

# Participatory Management of Forests & Protected Areas *A Trainer's Manual*

**Sejal Worah**



MS - Training Centre for  
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### **Participatory Management of Forests & Protected Areas**

#### **A Trainers' Manual**

by Sejal Worah

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Sejal Worah



With support from \_\_\_\_\_





# Contents



<b>I.</b>	<b>Preface</b> .....	<b>4</b>
<b>II.</b>	<b>Acknowledgements</b> .....	<b>5</b>
<b>III.</b>	<b>Participatory Forest &amp; PA Management</b> .....	<b>6</b>
<b>IV.</b>	<b>How to Use This Manual</b> .....	<b>8</b>
<b>V.</b>	<b>Training Sessions</b>	
	<b>1. Setting the Context</b> .....	<b>9</b>
	• Participatory Management: What & Why.....	10
	• A Continuum of Participatory Management.....	12
	• Costs & Benefits of Protected Areas.....	15
	• Tenure and Conservation.....	17
	• Traditional Knowledge and Conservation.....	20
	• Participatory Management: Principles & Process.....	23
	<b>2. Participatory Situation Analysis</b> .....	<b>27</b>
	• Feasibility Analysis.....	28
	• Institutional Analysis.....	32
	• Policy Analysis.....	35
	• Stakeholder Analysis: The 3 Rs.....	39
	• Conflict Analysis.....	43
	• Participatory Resource Assessment.....	48
	<b>3. Negotiating for Participatory Management</b> .....	<b>53</b>
	• Responding to Conflict.....	54
	• Power Relations.....	59
	• From Conflict to Negotiation: PINs.....	66
	• Negotiating Strategies for Participatory Management.....	72
	• Options for Negotiations.....	80
	• Participatory Management Agreements.....	86
	• Monitoring Participatory Management Processes and Impacts.....	88
	<b>4. Strengthening and Sustaining Participatory Management</b> .....	<b>91</b>
	• Developing Sustainable Livelihoods.....	92
	• Institutional Arrangements.....	96
	• Developing Organisational Capacity.....	102
	• Attitudinal and Organisational Change.....	105

# Preface



Participatory and inclusive approaches to forest and Protected Area management are not new. They have been advocated by various groups including NGOs, academics, governments and forest resource users for over two decades. However, the interpretation and application of such approaches has remained patchy, diverse and controversial. In part, this is a reflection of varied situations on the ground including socio-economics, cultural values, policy scenarios, institutional frameworks and attitudes. It is also in part due to limited understanding of the complexity of applying participatory approaches, and inadequate capacity to facilitate and implement participatory management.

Opportunities for forest managers to gain knowledge and skills in participatory resource management processes are still limited. A recent survey by IUCN has brought this out where a third of PA managers indicated that one of the areas priority training areas for them was related to sustainable development. Recognising the need for such training, a number of organisations including CARE, FAO, MSTCDC, RECOFTC and WWF initiated a series of workshops and training courses on different facets of this topic.

This manual is the integration of these training initiatives that took place in Africa and Asia between 2002 and 2005. Some of the sessions in the manual were developed through the CARE/WWF/GEF-UNDP/MSTCDC Integrated Conservation and Development Training Programme for Eastern Africa in 2002. Further support for developing the manual was received in 2003 through the FAO programme on Strengthening Participatory Approaches in Forest Management in Uganda, Ghana, And Guyana. Additional training activities and case studies were added during the 2004 training course on Participatory Management of Protected Areas held at RECOFTC.

During the various courses, the focus of the training has ranged from Integrated Conservation & Development to Participatory Forest Management to Collaborative Forest Management to Participatory Management of Protected Areas. However, the underlying training principles remained the same, i.e. building capacity for promoting a more inclusive approach towards conservation of forests and biodiversity.

This manual is the result of a collaboration between the two main training institutions involved in "field testing" of the training sessions – the MS Training Centre for Regional Cooperation (MSTCDC) based in Usa River, Tanzania and the Regional Community Forestry Training Centre (RECOFTC) based in Bangkok, Thailand. The training sessions therefore reflect situations and cases from both Eastern Africa and South and Southeast Asia. We feel that there are enough similarities in the situations in these two continents to ensure that this manual will benefit trainers and practitioners in the field of participatory resource management in both Africa and Asia.

The title of this manual indicates that the focus is on participatory management of forests and Protected Areas. While many of the training sessions in the manual were developed within the context of participatory or collaborative forest management, it is recognized that there is increasing interest within many countries for capacity building in participatory PA management as well. Since many of the processes and tools for both situations are similar, the training sessions in this manual, with some adaptation, can apply to both forest PAs and forest areas that are not PAs.



# Acknowledgements



This trainer's manual has had a long gestation and has been developed with inputs from many colleagues, all of whom I cannot acknowledge here but to whom I am nonetheless grateful for contributions both direct and indirect. I am particularly grateful to the participants of the planning workshops in Nairobi (January 2002), Arusha (May 2002 and April 2007), and Kampala (March 2003) for their contributions.

Special thanks go to Phil Franks, Tom Blomley, Christine Nantongo, Fiona Driciru, MTE Mbuvi, Edward Mupada and Dezidarius Irumba for their work in developing specific training sessions and case studies as well as for many discussions on the application of the tools, help with implementation of the training and continued intellectual and practical input over the course of five years.

Colleagues at MSTCDC have been a great support and without them this manual would never have seen the light of day. For providing a wonderful setting for the "testing" of these training sessions, I would like to thank Ulla Godfredsen, Prudence Kaijage, Noah Lameck and John Musyoka. At RECOFTC, the unfailing support of Ronnakorn Tiraganorn in conducting the training and taking the initiative towards the publication of this manual has been invaluable.

The many participants and resource people of the CFM/PFM/PMPA workshops held in Tanzania, Uganda and Thailand provided useful and important feedback which has helped to continuously improve the training sessions.

Finally, I acknowledge the support of the institutional partners and donors which has led to the publication of this manual: CARE International, WWF-UK, MSTCDC, FAO, and RECOFTC.



# Participatory Forest & PA Management



Participatory or collaborative forest management is a concept that emerged some time in the early 1980s. Today it broadly embraces a range of approaches that includes, among others, joint forest management (JFM), community forestry (CF), integrated conservation and development (ICDP), community based natural resource management (CBNRM) and participatory forest management (PFM). While these approaches might differ in their specific objectives, they have the common characteristic of some level of natural resource benefit sharing and/or devolution of authority from state to local community institutions.

In most countries in Asia and Africa, recent developments, both in policy and field practice have seen PFM emerge as a viable alternative or supplementary approach to the traditional 'command and control' model of management of forests by the state. While the characteristics of PFM vary from country to country and site to site, there are some broad commonalities in principles, process and practice.

The participatory management of Protected Areas usually differs from PFM largely in the level of devolution of authority. As the primary objective of most PAs is that of biodiversity conservation, there has been reluctance among most state authorities to devolve PA management to the local level as it is often felt that participatory approaches compromise this objective. As a result, PFM appears to have evolved more rapidly from the initial platform of benefit sharing with local communities to that of power sharing. In contrast, much participation in PA management is still limited to reducing community impacts on resource use through benefit sharing and other incentives.

Nonetheless, the range of PA management models encompasses similar processes and approaches as PFM. Therefore the approach towards setting up or strengthening a collaborative PA management model or one for PFM could be fairly similar. There is significant variation among countries within Asia and Africa in terms of the level of participation within PA management. This ranges from the relatively inclusive models of Conservation Areas in Nepal and the multi-stakeholder Protected Area Management Boards of the Philippines to the stricter National Park models found in India and countries in East Africa. However, even within each countries PA laws and policies, there are a range of opportunities to apply participatory management approaches.

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# How to Use This Manual



The sequence of training activities in this manual is designed to follow the sequence of a typical PFM process. They can also be used in different ways depending on the objectives of the training course, the nature of participants, the length of the course and the planned outcomes.

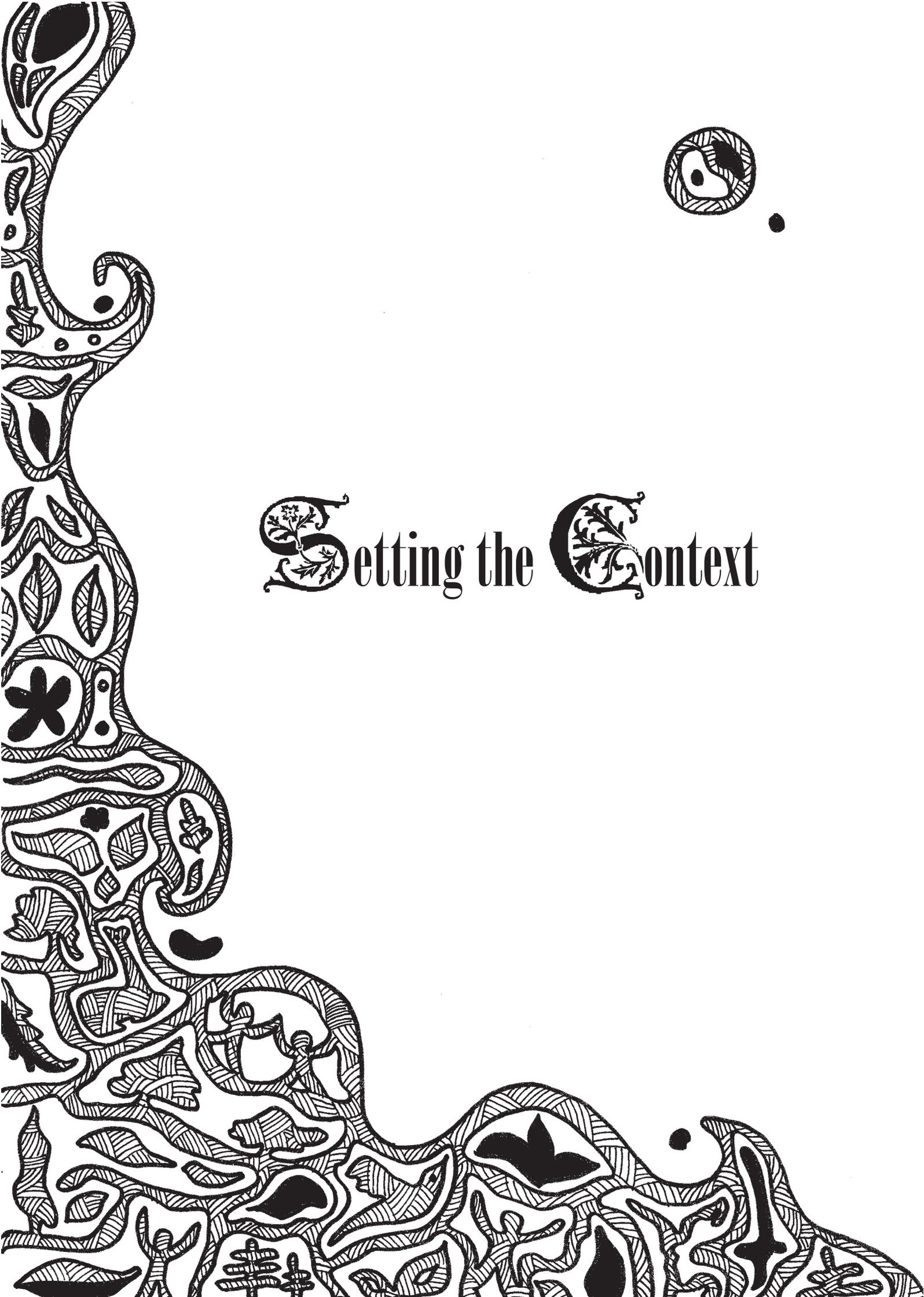
The most important step in implementing an effective training course is setting the learning objectives. This will guide the structure, content, timing and methods of the course. Based on the learning objectives, the course content needs to be determined. Sessions in the manual that contribute most to the objectives that have been set should be selected to form the main content of the course. Depending in the focus of the training course and the time available, use the combination of training exercises that are most appropriate.

Notwithstanding the exercises that form the content of the course, it is important that the “flow” or sequence of the exercises follows some sort of linked conceptual model, i.e. the contents and sessions need to be related to each other in some way. This is important to maintain the learning momentum and the course should not jump from one topic to another. In addition to the training exercises, it is important at the beginning of the workshop to establish the objectives, determine participant expectations and revisit these at the end. It is also important to carry out daily monitoring activities and a final course evaluation.

The actual methods to be used during the training course will depend on a number of factors including human resources, proximity to an appropriate field site, composition of the group and the learning environment. The exercises in the manual are meant to be adapted based on the experience of the facilitator/resource persons. In particular, users need to think about the following:

- The need for resource persons for each exercise will vary depending on the expertise of the trainer/facilitator and the cost of bring in external expertise. In general, for longer courses of a week or more, it is good to have more than one person providing inputs into the exercises partly to break up the monotony. In some cases, it may also be possible (and desirable) to draw on the expertise of the participants themselves as resource people.
- The case studies in the manual are largely indicative to demonstrate the kind of information needed for the cases to be effective as a learning tool. Unless the trainer or resource person is familiar with the cases in the manual, it would be better to develop your own based on the examples provided.
- The timing and group sizes/composition are again indicative. The exercises in this manual are based mostly on training sessions conducted with participants from more than one country and with a total group size of around 25-30 participants (with the size of the small groups varying from 5-8 people). If the group is more homogenous or smaller, the composition of the group and the timing of the exercise will need to be adjusted accordingly. Each of the sessions can be longer or shorter than indicated based on the level of discussion desired to achieve the learning objectives of the course.
- Course designers will also need to determine whether a field trip or site visit is appropriate to include. This will depend on the purpose of the trip and the importance of it in achieving the learning objectives. It also needs to be logistically feasible (in addition to other factors such as acceptability by the communities). If a field trip is included within the course, it should be well planned, participants should be clear about the objectives of the trip and what the main learning issues are, and there should be a detailed debriefing after the trip to assess its contribution to the course. Where possible, try to organize a trip such that the “hosts” also benefit from it in some way (not necessarily monetarily).





# Setting the Context

# Participatory Management: What & Why



**Objective:** To agree on a working definition of Participatory Management (PM) and to build understanding on why PM is an important approach for forest and PA management.

**Materials:** Flip charts, coloured markers, LCD

**Preparation:** Flip chart with What is PM (Attachment 1). Flip chart or slide with Why PM (Attachment 2).

**Time:** 1 hr

1

Introduce the session objectives and explain that there are many definitions and perceptions about PM so we need to be clear at the start on what we mean by it. Ask the group to call out what they think are the key 'elements' of PM and list these on a flip chart.

2

Post the prepared definition of PM (Attachment 1), asking the group to comment on it and discuss whether it captures all the previously listed elements. Based on the discussion, modify it if necessary. Explain that this will be used as a working definition of PM for the rest of the course.

3

Next, ask the group to reflect on the agreed definition and think about why PM might be an important approach for forest and PA management. Form them into pairs or threes and give them five minutes to discuss this and record their thoughts.

4

Ask a pair to call out one reason that they have come up with. Note this on a flip chart and discuss it briefly. Go around the groups, asking each pair to call out a new reason. Discuss/clarify each one and stop when there are no new ideas coming up.

5

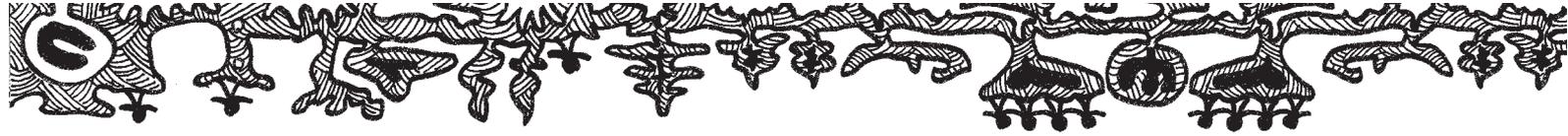
Post the prepared list (Attachment 2) and discuss any additional points, which were not brought up by the groups. Explain that we will be exploring some of these issues in more detail as the course proceeds.

## Facilitator notes

- ✿ Explain that the definition is based on the inputs of workshop participants from many countries over the course of several training events. While the definition can be modified to ensure that the group is comfortable with it, try to ensure that the key elements of rights, responsibilities, benefits and authority are not lost.
- ✿ Depending on the composition of the group, the responses to "why PM" could either be related to "practical", "ethical" or "governance" issues. Try to ensure a balance of these considerations while recognizing that different stakeholders might have different reasons for an interest in PM.

Developed by:  
Sejal Worah





## ● ● ● Attachment 1: What is Participatory Management ● ● ●

Participatory Forest (or PA) Management is an arrangement where key stakeholders enter into mutually enforceable agreements that define their respective roles, responsibilities, benefits and authority in the management of defined forest (or PA) resources.

## ● ● ● Attachment 2: Participatory Management: Why ● ● ●

- fewer conflicts and improved relations among major stakeholders
- increased social (sometimes political) acceptability and so can form alliances more easily
- empowerment of marginalised groups through recognition of rights and responsibilities
- stronger partnerships and alliances against external conservation threats
- more cost and resource efficient (in the long term)
- enhances skills of many different stakeholders/institutions
- promotes mechanisms for working together that can be used to address other issues
- can lead to a 'win-win' situation vis-à-vis poverty alleviation and natural resource conservation
- balances costs and benefits of conservation and so more sustainable in the long term
- is built on principles of equity, pluralism and good governance



# A Continuum of Participatory Management



**Objective:** To build understanding on different “models” of PM.

**Materials:** Flip charts, coloured markers

**Preparation:** Spectrum of PM (Attachment 3) on set of flip charts pasted together.

One PM model per flip chart folded over and put up in different areas of the training room.

**Time:** 1 - 1½ hrs

1

Point out that the definition of PM can encompass several ‘models’ along a spectrum that range from lesser to greater participation of non-state stakeholders. Post the spectrum (Attachment 3) and walk the group through it, ensuring that they understand each of the models. Use examples or ask the participants to provide examples of each model.

2

Ask the group to think about what description or descriptions they feel represents ‘true’ PM as defined earlier. Discuss why they think so and what some problems might be with the other models.

3

Next, unfold the flip charts posted around the room with the individual models and ask participants to stand by the one that most closely defines the forest or PA management arrangement at their sites. Mention that they can also stand between two models as this is a continuum. Clarify that they should select the model based on the ‘actual’ situation at their sites (not a desired or ideal situation).

4

Once the group has dispersed according to their selected model, initiate a discussion along the following:

- ❖ What is the ‘pattern’ of people standing near the models (by number, by organization, by position, by time since CFM was initiated, by level of ‘protection’ of the forest site, etc.)? What does this tell us?
- ❖ Would the pattern be different with a different group composition? Why and in what way?

5

Ask randomly selected members to justify/explain why they are standing where they are. Ask the rest of the group if they agree with the choice after the explanation. If not, discuss where the participant should be standing instead and ask him/her to move if there is agreement.

6

Next, ask the group to think about their desired or ideal PM model and to stand at that position.



## 7

Observe the movements of the participants and initiate a discussion along the following:

- ✦ What does it mean if many people move? If nobody moves?
- ✦ Is the movement in one 'direction' e.g. less to more participatory? What does this imply?
- ✦ Did anybody move in the other direction, i.e. more to less participatory? What might be the reasons for this?
- ✦ What does the new 'pattern' of distribution along the spectrum tell us?
- ✦ Do they think that the model where they are standing now is feasible for their sites? If not then why not?

