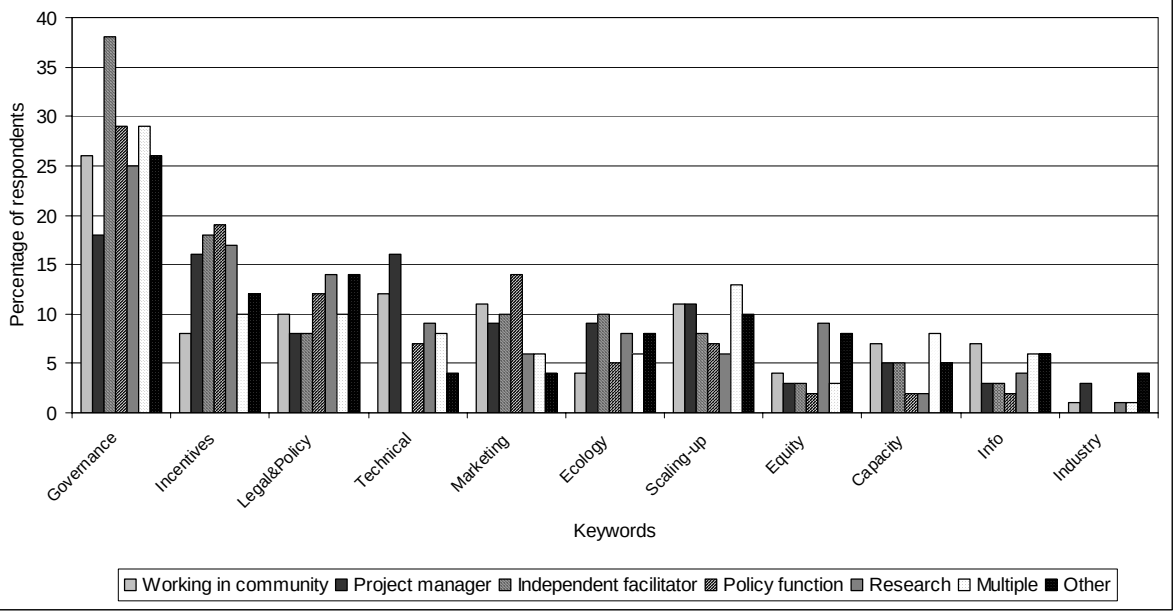
The fact that a high proportion of the research issues have been categorised into the 'governance' keyword grouping does not necessarily mean that the governance issue was considered more important by respondents. It may also reflect how narrowly each of the keyword groupings was defined. Thus it was fairly easy to define research issues which fitted into the 'industry' or 'technical' category, whereas the 'governance' category (like the 'incentives' one) consisted of a much larger group of hard-to-separate sub-issues. In order to

assess whether the categories were a genuine reflection of research constraints, the pattern of keyword distribution was then examined for different categories of respondents (grouped by the characteristics discussed in Section 3). The keyword distribution pattern was basically very similar regardless of how respondents were divided up, but - as described below - a few differences suggest that certain groups of respondents had stronger interests in particular research areas.

Effect of respondent's role (Fig. 5)
The general pattern of keyword distribution by role of respondent mirrors the overall pattern, with the governance and incentives groups coming out strongest by far. A few interesting features can be remarked, however:

- Community workers and project managers rate 'technical' issues much more highly than people with other roles (independent facilitators do not mention them at all);
- 'Governance' was particularly important for independent facilitators, 38% of whose issues were categorised into this keyword grouping.

Fig. 5 Keyword percentages by role of respondents



Effect of respondent's scale of work
Regardless of the scale at which respondents worked, their issues were distributed across the keyword groupings with very similar percentages. The only exception was 'information' which was hardly mentioned except by the regional respondents (12%) and those working at all scales (17%).

Effect of respondent's region
This question was not posed directly. Nevertheless, it is interesting to note that people working in Europe, North America and the Middle East considered 'scaling-up' and 'governance' issues to be extremely important relative to people in other regions.

Effect of forest type
People working in temperate forests stand out as being far more concerned than people in other forest types about 'legal & policy' issues. Together with those in boreal forests, they also lay emphasis on 'governance' and 'scaling-up' issues.

Effect of forest management aims
The distribution was fairly similar across the management categories with the few respondents managing forests for fuelwood standing out for their extreme interest in 'scaling-up' issues and complete lack of concern for 'governance'.

2.4 Appropriate research levels

Preliminary data analysis has focused on those issues described as being researchable at international level as these are the most likely to be of interest for multi-country strategic research.

International level research was considered appropriate (though not exclusive) for 76% of issues overall. The figure was particularly high for Information and Industry issues (both 100%), Scaling-up (89%), Ecology (83%) and Incentives (81%); average for Governance (76%) and Technical (74%); and lowest for Equity (63%), Legal & Policy (63%), Marketing (66%) and Capacity (67%).

Reasons given for carrying out research at international level included:

- The nature of the question,
    - e.g. links to international level agreements (such as the Clean Development Mechanism)
    - economic sustainability (incentives, financing); the local economy is part of the global economy (the need to trace causes and constraints to macro-level)
    - (eco)tourism
    - investigating the impact of donor PFM funding and improving donor support programmes
    - yield/management studies for widespread species
- Regional or global problems (e.g. biodiversity loss) require global solutions (including integrated planning at landscape or Protected Area level)
- Comparative case studies are important as many problems are common across countries or regions (e.g. benefit sharing is a key issue everywhere, or particular species/landscapes are important in a whole region)
- To avoid reinventing the wheel
- Provide international context for local-level solutions (e.g. importance of FSC or C&I frameworks)
- Systematisation of approaches and results under different conditions
- Long-term international benchmark/reference studies needed of (environmental) impact of PFM
- National and international level important for identifying policy implications
- Some problems are not perceived as such internally and/or are not researchable within government programmes (e.g. subsidies, loans & grants; externalities)
- Involvement of international researchers leads to better dissemination of results, also the education of developed country consumers
- International research provides access to funds, information, scientific rigour, and capacity not available at local or national level
- Promotes South-South collaboration (particularly NGOs)

- International opinion (e.g. pro SFM certification) can provide powerful support to marginalized
- International dimension provides ’moral’ support to local PFM researchers, ‘shows the way’

2.5 Sources of information

Respondents were asked to indicate their main sources of information. Books, colleagues and websites were by far the most important. Training, publications (other than books and journals), journals and field visits were a secondary group of information sources. A couple of respondents mentioned that for training to be useful it should preferably be carried out within their projects rather than by sending people on courses in other countries.

SECTION 3. COMBINED RESULTS FROM ELECTRONIC AND PREVIOUS SURVEYS

Based on the three previous studies carried out (Annexes 2 - 4) and other background source material (Annex 6), six research hypotheses were developed. The results of the electronic survey were then compared with these and amendments made as necessary. In fact, the electronic survey did not raise any new issues, but rather added some subquestions and gave priority to others. The amended hypotheses were then presented at a one-day workshop (participants list in Annex 7) in London. The workshop also benefited from presentations by participants from Nepal (Hemant Ojha - Annex 8), India (Sushil Saigal - Annex 9), Cameroon (Michael Vabi - Annex 10) and Brazil (Andrea Pires - Annex 11), each of whom outlined key research constraints in their country or region and identified those which would benefit from an international research approach.

Using the evidence from these national presentations, the previous FRP studies and the ODI electronic survey, three working groups then discussed the six research hypotheses. In each case important sub-issues were noted and an attempt was made to define one or more research questions around the theme. Brief summaries of the discussions around each hypothesis are presented below.

3.1 Organisations, institutions and governance

Hyp: Scaling PFM up to national level, across and down to other contexts is constrained by a lack of understanding of how to institutionalise individual project experience which is often characterised by external support and very different political, cultural and ecological contexts.

