

R6386 (NRI code A0477) FINAL TECHNICAL REPORT FOR THE IMPORTANCE OF COMMON PROPERTY ISSUES, TENURE AND ACCESS RIGHTS IN RELATION TO LAND USE MANAGEMENT AND PLANNING AT THE FOREST/AGRICULTURE INTERFACE.

Executive Summary

The purpose of the project was to identify and prioritise within the context of the F/A I system of the NRSP, the key researchable constraints with regard to common property issues, and rights of tenure and access, in land use management and planning at the forest/agriculture interface.

Research activities consisted of structured searches through international databases and specialist grey-literature sources in the UK, including both social and technical literatures. The results from the searches were assessed for relevance and 410 key references selected for inclusion in an annotated bibliography. Approximately 80 abstracts were written by the authors for references gleaned from the grey literature. The bibliography was structured by section, and cross-references on subject area, geographic location, nature of the resource, management area and topical keywords. The references were compiled into a database using Access software, which opens the possibility for further dissemination electronically. With the insertion of a search function into the database, references could be selected according to one, or more keywords.

The project set out to achieve, and met, four outputs

1. Identification of the key researchable constraints with regard to common property issues, and rights of tenure and access.
2. Produce supporting literature review and annotated bibliography to output.
3. Identify suitable geographic focus for future research work.
4. Identify potential in-country collaborators for future project work.

The project goal of *improving land use planning and management at the forest/agriculture interface* is served by the project output of identification of key researchable constraints with regard to common property issues, and rights of tenure and access. Land use planning and management at the forest/agriculture interface often involves land and resources over which groups of individuals have tenure and/or different use rights. Appropriate policies and strategies for resource management in this situation are different to those suitable for private and state-owned resources. Knowledge relating to the issues of resource management under different tenure and access regimes is found in a number of literatures, including those on land tenure, tree tenure; common property resources; indigenous technical knowledge and collaborative forest management literature. Relevant sections of all these literatures have been consulted, combining economic, anthropologic, social science and technical science based analyses. The findings have been produced in a review of the literature and accompanying bibliography containing over 400 key references (output 2). The summary of the review identifies key researchable constraints for future investigation within the system and Nepal and/or India as a suitable geographic focus for such work (outputs 1 and 3). Potential in-country collaborators are identified in terms of the organisations listed within the keywords within the bibliography (output 4).

The review and bibliography have been used as the basis for a call for concept notes by the F/A Interface System of the NRSP (30th April 1996). The key researchable constraints identified have relevance for F/A I systems within other programmes and in situations involving CPR management in different systems. Consequently there has been considerable demand from other system managers and programme managers for copies of the review and bibliography. UK and overseas researchers have also expressed interest in the publication. Approximately forty copies have so far been distributed. Further distribution is limited by the number of copies of the report available,

Mr John Hudson (Senior Forestry Advisor, ODA) supports the identified need for further dissemination of the review and bibliography. He suggests that NRSP funds should be used for this purpose rather than ASS funds.

The authors, in collaboration with the programme manager, are investigating ways of further disseminating the contents of the review, possibly using electronic means and a database format.

Background

The three prescribed purposes of the F/A I system differentiate between production within forest systems and production on land previously under natural forest. The issue of rights of tenure and access to resources is seen as crucial to land use management and planning strategies within both systems. The prescribed outputs for purpose one specifically identifies the development of an improved understanding of common property and tenure rights issues for incorporation into improved land use management and planning strategies. The project's aim was to identify and prioritise within the context of the F/A I system, the key researchable constraints with regard to common property issues and rights of tenure.

A considerable body of work and associated literature relating to community management of natural resources already exists. The literature covers a broad range of resources, including use of water for irrigation, fishing rights, pastures and forest resources. Attempts have been made, through comparison of detailed case studies, to identify the common factors that determine the success and longevity of common property regimes. Specific focus has been given to the conditions under which institutions form spontaneously and develop systems for the management of resources without outside intervention. Such generic analysis is of necessity non-specific to the resource under scrutiny, although the nature of the resource and techniques used for "harvesting products" are mentioned as important factors within the analysis. It is suggested that by looking at examples of forest resource management under common property regimes that specific conditions which favour successful management will appear. These conditions will include characterisation of the purpose(s) for which the resource is used, structure and organisation of the user group and nature and methods of harvest of the resource.

It is further suggested that a high degree of interaction is likely to occur between the nature and structure of users' groups and workable technical management for a given forest resource. In other words, that optimum technical management of a resource is not only dependent on the physical potential and limitations of that resource, but on the strength of the social organisation controlling access and enforcing that agreed access. Access may be

exclusively controlled by the group organisation, or include external institutions (in the form of forest department, or police) for the enforcement of exclusion of non-group members.

Users' rights of access and their perceived security of tenure to the benefits of long-term investments, such as the protection of trees, is a crucial factor in motivation and decision making. Consequently there are practical implications for the identification of the key areas in which institutional, tenure and technical interactions occur in the management of common property resources.

Project Purpose

To identify and prioritise within the context of the F/A I system of the NRSP, the key researchable constraints with regard to common property issues, and rights of tenure and access in land use management and planning at the forest/agriculture interface.