## 8

Close by reminding participants that while the broad definition of PM applies to many situations, the appropriate type of PM might vary depending on a range of factors as we have discussed in this session.

### Facilitator notes

- ✦ Discuss the models at the two ends of the spectrum and the fact that neither of these represents co-management in the true sense. Some participants might identify with more 'extreme' models i.e. full State control with no concessions to communities and full community managed areas with no involvement of the State. Discuss these models as well.
- ✦ Try not to push an 'ideal' model but explain that we will be exploring the elements of participatory management during the course and at the end of it they will have to determine what might be the best approach for them and how far they can reach the standards.
- ✦ If the group is mixed in terms of country representation, keep in mind the differences in the legal/policy/governance environment between countries which will influence what participants will choose e.g. community conserved areas are more common in some countries than others.

Developed by:  
Sejal Worah &  
Phil Franks



### ● ● ● Attachment 3: A Spectrum of Participatory Management ● ● ●

Acknowledging needs	Seeking consensus	Negotiating agreements	Sharing power	Devolution of authority
Decision-making authority with State. Some measures/ informal agreements to address community interests/needs. Agreements based on discretion of the PA/forest manager.	Decision-making authority largely with State. Community has some involvement through formalised consultative mechanisms usually regarding use of specific resources or buffer zone management.	Shared decision-making authority on some aspects of PA/forest management. More complex arrangements with some sort of negotiated agreements in place.	Joint decision-making on key aspects of management through formalised power-sharing arrangements.	Primary decision-making rights with community. Some government role and representation based on decisions by community members.

Increasing devolution of power and authority from State to other local communities



# Costs & Benefits of Protected Areas



**Objective:** To highlight differential costs and benefits of PAs to different stakeholders and the role of participatory PA management in balancing these.

**Materials:** Flip charts, coloured markers, LCD

**Preparation:** None

**Time:** 1½ - 2 hrs

1

Explain the purpose of the session reminding participants that one of the issues brought out in the discussions earlier was that of costs and benefits of PAs to different stakeholders.

2

Point out that various stakeholders with an interest in a forest area or PA will incur different costs and benefits from the site. This can lead to resentment and conflict and one of the aims of participatory management is to promote an equitable distribution of costs and benefits.

3

Explain that we will be exploring this concept further in small groups using real examples. Outline the following group process:

- ✿ Each group should select a PA that they want to work on which at least one group member is familiar with
- ✿ They should identify and list the stakeholders related to that site ensuring that they do not miss out national and global players
- ✿ For each stakeholder group they should describe the costs incurred because of the PA and the benefits gained from the PA
- ✿ Finally, they should give a relative score ranging from 1 to 5 to each stakeholder group for both costs and benefits
- ✿ They should record their results for reporting back in the format shown below

Stakeholder	Costs of PA	Score	Benefits from PA	Score

4

Divide participants into small groups of 4-6 each (if there are several participants from the same country try to keep them in one group) and give them 40 minutes to complete the task.



5

Once they have completed the task, ask them to post the results around the room. Walk the group from one result sheet to the other and ask each small group to present their results briefly allowing for clarifying questions.

6

Convene the group in plenary and initiate a discussion along the following:

- ❖ What are the trends in relation to costs and benefits across the different stakeholder groups? What does this tell us?
- ❖ Do the results reflect the type of management regime in the PA?
- ❖ What are the implications of the documented cost/benefit ratios in the long term?
- ❖ What are the ways in which these can be addressed?

7

Close the session by explaining that this issue one at the core of participatory PA management and that we will be further exploring the last question during various stages of the course.

#### Facilitator Notes

- ❖ The scoring can be confusing and unless all groups are using the same criteria, the results will be difficult to compare.
- ❖ It is important to clarify that this is relative scoring and that the scale should be used to indicate the importance values in relation to each other rather than an absolute value.
- ❖ The scoring on costs can also include opportunity costs at local, national and global levels. Encourage participants to think of both direct (subsistence, economic, cultural) and indirect (environmental services, political) benefits and costs for all groups.
- ❖ The scoring on benefits should focus on actual benefits accrued whether these are deemed legal or illegal (if the latter then this should also be reflected in the costs).
- ❖ During the discussion, the focus should not be so much on getting exact values but on looking at trends and comparisons of costs vs. benefits for different stakeholder groups.

Developed by:  
Sejal Worah



# Tenure & Conservation



**Objectives:** To build understanding on the relationship between land and resource tenure arrangements and conservation.

**Materials:** Flip charts, markers, LCD

**Preparation:** What is Tenure (Attachment 4) on a flip chart.

A resource person to provide an overview on tenure and conservation.

**Time:** 2 - 2 ½ hrs

1

Explain that we will focus during this session on the issue of tenure as it is crucial to conservation. Ask the group what they understand by the term "tenure". List their responses and clarify using one of the definitions in Attachment 4 (or one provided by the resource person). Point out that this is a complex concept with multiple definitions.

2

Introduce the resource person who should provide a 15-20 minute overview on tenure covering the following: types of tenurial arrangements; complexity of tenure; the dynamic nature of tenure; and, the importance/impacts of tenure in conservation.

3

Explain that we will now explore aspects of tenure in relation to sites where group members are working. Outline the following process:

- ✿ Each group should pick a site to work with, which is familiar to one or more group members and identify the key resources (land, pastures, forests, forest products, wildlife, etc.) in the area.
- ✿ They should then discuss who the current users of the resource are and what the current tenurial arrangement in relation to that resource (who has ownership, custodial, access, usufruct or other rights) is.
- ✿ If known, they should also discuss what the earlier arrangements were and how these have evolved over time.
- ✿ Finally they should discuss what the conservation impacts of these changes in land and resource tenure have been.
- ✿ They should present the results of their discussion in the format shown below.

Resource	Users	Tenurial Arrangement (current)	Tenurial Arrangement (past)	Impacts on conservation

4

Divide participants into small groups of 4-6 each (if there are several participants from the same country try to keep them in one group) and give them 1 hour to complete the task.



# 5

After the groups have completed the task ask them to present their results and initiate a plenary discussion around the following:

- ❖ What are the most common types of tenurial arrangements? The least common? Is there any country or sub-regional similarity? What could be a reason for this?
- ❖ Are there any apparent trends in the way tenure has changed over time? What might be the implications of this?
- ❖ How do the different tenure systems affect conservation? Is it possible or desirable to “reverse” tenure systems? Why or why not?
- ❖ How strong an incentive is tenure security for communities to actively participate in conservation? What are some of the limitations?

# 6

Close by pointing out that this is probably one of the most important issues to understand in participatory PA management and it will come up again in different sessions during the course.

## Facilitator Notes

- ❖ Make sure that the tenurial system described by the groups does not simply focus on the type of actor on whom rights have been conferred (i.e. “private” or “state” or “communal” or “open access”) but also describes the multiple dimensions of tenure (e.g. parts of a resource to which rights have been granted, degree of control, etc.)
- ❖ Ensure that the groups describe both *de facto* and *de jure* tenurial arrangements.
- ❖ If there is time, an additional discussion on what responsibilities go with the rights can be added on (alternately this can be carried out in the session related to the 3Rs which follows later).

**Adapted from:**  
Worah *et al.*  
1999. Integrated  
Conservation &  
Development: A  
Trainer’s Manual





## ● ● ● Attachment 4: What is Tenure? ● ● ●

- A “bundle of rights” - the right to hold, manage, transfer or use resources and land
- Tenure defines property and what a person or group can do with it – in other words, “property rights”
- Tenure is not only a legal concept but a complex social institution – it governs ownership and access to natural resources
- It involves traditional practices and customary authorities as much as formal law
- Tenure can also be defined as the ways by which people gain legitimate access to natural resources for the purpose of management, extraction, use and disposal

*From: Bruce 1998, FAO 2002*



# Traditional Knowledge & Conservation



**Objectives:** To build understanding on the importance of working with traditional knowledge in conservation.

**Materials:** Flip charts, coloured markers, LCD

**Preparation:** A copy of the flow chart on Working with Traditional Knowledge (Attachment 5) for each participant.

A resource person to provide an overview on indigenous knowledge and conservation.

**Time:** 2 ½ - 3 hrs

1

Explain the purpose of the session and that we will start with getting an idea of the range of traditional resource use/management practices that exist in different areas.

2

Divide participants into random groups, distribute flip charts and colour markers and ask them to draw as many examples of traditional resource-related practices that they can in 30 minutes. These should be depicted pictorially on the flipcharts.

3

After 30 minutes, ask each group to present its results and ask participants to comment on the diversity and number of different practices related to different resources being presented.

4

Introduce the resource person who should provide a 15-20 minute overview on traditional knowledge and conservation covering the following: types of knowledge systems; how and why systems are changing; implications of traditional knowledge for conservation; ways of incorporating traditional and scientific knowledge in participatory management.

5

Next, walk the group through the flow chart in Attachment 5 and explain that the participants will be working in small groups to analyse traditional practices using the following process:

- ✿ Each group should select two traditional resource use/management practices either from the examples provided earlier or new ones.
- ✿ They should then run each of these practices through the questions in the model and at the end of it answer the final set of questions with the appropriate response (e.g. the type of 'modified' or alternative practice they would propose).
- ✿ They should record their outcomes on flipcharts using the flowchart as a model.

6

Divide participants into country groups (if relevant) and give them 45 minutes to complete the task.



7

Once they have completed the task, ask each group to present their results and initiate a discussion around the following:

- ✦ In how many cases was the traditional practice no longer sustainable? Were there any situations where it was still practiced sustainably?
- ✦ What might be the reason for situations where the practice was still sustainable in relation to those where it has changed?
- ✦ What were some of the most common causes for changes in traditional practice? How can these be addressed?
- ✦ Were there any situations where it would be desirable or possible to “revive” the practice? Why or why not?

8

Close by pointing out that while traditional knowledge and practices are undergoing rapid change in many situations, it is important to see how elements of this knowledge and practice can support conservation and to build upon these as far as possible in participatory management.

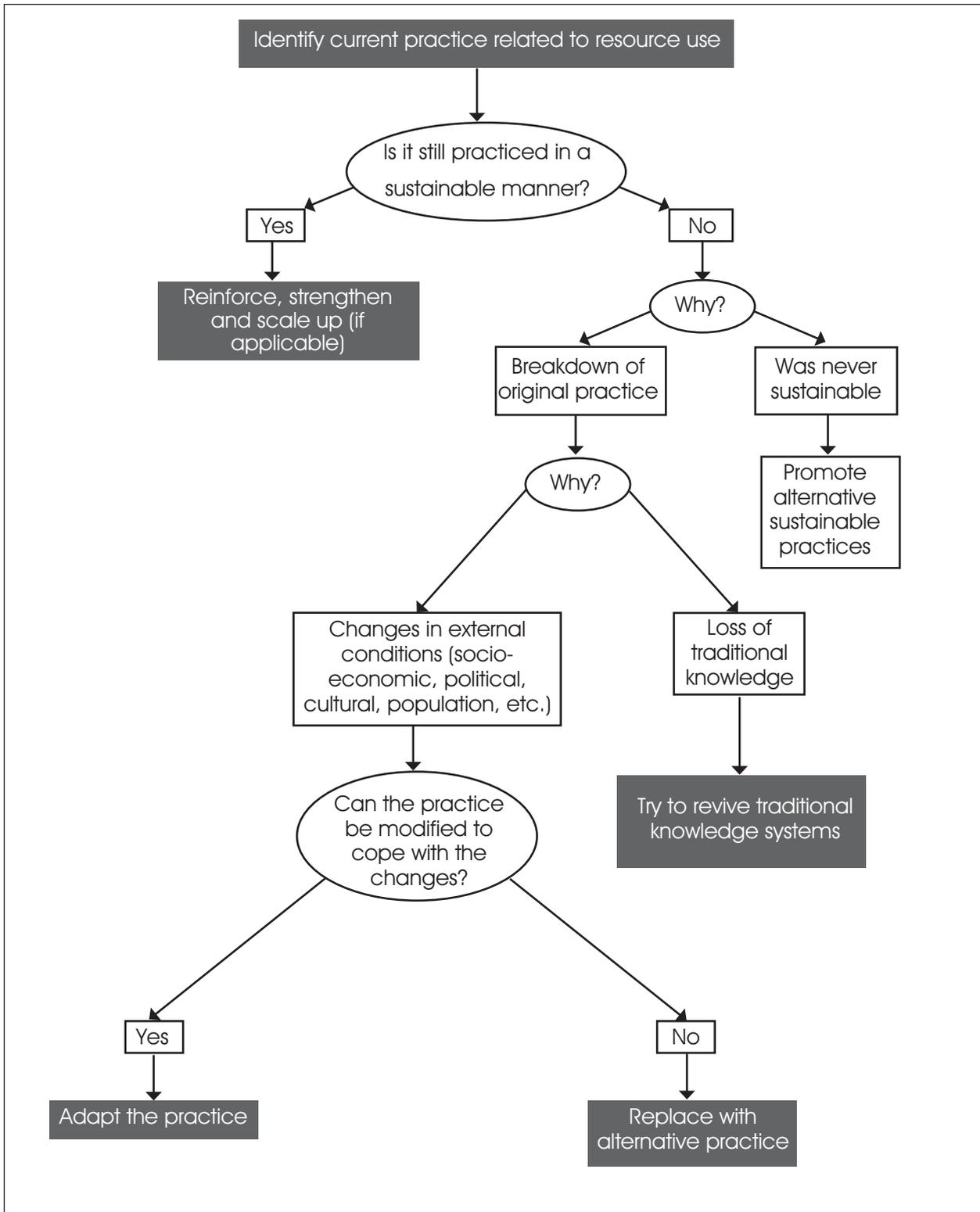
#### Facilitator notes

- ✦ A variation of this could be to take a specific traditional practice that can be contentious (such as shifting cultivation) and ask two groups to debate the pros and cons of the practice. This will also bring out most of the above issues but needs active management from the facilitator.
- ✦ This can be a divisive topic as many traditional resource use practices are viewed by some individuals or groups as being against conservation objectives. It is important to differentiate in such cases between practices that have changed due to changing situations and the way it might have been originally practiced.
- ✦ It is also important to clarify that not all traditional practices are deliberately designed to be sustainable – this may have been due to lower populations, lack of market pressures on the resource, etc.

**Adapted from:**  
 Worah *et al.*  
 1999. Integrated  
 Conservation &  
 Development: A  
 Trainer's Manual



• • • Attachment 5: Working with Traditional Knowledge • • •



# Participatory Management: Principles & Process



**Objective:** To introduce some key principles and strategies in PM and to build understanding on the 'steps' in and process for planning and implementing PM.

**Materials:** Flip charts, coloured markers, glue sticks, LCD

**Preparation:** Flip chart or presentation with PM Principles & Strategies (Attachment 6).

PM Process (Attachment 7) on set of flip charts pasted together.

Each of the "process", "methods" and "outputs" boxes written or printed on meta cards or pieces of paper of a different colour for the three categories (i.e. all process steps in one colour, methods in another and outputs in a third) – one set per group with cards in random order.

**Time:** 1½ - 2 hrs

1

Introduce the purpose of the session and explain that as the course progresses, we will be exploring these principles and strategies in more detail and also going through many of the steps in the process.

2

Present and discuss briefly the key PM principles from Attachment 6. Ask the group if anybody wants to add a principle. Discuss and add it if necessary.

3

Explain that we will now be exploring the PM process in small groups as follows:

- ✿ Each group will be given a set of different coloured cards with either a step in the PM process, a method for that step or an output of the step PM written on it.
- ✿ The groups should discuss these cards and arrange them in the order they think is most appropriate such that the process steps are in a left hand column with the corresponding methods and outputs to the right.
- ✿ Point out that as the process is not linear, it the most important part of the task is to think of iterative steps and feedback loops as the process is not linear. Ask them to draw these feedback loops on their chart.

4

Divide participants into small groups and give them 40 minutes to complete the task.



5

After all groups have finished, ask them to post their results around the room and give them 5 minutes to review each others' outputs.

6

Covene the group into a plenary and initiate a discussion along the following:

- ❖ Which were some of the major areas of discussion/difference within each group?
- ❖ How different or similar are the different group outputs from each other?
- ❖ If there are differences, what are the main areas of difference? What might these be based on?
- ❖ Does it matter if the process is different at different sites? Which are the steps that can be interchanged without affecting the outcome?

7

Post the pre-prepared process (Attachment 7) and briefly examine differences between this and the group outputs. Explain that this has been developed based on inputs from many different people working on PM but the process will vary from site to site and should be adapted depending on the situation.

8

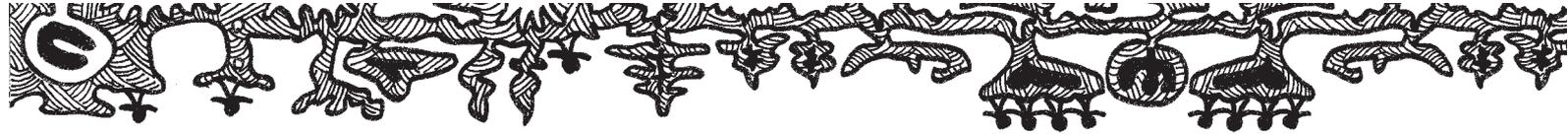
Close by reminding people that we will be following much of process this during the course. We will keep it posted up throughout the course and "track" progress as the course proceeds.

#### Facilitator notes

- ❖ Point out that the posted process is based on inputs from resource people and participants of several training courses.
- ❖ Depending on how much time is available, the session can be modified to focus only on the "steps" (leaving out the methods and outputs).
- ❖ There is often confusion between the steps on scoping for PM and initiating PM and these could be merged into one step.
- ❖ There will be differences in the order of steps related to negotiation and governance/institutions as many will argue that the latter needs to be in place before negotiations can take place. Emphasise the iterative nature of the process and explain that some negotiations start before there is a formal institution and they can continue after the governance structures are established.
- ❖ Much discussion and disagreement on the steps in the process can be explained by focusing on the feedback loops. Make sure that participants insert these in their results.