Suggested research topics included:

- Mechanisms for (self)-financing [see also hypothesis 2].
- How to design PFM institutions to succeed in a context of strong external commercial and political interest.
- Shifting rights and responsibilities over PFM from national to local level. The implications of decentralisation.
- How to include a wide range of stakeholders and the clarification of stakeholder roles (communities, NGOs, local and national government, private sector).
- Policy, legislation and regulations that support successful PFM and that do not conflict with existing legislation and traditional rights. Issues of legitimacy. Problems of generalising across different legal systems.
- How to build on existing institutions and tap into existing social capital.
- Integrated planning across sectors and programmes, and at different levels. How to harmonise roles of specialised forest user groups with those of local government bodies
- Effective market integration of small forest product producers.
- Determining appropriate forms of training for different stakeholder groups.
- How to analyse and build in a recognition of power into understanding processes, structures and driving forces.

Although there was a concern that specific policies or legislative systems cannot be transferred from one country to another, there was clear agreement that it is possible (and useful) to generalise about policy processes and the ways in which legislation and regulations are developed.

Because an apparent lack of political will is such a widespread and complex constraint to PFM, there seems to be a need to bring different research approaches to this question, including political science and psychology, to enable deeper inquiry into questions regarding corruption, politics and donors themselves as constraints. It is recognised that these are sensitive issues to explore in a researcher's own country, and considerable diplomacy will be required to use the results of such research; but without addressing them, PFM may only take off under highly favourable (and unusual) circumstances.

Possible research question: Development of processes and institutions for extending localised and externally supported models of PFM across contexts and up to the national level. What is the range of options and the conditions under which each works? What is the most appropriate set of institutions and their characteristics, what are the processes involved and the driving forces required?

3.2 Incentives

Hyp: The success and spread of PFM depends on its capacity to involve stakeholders and generate for them, both benefits and a sense of ownership.

Suggested research topics included:

- Incentives for participation in PFM. How and why do stakeholders perceive costs and benefits differently?
- Links between the levels of incentives and PFM (e.g. if initial incentive is income, what happens if income flows stop/decrease?).
- Changing incentives in contexts of shifting internal and external markets and demand.
- Valuation of non-market (and market) goods and services to assess trade-offs between different benefits (for whom, over what time-scale, etc); reconciling conflict between subsistence and commercial values.
- Marketing, processing and adding value to forest products.
- Clarification and security of tenure and access rights.

An issue which emerged repeatedly in all the groups was the question of how to define 'successful' PFM, particularly with respect to the range of stakeholders each of whom may have a different definition of 'success'. This is related to the fact that many different types of participatory resource management are covered by the PFM label, each with its own and differing set of objectives. At the same time as defining 'success', the point was also made that many lessons could be learned from unsuccessful PFM experiences.

Possible research question: Identify the variety of key incentives that ensure that PFM succeeds and produces multiple benefits (e.g. as an income-generator, for environmental restoration, ownership etc.).

3.3 Technical issues

Hyp: Locally, PFM is constrained by a lack of understanding of aspects of technical forest management.

Suggested research topics included:

- Appropriate methods for silviculture and technical aspects of forest management tailored to PFM goals and processes (community-level PFM structures are often

inexperienced, weak and cannot cope easily with complex technical management prescriptions).
- Acknowledgement and incorporation of local knowledge and management techniques (including some of the techniques developed by 'illegal' small-scale loggers which are effective in terms of returns and having low environmental impact).
- Simplified guidelines for local communities, 'barefoot' silviculture.
- Information on yields and management systems of lesser known species, including timber species, NTFPs and other 'new' forest products (e.g. environmental services).

There is a presumption at national (and international) level that silvicultural issues have been sorted out; however they still greatly preoccupy field-level staff. Theoretically much of this technical research should be carried out at the national level as it involves adapting existing forest management practices to local conditions. Unfortunately the necessary national capacity is often lacking. There is a concern that the national constituency for PFM is often not yet well established, and that the shift in donor interests towards the policy level, to the exclusion of field interventions, will have negative effects on the resolution of these outstanding technical problems. The fact that it has largely been donor pressure which launched the PFM initiative in many countries increases the imperative for donors to stay engaged, even at this technical level. In addition there are a number of areas which would continue to benefit from an international approach because few or no 'models' exist for adaptation to local circumstances; these include management for 'new' products such as NTFPs, lesser-used species and environmental services.

Possible research question: Development of simple management systems for non-conventional forest products.

3.4 Impact

Hyp: There is a lack of clearly documented impact on poverty and / or biodiversity.

Suggested research topics included:
- Methods to monitor and address equity issues (e.g. benefit sharing, participation, power).
- Better conflict management issues, particularly in protected areas.
- Methods for both participatory M&E (of PFM) and external impact assessment.
- How to reconcile the national need for indicators to meet international reporting requirements (e.g. to the CBD), with local level preference for functional indicators (e.g. numbers of sacks of charcoal or roof props).
- Clarification is needed about what constitutes 'sustainable' PFM. This depends on the objectives for PFM - which may vary for different stakeholders and during different phases of implementing PFM.
- Impact of commercialisation on subsistence users.

There was interest in developing criteria and indicators for 'successful' PFM, though not in a static sense. Rather there was a feeling that a generic framework could be derived and a process developed for its adaptation to national and local level realities (much as the generic FSC principles and criteria have been adapted at national level in some countries). The discussion here linked in to that around hypothesis 2, highlighting the need to first define 'success'.

Possible research question: Development of tools/processes for the assessment of impact and outcomes of different PFM implementation strategies (e.g. the difference between donor intervention with heavy start-up funding, government interventions and indigenous systems).

3.5 Communication and tackling constraints to learning

Hyp: PFM is constrained by lack of locally appropriate and available information. Knowledge cannot be transported directly so there is a need to create conditions in which knowledge can be generated.

Suggested research topics included:

- An understanding of why information is not available or appropriate.
- Improved information flows for existing information (case study and theory) both within and between countries.
- The need for innovative communication and negotiation tools.
- Understanding of what motivates and creates the conditions for effective learning and the development of knowledge (an understanding of the importance of attitude and political agendas in this as well as skill).
- Tackling the lack of clarity and definition of roles of stakeholders.

Although 'communication' was frequently raised as being a constraint to PFM implementation, it was rarely phrased in terms of a researchable issue. There is concern that donors have been pushing PFM very hard, in part because the participatory 'fashion' suited their purposes of convincing their own paymasters to support forestry and that there has been no political will amongst donors to critically examine and learn from the results of PFM.

There is a definite need for better presentation of knowledge and dissemination in a way that conveys general principles across cultural boundaries.

Possible research question: Development of effective and locally appropriate extension and dissemination methods/systems which could channel existing knowledge, and link with adaptive research methods' [see hypothesis 6].

3.6 Methods for adaptive research / participatory experimentation

Hyp: Development of PFM is constrained by lack of appropriate experimental methodologies which enable local stakeholders and foresters to adapt management technologies.

Suggested research topics included:

- PTD (participatory technology development) and / or farmer participatory research methods developed for whole forest management systems.
- An understanding of the barriers to changing training methods and ways in which experimentation can be encouraged.
- Research methods and approaches to deal with multiple levels, complexity and change.
- Consideration of processes as well as C&I type structures.
- Turning theory into locally appropriate practice.
- Ensuring that the results of impact analyses feed back into design (by govt, donors, communities, etc) of PFM systems, developing the incentives for interest among decision makers for improving the system.

Possible research question: how do PTD methods and action research approaches need to be adapted, documented and disseminated to enable PFM stakeholders to develop appropriate management systems?