Research Activities

Four major literature databases held on CD-ROM; CABI, AGRIS, TROPAG and Agricola were used as resources, together with the internal databases held by NRI and ODI. These databases were searched using the keywords: common property resource(s), joint forest management; community forest management; collaborative forest management; indigenous knowledge; local knowledge; local technical knowledge; indigenous technical knowledge and tenure relating to forestry/trees/agroforestry. The authors have also been in contact with Indiana State University, Workshop in Political Theory and Policy Analysis, where an inclusive database on common pool resources (estimated 10,500 citations) is being compiled. The database also has search functions built-in, but these had not been completed in a way that allowed electronic transfer at the time of our research.

The searches in the databases available brought up a selection of over 900 references, 410 of which have been chosen for inclusion within the bibliography. The three databases CABI, AGRIS and TROPAG have kindly agreed to the use of their abstracts at no charge for the purpose of this bibliography. The authors wrote abstracts where these were not available and are responsible for approximately 80 of the abstracts.

The review provides a general analysis of the literature cited. Within the bibliography, references are divided between sections, and allocated keywords. The keywords have been selected to facilitate cross-reference, and to give an overview of the spread and depth of coverage on specific topics.

Structuring of the bibliography:

Each of the references has been placed in one of four sections that the authors consider represent the main topic areas that influence policy, planning and strategies for management of CPRs at the forest/agriculture interface.

- Tenure rights relating to forests, trees and agroforestry systems (section A)
- Management of common property forest resources (section B)
- Collaborative forest management (section C)
- Forest conversion and agricultural encroachment (section D)

Section A, tenure rights relating to forests, trees and agroforestry systems, is the largest section, with 153 references. This reflects the importance of peoples' legal and felt security in access to resources, to their subsequent management of those resources. The influence of history on exclusion and access to resources is a recurring theme, particularly striking being the influence of sudden changes introduced by colonising powers and new State institutions. Implications for gender and generational equity of changes in resource tenure are also issues considered in this section, but are areas that have only recently received attention.

Section B, management of common property forest resources, contains references relating to the evolution and management of locally instigated common property management systems. The references show the practice of common property resource management to be widespread geographically and to have lasted for considerable periods of time. The sustainability and relevance of these traditional systems to present resource management dilemmas are discussed.

References include studies of long-standing CPR management arrangements; the importance and contribution of indigenous knowledge in these systems; the balance between conservation and resource use in sustainable systems; factors causing change; and the ability of systems to cope and adapt to change.

Sections B and C may at first appear similar. However B contains references on locally developed and instigated systems of management, while C's refer to systems with external support in their instigation and/or maintenance. While there may be similarities between the two sections in terms of practical methods of resource management and institutional arrangements; the presence of external input influences management, particularly institutional structure and functioning.

There is a heavy weighting of references on collaborative forest management from Asia (64 out of 78), reflecting the lead India and Nepal have taken in this area, both in terms of practical projects and in making national policy changes. In India this slant may also reflect the strength of state tenure and of forestry department management of forest lands. Such control makes the existence of informal common property systems of the kind so common in Africa, far less possible. Reference is made from all geographical areas on the need for professional's re-orientation; including forest guards, district officers and researchers, from a timber focus and policing role to that of encouraging users participation in planning and management for multiple purposes.

World-wide the most common cause of deforestation has been agricultural encroachment and the conversion of forest to agricultural production (section D). This deceptively simple analysis compounds complex interactions of population pressure, resettlement schemes, market pressures and opportunities, pricing policies, timber extraction policies and practices, and different communities knowledge of natural resource utilisation. The section contains references on these varied topics together with recent challenges to the underlying economic rationale for conversion.

Keyword category analysis

In addition to the sectional allocation of references, each has been allocated keywords with regard to their geographic, institutional and disciplinary focus. Keywords also cross-reference with regard to nature of the resource, areas of management covered and type of publication. A seventh category contains topical keywords that link references across the other categories, such as conflict resolution, policy and research requirements.

Category 1 Geographic area

Category 2 Institutional focus

Category 3 Subject focus

Category 4 Nature of the resource

Category 5 Areas of management covered

Category 6 Type of publication

Category 7 Miscellaneous

The selected references and their abstracts were compiled in a database, using Access software. The collection of references in this way provides the opportunity of making the bibliography available in electronic format, with the additional development of a search function, references could be selected on the basis of a single, or number of keywords.

Publication of the final review and bibliography document was delayed by two months. This was due to the size of the undertaking, processing of over 900 references and compiling 410 on Access, taking longer than originally envisaged. Rescheduling of delivery of outputs was discussed and agreed in advance with the PSL.

Outputs

1. Identification of the key researchable constraints with regard to common property issues, and rights of tenure and access.
2. Produce supporting literature review and annotated bibliography to output 1.
3. Identify suitable geographic focus for future research work.
4. Identify potential in-country collaborators for future project work.

The outputs are fully documented within the review and bibliography.

Contribution of Outputs

The project goal of *improving land use planning and management at the forest/agriculture interface* is served by the project output of identification of key researchable constraints with regard to common property issues, and rights of tenure and access. Land use planning and management at the forest/agriculture interface often involves dealing with land and resources over which groups of individuals have tenure and/or different use rights. Appropriate policies and strategies for resource management in this situation are different to those suitable for private and state-owned resources. Knowledge relating to the issues of resource management under different tenure and access regimes is found in a number of literatures, including those on land tenure; tree tenure; common property resources; indigenous technical knowledge and collaborative forest management literature. Relevant sections of all these literatures have been consulted, combining economic, anthropologic, social science and technical science based analyses. The findings have been produced in a

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