Developed by:  
Sejal Worah





## ● ● ● Attachment 6: Participatory Management: Principles & Process ● ● ●

- **A process approach based on learning by doing**

(taking time, building trust & relationships, adaptive & flexible, monitoring internal and external changes & impacts)

- **Meaningful participation and shared analysis**

(making different points of view count, multiple methodologies)

- **Based on negotiation and consensus building**

(ensuring "fair" deals, not losing sight of conservation objectives)

- **Appropriate representation and responsibilities**

(addressing inequity, bringing marginalized groups on board, supportive rules/regulations)

- **A supportive policy and legal framework**

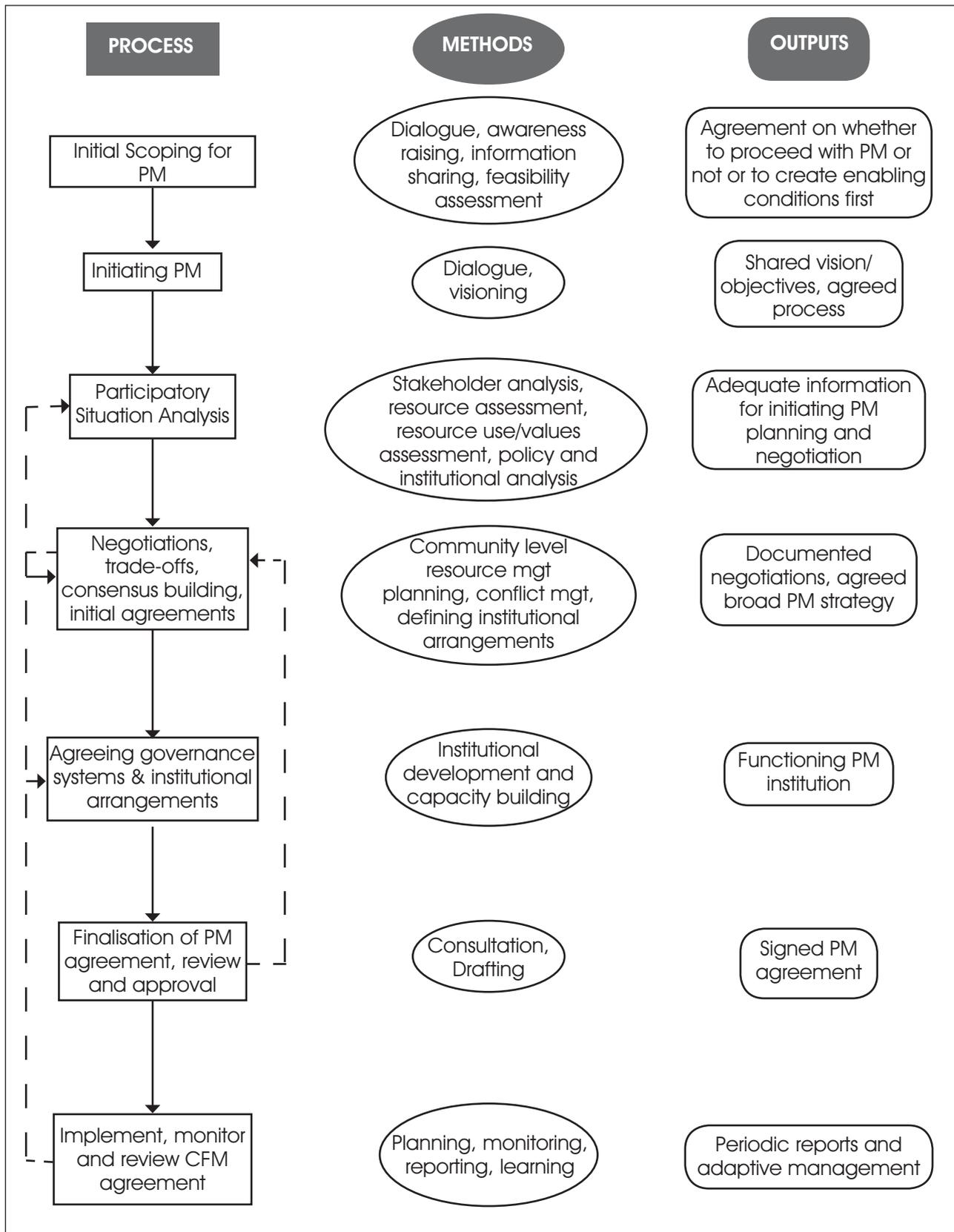
(understanding and analysis, lobbying/advocacy, working through incremental change)

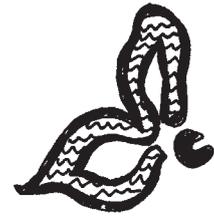
- **Building capacity for long-term change**

(enabling key stakeholders to take the lead, ensure robust institutions)



# ● ● ● Attachment 7: Participatory Management: Process, Methods and Outputs ● ● ●





Participatory  
Situation Analysis



# Feasibility Assessment



**Objectives:** To introduce and practice application of a tool for assessing the feasibility of PM in a given situation

**Materials:** Flip charts, coloured markers

**Preparation:** PM Feasibility Assessment Model (Attachment 8) on a flip chart and as a handout for each participant.

One set of situation cards (Attachment 9) per group

**Time:** 2 – 2 ½ hrs

1

Introduce the purpose of the session explaining that it is often useful to carry out a feasibility assessment to understand how difficult it might be to initiate PM in an area and to identify supporting/start-up activities that might be needed to enable PM.

2

Explain that successful initiation and implementation of PM at any site depends on a number of key factors such as: policies & institutions, stakeholder relations & conflicts, conservation threats, livelihoods & benefit sharing, community values & systems and the socio-political environment. A quick assessment of these issues can help determine PM feasibility at any site.

3

Present the feasibility analysis model (Attachment 8) and walk the group through this ensuring that they understand the logic and application of it.

4

Explain that small groups will examine some hypothetical situations to practice application of the feasibility assessment model using the following process:

- ✿ Each group will be given a set of cards with the description of an existing situation at a site where PM is to be initiated.
- ✿ The groups should discuss each card in relation to the model described above and try to answer the questions based on their own personal experiences with PM.
- ✿ They should record their responses for each situation on flip charts and be ready to present and justify these.

5

Divide participants into small groups and give them 45 minutes to complete the task. Ask them to discuss as many cards as they can in this time.

6

At the end of 45 minutes ask the groups to present each situation's feasibility analysis in turn (i.e. all groups present results of card one, then card two and so on). Post the results up in groups around the room. Initiate a plenary discussion along the following:

- ✿ How similar or different was the analysis of the different groups for the same situation?



- ❖ What do you think affected the analysis of the different groups?
- ❖ Which of the situation cards generated the most similar results? Why?
- ❖ Which generated the most divergent results? Why?
- ❖ What does this tell you about PM feasibility (especially when some groups might have assessed it as 'not feasible' while others assessed it as feasible given some supporting activities)?

## 7

Close by pointing out that we have assessed feasibility of PM from the perspective of an "external agency" looking to promote/initiate this. The community perspective on feasibility of PM is also important. Ask the group to reflect on this and discuss briefly how this might differ and why.

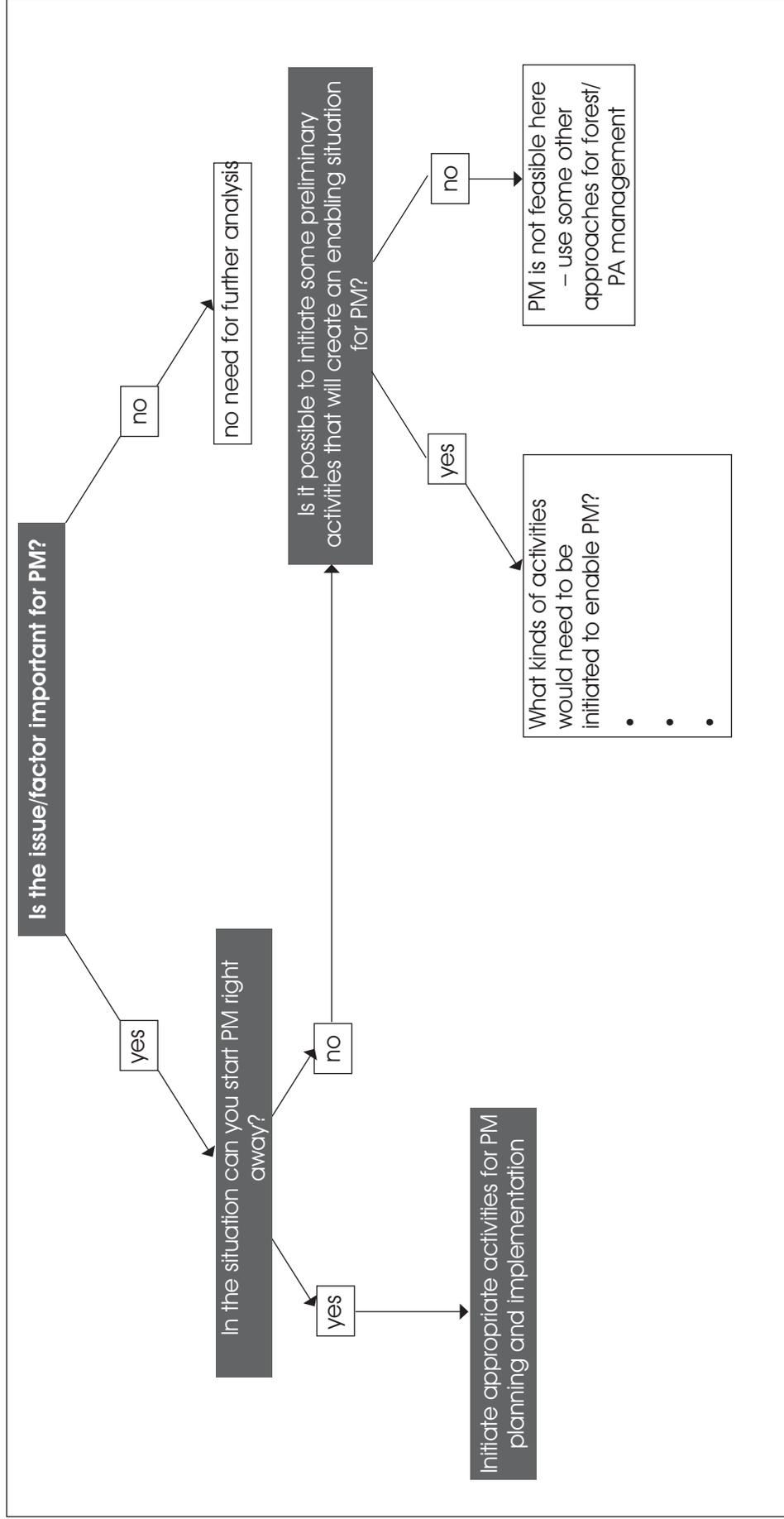
### Facilitator Notes

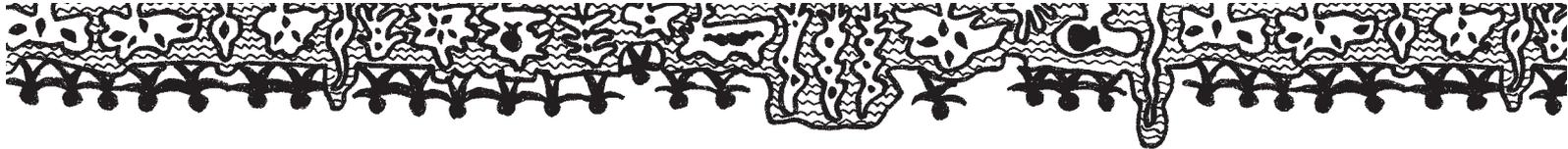
- ❖ There is a tendency for groups to sometimes consider PM as feasible in all situations and they will attempt to show this through building in supporting activities – this assumption can be challenged either by other groups who show different results for the same situation or by the facilitator.
- ❖ If the results for the same situation are very different between the groups, focus on the actual experiences (by site or country) that led them to their respective conclusions. The situations provided can be interpreted in different ways by the participants.

Developed by:  
Sejal Worah



••• Attachment 8: Feasibility Analysis Model for Participatory Management •••





## ● ● ● Attachment 9: Situation Cards ● ● ●

The area is affected by persistent and relatively serious insecurity/insurgency

---

There is no policy/legislation in place to support PM processes

---

There is a deep-rooted, long-term internal conflict within the community

---

There are long-standing resource use conflicts between communities in the area

---

There is no clarity or coordination among government agencies on roles and mandates for PM

---

Potential livelihood benefits to communities from PM are likely to be very low

---

Benefits/values of PM are not understood by stakeholders

---

Powerful elites within the community have always appropriated benefits from previous initiatives

---

External threats (e.g. huge illegal extraction of resources) to the forest/PA are very immediate and very serious

---

PM processes and arrangements go against traditional (usually hierarchic) values and systems

---

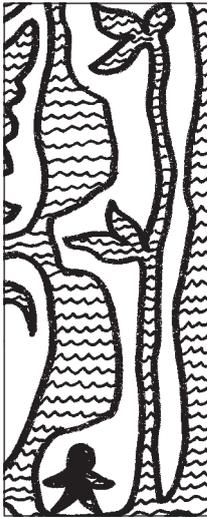
The Forest Department does not believe in PM as a viable option for effective forest/PA management

---

There is a potential for gaining far more short-term benefit by selling the resource to private sector players



# Institutional Analysis



**Objective:** To build understanding on the role of institutional assessment and to practice using a tool for institutional analysis in PM.

**Materials:** Flip charts, coloured markers, glue sticks

**Preparation:** Flip chart with definition of Institutions & Organisations (Attachment 10).

Coloured poster paper cut into circles of different sizes – one mixed set per group (about 25 circles of different sizes and colours each).

A resource person to provide an overview on institutions and organisations in resource management.

**Time:** 2 – 2 ½ hrs

1

Explain the objective of the session and provide a brief background on the importance of understanding institutional roles and frameworks when planning for PM. Point out that existing institutions can often play important roles in PM and an institutional analysis can help identify these roles.

2

Post the prepared definition of Institutions & Organisations (Attachment 10) and briefly discuss this difference explaining that there is often confusion over these terms. Make sure that the importance of both formal and informal institutions as well as the issue of institutions at different 'levels' (community to national/international) is brought out in the discussion. If necessary use a resource person to provide this overview.

3

Explain that there are, broadly speaking, three types of roles played by institutions in PM:

**Enabling Institutions** – facilitating relationships, formulating policies, building capacity

**Delivery Institutions** – providing extension services, technical support, inputs as needed

**User Institutions** – direct beneficiaries of the programme

Point out that each of these institutions can exist within the government, private sector and civil society.

Also point out that an institution can have multiple roles depending on the stage of the PM process, the size/mandate of the institution, etc. Spend some time discussing and clarifying these roles with the group.

4

Explain that we will be using a two-stage process for institutional analysis – identifying the relevant institutions and their inter-relationships and, understanding their roles in PM, using the following small group process:

- ✿ Each group will be given a set of coloured circles and a glue stick.
- ✿ At the centre of a flip chart, they should note the PM programme or process that they want to analyse.



- ✿ The coloured circles should be used to denote institutions or organisations that are relevant to the PM programme – a larger circle depicting greater relevance.
- ✿ Once they have assigned different circles to different institutions, they should label these and stick these around the central issue on the flip chart.
- ✿ They should use connecting arrows of varying thickness to show the relationship and the intensity of relationship between the different institutions.
- ✿ Once they have completed this, they should assess each of the key institutions in terms of their potential role in PM, filling out the details of each role in the corresponding box as shown in the matrix below.

	Enablers	Deliverers	Users
Institution A			
Institution B			
Institution C			
Etc.			

5

Divide the participants into groups, distribute the set of coloured circles to each group and give them 1 hour to complete the task.

6

Once all groups have finished, ask them to post their results (both the institutional map and the table) and discuss these along the following:

- ❖ What are the differences and similarities in the institutions identified by the different groups?
- ❖ Would this change if different stakeholders were asked to do the same exercise? In what way?
- ❖ To what extent did the groups identify existing institutions which could play a role in PM? What does this mean in terms of setting up new PM institutions?
- ❖ Are there similarities between the roles assigned to similar institutions by the groups or are these different? If they are different, what does this imply?

7

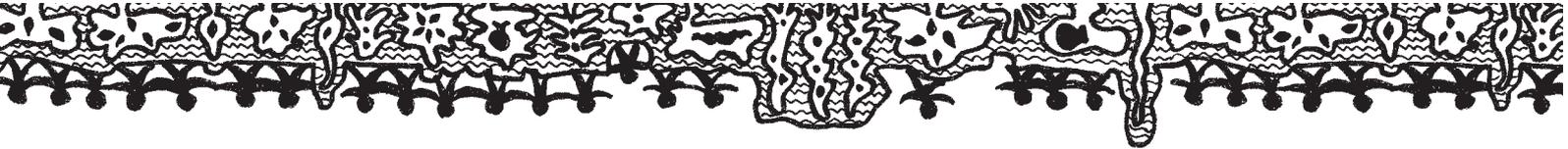
Close by pointing out that we will be looking at the institutional frameworks in a later session during the course and we can reflect back on this session to how the roles play out when a PM arrangement is in place.

#### Facilitator notes

- ✿ It is important that participants understand the number and diversity of existing institutions in most situations – and question the need to set up new PM institutions.
- ✿ If doing this activity at a site level, it is useful to form groups of people with similar interests (e.g. NGO, government, community) to bring out differences in perception.
- ✿ Try to bring in the role of the private sector if relevant – this need not always be a negative role as is often perceived.

Developed by:  
Sejal Worah





## ● ● ● Attachment 10 Institutions & Organisations ● ● ●

- ❖ Organisations are distinctive bodies set up to achieve a particular purpose
- ❖ Institutions are sets of structured behaviours and relationships guided by certain norms of conduct (or rules) and put into practice by organisations
- ❖ Institutions encompass organisations but also the enabling environment of policy, law and customs within which they operate

*Adapted from: Shaping Forest Management: How Coalitions Manage Forests (DFID 1999)*



# Policy Analysis



**Objectives:** To enhance understanding on approaches to policy analysis and the relevance of analyzing sectoral policies for effective planning and implementation of PM.

**Materials:** Flip charts, coloured markers, LCD

**Preparation:** Flip chart or presentation with What is Policy (Attachment 11).

A resource person to provide an overview on policy analysis and to give relevant inputs during the session.

With the help of the resource person, modify some existing national PA (or forest)<sup>3</sup> policies such that the analysis brings out strengths, limitations and contradictions within and between the policies. Sections can be deleted from the policies or added on to make them more effective for training purposes. The revised document should not be more than 5-6 pages long.

Copies of 'modified' policy documents for each participant. Each group should have a different policy document to analyse.

**Time:** 3 - 3½ hrs

1

Introduce the purpose of the session, explaining that this session is about 'de-mystifying' policy issues in PM. Ask for a show of hands on how many people think they have carried out a policy analysis before.

2

Ask the group to think about what they understand by 'policy' and note their responses on a flip chart. Discuss these and post the prepared definition (Attachment 11). Explain the difference between 'policy' and 'law' if necessary.

3

Break participants into country groups and ask each group to prepare a quick "policy time line" for PAs (or forests) in their country. The timeline should list the years when key policy changes in relation to PA or forest management were introduced. Give participants 30 minutes to complete this task.

4

At the end of the allotted time, ask each group to present their policy timeline and discuss the following:

- ❖ How similar or different has the evolution of PA (or forest) policy been in the different countries?
- ❖ Has there been a general trend towards more participatory management policies? If so, why would this be?
- ❖ Do any of the countries show any significant period when major/



landmark policy decisions were made? If so, discuss these in some more detail.

5

Next, ask the resource person to deliver an interactive presentation on Policy Analysis in PM covering the following points: why is policy analysis important in the context of PM; how can the general character of a policy be assessed; what makes a 'good' PM policy; and, the importance of policy synergies between different sectors.

6

Explain that we will now be analysing some policy documents in small groups, using the following process:

- ✿ Each group should read the policy document provided to them carefully and determine whether the policy supports PM based on the criteria shown in the matrix (post this). They can add on more criteria if they wish.
- ✿ Once they are in agreement, they should use the relevant icon to demonstrate the degree to which the policy corresponds to each of the criteria.
- ✿ They should refer to the specific page or clause in the policy which helped them make the assessment.
- ✿ They should also make suggestions for possible alternatives that would improve the policy with regard to PM for each of the criteria.
- ✿ Once they have finished the analysis, they should document the results in the following format.