SECTION 4. CONCLUSIONS

This is the fourth in a series of studies and reports funded by FRP to identify researchable constraints in PFM. Our conclusion is that despite the great variety of approaches, forest types and management objectives embraced by the term PFM, as well as the different approaches taken by the four studies, there was remarkable agreement on the key researchable constraints facing PFM implementation. While there may be many situation-specific constraints which need to be resolved by local and national-level research, there are three areas that clearly require an international approach.

The first of these relates to the need to carry out a critical appraisal of the impact of the large amount of donor investment that has gone into PFM. We know that it has successfully mobilised many countries to embark on PFM activities. However, we have very little idea of the extent to which PFM models developed in different situations have had positive benefits in terms of either biodiversity conservation and/or poverty alleviation.

Closely related to this is the need to define what constitutes successful and sustainable PFM. Only when there is some understanding of the different objectives stakeholders have for the large range of so-called 'PFM' activities, will it be possible to develop appropriate tools for M&E and hence assess the impact of donor (and other) investments in this field.

The third area requiring effort relates to the fact that, in spite of the large amount of relevant information existing on many aspects of PFM, there is still a strongly articulated feeling amongst practitioners that they are lacking in information. This highlights the need not only to improve dissemination but also to invest more efforts in collecting, distilling and presenting experience in such a way that it reaches the right target audience and is usable by them. This includes the need to specifically develop adaptive research methods which enable practitioners to experiment with models/systems originating elsewhere as a first step towards developing their own.

In terms of specific research questions needing international attention, we recommend the following as being suitable for strategic funding by international donors:

- What are the institutional structures and processes which characterise successful PFM and, conversely, what lessons can be learned from unsuccessful PFM experiences?

- How can lessons on institutional structures and processes which characterise successful PFM be scaled up and across, to succeed in different financial, political and ecological contexts?

- What tools and generic frameworks can be used for the assessment of impact and outcomes of different PFM implementation strategies?

- How can key incentives for involvement in PFM (over different time scales and spatial levels, and for a variety of stakeholders) be identified, developed and communicated?

- What international lessons on 'new' products of PFM can be applied to improve local level understanding of technical forest management?

- How can effective and locally appropriate extension and dissemination methods and systems be developed which could channel existing knowledge, create conditions in which knowledge can be generated and link with adaptive research methods?

Annex 1. Terms of Reference for the Study

FRP project ZF0165 – Strategic researchable constraints for participatory forest management

A follow-up to pre-project ZF0161 – Research for participatory forest management

Background

1. Successive annual collations of DFID forest sector projects show that participatory forest management is an important theme for DFID technical assistance in several major countries. DFID (then ODA) organised a review of experience gained in field projects up to the middle 1990s. The review consisted of a number of case studies and some thematic papers. A synthesis of the results, which were almost exclusive to ODA-funded projects and did not include those reviewed just a couple of years earlier by GTZ, was published under the title "Sharing forest management – key factors, best practice and ways forward – findings from ODA's overview of participatory forest management" (1996). A second publication followed, entitled "Shaping forest management – how coalitions manage forests" (January 1999). Neither publication was successful in identifying if there were common problems whose resolution might be achieved through strategic research of the RNRRS type. It was generally implicit, and sometimes explicit, that problems of participatory forest management (PFM) were essentially specific to particular sites and circumstances.

2. Most problems in the management of renewable natural resources have elements which are commonly encountered at many sites and in many circumstances, and which are at least partly susceptible to strategic research. As PFM appears to be an enduring element of DFID technical assistance, FRP has commissioned four programme development studies to look for commonalities:

FRP programme development project ZF0118 – a questionnaire survey conducted by AERDD (project leader Anna Lawrence) covering six focus countries in 1999. The survey questions were designed at Reading, and local coordinators for the survey were trained through visits by Reading staff. The surveys were quite tightly structured and did not provide for sufficient local exposition of the problems perceived by stakeholders in the surveyed countries. There were some ex post comments that the surveyors had been drilled rather than trained and apparently did not feel that they had the latitude to adjust the survey to cope with local particularities. The Reading staff made a valiant attempt to synthesise commonalities from quite diverse responses but did not produce convincing arguments in favour of strategic research by FRP to aid PFM projects.

FRP operational project ZF0114/R7477 – IUCN East Africa regional survey of problems affecting the management of buffer zones around protected areas. This project was a DFID contribution to the larger and long-running IUCN working group on community forest management. The organisation of the work was left very largely to the IUCN East Africa office (regional project leader Ed Barrow under the nominal supervision of Simon Rietbergen of the IUCN-WGCFM). The results were not structured in such a way as to be informative about researchable constraints.

FRP programme development project ZF0161 – FRP commissioned Ms Catherine Mackenzie (then NRI Social and Economic Development Department) to conduct a survey at the 16th Commonwealth Forestry Conference (CFC) at Freemantle in Australia in April 2001. It was recognised that the participants of the CFC were unlikely to be recent or current practitioners in PFM projects, but it seemed reasonable to tap into collective experience from a number of differentiated countries to see whether there were any common problems. The survey was undertaken because Ms Mackenzie was at that time working in China and could travel to and from Australia at a much lower cost than making a survey from a UK base.

There were even fewer PFM practitioners than had been anticipated at the CFC and consequently some of the problems suggested at Freemantle were more a reflection of weaknesses in the distribution of information than of real field or policy problems. A report of this CFC survey is available.

FRP programme development project ZFO164 – review of problems presented at the RECOFTC conference on “Advancing community forestry: innovations and experiences”, Chiang Mai, Thailand, September 2001. The co-leader of NRSP project R6778 (Oliver Springate-Baginski, University of Leeds) presented the results of this NRSP/FAI project at the RECOFTC conference. His terms of reference included six objectives:

a. participate actively in the RECOFTC conference in order to influence policy thinking, practices and procedures through the outcomes of the conference;

b. gather information to confirm or deny the geographic replicability of the findings of NRSP/FAI project R6778 in the broad recommendation domains;

c. gather information from the papers and discussions about the size and location of recommendation domains which might be associated with advances in policies, practices and procedures in PFM which were reported at the conference;

d. follow up the findings from ZF0161 (see above) as regards whether the PFM manuals currently available are sufficiently generalizable to be usable over large areas, or if they necessarily need to be highly specific to particular locations and situation;

e. follow up the ODA case studies and syntheses on PFM which were undertaken in the mid-1990s; were there researchable constraints which were sufficiently strategic in nature as to fall within the mandate of FRP?

f. gather information on the sustainability of the land titling and PFM programmes in the Philippines which were intended to stabilise the shifting populations of the kaingineros? Did these programmes reduce the non-rotational migrations of the shifted agriculturalists? Did household livelihoods improve sustainably? Was there any reliable non-government assessment of the settlement programmes?

The results from ZF0164 were disappointing in that the conference papers and discussions at Chiang Mai were not as specific as the questions in the TORs. In spite of the participants being supposedly at the forefront of PFM activities, the reports were relatively vague and unfocused, or at least not focused on the sustainable livelihoods which are DFID’s main interest.

In addition to the foregoing studies which are associated at least in part with ODA/DFID projects, a wealth of information including case studies on PFM has been published through the ODI Rural Development Forestry Network.

For more than a decade, the FAO Forests, Trees and People Programme has published numerous case studies, field documents and manuals relevant to PFM. These have been funded mainly by SIDA.

FRP has supported the CIFOR project on “adaptive collaborative management (ACM) strategies” through projects R7315 (FLORES) and R7635 (FLAC – FLORES local adaptation and calibration). The FRP support has provided for the development of computer software to assist decision for changes in forest and land use, based on modelling of household and community decision-making practices and bio-physical characteristics of the land use

systems. Possible further support for the ACM project was discussed with CIFOR staff at the CGIAR AGM 2001 at the end of October 2001 but has not progressed subsequently.

Rationale

The FRP Advisory Committee (PAC) has encouraged research in support of PFM for over four years. This is consistent with the RNRRS objectives of “adding to the global store of knowledge supporting actions aimed at poverty elimination” and “ensuring an adequate supply of appropriate strategic and multi-country knowledge to underpin national development efforts in poorer countries”.

It seems reasonable to make one more attempt to determine if there are strategic problems of an RNRRS type which would justify FRP intervention. If this next effort is inconclusive, then FRP management will advise the PAC that there should be a moratorium on further efforts for, say, five years. The rationale for one more FRP effort now is that the several other major efforts in support of PFM may be directed more towards documentation of case studies than in the elucidation of common elements.

Objective

The objective of this survey is to determine if a rather different group of stakeholders from those contacted in the previous FRP programme development studies, perceive that there are common problems in PFM at a strategic level which would justify a specific FRP project to solve the problems. The proposed approach differs from the previous FRP and other studies by using electronic communications rather than the ground surveys and paper questionnaires which we have used in the past.

Outputs

Output 1 – a synthesis of the responses to an e-mail consultation based primarily on the ODI Rural Forestry Development Network.

Output 2 – recommendations to FRP from a one-day consultation of UK-based PFM practitioners and research workers, making use of the inputs from the e-mail consultation.

Activities

1. An email questionnaire survey of field practitioners will be conducted, followed by an email consultation of practitioners and specialists regarding the findings of that survey.

2. This exercise will be carried out collaboratively between ODI, NRI and an independent consultant, using ODI as the centre of operations.

3. The majority of the work will be conducted by an ODI researcher, with strategic inputs from the more senior PFM specialists.

4. The exercise would gain weight and usefulness if time were also allocated to the production of a briefing paper (ODI or FRP), at the end. This paper would attempt to provide a situation report on PFM, where it is going, what it is achieving.

Annex 2. Summary of FRP Project ZF0118
Researchable constraints in participatory forest management: a survey of issue and options

Anna Lawrence and Kate Warren
with: Tabitha Mason

(Agricultural Extension and Rural Development Department, University of Reading, Box 238, Earley Gate, Whiteknights Road, Reading RG6 6AL, UK)

and the collaboration of :
Prayag Raj Tamraker (Nepal), Om Consultants (India), Tierra Viva (Bolivia), LASAT (Brazil), E. O. Mangaoang (Philippines) and Bakari Asseid (Tanzania)

(August 1999)

1. The report presents the findings of a study commissioned by FRP to identify researchable constraints in participatory forest management (PFM). 'Researchable constraints' are interpreted as constraints that can be overcome by the creation of new knowledge, or improved access to and application of existing knowledge; furthermore, in the context of FRP's interests, constraints that have benefits for the livelihoods of the poor.

2. The survey used an open questionnaire approach, combined with scores attached to priorities. An initial questionnaire distributed to key informants (KIs) was modified and distributed to research collaborators in Bolivia, Brazil, India, Nepal, Philippines and Tanzania, where they interviewed staff and forest users in selected PFM projects. The complementary qualitative and quantitative approaches allow issues to be identified, discussed and evaluated despite the distance and number of respondents involved.

3. In order to identify and prioritise *researchable* constraints according to both respondents' and FRP's criteria, the following process was adopted:
- Respondents were asked to discuss all constraints, clustered under a series of 'issues' identified from the literature and by KIs;
- Respondents were asked to score these according to the need for *research;*
- Meta-analysis by researchers identified constraints that cut across issues, were mentioned frequently by respondents but not prioritised, were not considered researchable by respondents but may in fact be addressed by improved knowledge management, and those prioritised by a particular sub-group of respondents which may warrant further attention;
- Analysis filtered out issues which are best addressed at local level, and identified ways in which FRP can best respond by addressing issues of international scale, *or* requiring an interdisciplinary approach not currently adopted in focus countries, *or* where UK experience can have a catalytic effect on local research by developing and disseminating tools for knowledge management.

4. The top four issues prioritised by respondents are communication and extension, organisation and partnerships, silviculture, and sustainability.

5. However there were marked differences between different groups of stakeholders. Communication was rated top priority by all stakeholders (KIs, project staff and forest users), but silviculture was a higher priority at local level (project staff and forest users)

than at international level. The high priority accorded to benefit distribution by KIs was not echoed by local respondents, while sustainability was not considered important by forest users among whom conflict management was instead given a high priority.

6. There are also some key differences between countries, notably a high priority given to market research in Bolivia and Brazil, where communication was not rated highly (reflecting a preoccupation with management for commercial timber production); and in Tanzania a high priority for conflict management and tenure contrasted with the low priority given to silviculture (reflecting the fact that most of the projects surveyed were in protected areas).

7. The most significant result is the very high level of agreement among different stakeholders from different countries, that communication constraints are both widespread and researchable. This is an issue which links in with many other others, notably policy (low awareness at field level, lack of consultation at policy-making level); silviculture (under which an emphatic protest at poor dissemination and implementation of research results was registered); and benefit distribution (related to monitoring and evaluation of participation and benefits). These problems are closely tied to the most frequent comments made in the questionnaires, that project staff lack appropriate extension tools and methods for PFM.

8. The high importance attached by respondents to organisation, and comments indicating that this relates strongly to interactions between partners in PFM, echo FRP's own focus on the value of different types of partnerships. While this study does indicate some general guidelines on this issue, there is a need for a more comprehensive study to document the pros and cons of different institutional interactions, and their suitability within different social and political contexts.

9. The difference of opinion between KIs and local respondents over the priority for silvicultural research is an important one, and indicates a disjunction between field experience and international opinion. We interpret this as a need not only for better dissemination of existing silvicultural methods and practice, but perhaps more importantly (given that much of this will be inappropriate to PFM contexts), a need for methodological guidelines on local adaptation of silvicultural practice, and experimentation with cultivation of lesser-known indigenous species and NTFPs. The different problems associated with silviculture identified in the various countries suggest that research to develop such guidelines would need to take place in a range of countries, not only India and Nepal where such methods are currently most advanced. Furthermore, responses suggest that the methodology should not make rigid assumptions about the type of forest resource to be managed, as distinctions between 'community forest', 'private forest' and 'farm trees' may discourage interest in improved tree management.

10. Despite the overall high priority given to 'sustainability' as a research issue, the confusion expressed in many responses suggests that it is best addressed in combination with other issues including 'organisation' and 'silviculture'.

11. Analysis of the cross-cutting issues raises the importance of monitoring and evaluation as an issue for research, by linking it with organisation / partnership and stakeholder collaboration; policy implementation and transparency of decision-making; and benefit distribution. These are all issues which need particular attention if existing resource distribution patterns are to be modified to strengthen the access of the poor to natural capital. Pluralistic methods will be required both to ensure that benefits of PFM are available to the poor, and to make more visible the decisions (and the effect of decisions)

taken by more powerful actors.

12. Finally markets appear to be a particularly high priority in the South American countries included in the study, reflecting the generally higher commercial value of forests brought under local management in those countries. The emphasis on sustainable timber production there contrasts with the other focus countries and draws attention again to the need for PFM strategies to be adapted to local contexts. Elsewhere however income generation is an issue widely considered to be neglected in PFM policy and project design.

13. The study provided an opportunity to understand perceptions of research by PFM practitioners, and suggests that conventional research is held in low regard by many field workers who see it as irrelevant, external and long-term. The value of such research is further undermined by poor dissemination of its results. FRP's focus on knowledge management may succeed in by-passing some of these preconceptions. Such views are linked to the traditional model of research which KIs in particular distinguish from action research; they advocate the latter for its ability to respond to locally identified problems, adapt to emerging results and empower participants.

14. Areas in which FRP can best respond to the constraints identified include:

- Interdisciplinary issues not traditionally addressed by science-oriented forestry departments – particularly communication and extension tools, and participatory monitoring / evaluation processes;
- Issues where local research would be enabled by the development and dissemination of appropriate methodologies – silviculture, benefit distribution, market information systems and conflict management;
- Issues where change can be facilitated through country-to-country learning – particularly policy research;
- Issues which require investment where the benefits for the poor may not be sufficiently quick or obvious to justify their involvement – particularly understanding the links between income opportunities and biological conservation, in PFM.