Criteria	Assessment ☺ ☹ ☶	Reference/ Section from policy document	Proposed alternative
Inclusive policy development process			
Specific provision for PM in place			
Access/rights to resources defined			
Benefit sharing Outlined			
Provision for participatory formulation of rules/by-laws			
Institutional arrangements clarified			
Community Decision-making role in different aspects of resource mgt specified			
Other			



7

Divide participants into small groups (by country if relevant), distribute the modified policies (each group should be given a different policy document) and give them 1 hour to complete the task.

8

Once all groups have finished the task, ask them to post their results in three different parts of the room. Distribute the policies that each group has not analysed to all participants and give them 15 minutes to quickly go through these.

9

Ask each group to explain their results to the remaining participants. After all have had a chance to look at the results convene a plenary discussion around the following:

- ❖ How difficult was it to go through the policy document and pick out the key issues? Were some policies more accessible (easier to understand) than others?
- ❖ Were there fundamental problems with the policies or in the way they were written (language, ambiguity, lack of clarity, etc.)?
- ❖ Was there any policy which was clearly better than the others? Worse than the others? What made them so?
- ❖ Was there any policy where PM would be difficult or impossible to initiate? What would be the intervention in this case?

10

Close the session by handing out the unmodified (original) policies, explaining why they were modified for the purposes of the training. Ask the group to comment on how the modification affected the policy.

### Facilitator Notes

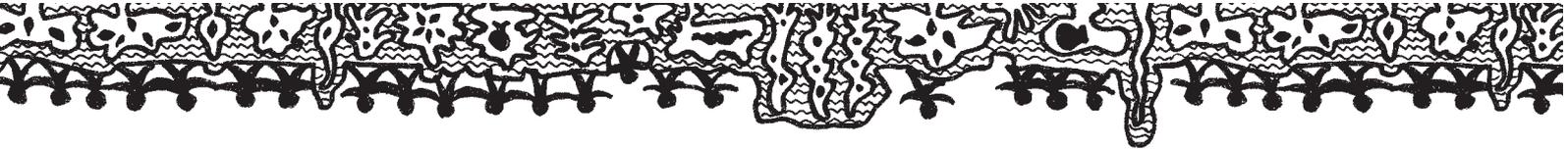
- ❖ For this session, it is important to be consistent on working with either forest policies or PA policies.

Make sure to modify the policies in a way that each one is strong on some criteria and weak on others. Designing one overall “good” policy and one overall “bad” one will generate greater discussion.

- ❖ If there are participants who are familiar with the original policy, take them aside and explain the purpose of modification. Put them in a group where they are analyzing a policy that they are not familiar with.
- ❖ Government participants will be more familiar with understanding policy documents. If there are any in the group, spread them out so that they can help participants who have never read a policy document.
- ❖ The results of the analysis can also be linked to the “spectrum” of PA management that is described in an earlier session of this manual.

Developed by:  
Christine Nantongo  
& Sejal Worah





## ● ● ● Attachment 11 What is Policy ● ● ●

- ❁ A preset framework based on guiding principles within which an individual, government or organisation operates in order to realise specified goals/objectives
- ❁ Guidelines for governance of the state and allocation of resources
- ❁ Framework for pursuing national or state aspirations and sometimes solving citizens' problems



# Stakeholder Analysis: The 3 Rs



**Objective:** To introduce and practice application of a tool for stakeholder analysis that helps set the stage for negotiations in PM.

**Materials:** Flip charts, coloured markers

**Preparation:** Flip chart with definition of Rights, Responsibilities, Returns (Attachment 12).

Copy of the definitions for each participant.

Example of 3Rs Analysis Matrix (Attachment 13) on a set of flip charts pasted together.

**Time:** 3 – 3 ½ hrs

1

Introduce the purpose of the session, observing that most participants have probably used different methods for stakeholder identification and analysis. This session will focus on a stakeholder analysis tool that helps move us towards the negotiation stage in PM.

2

Explain that at the heart of PM are stakeholder rights & responsibilities and that these are often derived from the benefits or returns that they get from a resource or an agreement. We will explore these 3Rs in this session.

3

Post the definition of rights, responsibilities & returns (Attachment 12) and explain the terms. Use the prepared example of the 3Rs matrix in Attachment 13 (or prepare one that is relevant to the group and familiar to the facilitator), to clarify the definitions and the scoring. It is important that participants understand the scoring, or else the analysis can become confusing.

4

Explain the following task to be undertaken by small groups:

- ✿ Each group should select a site for which they want to do the analysis. Ideally, it should be one where PM is in the early stages of development.
- ✿ Next, they should identify key stakeholder groups with an interest in PM (ask them to limit this to 6-8 of the key stakeholder groups) and develop the matrix based on the existing situation related to rights, responsibilities and returns for each stakeholder.
- ✿ Finally, the results should be summarized as shown in the example to illustrate the groups with highest rights, highest responsibilities and highest returns (and vice-versa).

5

Divide the participants into groups (by country or site if relevant) and give them 1 hour to complete the task.



6

After all groups are done with the analysis, ask them to post their results around the room. Go from one group to the other and hold a discussion on the results to ensure that the groups have all used the same criteria for scoring. Make changes if needed and agreed by the groups.

7

Initiate a plenary discussion around the following:

- ❖ What were some of the key challenges in applying the tool? Which areas led to the most discussion or disagreement?
- ❖ What were some of the key similarities or differences in the results of the groups? What could these imply?
- ❖ How would this tool help in moving towards negotiating for participatory management?
- ❖ In what way might the results of the analysis differ depending on the composition of the group applying it?
- ❖ How different would the analysis look if we were illustrating a desired situation rather than an existing one?

8

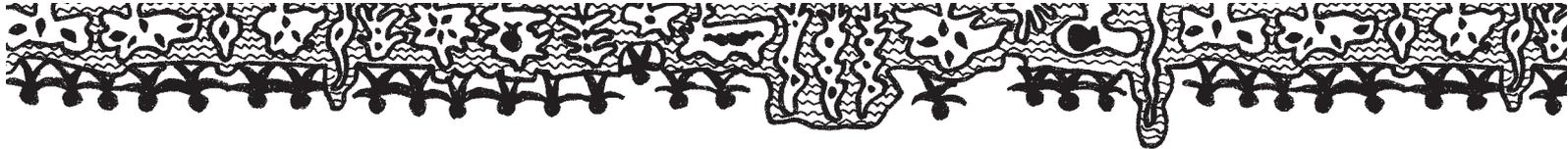
Close by reminding the group that this analysis forms an initial step in identifying rights, responsibilities and returns among stakeholders with a view towards balancing these.

#### Facilitator Notes

- ❖ It is important to ensure that the groups are using the same criteria for scoring in order to be able to compare results. This might need active intervention while they are carrying out the analysis.
- ❖ The main confusion often arises in the scoring related to rights – e.g. if the community has customary rights that they recognize but which are not recognized by the state, does this entail a high or a low score. For the sake of consistency and effectiveness of the tool for training purposes, they should give a low score if customary rights or access to resources is not recognized by statutory law.
- ❖ Participants are likely to be concerned about the subjectivity of the analysis i.e. the results will depend on who is doing it. Encourage this discussion and point out that it can and should be done by different groups which will increase understanding how these stakeholder groups perceive each others' rights and responsibilities in a PM situation.

Adapted from:  
FAO 2002





## • • • Attachment 12 Definition of 3Rs • •

### **Rights**

- \* Access to and use of resources (statutory and customary)
- \* Ownership of resources (statutory and customary)
- \* Decision-making over resource use and management (e.g. setting by-laws, enforcement/ fines, zoning/exclusion, licensing/income, etc.)

### **Responsibilities**

- \* Forest/resource management (planning, monitoring, measurement, etc.)
- \* Implementing decisions in rules, regulations, procedures, etc.
- \* Abiding by rules & regulations

### **Returns (or Benefits)**

- \* Direct benefits arising from forest resources accessed
- \* Direct benefits derived from employment related to the resource/area
- \* Indirect benefits such as those accruing to entire community from resource management agreements



## ● ● ● Attachment 13 Example of 3 Rs Matrix ● ● ●

Stakeholder	Rights	Score	Responsibilities	Score	Returns	Score
National Forest Agency	Management; supervision; decision-making on resource use	4.5	Administer "proper" implementation of timber concession and channelling of revenues Enforcement of forest rules & regulations Implementation of management plan	2.5	Employment, training/trips Allowances, "gifts", share of royalties from logging concession	4.5
Timber company	10 year exclusive lease on large proportion of forest	5	Ensure sound timber extraction and re-plantation practices	2	Sales & profit from timber	5
External charcoal burners	None	0	None	0	Direct income from selling charcoal	4
Local firewood collectors	Part access	2	Ensuring living trees are not damaged/killed due to firewood extractions	3	Subsistence & income	3
Migrant farmers	None	0	None	0	Access to land from illegal clearing of forest for farming	3.5
Village council	Traditional (unrecognized) customary rights	1	Custodians, implement customary resource use regulations; control forest use by migrants	3.5	Some access to forest resources	2
International conservation NGO	Research permit; advises forest agency on resource use regulations and management	3	Assist with inventories & research; training & monitoring	2	Prestige/influence, profile, experience, fundraising	3.5
National development NGO	None	0	Ensuring sustainable development does not have negative impacts on forest	2.5	Experience, relationship building	2.5

### Summary of the Situation

Greatest Rights	Most Responsibilities	Highest Returns
Timber Company	Village Council	Timber Company
Forest Agency	Firewood Collectors	Forest Agency
Conservation NGO	Development NGO	Charcoal Burners
Firewood Collectors	Forest Agency	Migrant Farmers

# Conflict Analysis



**Objective:** To introduce conflict analysis tools that help to build understanding on different aspects of conflicts in PM.

**Materials:** Flip charts, coloured markers, post-its, LCD

**Preparation:** Flip chart or presentation with examples of Conflict Analysis Tools (Attachment 14) and handouts of these for each participant.

**Time:** 2½ - 3 hrs

1

Ask the group to call out what they understand by the term “conflict”. List their responses (which commonly brings out mainly negative aspects of conflict).

2

Point out that although people generally see conflict as a negative, this is not always the case. Conflict is often an expression of change in a given situation or society and cannot easily be avoided or suppressed. It needs to be acknowledged, understood and transformed where possible into a force for positive change.

3

Ask the group to think about where and at what levels conflicts occur. Bring out the fact that conflicts occur at multiple levels from global to local (even within families) and mention that in this session we will be focusing on conflicts within a community and between communities and external stakeholders in a PM context.

4

Explain that one of the first steps in managing conflict is to understand it. We will now explore some tools that help us to better understand different aspects of conflict.

5

Using the examples in Attachments 14, explain the application of each tool and inform the group that they will have a chance to apply some of these tools to their own situations. Pass around the handout with the description of the different tools to each participant and explain the following small group process:

- ✿ Each group should first discuss different conflicts at their respective sites and think about what tool would help them best understand and communicate this to partners and stakeholders. Based on this, they should choose from the different tools presented, agree which one to use for their primary analysis and carry this out.
- ✿ Based on time available, they should choose another tool and use it to analyse a different conflict issue (or the same one if they want to understand a different angle of the conflict).
- ✿ If they still have time remaining, they should try to apply the third conflict analysis tool.



7

Divide participants into small groups and give them 1 ½ hours to complete the task.

8

At the end of the allotted time, ask a group to present their main analysis. If any other group has used the same tool, they should present their results next. Go through the groups' results, discussing the following issues as the presentations proceed:

- ❖ How useful was the tool in helping to understand and analyse conflicts at their site?
- ❖ What were some of the problems or difficulties in applying the tool?
- ❖ Do they think they can use this with stakeholders at their site? How would this help?
- ❖ What the "pattern" of the degree of conflict between different groups tell us about partnerships and collaboration? Are there some stakeholders which are in conflict with most others? Stakeholder who appear to have minimal conflict with most? What role could the latter play in conflict management?
- ❖ How could they use the results of this analysis to move from conflict to negotiation over PM?

9

Explain that we will be exploring conflict issues further as we move into PM.

#### Facilitator Notes

- ❖ Explain the importance of using these tools in different situations and with stakeholders. The results will vary and will help in generating a stronger understanding of why conflicts are occurring as stakeholders start appreciating the various perspectives and assumptions that they hold about each other.
- ❖ Point out also that some of these tools can also be used to monitor both conflicts and the impacts of PM (which should ideally help in reducing some of these conflicts but might actually lead to new ones).

Developed by:  
Sejal Worah



## ● ● ● Attachment 14: Conflict Analysis Tools ● ● ●

### I. Issues Analysis

#### Types of issues that contribute to a conflict

Type of issue	Elements
<b>Conflicting interests</b>	Conflicts over differing needs and desires, sharing of benefits and resource use Include perceived and actual competition of interests Conflicts can emerge from a perceived or actual lack of shared interests
<b>Information issues</b>	Conflicts caused by lack of information or differences in interpretation of information Can be linked to differing methods of assessing, evaluating or interpreting information Poor communication (listening or expression) or miscommunication among disputing parties
<b>Difficult relationships</b>	Differences in personality and emotions, as well as misperceptions, stereotypes and prejudices Incompatible behaviours (routines, methods, styles), differing expectations, attitudes and approaches to problem solving History of conflict and bad feelings among the parties
<b>Structural issues</b>	Differing ideas regarding appropriate management processes, rules, roles and power; can apply to meeting committees or organizations Perceived or actual inequality or unfairness concerning power, control, ownership or structures that influence access to or distribution of resources Factors that hinder cooperation such as decision-making structures and responsibilities, time constraints, geography or physical settings
<b>Conflicting values</b>	Differences among cultural, social or personal beliefs or different world views and traditions Can include different goals, expectations or assumptions that reflect personal history and upbringing

#### Issues Analysis Example

Description of the Issue	Type of Issue
<i>Women</i> need to collect forest materials and medicine plants The <i>CFUG</i> wants to stop the collection of forest products to comply with <i>CF</i> regulations	Conflicting interests
The <i>conservation NGO</i> wants to stop the hunting of an threatened bird species <i>Hunters</i> question how the bird is endangered	Information issues
The <i>CFUG</i> chairperson wants to feels his authority is not being respected The <i>villagers</i> suspect that his is supporting the forest departments interests over theirs	Difficult relationships
The <i>charcoal burners</i> feel that their interests have not been understood or taken into consideration during the formulation of the agreement The <i>CFUG</i> feels that the charcoal burners are not "key" stakeholders	Structural issues
The <i>hunters</i> and <i>villagers</i> value the importance of the bird feathers in traditional ceremonies The <i>conservation NGO</i> and <i>forest department</i> feel there is no real importance of the bird for local people since it is not eaten or sold	Conflicting values

Adapted from: **FAO 2002**

II. Mapping stakeholder conflicts<sup>4</sup>

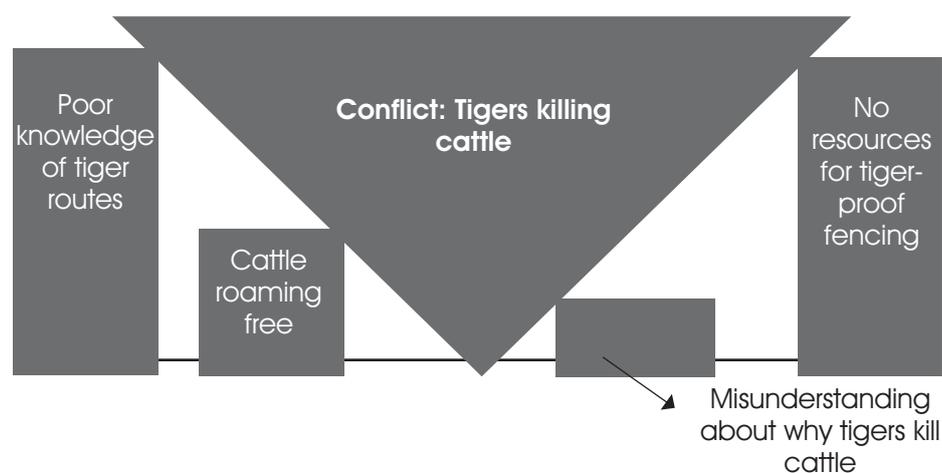
	INDIGENOUS COMMUNITY	IMMIGRANT FARMERS	FOREST DEPARTMENT	INTERNATIONAL DONOR	LOCAL NGO	LOGGING CONCESSION
INDIGENOUS COMMUNITY						
IMMIGRANT FARMERS	●					
FOREST DEPARTMENT	●	●				
INTERNATIONAL DONOR	●	●	●			
LOCAL NGO	●	●	●	●		
LOGGING CONCESSION	●	●	●	●	●	

Adapted from: Worth et al. 1999

<sup>4</sup> The size of the circle reflects the intensity of the conflict between the stakeholder groups in each of the boxes.

### III Conflict Pillars

The analysis showed that four factors were causing and sustaining the loss of cattle: livestock paddocks being placed on tiger routes; lack of resources to provide tiger-proof fencing; cattle being left to roam free in forest areas; and farmers having poor understanding as to why tigers kill cattle (they thought livestock was primarily killed to train the tiger cubs to kill, rather than for food). If this analysis is put into a conflict pillars analysis, it looks like:



The size and thickness of the pillar indicates the severity of the issue contributing to the conflict. The illustration depicts how various issues "hold up" the conflict (depicted in the triangle). Using the awareness from understanding the conflict better, a discussion and dialogue process can be initiated with stakeholders on how these pillars that hold up the conflict can be removed, therefore eliminating the conflict itself.

*Adapted from: Gray (2002).*

# Participatory Resource Assessment



**Objective:** To build understanding on key issues and challenges related to participatory resource assessment for PM.

**Materials:** Flip charts, coloured markers, LCD

**Preparation:** A resource person to provide overview on policy analysis and to give relevant inputs during the session<sup>5</sup>.

Flip chart or slide with What is Resource Assessment (Attachment 15).

Flip chart or slide with Conventional vs. Participatory Resource Assessment (Attachment 16).

Set of PRA tools and their application for each group (optional - depending on level of knowledge of group on use of these tools)

**Time:** 3 - 3½ hrs

1

Introduce the purpose of the session and explain that while developing skills in participatory resource assessment for PM requires a field-based training course, we will try to build a common understanding on some methodologies and issues in this session. In particular, we will try to answer the question 'what do communities and the forest department need to know about the forest to manage it effectively'?

2

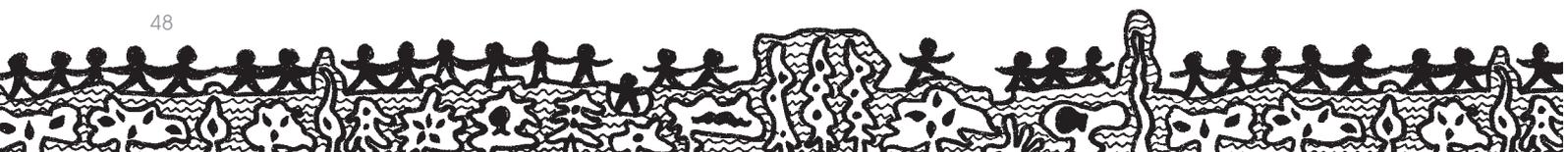
Start by asking the group what they understand by the term Resource Assessment (RA). Note their responses, discuss these and post the prepared definition (Attachment 15).

3

Form participants into buzz groups of 4 to 5 and post the question 'what particular challenges does participatory resource assessment raise when compared to a conventional forest inventory'? Give groups 15 minutes to think about this and then ask each group to call out one response. List and discuss each one. Some issues that should emerge from this are summarized in Attachment 16.