15. The report concludes by outlining five key areas where FRP can effectively address the knowledge constraints identified in this study: developing communication and extension guidelines for PFM; developing participatory silvicultural research methodologies; testing the role of participatory forest resource assessment in facilitating government approval of management plans; developing and enhancing the use of pluralistic M&E methods in PFM; and developing guidelines for the structure and management of organisations and partnerships in PFM.

Annex 3. Summary of FRP Project ZF0161:
Report on Survey of Research and Information Needs for PFM

Conducted by Cathy Mackenzie at
The Commonwealth Forestry Conference Fremantle, Western Australia,
18 – 22 April 2001

Objective
A 10-day exercise was funded by DFID's Forestry Research Programme (FRP) to identify researchable constraints for participatory forest management (PFM) [4], by canvassing delegates to the Commonwealth Forestry Conference, April 2001.

Method
Two main exercises comprised the survey: (i) A questionnaire designed for field practitioners in PFM asked detailed questions about their specific PFM project, in order to help respondents reflect on actual project experience, before considering the actual problems encountered and how new research, or improved information flow could assist in overcoming these problems. Participants were offered the option of completing the questionnaire through an informal interview. Only two of the nine returned questionnaires were completed by PFM practitioners. (ii) A 1½ hour round table discussion attracted 29 people who were invited to propose either problems they had experienced or researchable constraints to PFM. These were discussed by the group and summarised as 13 research topics presented in Table 1.

Further research needs were identified through a special 1½ hour PFM discussion group for African delegates, through informal discussions with a number of PFM practitioners, and gleaned from conference papers on PFM.

Discussion and Recommendations
An issue with relevance to overall programming and future donor investment in PFM is the need for a really a critical appraisal of the successes and failures of PFM, particularly in terms of the development funds invested to date.

Some of the topics were proposed to address a lack of practical information required by field practitioners. However, from even the brief analysis summarised in Table 1it is clear that a great deal of information does actually exist and what is being expressed is often a practitioner's lack of awareness of this information, the difficulty that some have in accessing it or in applying it to their own situations.

Recommendation 1: Most of the proposed topics that relate to the development of guidelines need to be assessed in more detail in terms of existing literature and on-going research; therefore convene expert group to review and if appropriate add to list of research topics.

Recommendation 2: Assist ODI with adapting the RDFN web-site into an electronic resource centre, where appropriate documents (or hyperlinks to other sites) under a range of different headings of a practical nature, could be posted in down-loadable formats. In the short-term, this would provide a useful resource for PFM practitioners. In the longer term, it would provide a basis for more detailed assessments of available information and on-going research on some of the above topics, from which to identify the most strategic new research.

[4] For the purposes of the FRP, the term PFM is used to include initiatives which work with people living in and around forests, to bring those forests into management, at least in part for their benefit.

Annex 3. Executive summary of FRP Project ZF0164: Report by Oliver Springate-Baginski on the conference: 'Advancing Community Forestry: innovation and experiences' organised by RECOFTC, Chang Mai, Thailand 24th - 28th September, 2001

The conference 'Advancing Community Forestry' was held to share innovations and experiences between those involved in policy development, field implementation and experiments in community forestry in Asian countries. Oliver Springate-Baginski attended the conference for DFID's Forestry Research Programme to, amongst other things:

- assess the size and location of recommendation domains which might be associated with advances in policies, practices and procedures in community forest management which are reported at the conference;
- comment on possible research issues arising out of the conference.

General conclusions

1. The term 'community forestry' can be misleading when used without qualification as it encompasses a great diversity of country polices and experiences, ranging from day-labour programmes for locals working in logging industries in high value forests in Indonesia, to politically influential Forest User Groups in Nepal with the legal authority to manage the forests for their own livelihood needs.
2. There was a great variety of evidence of innovation, but not sufficient recognition of the importance of contextualising these experiences.
3. To draw out the general lessons which 'case studies' might offer, an overarching framework is needed to allow each case study to be located relative to the others. A possible structure might describe the community forestry process in terms of a number of stages in each national context:
   Stage 1: Initial perception of crisis and need for reform
   Stage 2: Field experimentation with collaborative approaches
   Stage 3: Legal reform to provide 'enabling environment'
   Stage 4: Widespread implementation – scaling up – and forest handover
   Stage 5: Post formation development – 'second generation issues' – consolidation of process
4. The main innovations discussed include policy process innovations such as policy forums where all stakeholders can come together to discuss developments; capacity building to transform the role of the forestry departments from a policing one to a facilitation and support role; economic development of local institutions such as processing technologies, marketing opportunities and the power of small producers; and the role of networks.
5. Lack of means of communication between the 'community' of CF practitioners; no means for sharing innovations.

Researchable issues

1. Potential role of action research to prompt advances in the policy process by incorporating different stakeholders' views.
2. Livelihood analysis of the dynamic impacts of community forestry, which could be used to sensitise policy and implementation to local needs.
3. Policy process oriented research, eg. initiating participatory research with stakeholder 'learning' groups in order to promote an adaptive learning environment amongst national policy makers and other national stakeholders.
4. Investigation of the basis on which government institutions can provide demand-led and need based support to local resource management institutions.
5. Determine the conditions (e.g. types of products marketed, locality, ethnic groups) which most support the emergence of local and national user networks.

Annex 5. Text of the Electronic survey

Dear Colleague,

As part of its commitment to demand-led research that will have an impact on poverty, the Forestry Research Programme (FRP) of the UK Department for International Development uses part of its budget to identify new research topics that will address practical and researchable constraints to forestry initiatives including information needs.

Within this context we have been asked to carry out a survey to identify research needs in Participatory Forest Management (PFM) in order to focus DFID's research funding in this field. We define PFM very broadly to include community forestry, joint forest management, co-management and community-based forest management.

You have been selected to participate in this survey because (as a member of the ODI Rural Development Forestry Network) you have indicated that you have an interest in PFM. Please only continue with this survey if you are currently involved in PFM or if you have been so over the past 5-10 years.

Please feel free to respond in English, Spanish or French.

Questions

1. What is/was your role in your most recent experience of PFM work? (please mark with an X the description most applicable)
   - Working directly with local communities
   - Manager of a project with PFM component
   - Independent facilitator
   - Policy function
   - Research
   - Other (please specify)

2. What is the scale of initiative you are involved with? (please mark with an X the description most applicable)
   - Small pilot project
   - National Programme
   - District/state/province level
   - Other (please specify)

3. What type of forest are you working with? (please mark with an X all those that apply)
   - Humid
   - Seasonally humid Forest
   - Savanna woodlands
   - Arid and semi arid woodlands
   - Other (specify)

4. What is the forest being managed for? (please mark with an X all those that apply)
   - Timber
   - Plant non-timber forest products
   - Wildlife
   - Tourism
   - Other

5. Thinking about this experience, please reflect on what has worked and what problems have arisen.

Now please highlight three issues where you feel that research or further information could have helped the PFM to succeed. (You might want to think about social, economic, ecological and institutional factors.)

ISSUE A

Ai) Would this issue best be investigated by:

- Local communities (with facilitation where necessary)
- Local PFM partners (administration staff, NGOs, foresters)
- National research project

Please indicate your choice with an X and explain your reasons

Aii) Do you think this issue would benefit from being researched in an international context and if so, why?

ISSUE B

Bi) Would this issue best be investigated by:

- Local communities (with facilitation where necessary)
- Local PFM partners (administration staff, NGOs, foresters)
- National research project

Please indicate your choice with an X and explain your reasons

Bii) Do you think this issue would benefit from being researched in an international context and if so, why?

ISSUE C

Ci) Would this issue best be investigated by:

- Local communities (with facilitation where necessary)
- Local PFM partners (administration staff, NGOs, foresters)
- National research project

Please indicate your choice with an X and explain your reasons

Cii) Do you think this issue would benefit from being researched in an international context and if so, why?

6. What are the most important sources of information for your PFM work (eg. books, training, colleagues, websites, media)? Please specify.

7. Are there any other comments you feel are relevant to this topic?

Thank you very much for your response.

Annex 6. Other background sources

1. Ronnie de Camino's presentation to the WWF / GTZ / Min. Holandés de Agricultura workshop, Santa Cruz, January 2001

'Some reflections on community forest management and its situation in Latin America' does not specifically look at research priorities, but emphasises the need to make progress on establishing good conditions for PFM, namely:

- requirements of the government: permanent rights, institutional reliability, positive official attitude, etc.
- improved relations between companies and communities
- clarifying the role of NGOs
- improving market understanding
- tenure instruments – one of the 'fundamental problems' of CFM
- financial instruments
- technical tools: he notes that this has advanced greatly over the last 10-15 yrs and the methodological and techniques now exist.

So the key thing is to transform a collection of projects into a national programme, with well-defined policies.

2. Kate Schreckenberg's Back-to-office report from 2nd Africa-wide conference on PFM, Arusha, 19-22 Feb 2002:

Clear desire amongst practitioner participants for information exchange on practical 'how to do' issues (from resource assessment to involving private sector, determining benefit-sharing mechanisms etc.)'

Resource assessment appears to be 'the main practical problem field-level practitioners (the majority at the conference) are grappling with in trying to implement PFM.' They emphasise the need for establishing (and monitoring) at least one or two successful examples of PFM in their own countries in order to convince foresters higher up in the hierarchy that they can 'have faith' in communities.

Definite feeling that people are more convinced by direct observation of success in their own county than documentation of cases from other countries. Great demand for more intensive support to demonstration, cross visits and discussion for a, as well as central PFM resource centre for Africa.

Very little work yet (in the African context) on another priority area for research: benefit-sharing.

3. Colfer, Carol J. Pierce and Yvonne Byron (eds) (2001). People managing forests: the links between human well-being and sustainability Resources for the Future, Washington DC, USA *and* Center for International Forestry Research, Bogor, Indonesia

The book is the result of work in four continents over 6 years, draws together research coordinated by CIFOR in testing their social Criteria and Indicators (C&I), developed as part of CIFOR's Generic Template of C&I for sustainable forest management.

Statements in the section summaries about research needs call for more research which disaggregates the needs of forest-users, recognising the diversity of livelihoods among men, women and different social groups.

The conclusions provide the key message from this book, that 'the results do not provide us with clear evidence of straightforward, direct, causal links between the four issues [gender and diversity, a conservation ethic, security of intergenerational access to resources, and rights and responsibilities] and sustainable forest management.' The huge research

exercise that is represented here was coordinated by reductionist social scientists, in the expectation that straightforward correlations could be found, leading to straightforward predictions about what makes forest management sustainable.

Instead: 'we must develop research methods and approaches … that allow us to deal with complexity and change. We probably will have to focus on processes as much as on C&I-like structures.' The value in these conclusions lies in the fact that they are drawn by highly respected international researchers who have arrived at this conclusion not by conviction, but by serious and thorough testing.

4. Extracts from combined review by Anna Lawrence (in *International Forestry Review*) of:

Poffenberger, Mark (ed) (2000) Communities and Forest Management in South Asia. A Regional Profile of the Working Group on Community Involvement in Forest Management. IUCN, 162 pp.

Poffenberger, Mark (ed) (2001)
Communities and Forest Management in Southeast Asia. A Regional Profile of the Working Group on Community Involvement in Forest Management.
IUCN, 137 pp.

Jeanrenaud, Sally (ed) (2001)
Communities and Forest Management in Western Europe. A Regional Profile of the Working Group on Community Involvement in Forest Management.
IUCN, 150 pp.

Ecological: by basing discussion on a description of the original forest types, the significance of local ecology is drawn out. For example success in parts of north-west India can be attributed to the ability of sal (*Shorea robusta*) to regenerate quickly once protected. There is a widespread tendency to hand over poorer quality forest for local management; cases from India, Nepal and the Philippines highlight a reluctance to release 'well stocked' forest.

Social: tribal people are more closely linked to forests, and are (often correctly) perceived as more likely to conserve their ancestral lands. South East Asian countries have in particular moved to recognise this, at least in principle, although they have an earlier history of disempowerment of local systems of forest use and management; threatened by resettlement programmes. The cases also highlight the importance of local organisation and power structures, with or without NGO support; and of partnerships and coalitions.

Policy: Perhaps the most effect policy tool is change in tenure. In Pakistan, the division between state and private forests leads to a category of reserve lands where communities have no formal involvement and therefore tree poaching and encroachment are common. This can be contrasted with Nepal, where the community forest policy has formally created a legislative process whereby communities can acquire the right to manage their forests; and with South East Asia, where legislation to recognise ancestral lands of indigenous groups has had some success.

Another important policy factor is the system of government. This is illustrated by the move to a democratic system in Nepal (1990) and contrasts with the effect of the change of administration in Philippines in 1998, which undermined the forest department's commitment to community forestry. The books also highlight the importance of flexibility of policy

processes – cases from India and Nepal show clearly the usefulness of learning from initial difficulties.

Other stakeholders: throughout Asia, success in individual cases can be linked to the attitude of individual professionals, and to local people with strong leadership qualities. Nevertheless, the influence of international development agencies, and / or non-government organisations in pioneering CIFM systems is evident particularly in countries such as Pakistan which have no policy mechanisms to support CIFM. The emergence of civil society can add support to CIFM as shown by the effect of campaigning by educated middle classes in the Philippines and Indonesia. Nevertheless, while quality timber still exists in these forests, the power of logging companies and corrupt officials is enough to frustrate many attempts at CIFM.

Western Europe: The volume on Western Europe, edited by Sally Jeanrenaud, follows the same structure, which does much to bring home the message that relationships between rural communities and forests in this part of the world have their origins in traditions and ancient laws similar to those described from Asia. There are parallels too in the pattern of intensification of plantation forestry leading to the alienation of local communities, and the shift of management priorities from production to multiple uses. There are of course important differences as well, and beyond describing the influence of ancient forest laws (which still carry much weight in several European countries) the volume highlights the trends of forest decline and recovery, in step with industrialisation; the changing values of a largely urbanised society, and the effect of declining rural social institutions.

Despite recognition of the unifying policy framework of these countries in the European Union, the emphasis is on diversity, showing how cultural, historical and ecological differences have given rise to a variety of socioeconomic arrangements for local management of forests. The book provides an even greater range of case studies than the other two. Usefully, given this diversity, the volume ends with a conclusions chapter which highlights cross-cutting issues and points to the case studies examining those issues in greater depth. These are grouped under Economic Viability, Social Equity, and Environmental Protection. For example, cases from Italy, Portugal, Scotland and Sweden support the contribution of CIFM to local democratic institutions (under the Social Equity heading).

Annex 7. List of participants at Experts meeting

Participatory Forest Management - what are the researchable constraints?