4

Build on this by asking the resource person to provide an interactive presentation on Participatory Resource Assessment for PM. The presentation should cover the following: What kind of resources we are concerned about in PM; what we need to know about forest resources at different stages in the PM process; methods & issues in qualitative RA methods (accuracy, cost, participation, bias, efficiency); methods & issues in quantitative RA methods (cost, time, frequency, precision, expertise, effort and cost vs. decision making); and, roles and responsibilities of stakeholders in RA. If participants are not familiar with PRA tools, the resource person can give an overview of some of the key tools and their application in RA.



## 5

Explain that given limited resources and time constraints, it is useful to design an information collection framework that answers targeted resource management questions. While both qualitative and quantitative data might be needed to develop a management plan, as a first step, a rapid assessment can help answer many questions and can also help generate follow up questions. We will practice developing such a framework in small groups. Explain the following small group process:

- ✿ Each group should select a site and think about the key resources needed/used by communities in that PA or forest area. They should list these, noting whether the use is primarily commercial or for subsistence.
- ✿ Next, for each resource, they should come up with a list of key, focused questions that will help in the formulation of a management plan for the site. They should focus on a maximum of three resources for which they develop the detailed questions.
- ✿ Finally, they should note the tool/method (either based on their own knowledge or on the handouts provided) that would help them answer the question. They should present the results of their analysis in the following format.

Resources Used	Commercial/ Subsistence	Focused questions on use patterns & impacts	RA tool(s) that can be applied
Timber (specific species should be noted if known)			
Non-Timber Forest Products (specific ones should be noted if known)			
Medicinal & Aromatic Plants (specific species should be noted if known)			
Fodder species (trees, bushes and grasses)			
Food species (specific species should be noted if known)			
Grazing/pasture areas			
Etc.			

## 6

Break participants into small groups, distribute the overview of methods to each group (if needed) and give them 1 hour to complete the task.

## 7

At the end of the allotted time ask each group to post their results and go through each others' outcomes. Give them 10 minutes to do this. Reconvene the group in a plenary and initiate a discussion along the following:

- ❖ How useful was the activity in helping to focus RA on key questions and to what extent can this approach lead to efficient and effective resource management decisions?
- ❖ How do qualitative and quantitative RA tools complement each other in a participatory RA? Are there situations where only one of these approaches is desirable?



- ❖ How can we best balance issues of participation, time, cost and accuracy in RA to come up with optimal options?

8

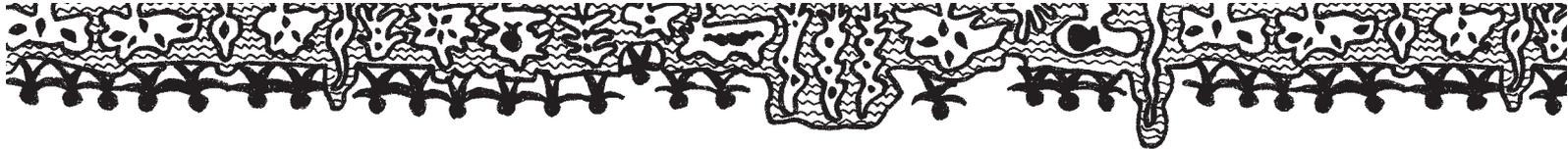
Close by pointing out that a participatory RA for developing management plans for a forest area or PA should always be based on an adaptive management approach. This means that the group developing the management plan should be prepared for changing/adapting the plan as more information becomes available or management actions lead to new, often unanticipated issues.

### Facilitator Notes

- ❖ For this session, it is assumed that participants are familiar with PRA tools. The session will not focus on these tools but on the challenges of application of the tools in making decisions for resource assessment and management in PM.
- ❖ This session will require participants to either be familiar with basic PRA and forest inventory/assessment tools and approaches or will need a resource person to explain these in advance. If this is not the case and a resource person is not available, the session can be modified to focus on key RA questions without focusing on tools, although this will be less effective.
- ❖ The session focuses primarily on assessment of forest/PA resources that are of value to the community. It does not focus on broader biodiversity values. A final management plan needs to overlay both of these parameters to identify resource use areas and regulations as well as high conservation value areas and regulations.

**Developed by:**  
Sejal Worah  
& James  
Acworth with  
adaptations  
from Worah  
*et al.*, 1999:  
Integrated  
Conservation &  
Development:  
A Trainer's  
Manual





## ● ● ● Attachment 15 What is Resource Assessment ● ● ●

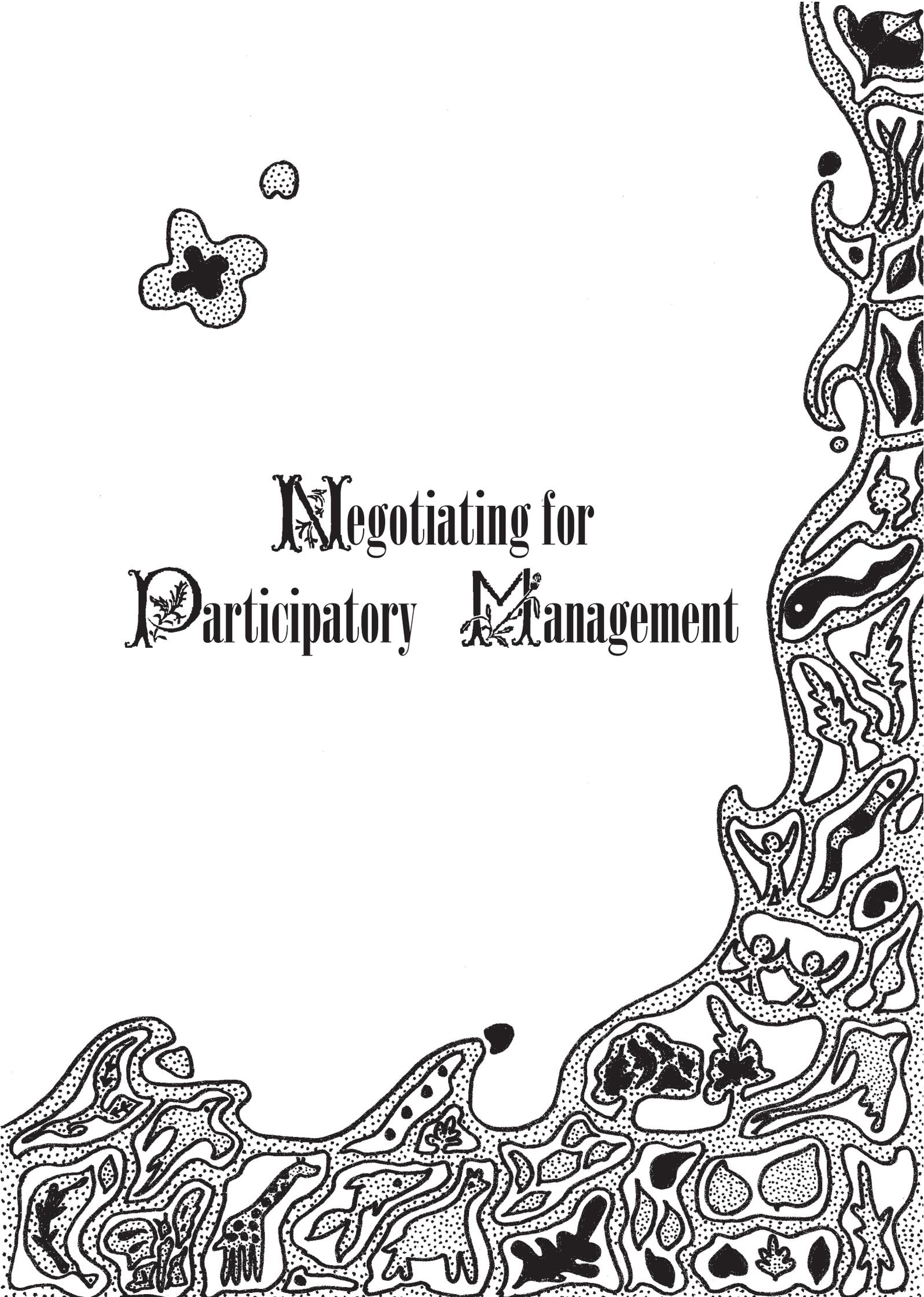
- \* A flexible range of tools and methods that help to understand the status (quantity, quality, distribution) and use of forest resources to enable their effective management.
- \* Tools and methods have to be adapted, mixed and matched to the needs of a particular situation and specific questions about the forest resources
- \* Often there is need to work around the concepts of 'optimal ignorance' and 'appropriate imprecision'
- \* Qualitative and quantitative methods of assessment both have a role at different stages

## ● ● ● Attachment 16 Conventional vs. Participatory Resource Assessment ● ● ●

Conventional Forest Inventory	Participatory Resource Assessment
Objective and usually quantitative, not based on perceptions but focused on precision	Subjective and often qualitative, includes perceptions and values of different users
Time consuming, depending on accuracy required	Rapid, depending on area to be covered and availability of people for assessment
May not have buy-in of users as methodology is not inclusive	Usually has buy-in and understanding of users as methodology developed with them
Often focused on single issue or use of resources (density, diversity, standing timber)	Usually focused on multiple uses of a forest (subsistence and commercial)
Usually exhaustive, attempts to document all key parameters	Usually focuses on minimum but sufficient information needed for management decisions
Results often not applied immediately but may be part of longer term management	Results usually applied in short-term and based on adaptive management
Relatively expensive, needs multiple external expertise	Relatively cost-effective, based on local knowledge and some external expertise

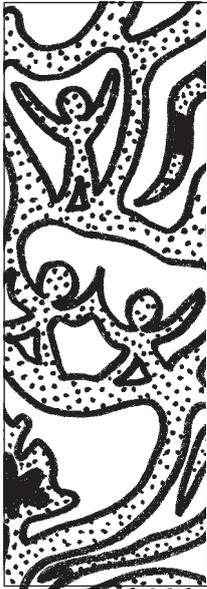






**N**egotiating for  
**P**articipatory **M**anagement

# Responding to Conflict



**Objectives:** To build understanding on different ways in which people respond to and deal with conflict and the role this plays in PM negotiations.

**Materials:** Flip charts, glue sticks, meta cards

**Preparation:** A set of coloured meta cards with the title of a strategy for each group & a set of characteristics for each group (each characteristic on a separate strip of paper) as shown in Conflict Management Strategies (Attachment 17).

A copy of Conflict Management Strategies Answer Sheet (Attachment 18) for each participant.

Flip chart with Conflict Management Approaches (Attachment 19).

**Time:** 2 - 2½ hrs

1

Remind participants that in an earlier session we learnt how to understand and analyse conflict. Here we will examine how people respond to conflict and what this means in terms of building negotiation strategies for PM.

2

Explain that it is useful to understand how different people react to, deal with and manage conflict. The implications of these conflict management strategies are also important to understand as it is related to how individuals or groups want to manage and maintain relationships.

3

Explain the following small group task:

- ✿ Each group will be given a set of coloured cards with the title of a conflict management strategy/response and a set of 'characteristics'.
- ✿ The groups should discuss these and 'match' the titles and characteristics based on their own experiences. The titles and matching characteristics should be pasted on a flip chart.
- ✿ Once they are done, they will be given an 'answer sheet' (Attachment 18) against which they should match their results.
- ✿ If they have results that differ from the answer sheet, they should decide whether they agree with the given answers or whether they feel that their own analysis is more appropriate. If the latter then they should be prepared to justify it.

4

Divide participants into random small groups, distribute the cards and glue sticks and give them 30 minutes to complete the task.

5

Once all the groups are done, rotate participants through the different groups asking each group to explain their results. Hold a discussion around the following:

- ✦ Which were the main areas of difficulty in assigning characteristics (if any)?



- ✦ How different or similar are the results of the groups? What does this tell us?
- ✦ How did the participants relate to the different approaches? Did they feel that they used some of these approaches more than others (ask individuals to respond to this)?
- ✦ In a PM situation, when would each of these approaches be appropriate? Are there some which should never be used? Why?

## 6

Finally, explore the relationship of this to PM by explaining how different strategies can lead to different outcomes and why people might choose different responses to conflict using Attachment 19.

### Facilitator Notes

- ✦ There can be disagreement over the characteristics of 'compromise' and 'collaboration' and this might be partly because the latter is not necessarily a conflict response but an approach towards moving from a conflicting to a collaborative situation. However, it is important to point out the distinction and highlight the fact that compromise can be one of the strategies within a broader framework of collaborative management.
- ✦ If people don't strictly follow the results in the answer sheet, this is acceptable as long as they can justify their choices. Many of the characteristics can apply to more than one situation.

Adapted from:  
FAO 2002.



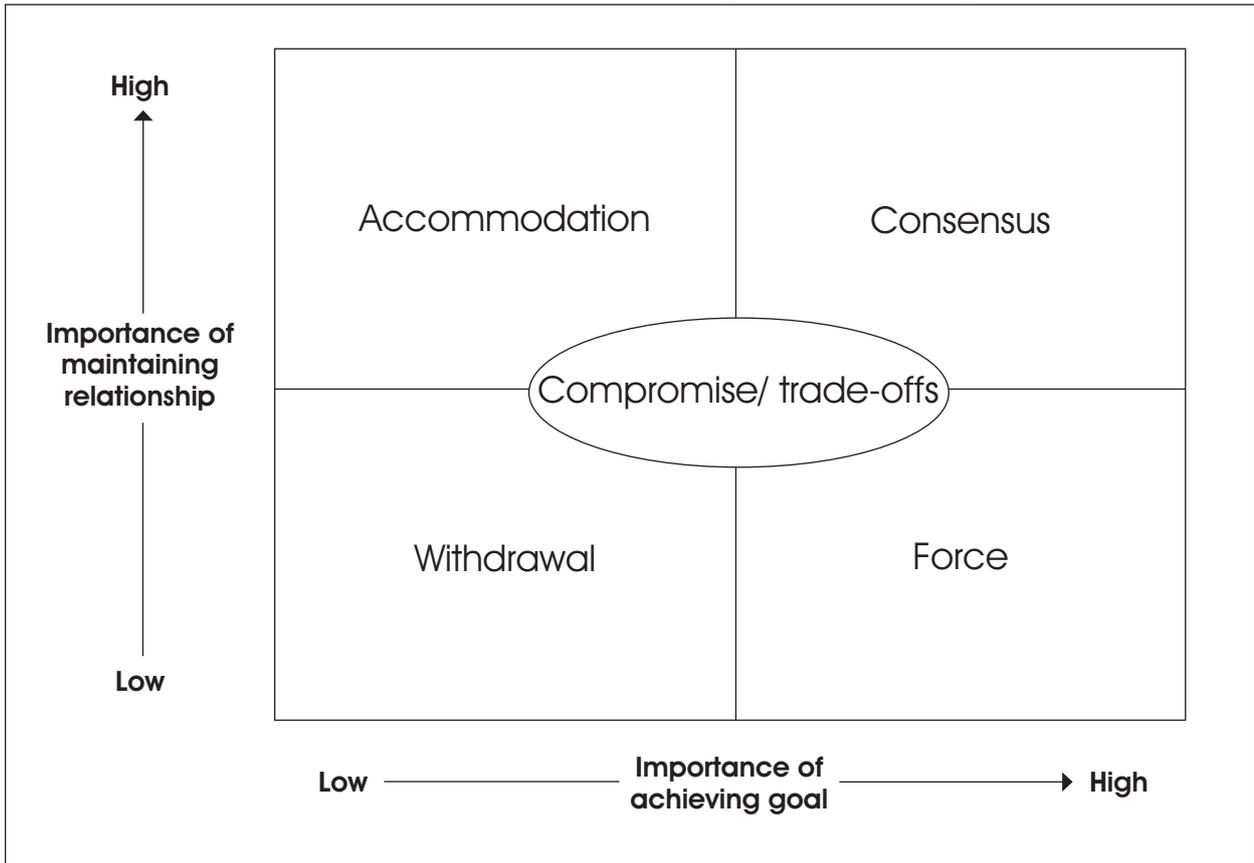
## ● ● ● Attachment 17: Conflict Management Strategies ● ● ●

<b>Force</b>	Works to satisfy all interests and needs
<b>Avoidance</b>	May be used when participants are unwilling to take time
<b>Accommodation</b>	The attempt of one group to impose its interests over others
<b>Compromise</b>	Results in win-win situation
<b>Collaboration</b>	Parties have no interest in maintaining a relationship
Neglects interests of both parties by postponing decisions, retreating, using delaying tactics	Can involve threats, harassment, use of supernatural powers, peer pressure
May be used when one party has more power or is willing to preserve the relationship	Useful for quick solutions
Takes time so that all parties are actively and equally involved in the process	Satisfies the other party's interests, while neglecting your own needs
Results in lose-lose situation if used in isolation	Creates hostility and resentment
Parties must give something up in order to gain something else	Used when it is important that both parties be committed to the resolution
Results in lose-win situation	Outcome uncertain
Results in a sort of win-win-yet-lose-lose situation	Both parties make a sacrifice in order to achieve a mutually workable solution
Results in only a temporary solution	Results in win-lose situation
May seem easier than getting involved	Focuses on goals and consensus agreements

## ● ● ● Attachment 18: Conflict Management Strategies Answer Sheet ● ● ●

Responses to conflict	Characteristics
<b>Force</b>	<ul style="list-style-type: none"> <li>• The attempt of one group to impose its interests over others</li> <li>• Can involve violence, threats, harassment, use of supernatural powers, peer pressure, economic and policy sanctions, and pressure through mass media and intimidation</li> <li>• Creates hostility and resentment</li> <li>• Outcome uncertain</li> <li>• Parties have no interest in maintaining a relationship</li> <li>• Results in win-lose situation</li> </ul>
<b>Avoidance</b>	<ul style="list-style-type: none"> <li>• Neglects interests of both parties by postponing decisions, retreating, using delaying tactics</li> <li>• May seem easier than getting involved</li> <li>• Results in lose-lose situation if used in isolation.</li> <li>• Results in only a temporary solution</li> </ul>
<b>Accommodation</b>	<ul style="list-style-type: none"> <li>• Satisfies the other party's interests, while neglecting your own needs</li> <li>• May be used when parties are unwilling to take time</li> <li>• May be used when one party has more power or is willing to preserve the relationship</li> <li>• Results in lose-win situation</li> </ul>
<b>Compromise</b>	<ul style="list-style-type: none"> <li>• Useful for quick solutions</li> <li>• Both parties make a sacrifice in order to achieve a mutually workable solution</li> <li>• Parties must give something up in order to gain something else</li> <li>• Results in a sort of win-win-yet-lose-lose situation</li> </ul>
<b>Collaboration</b>	<ul style="list-style-type: none"> <li>• Works to satisfy all interests and needs</li> <li>• Focuses on goals and consensus agreements</li> <li>• Takes time so that all parties are actively and equally involved in the process</li> <li>• Results in win-win situation</li> <li>• Used when it is important that both parties be committed to the resolution</li> </ul>

• • • Attachment 19: Conflict Management Strategies • • •



# Power Relations



**Objective:** To examine power relations between stakeholders in PM and to understand ways of balancing unequal power relationships during PM negotiations.

**Materials:** Flip charts, coloured markers

**Preparation:** Flip chart with What is Power (Attachment 20).

Flip chart or slide with Sources of Power (Attachment 21).