Overseas Development Institute, London
11th October, 2002

Name and organisation	Email address
Mike Arnold ODI and CIFOR Research Associate	*Mikearnold1@compuserve.com*
Neil Bird Research Fellow, ODI	*n.bird@odi.org.uk*
David Brown Research Fellow, ODI	*d.brown@odi.org.uk*
Jane Bryden DFID APO	*janebryden@hotmail.com*
John Casey NRI	*jbcaseyuk@yahoo.co.uk*
Anna Lawrence Environmental Change Institute, Oxford	*Anna.lawrence@environmental-change.oxford.ac.uk*
Karen Lawrence Kings College, London	*Karen.lawrence@kcl.ac.uk*
Cecilia Luttrell Research Officer, ODI	*c.luttrell@odi.org.uk*
Cathy MacKenzie NRI	*c.a.mackenzie@greenwich.ac.uk*
Paul Maiteny Open University	*pm478@guest.open.ac.uk*
Hemant Raj Ojha Forest Action, Nepal	*Forestaction@wlink.com.np*
John Palmer FRP Manager, Natural Resources International Ltd.	*j.palmer@nrint.co.uk*
Andrea Pires Mamirauá Institute for Sustainable Development, Brazil	*Andrea@mamiraua.org.br*
Nick Pyatt Programme Manager, FRR Ltd., Bristol	*n.pyatt@frr.co.uk*
Sushil Saigal Winrock International, India	*sushil@winrock.ernet.in*
Kate Schreckenberg Research Fellow, ODI	*k.schreckenberg@odi.org.uk*
Oliver Springate-Baginski Research Fellow, Environment Centre, University of Leeds	*Olivers@geography.leeds.ac.uk*
Sabita Thapa, Kathmandu University	
Michael Vabi Community Forest Development Project, Cameroon	*Cfdp@iccnet.cm*

Annex 8

Current Issues in Community Forestry in Nepal and Implications for Research

by

Hemant R Ojha

ForestAction, Kathmandu, Nepal

1. Achievements of community forestry in Nepal

>12, 0000 Forest User Groups (FUGs)

> 7 million hectares of forest handed over

Strengthened local institutions

Expanded base of stakeholders

Yet, the real impact on human well being and forest is not as expected. Why?

2. Five key issues

2. 1 Political imbalance and inequity

FUGs hijacked by local elites

The disadvantaged groups – poor, women, "lower castes" – have been deprived of socially just/equitable access to social, natural and financial capitals augmented by community forestry

Transactions costs of participation, opportunity cost of use deferral have forced the poor to withdraw use or even membership of community forestry.

Problem lies more in responsiveness, commitment and attitude to address the issues in all quarters, than in technical options

2.2 Passive management of forest

Productivity of community managed forest is low because of both political and learning-related reasons.

Political – because elite dictate the protectionist ways of managing forest

Department of Forest staffs tend to minimize risks of over-cutting

Learning related because – some level of cutting/use is better than non-cutting.

Research should focus on analyzing the macro environment

Balance of efforts in research – operational, strategic

2.3 Poorly defined stakeholder roles and unbalanced political spaces

Role of forest bureaucracy has remained more or less the same while that of civil society and private sector is still poorly defined

Monopoly of service provisioning role with government forestry staff, creating critical imbalance in power relations between people and government institutions

Opportunities for rent-seeking

Limited supply of highly demanded services through competent NGOs and privately managed firms

Limited mechanisms and efforts to foster participation and interaction of stakeholders at different levels

Policy processes are still controlled by bureaucratic and/political interests

2.4 Commercialization, local livelihoods, conservation and equity

The expanding market for certain high value species (or their products) is a challenge as well as an opportunity

Challenge because:

it tends to emphasize a few tradable species, rather than biodiversity as a whole

more powerful business interests, often in collusion with bureaucratic elites, replace the traditional small producers, creating inequity

Efforts to find dynamic balance among the levels of commercialization, equity and biodiversity are limited, and is of international nature

2.5 Limited conscious social learning

Learning is mostly through trial and error approach

“Conscious” processes of learning is low

Because of incentives, attitude, commitment, and competency

Action and learning are strictly separated

How can “first hand learning” be strengthened

Research not only on generating technical options, but also on how actors can better learn to develop such options

3. International research

3.1 What contributions can internationally designed research studies make?

Changing attitudes and commitment and redistributing power requires more powerful knowledge pressure, which comes from studies across wider contexts

International research makes more rigorous comparisons, with greater sampling intensities, taking into account wider contextual variations

Locally based researches may not be open enough to explore, compare and contrast alternative perspectives, ideas, and options

Policy frameworks are emerging at the international level

Cross fertilize ideas and perspectives

Many issues are common across the regions

Multi country partnership in research helps avoid duplication, and encourages adaptive replications, “scaling out”, “scaling up”.

International markets of NTFPs

3.2 What are the limits of research at international level?

Possibility of too much abstraction, limiting the relevance of research findings to local contexts

Imposition of external values

Philosophy of knowledge – can not be transported, but developed

Annex 9

Issues in Participatory Forest Management in India

by

Sushil Saigal

Winrock International India, New Delhi

India : An Introduction

- Federal structure (28 States and 7 Union Territories); Area - 329 million hectares (2.2%); Population - Over 1 billion (16%)
- 72% rural; large tribal population (c. 80 million in 1991)
- World's fourth largest economy on PPP basis; 145th in per capita terms
- An estimated 260 million people live in poverty
- Over half (175 million hectares) the area is subject to degradation

Forestry in India

- Forestry is the second major land use after agriculture - 23% of area (76.53 million ha) is forest land
- Most of the forest area is government owned and managed (97%)
- 17% forest land is devoid of tree cover and another 33% carries degraded open forest

People's dependence on forests

- Acute dependence on forests, especially among rural poor - forest population is 147 million
- 70% rural and 50% urban people use fuelwood for cooking. Over 80% wood demand is just for fuelwood
- Over 25% livestock (over 100 million) totally dependent on forests
- Dependence for small timber, food and cash income

What is JFM?

- Joint Forest Management (JFM) is an approach for forest regeneration and management under which Forest Department and the local community enter into an agreement to jointly protect and manage forest land adjoining villages and to share responsibilities and benefits. The village community is represented through a body specifically formed for the purpose.
- Key Principle: Care and Share

Current Status

- JFM adopted by 27 states
- 63,618 JFM groups
- 14.10 million hectares area under JFM (18.66% of forest land)
- Self-Initiated forest protection

Key Problems and Issues

- What is the right institution for PFM?
  - user groups vs. *panchayats* (73rd amendment, PESA)
  - form and structure (revenue village, hamlet, cooperative society, etc.)
  - how to recognise diversity? (SIFPGs, CCAs)

- How to address FD- community power imbalance?
  - patron-client relationship (labour)
  - restructuring the Forest Department (attitudes, skills)
  - strengthening the community; tenurial security

- How to ensure equity?
  - within the “community” (caste, class and gender)
  - across groups (JFM vs. non-JFM; settled vs. nomads)

- How to shift from protection to management?
  - current system is FD-driven PFP not PFM
  - research for multi-use management
  - capacity building

- What is the optimum level and kind of funding for PFM?
  - too much dependence on external funds
  - who does external funding help?
  - “stand alone” projects vs. sectoral reforms
  - “entry point” as perverse incentive?
  - sustainability beyond project period

- How to balance local needs with larger concerns?

- integrating microplans and working plans
- can commercial needs be met through PFM?
- is PFM suitable for biodiversity conservation?; community involvement in Pas

- How to monitor PFM effectively and efficiently?
- Lack of objective and rigorous monitoring
- micro level case studies vs. national level picture
- livelihood impacts (PFM vs. other interventions; impacts on different groups)

- How to make PFM self-sustaining?
- focus only on forests or integrated rural development
- marketing
- What should be the role of NGOs/other stakeholders?
- Is CFM better than JFM?
- Is it possible to support PFM through emerging options such as CDM, watershed markets, etc?

How can international research help in addressing these issues?

- Different methods and strategies adopted in different countries
- Different stages of evolution
- Cross-country learning
- Greater conceptual clarity
- Greater impact on global processes

International research is not a substitute for local and national research

Annex 10

Researchable Constraints in Participatory Forest Management (PFM) in Cameroon including the Central African Sub-Region

by

Michael Vabi

Social Development Advisor, Community Forestry Development Project
Ministry of the Environment and Forestry (MINEF), Yaounde; Cameroon
cfdp@iccnet.cm

1. Background and Introduction

The Republic of Cameroon shares several similar forest-environmental features with the other five countries of the Central African sub-region: The Central African Republic, The Republic of Gabon, The Republic of Congo (Brazzaville), The Democratic Republic of Congo (Congo Kinshasa) and The Republic of Equatorial Guinea.

These countries are found within the Congo Basin which constitutes a large part of the Tropical wilderness of Central Africa, the world's second largest expanse of rainforest and a significant region of unparalleled biological richness. Between the 15th and 17th of March 1999, the countries of the sub-region signed what has today become **the Yaounde Declaration** on Sustainable Management of Forest and Wildlife resources. The declaration has twelve points, five of which are relevant to the promotion of participatory forest management (PFM). These include:

- the harmonisation of national forest policies;
- the enhancement of the participation of rural populations in forest management;
- the enhancement of the participation of economic operators in forest management;
- the promotion of national and regional forums for the exchange of experiences;
- adoption of sustainable strategies for financing the forestry sector from internally and externally generated funds.

2. Relevant Features of the Sub-region for PFM

The sub-region has several features that are fertile grounds for researchable constraints for the inclusive, adaptive and consensus building processes characteristic of PFM. These features include:

- pluralistic management of forest and wildlife resources;
- the *de-facto* control of the forest and wildlife resources by the state;
- multiple interests over resource use at community, national and regional levels;
- policy and legal frameworks highlighting commitment to participatory management of forest and wildlife resources (beginning in the 1990s);
- widespread site-specific project-based initiatives on PFM;
- multiple strategies for the conservation of forest eco-systems (different categories of protected areas and different options for PFM);
- pilot partnerships between/among actors: WWF, WCS, ECOFAC, World Bank, civil society and government, research institutions, universities, etc.:
- internal divisions resulting from multi-ethnicity;
- heavy presence of human populations in and around conservation sites;
- emergence of a strong civil society supported by the donor community;
- weak technical and financial capacities of the forestry and wildlife administration.

3. Researchable Constraints

Researchable constraints within the region fall into two broad categories: those that require the development of new knowledge and those that require improved systems of information management including support to the development of technical and institutional capacities. Within each of these categories, researchable issues in PFM could be carried out at either the national or regional levels as summarised in the table below.

Generation of New Knowledge		**Information Management and Support to Capacity and Institutional Development**	
Scale of Research		**Scale of Research**	
National	*Regional*	*National*	*Regional*
1.Development of M&E systems - indicators for assessing productivity of forest eco-systems and impacts and livelihoods	Important as learning and adjustment tools but not urgent	Not relevant	Integration of social and biological components of systems
2.Contributions of PFM to community livelihoods - revenue from PFM - impacts on different social groups - forest as safety nets	Important but not urgent. However, site-specific case studies useful to secure funding of PFM	Not relevant	Contributions of PFM to community livelihoods
3. Implementation of forest policies and legislation	Many national policies and legislation ongoing	Not relevant	Policy adaptations and comparative analyses of their evolution
4.Economics of PFM - marketing of products from community-managed areas - transaction costs - profit margins - product markets	Economics of PFM - marketing channels - profit margins - behaviour of actors - funding options	Not relevant	Economics of PFM including relevant macro-levels issues particularly contributions to GDP and regional integration
5.Institutionalisation of PFM - context analysis - improvement of curricula of training institutions	Important but not urgent	Not relevant	Dissemination, joint learning and support to capacity and institutional development
6.Developing lessons from existing site actions - dry forests and savannah - involvement of pastoralists, pygmies, etc. - involuntary relocation - post-war impacts on actor behaviours	Plethora of tools and techniques should constitute basis for comparative analyses	Not relevant	Dissemination, joint learning and support to capacity development

Annex 11

Participatory forest management in the Brazilian Amazon:

What are the researchable constraints?

by

Andrea Pires

andrea@mamiraua.org.br

Community Forest Management Program in flooded forest

Mamiraua Sustainable Development Reserve (1.124.000 ha)

THE FOREST LEGISLATION

1965 - THE FOREST LAW

prohibit logging for commercialization purpose without a management plan

1998 - COMMUNITY FOREST MANAGEMENT:

In September 28, the Decree 2788, allowed forest management by small communities

PARTICIPATORY FOREST MANAGEMENT IN THE BRAZILIAN AMAZON

- 2000 - 7 PFM projects
- 2002 - over than 30 PFM projects
- The Community Forest Management Group (annual meetings)

The CFM projects emphasize training and technical assistance and intend to be seen as demonstrative initiatives/research

PPG7/PRO MANEJO

PROJECT	ECOSYSTEM	AREA	FUNDING
Mamirauá	Varzea forest	260.000 ha	ProManejo, MCT e DFID
Fase / Gurupá	Terra Firme forest	860.000 ha	European Union
OSR - Ecoporé	Terra Firme forest	964 ha/ano	WWF/SIDA,/ PDA/MMA
Laet / Porto de Moz	Terra Firme forest	13.700 ha	European Union
Kayapós	Terra Firme forest	250.000 ha	Conservation International

Flona do Tapajós	Terra Firme forest	76.683 ha	ProManejo
Lasat / Marabá	Terra Firme forest	340 ha	PDA/MMA
Embrapa / Pedro Peixoto	Terra Firme forest	440 ha	Embrapa
CTA / Porto Dias	Terra Firme forest	3.000 ha	PDA/MMA,/ European Union
Ipam / Arapiuns	Terra Firme forest	-	-
ISA / Xikrin do Cateté	Terra Firme forest	40.000 ha	Vale do Rio Doce/ ProManejo
Boa vista do Ramos / Imaflora	Terra Firme forest	5.000 ha	ELF, Loteria inglesa / Ford Foundation
Uruará/ Fundação Viver, Produzir e Preservar	Terra Firme forest	12.000 ha	PDA/MMA
Funtac / F. E. Antimary	Terra Firme forest	1.070 ha	ITTO

We don't have answers to some questions:

IS PFM SUSTAINABLE?

The limits defined by Brazilian forestry legislation:

- 5 trees/hectare
- 25 years harvest cycle

Respect the requirements for sustainable management: environmentally, socially and economically.

Establishment of limits of logging for a set of species or even individual species.

IS PFM PROTECTING THE FOREST?

- Monitoring of the environmental impacts
- Biodiversity conservation:

  -The knowledge of the Amazonian biodiversity must be improved

  - We must know more about the biodiversity use by traditional communities in the Amazon (timber and non-timber)

IS PFM CAUSING LOW IMPACT OVER THE SPECIES?

Find out promising species to reduce the impact over species

- 20-30 timber species
- cause a threat of local extinction in the future

DO WE KNOW WHICH SPECIES ARE BEING EXPLOITED?

Difficulty with species identification

- Traditional knowledge of forest plants
- botanists / specialists

ARE MANAGEMENT PLANS BEING RESPECTED?

- It's difficult to deal with all the factors that influence this task (land and communities conflicts, cultural aspects, etc).
- Participatory monitoring must be improved
- The GIS tools are not well developed and/or available

WOULD TRADITIONAL COMMUNITIES CONTINUE TO MANAGE THE FOREST WITH HIGH COST TECHNOLOGY/METHODOLOGY?

The development of low impact and low cost technologies would promote participatory forest management

Is there a balance of studies among ecosystems?

Although varzeas (flooded forest) are one of the most threatened forests there are only a few studies about this subject

WHY DO THESE ISSUES NEED RESEARCHING?

To evaluate if PFM is reaching the proposed objectives

To justify changes in the national forest legislation

To develop less complex technologies/ methodologies to communities interested in PFM