Flip chart or slide with Power Dynamics (Attachment 22).

Flip chart or slide with Power Balancing Tactics (Attachment 23).

Case studies on Power Relations in PM (Attachment 24).  
If possible, invite a resource person to present case studies on power relations using similar situations as those described in the cases.

**Time:** 3 – 3 ½ hrs

1

Explain the purpose of the session pointing out that PM negotiations often hinge around power relationships and so it is important to understand this issue and also to try and influence power imbalances so that marginalized and less powerful people/groups can have a voice in the negotiations.

2

Ask the group to define what they understand by the term 'power'. Note their responses on a flip chart and then post the prepared definition from Attachment 20. Ask them to think about the difference between power and authority. Discuss this briefly asking people to think about situation where they had: power but no authority and authority but no power. Point out that both play an important role in PM negotiations.

3

Explain that power can be of different types and can be derived from different sources. Form participants into buzz groups of 4-5 and ask them to think about different sources of power.

4

After five minutes ask each group to call out one idea and note it on a flip chart. Go around the groups until no more ideas are forthcoming. Post the pre-prepared list on from Attachment 21 and add any ideas that might have been missed out. Explain that different stakeholder groups or individuals may hold different types of power and it is important to recognise this as it can have a positive or negative impact on PM negotiations.

5

Next ask the group to think about how power is manifested. Tell them to imagine they are in a stakeholder meeting for PM and are observing power dynamics within the group. What are the attitudes, behaviours and actions they would associate with power relationships in the group? Form them into the same buzz groups and give them 10 minutes to think about this.



6

At the end of 10 minutes, ask each group to call out their ideas in turn, note these on a flip chart, discuss each one and finally present the pre-prepared list from Attachment 22. Point out that in addition to observing for signs, we also need to probe and understand power relationships during PM negotiations.

7

Explain that while most people will be reluctant to give up power, there are certain tactics that can be used during PM negotiations, which can help to address power imbalances. Form them into buzz groups again and give them 15 minutes to think about how they might address power imbalances in a group. Note their responses, discuss each one and then post the pre-prepared chart on power balancing (Attachment 23).

8

Tell the group that we will now be examining some case studies on power relations in PM. We will look at three examples: one where lack of attention to power relations led to failed negotiations; another where internal community power imbalances led to "elite capture"; and, a third where power balancing tactics were effectively used during the negotiations.

9

Ask the resource people to present their case studies (or hand out the ones provided in Attachment 24) and hold a 10 minute discussion at the end of each presentation focusing on the different approaches used to balance power relations during the PM negotiation process.

#### Facilitator Notes

- \* Depending on the availability of a resource person who can present case studies on power relations (or the ability of the facilitator to do this), the cases can be used in different ways. Participants can be asked (in groups) to analyse the cases and discuss how power relations each of the (negative) situations could have been anticipated, identified and addressed.
- \* Alternately, participants can be asked to provide examples from their own experiences of power relations in a PM situations and how they addressed these (or not).

Developed by:  
Sejal Worah





## ● ● ● Attachment 20: What is Power? ● ● ●

### **Power is “the capacity to achieve outcomes”**

We can also think of power as the right to decide, choose and express oneself and exercise one's rights in relation to a host of other stakeholders. Thus for each stakeholder, power is the ability to articulate personal goals and influence others to achieve those goals. It is the ability to get what we want; hold on to what we get; and the shape events the way we want to shape them (Pfeffer 1992)

Authority is granted (formally or legally) through traditional laws or social groups. It can provide or sanction some level of power. Power can be derived independently of the approval of any group. You can have authority but no power. You can also have power but no authority.

*Adapted from: FAO 2002 & CIFOR*

## ● ● ● Attachment 21: Sources of Power and Influence ● ● ●

- Physical strength - endurance, violence
- Emotional strength - courage, leadership, commitment, integrity
- Control of resources - access, tenure, rights, money, material goods, political institutions, human resources
- Control of information - technical, planning, economic, political
- Ability - capacity or skills
- Knowledge - access to traditional knowledge (insider and outsider)
- Ability to coerce - threats, access and use of media, family or political ties, mobilization of direct action
- Spiritual & Inherited power

*Adapted from FAO 2002*





## ● ● ● Attachment 22: Signs of Power Relations ● ● ●

- \* Body language
- \* Level of grumbling, muttering and sighing
- \* Statements made after the meeting
- \* Differences between what people say and do
- \* Order of arriving and seating arrangement at meetings
- \* Who supports who during discussions
- \* Who is dominating discussions
- \* Confrontations between individuals

## ● ● ● Attachment 23 Power Building Tactics ● ● ●

- \* Strengthen local organizations.
- \* Develop a common vision and goal.
- \* Bring forward "irrefutable" information.
- \* Gain broader legitimacy.
- \* Introduce new actors (NGOs, media, technical experts).
- \* Build new coalitions.
- \* Work towards transparency.
- \* Democratise the process.
- \* Create opportunities for leadership.
- \* Reinforce local traditions.
- \* Use available legal and institutional resources.
- \* Educate people about their rights, responsibilities, obligations, limitations and answerability.
- \* Change the rules about seating, behaviour, etc. at group meetings.

*Adapted from FAO 2002*





## • • • Attachment 24 Power Relations Case Studies • • •

### Case Study 1. Power Relations leading to Failed Negotiations in Namatale Forest Reserve, Uganda

Namatale Forest Reserve is a small natural forest (663 ha) that forms an arm of the Mt. Elgon National Park in eastern Uganda. The forest reserve is situated in one of the most densely populated areas in the country with the accompanying problems of demand for forest resources. By 1990 the forest was heavily encroached with about one-third of the reserve covered by agricultural crops like coffee, bananas, yams and maize.

The eviction of encroachers in 1990 created a lot of problems. Some forest staff that had earlier received money (illegally) from locals in exchange for land in the reserve for cultivation were made to carry out the evictions. These FD staff were now seen as enemies who sold 'air' to the people. The relationship between the FD field staff and the local people was therefore bad. Worst still, the same FD field staff that were made to retrace the boundary left a lot of land out. This being a densely populated area, the communities welcomed such land. While the government (FD) wants this land reclaimed, the communities claim it is their land that the government is trying to grab from them.

In August 1998 the Collaborative Forest Management Unit initiated PM in Bumusili village. This was to start a partnership in managing the part of Namatale forest reserve (about 30 ha) that falls adjacent to this village. The Bamusili are part of the 17 clans (Bagisu tribe) that claim ownership of Namatale CFR. The PM strategy was adopted to try and solve the problem of forest degradation, boundary disputes and encroachment.

During the implementation of the PM process, numerous meetings were held with various interest groups but the majority of attendees were men, in most cases community leaders. Others were important local politicians in the village and the sub-county. The few women who attended did not have much influence although some had very brilliant suggestions and ideas. So when it came to the election of the Village Forest Management Committee (VFMC), the influential people got the votes. There were no representatives of the various interest groups like herbalists, grazers, wood-fuel cutters and pit-sawyers on the VFMC although this had been suggested and supported especially by the women. Ironically, some of these community leaders were actually the big encroachers in the forest reserve. And so the question of the encroached land was not transparently discussed as the influential and powerful members manoeuvred the negotiations and concentrated on other issues.

Another problem was the issue of some sections of the community being referred to as 'refugees'. These are community members who migrated from other parts of the district and settled in Bumusili. During VFMC elections the important positions went to the 'true' Bamusili and only the post of Secretary was given to a refugee because he happened to be a teacher in the nearby primary school. This discrimination later resulted into the split of the village into two administrative/political units: Bumusili and Mayenze LC 1 villages. The split now left the 'true' Bamusili with no direct access to the forest reserve since the 'refugees' had settled next to the forest.

Despite these unresolved imbalances, a PM agreement was negotiated and signed in January 2000. Soon after, encroachers from outside Bumusili started intimidating and threatening the chairman of the VFMC because now they could not access 'their' land in the reserve. Having been coerced thus, the chairman in turn influenced his committee by first creating divisions and confusion between the members: the true Bamusili versus the refugees. This led to hatred that was later directed at the forest ranger who had to take off for fear of his life.

The chairman then abandoned convening general assembly meetings at which other people could air their views. Ideas from people who still wanted the PM process to continue were summarily suppressed. It took the effort of higher authorities, the DFO and the CFM Unit, to call a final meeting in which the community expressed the idea of re-negotiations. Some issues that came out were:

- i) the local people did not understand the Agreement because they could not read and further it was written in English;
- ii) the Agreement documents remained in the hands of a few influential people who kept them at their homes;
- iii) whereas some members of the VFMC attended workshops in Mbale town and in Kampala, the information they received was not relayed to the village assembly. This led to rumours that they had been bribed to sell off the reserve;
- iv) as the PM negotiations were initiated only in Bumusili village without informing the sub-county officials and other parish chiefs about the strategy, this led to anxiety and suspicion among the surrounding villages who were also dependent on the reserve;
- v) since other villages had not been involved or informed about the PM process, they resisted the re-survey of the boundary

This is a case of how lack of information and ignoring power relations can lead to misunderstanding in negotiations, ultimately leading to the failure of the CFM agreement.

*Developed by: Fiona Driciru & George Mabuya*





## Case Study 2: Power Relations leading to Elite Capture in Morogoro, Tanzania

Kitulangalo forest area lies about 50 km to the east of Morogoro town in eastern Tanzania. This is a relatively dry area with an average annual rainfall of about 850 mm. Formerly, the forest was part of the Kitulangalo Catchment Forest Reserve. The high level of accessibility to the highway made this area a prime charcoal production area for the supply of the nearby Morogoro municipality and Dar es Salaam city. In addition to this, the forest area was also subjected to timber extraction through the activities of local pit-sawyers, and from cutting of tree stems for building poles. The human resources of the Forest Department were insufficient to maintain control over the area and to prevent the over-use of this important catchment forest. It was *de facto* being treated as an open access resource.

Maseyu village lies adjacent to the forest and was a known centre of charcoal production. In 1997, the Forestry Division began negotiations with the village leaders in a bid to reduce the unsustainable and illegal harvesting of trees for charcoal. The FD negotiated directly with the village natural resource management committee. Because of lack of time and resources, they did not ensure that discussions also took place with the wider community. In 1998, a Joint Forest Management agreement was signed between the Forestry Division and the Village Council which allowed villagers to collect limited forest products (firewood, medicinal plants, dead & fallen timber and honey) in return for increased patrolling by the community to reduce illegal extraction of timber. Charcoal was not included as a harvestable product within the agreement due to over-harvesting in the past.

The committee decided that they could capitalise on the fact that the wider community had not been consulted or involved in any of the decision making and turn it to their own advantage. The committee announced that following the visits of the FD and the meetings that had been held, the committee had been given the rights to harvest charcoal from the forest and sell it on the main highway that passed through the village. The committee undertook patrols in the forest and, by all accounts, were able to control and reduce charcoal production when compared to previous levels under the open access harvesting. However, it was only a matter of time when the Forestry Division confiscated a large supply of charcoal being sold along the highway right outside the committee chairman's house. When they asked the community members why they had allowed this to continue, they replied that they had thought that the committee had been granted exclusive rights to harvest. Eventually the committee was disbanded and a new committee elected that better represented the wider interests of the community. The lessons learned from this experience are that:

It is essential to bring the wider community members on board when negotiating agreements and to inform them of the role of the committee with regard to representing their interests;

There are dangers of "elite capture" when village committees, which are given additional powers, are not made accountable to the members they are meant to represent;

Once agreements are made, this does not reduce the need for follow up and monitoring.

*Developed by: Tom Blomley*





### **Case Study 3: Power Balancing in CFM Negotiations in Sango Bay Forest Reserve, Uganda**

#### **The Situation**

It was realized early during the PM process in Sango Bay Forest Reserve that power balancing between negotiating parties would need to be addressed if meaningful negotiations were to be achieved. The PM facilitators realized that while there were generally power imbalances between the local community and the Forest Department, there were also intra-community power imbalances especially between user groups and marginalized groups such as women. Power balancing was done in the following ways:

#### **Sensitization of the communities**

Formal sensitizations were deliberately organized through planned household visits and sensitization meetings and workshops. Informal sensitization was an on-going activity wherever people could be met in the course of other activities such as participatory mapping exercises or during participatory forest resource assessment.

The FD staff spearheading the PM process developed a strategy of visiting individual households during which the approach was introduced to household members including marginalised groups that would otherwise not attend community meetings and workshops. Each household was visited at least twice in the initial stages to ensure that the message was understood and some level of friendship established. Workshops were used to introduce various aspects of PM and to clear concerns that could derail the process if they were not addressed early. As a result of the sensitization a good level of trust was built between the FD field staff and the local community

#### **Composition of the negotiation team**

Based on the knowledge acquired during the sensitization, the local communities organized a general meeting to select the negotiation team. The team was composed of resource user groups (pit sawyers, fishermen, palm leave cutters and users, pastoralists, herbalists, hunters, tree farmers). Fuel-wood and pole users were excluded as it was assumed that everyone uses them. To ensure that youth and women were not left out, they local community deliberately selected representatives from those groups. The varied composition of the negotiation team was a good mechanism to balance power between the various groups within the community.

Nevertheless, the local community still felt insecure as they considered the FD Staff more powerful than their own representatives. In order to balance their power with the FD, the local community included their local council executive members and sub-county councillors on the negotiating team. The presence of the local leaders created confidence in the team and balanced to some extent the level of education of the community with those of the FD staff. On the other hand, the new members to the team assisted FD in convincing the local community to accept hard facts like the law against hunting.

#### **Behaviour of the facilitators**

The PM Officer and the District Forest Officer facilitated the negotiations. The two officers were very open and free to inform the community of legal and policy considerations including what could be and could not be possible within the current law, despite them representing the government. They would have kept such information back for purposes of remaining more powerful but they took the initiative to ignore their official titles and rank. They discouraged local community members from addressing them by their ranks and emphasized the importance of every person on the team (councillors, chiefs, user groups, women youth and FD staff). The sitting arrangement during the meetings allowed people mix freely and no preferential treatment was given to political leaders. The food and drinks provided were the same for all members.

#### **Sharing power**

There was a case where the FD field staff abused their authority by letting someone from the local community cut trees in the forest illegally. Instead of the DFO taking administrative action on the staff, he brought them to a negotiation meeting where they were fined two jerricans of local brew. In another instance, one of the field staff was reported and it was proved that he had been given a bribe to allow two community members to cut timber. The negotiating team recommended the expulsion of the staff and this was affected. The two community members were each given a stretch of two km of a forest boundary to slash. This made the local communities feel that they had the power to make decisions just like forest officers.

#### **Taking time for the process**

During the negotiations the facilitators always gave time to the parties to consult other people and discuss issues among themselves. A review and amendments would then be made before proceeding to discuss another item. This gave the parties additional opportunities to seek advice from people outside the negotiation team. Giving the process time was important for power balancing.

*Developed by: Deziderius Irumba & Edward Mupada*



# From Conflict to Negotiation: PINs



**Objective:** To introduce and apply a tool that helps in moving from conflict to negotiation in PM situations.

**Materials:** Flip charts, coloured markers, OHP

**Preparation:** Flip chart with 'Onion' Analogy (Attachment 25).

Flip chart with 'Triangles' Analogy (Attachment 26).

Transparency with presentation on Positions vs. Interests (Attachment 27).

Case study on Use of the PIN Diagram (Attachment 28) for each participant.

Transparency with Advantages of Focusing on Interests (Attachment 29).

**Time:** 2½ - 3 hrs

1

Introduce the purpose of the session and remind participants that often conflicts occur because of different motivations and interests among different people/groups. We will be exploring a tool that helps identify these underlying interests, look for common ground and therefore to move us towards negotiated agreements.

2

Using Attachment 25, explain the concept of positions, interests, needs and fears which drive people's statements, actions and behaviours. Next, using Attachment 26, show how interests can overlap providing space to explore common ground. Finally, use the presentation on Positions vs. Interests (Attachment 27) to ensure that the group has understood the concept.

3

Explain that they will be applying this tool to their own situations using the following small groups process:

- ✿ Each group should select a site/situation and identify two major stakeholder groups with conflicting positions in relation to a resource.
- ✿ They should then discuss and prepare a PIN diagram for this situation (show them a blank diagram to illustrate how this is to be presented – see the case study for an example).
- ✿ Once they have finished the first one and are familiar with the analysis, they should try and prepare at least two more PIN diagrams for either different stakeholders at the same site or for another site.

4

Divide participants into small groups and give them 40 minutes to complete the task.

5

After the groups have finished ask a member of each group to present their PIN diagrams focusing on both the process and the outcome. Conduct a discussion around the following:

- ✦ How useful was the tool in helping to break down a conflict scenario into positions and interests? What were the advantages?



- ❖ How would they use this in a 'real' situation? Would it be easy to explain to stakeholders?
- ❖ What would be some next steps after the common ground has been identified?

6

Present and discuss the case study in Attachment 28 or any other case which might be more relevant to the group or familiar to the facilitator on the use of the PIN diagram.

7

Close by going through the presentation in Attachment 29 and explain that in coming sessions we should keep these points in mind as we move into negotiation for PM.

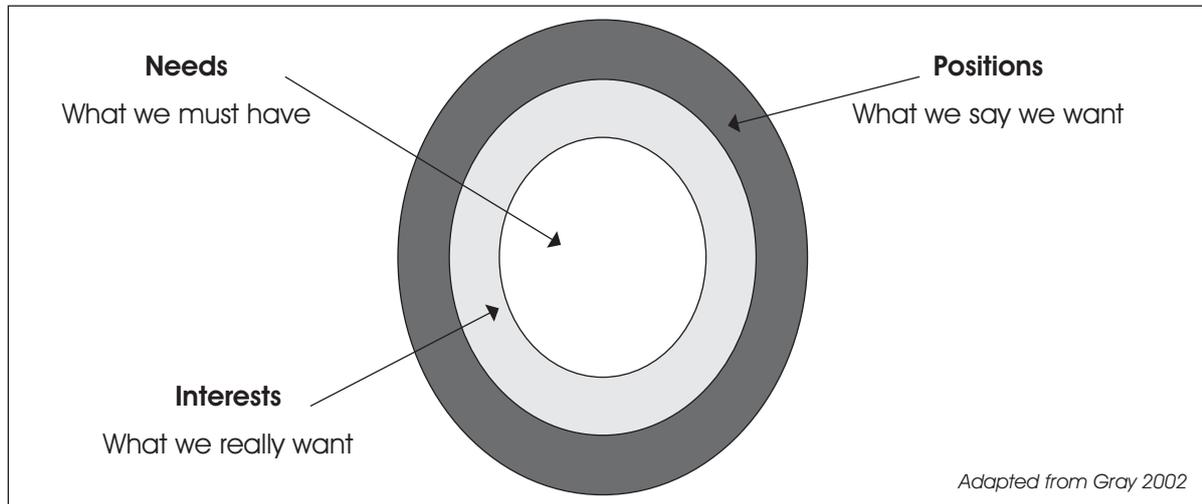
### Facilitator Notes

- ❖ Groups can be encouraged to develop a PIN diagram for other (i.e. non-PM related) situations as well. This will help them build familiarity with the tool which can be used in a range of situations.
- ❖ The main area of confusion occurs when the participants are not able to step back from their existing stage in a PM process and instead of focusing on the "common ground", tend to jump straight to the negotiated agreement. Ask them to try and hold back so that the process of moving from conflict to identifying common ground to negotiating an agreement is clear.
- ❖ Participants will want to know if the tool can be applied in situations where there are more than two conflicting parties. Explain that this is more useful and clearer to understand when it is applied to two stakeholder groups at a time.

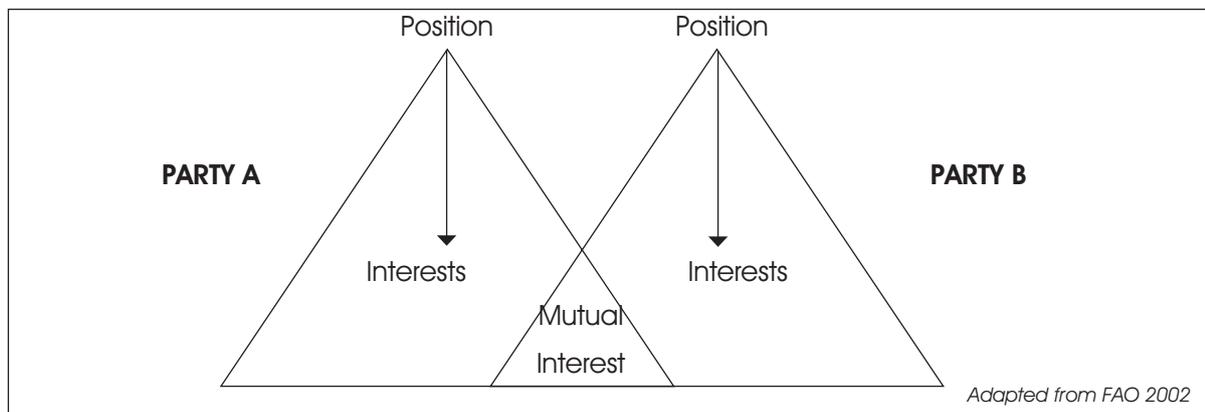
Developed by:  
Sejal Worah



## ● ● ● Attachment 25 Positions, Interests, Needs ● ● ●



## ● ● ● Attachment 26 Positions & Interests ● ● ●



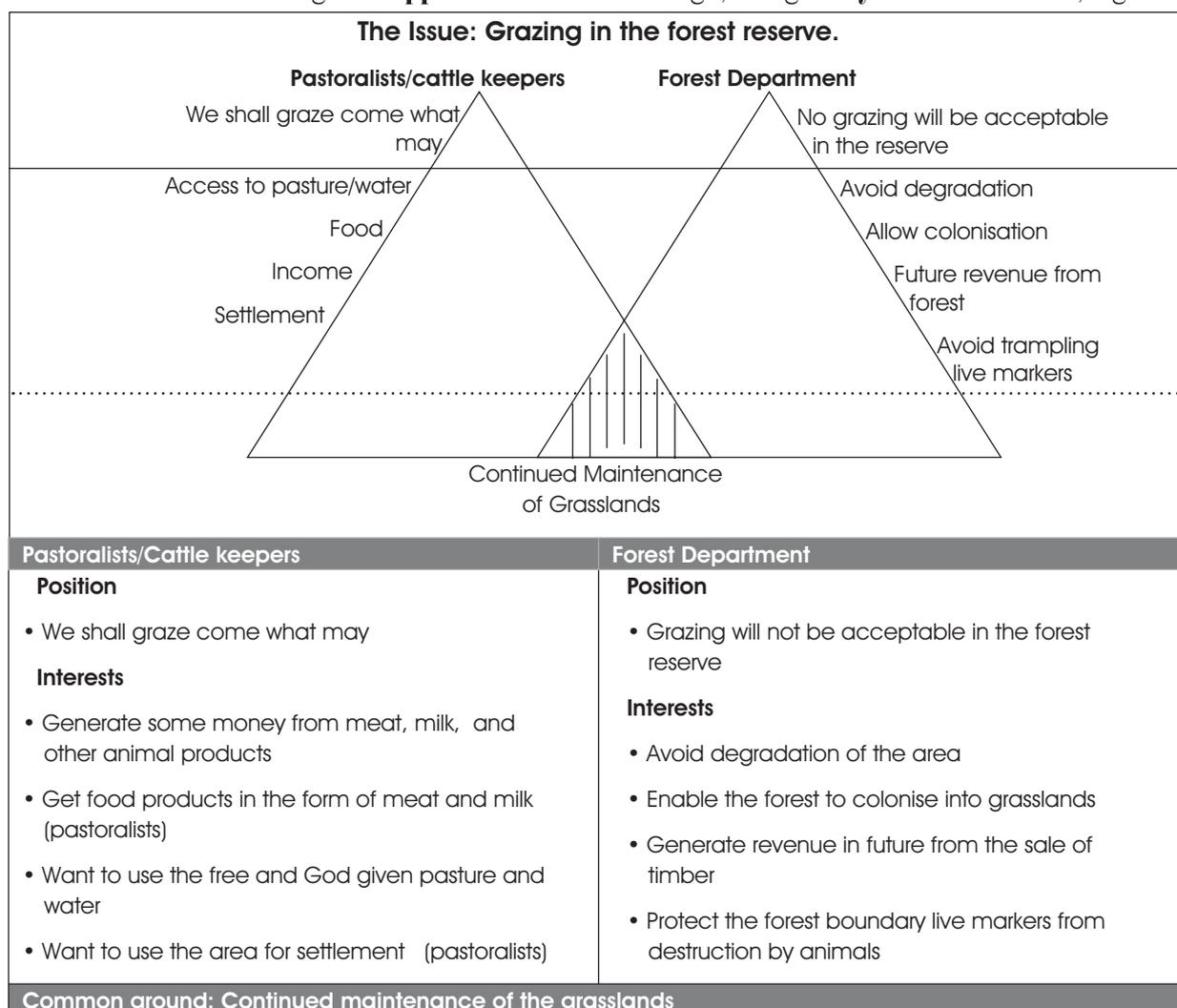
## ● ● ● Attachment 27 Distinguishing Between Positions and Interests ● ● ●

	A Position	An Interest
Definition	Concrete things stakeholders say they want; public statements about the situation;	Underlying motivations that lead stakeholders to take a particular position; the desires or fears that stakeholders hope to advance or address
Examples	<ul style="list-style-type: none"> <li>• We want less regulation; we want more land in the PA</li> <li>• Local communities should stay out of the PA</li> <li>• Village committee members should be paid a salary equal to forest guards for protection work</li> </ul>	<ul style="list-style-type: none"> <li>• Concerns about personal and family well-being</li> <li>• Concerns about the impacts of resource extraction from the PA</li> <li>• The VC does not have adequate funds to pay for members and compensate for their time away from managing their fields and livestock</li> </ul>

Reconciling interests rather than compromising between positions is the more effective strategy!

*Adapted from FAO 2002*

## ● ● ● Attachment 28: PIN Diagram Applied in Nkalwe Village, Sango-Bay Forest Reserve, Uganda ● ● ●





### **PIN Diagram Applied in Nkalwe Village, Sango-Bay Forest Reserve, Uganda**

The parties were asked to give the causes of degradation

Both the FD and the local community agreed that the degradation during grazing was caused by the following:

- Uncontrolled burning of pastures to encourage fresh re-growth
- Overgrazing
- Invasion of the area by pastoralists who come during the dry seasons thus increasing the number of animals in the area
- Permanent settlements by some pastoralists
- Trampling of trees/live markers planted along the boundary

After a long discussion, both parties agreed to the following:

- Grazing be done after payment for a grazing permit to the Forest Department
- Only the pastoralists/cattle keepers resident in villages will be allowed to pay for the grazing permit so as to conform to the carrying capacity of the area. Those from elsewhere/nomadic pastoralists will not be allowed.
- Burning to be done under a fire plan and to be coordinated by the CFM committees and the Forest Department field staff
- Cattle keepers to guard their animals against destroying the forest boundary live markers
- No one will be allowed to use the forest reserve for permanent settlement even if he/she pays for the grazing permit

#### **How the PIN tool helped the CFM process**

The PIN was used in conducting negotiations between two conflicting stakeholders: Forest Department (which is de jure owner of the grasslands) and the pastoralists (whose existence in the reserve has been regarded as illegal but who also felt that the pasture and water were a free resource). The pastoralists also believed that the forest reserve was only the forested part and not the grassland and therefore they had the rights to use the grassland. The pin diagram helped in shifting the concrete positions of the stakeholders to some consensus that was beneficial to both parties. The pastoralists' legal rights were defined while the Forest Department was recognized as the land-lord for the grasslands by the pastoralists. The pastoralists now are recognized by other members of the community and are represented on the CFM Committee by their fellow pastoralists. The PIN diagram provided a step-by-step process of exploring positions, interests and needs. Without the PIN the negotiations between the two parties would have been rather contentious and mixed up.

#### **Areas of confusion/difficulties in using the tool:**

- It was difficult to differentiate between needs and interests
- The tool did not provide room for the detailed background information of the stakeholders positions i.e. why settle and graze in the forest reserve and not anywhere else (issues of land scarcity, ownership etc); how did it happen that grazing reached this magnitude when Forest Department has been present all along? Legal and policy considerations regarding grazing. Thus the facilitator had to move a step back to ask the stakeholders for this information.
- It was difficult to incorporate a third stakeholder/interest group in the PIN. As the negotiations went on another group interested in tree planting in the grassland came up with its own positions and interests, but these could not be represented on the same diagram. Tree planting was discussed separately.

#### **Advantages of using the tool**

- The tool provided a visual impression of the positions, interests and areas of common ground and this made the tool very popular especially to the local community to the extent that they demanded for it in the meetings that followed.
- The tool kept the facilitator systematic and focused, dealing with one stakeholder at a time in establishing positions and interests.
- The tool helped in working out agreed management options to ensure that benefits all stakeholders are sustainable.

*Prepared by Deziderius Irumba*





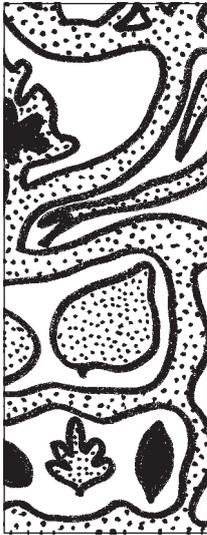
## ● ● ● Attachment 29: Comparing Positions and Interests ● ● ●

Disadvantages of holding on to a position	Advantages of focusing on Interests
<ul style="list-style-type: none"><li>• Concrete</li><li>• Lacks flexibility</li><li>• Has a single outcome</li><li>• Is minimally negotiable</li><li>• Demands results in the near term</li><li>• Closed to new options</li></ul>	<ul style="list-style-type: none"><li>• More abstract</li><li>• Broad - covering a range of options</li><li>• Has many possible outcomes</li><li>• Encourages maximum discussion</li><li>• Suggests long-term approaches</li><li>• Multiple opportunities to benefit from collaboration</li></ul>

*Adapted from FAO 2002*



# Negotiating Strategies for Participatory Management



**Objective:** To build understanding on the process of negotiation for PM and practice development of negotiated strategies.

**Materials:** Flip charts, coloured markers, LCD

**Preparation:** Flip chart with What is Negotiation (Attachment 30).

Flip chart or slide with Principles of Consensus Building (Attachment 31)

Flip chart or slide with Enabling and Blocking Negotiations (Attachment 32)

Case Studies for Negotiation (Attachment 33) for each participant. These should be cut into two parts - the 'situation' and the 'solution'

**Time:** 3 – 3 ½ hrs

1

Explain that in this session we will be examining some PM situations to practice developing negotiated strategies for resource use and management.

2

Ask the group what they understand by the term 'negotiation'. List their responses and post the prepared definition in Attachment 30. Point out that consensus building is critical during the negotiation process and it is important to understand some basic principles of consensus building. Walk them through the diagram in Attachment 31.

3

Next, explain that as some of us might be in a situation where we may be facilitating a negotiation process for PM, it is important to understand some fundamental behaviours that can enable or block negotiations. Use the points in Attachment 32 to explain this.

4

Explain that they will now be examining case studies describing a 'real' situation where a PM process led to a negotiated outcome using the following process:

- ✿ They should each read the cases carefully and ask for clarification if the situation is not clear.
- ✿ Each group should then try to work out what the actual negotiated outcome might have been in each case. They should try to work this out for at least two of the cases provided in the allotted time.
- ✿ They should note the proposed negotiated outcome and how the interests of each party was met on a flip chart and be prepared to explain this to the rest of the participants.



- 5 Divide participants into random groups, distribute the first part of the case studies to each participant and give them 1 hour to complete the task.
- 6 After all the groups have completed the task, ask them to reconvene and present their ideas. Discuss the proposed outcomes of each group in terms of their feasibility for implementation. Discuss the differences or similarities on proposed 'solutions' between the groups for each case.
- 7 Distribute the second part of the case studies with the negotiated outcomes and discuss these along the following:
  - ❖ What were the main problems they had within the group in coming up with negotiated outcomes for the cases?
  - ❖ How different or similar were the 'real' solutions to the negotiated agreements proposed by the groups? What were the main differences?
  - ❖ How useful was the exercise in helping them to think about possible negotiation strategies for different situations? Would any of these work in their own situations?
- 8 Close by pointing out that most of these 'real' outcomes have been the result of a long process of dialogue, conflict mitigation and negotiation.

#### Facilitator Notes:

- ❖ Participants might feel that they do not have enough information in the cases to come up with negotiated outcomes. Point out that most of the information needed is indeed contained in the cases and they need to think 'out of the box' when trying to come up with options. They should try and relate these to their own situations to help them generate ideas of what could work.
- ❖ You can also suggest a process whereby they first identify the key stakeholders between whom the negotiation is to take place and assign roles within the group (including that of a facilitator). This could help in coming up with workable solutions.

Developed by:  
Sejal Worah



## • • • Attachment 30: What is Negotiation • • •

Negotiation is a focused discussion regarding needs and interests, with the intention of finding a mutually acceptable agreement.

## • • • Attachment 31: Principles of Consensus Building • • •





## • • • Attachment 32: Enabling and Blocking Negotiations • • •

### **Negotiations are enabled by:**

- Separating the people from the problem and focusing on solving the problem
- Using open and non-judgmental questions and active listening
- Redefining problems to include all parties' needs
- Identifying and making clear the underlying needs and interests of the parties to all involved in the process
- Concentrating on responding to the parties' underlying needs or interests rather than their stated positions
- Generating as many options for meeting both parties' needs as possible
- Being as objective as possible about which options are fair and reasonable for both parties

### **Negotiations can be blocked by:**

- Ignoring the needs and interests of one of the parties
  - Changing the subject or delaying discussion of difficult issues
  - Focusing on demands that are unrealistic or far more than what can be met
  - Asking questions to which you know there are no answers
  - Hiding information
  - Measuring success in terms of the other side's losses
  - Making threats, criticizing, blaming, interrupting, attacking or anything else that is seen as hostile to either or both parties
- 

## ● ● ● Attachment 33: Negotiating Strategies Case Studies ● ● ●

### Case Study 1: Tree Planting and Grazing in Sango Bay Forest Reserve, Uganda

#### The Situation

Sango-Bay Forest Reserve is a wetland and forest eco-system. About one third of the forest area is interspersed with grassland providing good pasture and water even in the dry season. The grasslands have for a long time supported cattle herds belonging to nomadic pastoralists who are not resident in the area. They come to graze their cattle during the dry season and go back to their permanent homes in the rainy season. This seasonal migration has been going on for over 30 years. Unfortunately, the migrant pastoral community has never integrated with the resident local communities who see them as seasonal migrants and "foreigners". However, some of the pastoralist households have in recent years established homes in the grasslands.

The influx of pastoralists in the dry season greatly increases the number of cattle with adverse impacts on the forest and grasslands. This is accompanied by uncontrolled bush burning that leads to poor tree regeneration at the edges of the forest. Pastoral seasonal migrants also construct huts in the forest in contravention of the forest laws. The large herds of cattle result in destruction of vegetation particularly trees planted along the forest boundary and in the reserve by the local community and the FD. The migrant pastoralists also sometimes carry out illegal charcoal burning.

A relatively small number from the local cultivator community (*Baganda*) also keep a few cattle that graze in the forest reserve. During prolonged dry seasons, the pastoralists and other cattle keepers burn the pasturelands to encourage fresh re-growth of grass. However, all cattle grazing in the reserve is illegal as the government banned the issuing of grazing permits in the mid 1970s.

Generally there is scarcity of cultivable land in the villages adjacent the reserve especially the enclaves of Kanabulemu and Minziro. In these parishes, *milo* land tenure system is in place wherein a few landlords own land while the majority of the local community is regarded as squatters. Trees planted on such land belong to the landowners. This, coupled with scarcity of land is a major setback to the promotion of tree planting programs that the FD is trying to initiate.

The FD tried to develop incentives for the forest adjacent communities to promote tree planting in order to re-colonise the grasslands with the original vegetation. They negotiated with these cultivator communities during the PM process in Sango Bay Forest Reserve to start planting trees in the grassland patches of the forest. The interested households were expected to get a permit for tree planting. Under the FD permit system, the trees would belong to the people who plant them but they are required to pay an annual permit fee to the FD.

However, a conflict then arose between the pastoralist community and the cultivators over the use of the grasslands. The pastoralists wanted to continue accessing the grassland for pasture (and also wanted to settle in the reserve) while the cultivators wanted the grassland for tree planting. Further, the native *Baganda* cattle keepers wanted water and pasture for their few heads of cattle as well.

How would you re-negotiate the PM agreement to meet the interests of these different groups better?

\*\*\*\*\*

#### Outcomes of the negotiations

The major issue was to harmonise all the interests of the stakeholders in order to come up with an agreed negotiated position. The stakeholders were invited to a negotiation meeting. All stakeholders were represented in the meeting. In the meeting all stakeholders, through the guidance of a facilitator, expressed their interests, fears and concerns and discussed the subject extensively. Eventually they agreed as follows:

- The grasslands to be zoned into tree planting and grazing zones.
- Tree planting zones where possible to be located near the forest boundary.
- Only resident pastoralists and native *Baganda* cattle keepers would be issued with grazing licenses. (Resident pastoralists are ex-nomadic pastoralists who have settled in the reserve for over 10 years. They are fully recognized as members of the local community and they participated in the PM negotiations, so they bargained for their rights like the rest of the members of the community.
- Those with few animals would pay for a group grazing permit/license up to 100 heads of cattle.
- Nomadic pastoralists who invade the area would be stopped, as the carrying capacity of the area is low.
- Those pastoralists who have settled in the reserve were encouraged to acquire land outside the reserve and only use the grassland for grazing but not settlement. (The resident and migrant pastoralists are not all allowed to reside in the forest. Consequently, the resident pastoralists are too expected to vacate the reserve and reside outside but have grazing rights in the forest as defined under the PM agreement).
- All community members getting a grazing licence or tree permit are involved in the management of the reserve including patrolling against illegal activities.

Developed by: Deziderius Irumba & Edward Mupada



## Case Study 2: Tourism and Community Tree Platforms in Arabuko-Sokoke Forest, Kenya

Arabuko-Sokoke Forest (ASF) is the largest single block of indigenous forest remaining in East Africa. It traverses Kilifi and Malindi districts in Kenya and is an island of unique biodiversity surrounded by poor communities. The area was declared a Crown Forest in 1932 and gazetted in 1943. The total area of the forest is approximately 41,600 hectares. This forest is a pilot site for a collaborative forest management arrangement between the forest adjacent communities and the government.

The forest is currently managed by Kenya Forest Service (KFS) in partnership with other government departments, NGOs and community based organisations that have formed the Arabuko-Sokoke Forest Management Team (ASFMT). Among the government departments is the Kenya Wildlife Service (KWS) and one of the local NGOs is Arocha Kenya.

KWS is involved in wildlife management and ecotourism development and also it provides forest protection in partnership with KFS through a memorandum of understanding. Arocha Kenya is a global NGO with the Kenyan headquarters located in coastal town of Watamu which is about 15 kilometres from ASF. One of their major activities is supporting the education of local children through bursaries. For Arocha Kenya to raise funds locally it has worked with the community to build tree platforms in the forest.

These tree platforms are raised above the tree canopy and used for bird watching, general viewing of the tree canopy, as a picnic site, and a spot for watching the sunset and sunrise. It caters to both international and domestic tourists who enter the forest for free and also do not pay for using the platforms but who pay a voluntary donation towards the bursary scheme managed by Arocha Kenya.

KWS, being a government parastatal is expected to meet part of its recurrent expenditure internally. Entry fees to its parks form the major source of its revenue. In 2004 KWS in ASF instituted gate fees for those entering ASF as a way of raising revenue and made it mandatory that all those entering the forest have to pay the gate fees and removed the bursary donation boxes from their office. Arocha Kenya thus lost the donations but has continued to maintain the tree platforms though it gets no returns for tourists using them. The benefits to the communities have thus been lost.

This has led to conflicts within the ASFMT and in order to accommodate the interests of both KWS and Arocha Kenya, a meeting to negotiate a revised arrangement was called. What do you think was the outcome of this negotiation?

\*\*\*\*\*

### Outcomes of the negotiations

While the final agreement has not yet been determined, the following options were discussed during the negotiation process that was attended by the community representatives, Arocha Kenya, KWS and other government departments.

- KWS should contribute towards the maintenance of the tree platforms as they are an attraction for tourists and local people to enter the park from which it generates entry fees.
- Arocha Kenya should be allowed to devise a system for continuing to get donations from tourists – although this should remain purely voluntary. KWS should assist in this by providing information to tourists on the scheme when they pay their entry fees so that the tourists do not feel that they are being charged twice.
- KWS should share a part of the gate fees directly with the local communities. The current complicated process of sharing gate revenues should be streamlined.
- Local communities should contribute towards the management of the park by controlling and reporting illegal activities.

*Developed by: MTE Mbuvi*



### Case Study 3: People and Protected Areas, Phu Pha Marn National Park, Thailand

Phu Pha Marn National Park in Khon Kaen Province was officially declared on December 8<sup>th</sup> 1991, and is Thailand's 72<sup>nd</sup> national park covering an area of 35,000 Ha. There are 9 villages within the park, and Sam Pak Nam village is one of them. In the past, many small scattered farming communities were located in and around present day Phu Pha Marn National Park in Thailand. In 1966, they were consolidated into the present area of Sam Pak Nam village which covers an area of around 226 Ha. The village lies on a flat expanse between 7 limestone mountains. About 109 families live in the village and their main livelihood is commercial agriculture and subsistence farming.

Prior to 1959, people from the northeastern provinces migrated to the area now known as Sam Pak Nam. They settled in 4 different areas and planted cash crops such as sugar cane and maize. Each community had about 5-7 families they respected each other with communication between families, their leaders and adjoining groups being open and free. As the area was rumored to be a communist bastion, the different communities were consolidated by the army to the present site of Sam Pak Nam village in an attempt to better control these sprawling communities. The lands were shared among all 30 families, and each received on average 20-40 rai. This land reallocation was the beginning of latent conflict between the villagers and the government.

The government policy of Land Distribution for Poor Families in Degraded Land (Kor Jor Kor) was implemented in 1991. Villagers were moved then from Sam Pak Nam village to Si Chompoo district about 30 km away, to an area that was already occupied by people. At this location, competition and disagreement over land and resources brought conflict between those already settled and the relocated villagers of Sam Pak Nam. Eventually violence erupted as a result of this conflict. In 1992, under pressure and protests from villagers, the Kor Jor Kor policy ended and people were allowed to return to their original lands. But during this period, when the villagers were not living in Sam Pak Nam, Phu Pha Marn was declared as national park without their knowledge. In 1993, Sam Pak Nam villagers left the Kor Jor Gor land allocation area and returned home, but now their lands were inside of a national park.

As people attempted to re-inhabit their lands in Sam Pak Nam village they were considered illegal settlers by the local officials. Thai law stipulates that no communities or villages can exist within a national park. But in late 1992, a governmental cabinet resolution enabled the safe and legal return of Sam Pak Nam families to their original lands. Nonetheless, when 71 families moved back to Sam Pak Nam, the road was blocked by local park authorities. These authorities assumed that the cabinet resolution violated previous laws and thus villagers did not have the right to live within the national park.

How do you think this situation was resolved?

\*\*\*\*\*

#### Outcomes of the negotiations

Villagers received help from the Dong Larn Forest Rehabilitation and Development Project (DLFRDP), RRAFA (Rural Reconstruction Alumni and Friends Association), the Land and Forest Resolution Committee (a local NGO) and RECOFTC to negotiate between the villagers and park officials.

1. The park manager allowed villagers to stay in the land but community had to set rules and regulations on how to ensure that they use the land sustainably. This meant that villagers had to switch from mono cropping practices to integrated or agro forestry practices.
2. The park officials promised to provide technical support and supplies on tree seedling, agricultural techniques, and coordinating with relevant development agencies.
3. Villagers agreed with the national park to work together and form committees to set rules, and allocate land equally to every family. Each family got only 20 rai instead of large areas of land as they used to have in the past.
4. They demarcated clearly the boundary of their village and Phu Pha Marn National Park. The results of land demarcation were submitted to the park. The park promised to re-demarcate the park boundary.

*Developed by: Ronnakorn Tiraganorn*



#### Case Study 4: Livelihoods and Tigers, Periyar Tiger Reserve, India

The Periyar Tiger Reserve (PTR) is an area that is world famous for its biodiversity (including tigers) and scenic beauty with a large number of domestic and international tourists visiting this park each year. Like many other Protected Areas in India, the park is surrounded by a large number of settlements, inhabited largely by tribal groups who use the park resources for various subsistence and commercial activities. Some tribal groups like the *mannan* and *paliya* were forcibly evicted when the PA was set up and settled at a site outside the park called Kumily.

In 1996, recognising that effective management of PAs would require the support and involvement of local communities, the government initiated a programme of ecodevelopment around key PAs in the country. This involved working with communities to address their livelihood needs that were affected due to the setting up of the Protected Areas. PTR was one of the sites where this programme was initiated.

One of the problems identified during the process of developing a participatory management framework for the Periyar Tiger Reserve was the illegal collection of *vayana* bark (or the bark of the cinnamon tree). The collection of the *vayana* bark was considered undesirable by the Forest Department not only since this was against the existing rules that prohibited extraction of any plant or animal material from the PA but also because this involved destructive methods of harvesting. The cinnamon grows mainly in the evergreen forests and the collection of bark through a near complete removal of the trees' bark and in extreme cases even through tree felling is highly destructive, affecting the forest structure and associated biodiversity.

While it was known that a group of people from nearby land-scarce settlements were involved in this, it was very difficult to track them down and charge them given the meagre resources of the Forest Department. The harvest was sold either at a nearby town or directly to agents who came to the village. The Forest Department, to the best of their ability seized and confiscated the harvest whenever they were able to identify it. A few bark collectors were also charged to set an example for the rest of the collectors.

While the Forest Department was aware that limited income generation opportunities drove the *vayana*-collectors to this activity in spite of the high risk involved, they were in a difficulty when trying to involve this group in the eco-development committees or activities. This was because the *vayana*-collectors were largely landless and could not participate in any agriculture based livelihood development activities. Further, since the FD had already initiated several cases against the collectors and they were seen as "smugglers" by many, including local communities, there was some antagonism to involving them in existing Ecodevelopment Committees. The *vayana*-collectors were also wary of the motives of the FD since they were aware of the illegality of their current activities and were worried that the FD would "trap" them into confession and then conduct legal cases against them.

Is there a way out?

\*\*\*\*\*

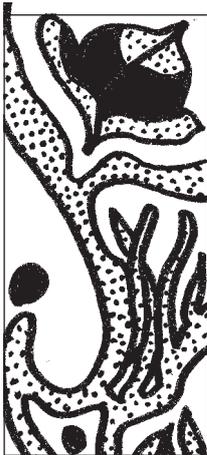
#### Outcomes of the negotiation

- A separate EDC, the Ex-*vayana* Collectors' Ecodevelopment Committee was constituted with membership exclusively of 21 ex-collectors.
- The *vayana* collectors would henceforth withdraw from indulging in all illegal activities including collection of the *vayana* bark.
- In return the PTR authorities would be sympathetic to them, would not conduct any legal case against them and would provide them with wage labour to overcome their immediate economic losses.
- In the long-term, the PTR authorities would develop an ecotourism programme based around forest trekking that would use the vast knowledge the ex-*vayanas* had about the forest. This activity would be managed by the ex-*vayanas* EDC.
- While carrying out trekking activities with tourists, the EDC members would also undertake patrolling and report any illegal activities to the PTR.

Developed by: Sejal Worah



# Options for Negotiations



**Objective:** To understand and practice the importance of exploring multiple options for PM in situations of apparently conflicting interests.

**Materials:** Flip charts, coloured markers

**Preparation:** Presentation on Negotiating for PM: Expanding the Options (Attachment 34) for each participant. A handout of this for each participant.

Case studies on Negotiating for PM (Attachment 35) for each participant.

**Time:** 2½ - 3 hrs

1

Explain the purpose of the session and point out that while we examined some cases related to developing negotiated outcomes in the previous session, there are a number of different ways in which such an outcome can be reached.

2

Explain that if we are in the position of facilitating a negotiation between parties for PM, it is important to think of and lay out as many options for meeting the needs and interests of different parties as possible. Often just focusing on one option may not be workable and may lead to a breakdown of the negotiations.

3

Present and explain the options for negotiations listed in Attachment 34, making sure the group has understood the differences between the options.

4

Provide a copy of the handout to each participant, break them into small groups of 4-5 people and ask them to discuss examples of these options based on their own experiences. Give them 30 minutes for this activity.

5

Next hand out the case from Attachment 35 to each participant and ask them to read each one carefully. They should discuss these and come to an agreement on which of the four options each of these cases represents and be prepared for presenting their results back to the larger group. Give them 30 minutes for this activity.

6

Reconvene the groups into a plenary and ask each group to present their example for the first option. Discuss these and then repeat the process for the other options.

7

Finally, ask each group to present their ideas on which of the options the different cases represented. Initiate a discussion around the following:

❖ What were the similarities and differences in the examples brought out by the different groups?



- ❖ Was there overlap between the results for the options related to the case studies? What could this mean?
- ❖ Were there cases where more than one option was used in a given situation? What were these and what does it tell us?
- ❖ How useful was the exercise in helping the participants think about more than one option for a negotiated agreement for a given situation?

## 8

Close by pointing out that these are only some strategies for negotiating agreements and that in a given situation, several others may emerge.

### Facilitator Notes

- \* Participants should not worry too much about overlap between the different options. The categories are less important than the task of coming up with as many different options for a negotiated outcome as possible.
- \* Point out that it is important to think about when an option would not work since, as facilitators, they should be careful about the kinds of suggestions they put forward to negotiating parties and they should not put forward ideas that are obviously inappropriate under certain conditions.

Developed by:  
Sejal Worah





## ● ● ● Attachment 34: Negotiating for PM: Expanding the Options ● ● ●

There are at least four ways of moving from apparently differing interests to reconciling these.

**Expanding the pie.** Some conflicts are based on a shortage of resources (natural, financial, institutional) and a party may reject another's proposal because this cannot be accommodated within available resources. Increasing available resources in such cases can provide solutions. Sometimes a donor can provide resources to "expand the pie". New technologies, institutional or legal options can also accomplish this.

**Low priority/high priority.** Here, each party concedes on issues that are of low priority to itself and high priority to the other party. Works when there are several issues under consideration and parties have differing interests in these. Can work on the principle of *building on differences* where each party might be concerned about different aspects of the same resource.

**Cost cutting.** In this case, Party A gets what it wants and the costs that Party B incurs for agreeing to Party A's proposal are reduced or eliminated. For this approach, there needs to be a clear idea of costs involved in the different proposals being put forward.

**Bridging.** In this approach, no party achieves its initial demands. Instead, a new option is devised that satisfies the most important interests underlying those demands. This usually involves a reformulation of the issues based on an analysis of underlying interests. Mostly, high priority interests of each party might be addressed while lower priority interests might need to be discarded.

*Adapted from: WWF 2000.*





## ● ● ● Attachment 35: Case Studies in Negotiating for PM ● ● ●

### Case 1

Mfyome village is located in Iringa District in southern Tanzania. In 2002, the village council reserved an area of forest as a "Village Land Forest Reserve", which gave them the mandate under the Forest Act, to protect, manage and utilise the forest on a sustainable basis for the benefit of the local community. The forest, with an area of 6,065 ha is made up of slow growing hardwood tree species and forms part of the "miombo" woodland ecosystem. While there are a number of valuable timber species, uncontrolled harvesting before the reservation of the forest has meant that most of the quality timber species have been over-exploited. However, opportunities exist for sustainable charcoal production through woodlands managed on a rotational harvesting basis. Traditional charcoal production systems are highly inefficient and often done on an illegal basis. Producers have little incentive to conserve wood, or maximise output – and typically the conversion ratio may be as low as 12 tonnes of wood to one tonne of charcoal. Following the legal establishment of the village land forest reserve, and the introduction of sustainable harvesting of charcoal, the villagers were provided with training on more efficient production methods. Through simple adaptation of traditional methods (improved stacking of wood, improved ventilation and closer supervision of the burning process) the village was able to improve charcoal conversion efficiency from 12:1 to 8:1. In other words, for the same amount of raw material, they were able to generate 50% more charcoal.

*Developed by: Tom Blomley*

### Case 2

Kalinzu Forest is a montane natural forest located in south western Uganda with high biodiversity and water-catchment values. The forest is managed by the National Forest Authority (NFA). Due to encroachment and uncontrolled harvesting by local people, patches of the forest close to the boundary have been depleted and left as grasslands or bush-land areas. The initial position of NFA was to hire local people on a contract basis for planting trees in the forest. The trees would belong to the NFA as they were in the forest area. The initial position of the villagers was that they wanted the government to de-gazette those portions of the forest that had been degraded and hand them over to the local community for agriculture.

The NFA had limited resources with which to plant these bare areas, and decided to negotiate with the surrounding communities on a PM process. NFA would provide small plots within the forest (20x20 m) to adjacent households on 20 year leases. In return for a small annual ground rent, the villagers would be offered the land for planting trees, and given the rights to harvest and sell timber and wood products. While the trees were growing, local people could grow agricultural crops until such time as the tree canopy out-shaded the crops. In this negotiated settlement, the NFA got barren land within a forest reserve reforested – and also reduced the risk of further encroachment and illegal harvesting. In addition, NFA received annual rents and supported an increase in timber and pole products in the local market. The villagers got access to fertile land (a severe constraint due to heavy population pressure) on which they could plant trees as well as crops (in the early years). For a small rental fee, they were guaranteed any revenues generated as a result of the sale of timber or wood products.

*Developed by: Tom Blomley*





### Case 3

The East Usambara Mountains are part of the Eastern Arc of isolated mountain blocks located in north eastern, central and southern Tanzania. Since the late 1980s, the Tanzanian Ministry of Natural Resources and Tourism has moved to protect and conserve the Eastern Arc Mountains because of their high biodiversity values and their potential to add to Tanzania's ecotourism resources. The Amani Nature Reserve (ANR), created in 1997, is the centerpiece of conservation efforts in this area. At 8,329 ha (including a tract of land belonging to a neighboring tea plantation and covenanted to ANR for preservation), ANR is the largest forest zone under unified management in the Eastern Arc, and its dedication as a nature reserve (the first in the country) gives it a special role in national conservation commitments.

A key part of conservation planning for the East Usambaras is the gradual linking together of some 24 separate forest reserves in the mountains and the adjacent lowlands, covering 32,352 ha in all. ANR already includes 6 of these prior Forest Reserves with 22% of the total area. That these forested areas are separate reserves is a reflection of the fragmentation of the earlier continuous forest belt which covered the mountains. Continuity is broken by belts of population along the valleys and mountain roads, and areas carved out and planted to tea and commercial forest.

The Derema Corridor is an area of forest of 790 ha, which links to the ANR to the south and the next gazetted forests to the north, Kambai and Longuza Forest Reserves. Derema is almost all forested, 60% of it on steep hills and the rest in the lowland slopes below 850 m. Together, Derema, Longuza and Kambai add 2,643 ha to ANR, expanding the area under continuous forest by over one-third. Derema is currently not a gazetted national forest reserve, but is classified as "forest on village lands". The forest area is used by local farmers to grow shade-tolerant perennial spices such as cardamom, cloves, black pepper and cinnamon as well as for collection of firewood and building materials. There is no permanent human settlement within the forest. Following a survey of the forest by the government, the high value of the forest was established. Initially, the government attempted to unilaterally gazette the forest as a reserve and remove all forms of human use forcibly. This was, understandably, heavily resisted by local people.

Following a long period of discussions between government and the local people, The negotiated outcome of this process was that villagers agreed to vacate the forest and no longer to use it for production of crops or harvesting of forest produce, if they were compensated a reasonable rate reflecting their investments in the area. In return for this compensation payment, the forest would fall under the authority of central government and be reserved as a National Forest Reserve. The government further agreed to negotiate limited user rights within the forest (but not including cultivation) following the gazette through the signing of a Joint Forest Management agreement. An independent assessment was undertaken of the value of the crops and the total compensation payment needed and the adjusted total was established to be USD 2.1 million. These funds have now been secured and will be provided from government sources with contributions from donors such as the World Bank, the Government of Finland and Conservation International.

*Developed by: Tom Blomley*





#### **Case 4**

Customary forest tenure still exists in the Indian state of Arunachal Pradesh which lies within the global biodiversity hotspot of the Eastern Himalayas. Communities, whose livelihoods are largely based on subsistence farming and pastoralism, use and manage relatively large areas of forest ranging from 20-100 sq km. The boundaries of the community forest areas are known to each community but not legally demarcated. Current development pressures and government economic schemes are now putting pressure on these forest areas which are getting converted to horticulture, cash crops and being exposed to unplanned tourism.

In order to try and ensure continued existence of these biodiversity-rich forests and ensure long-term benefits for the local communities, WWF India negotiated a preliminary agreement with one of the communities to set aside a third of their 300 sq km community forest as a Community Conservation Area (CCA). As part of the initial agreement which was conducted at an early stage of the process, it was negotiated that in return for setting aside this area where specific rules and regulations on resource extraction would be enforced by the community, WWF would help develop a range of alternative livelihoods for the community. These livelihood options were discussed and agreed prior to conducting detailed feasibility analyses.

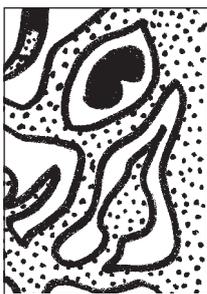
However, on carrying out an analysis of the feasibility of the proposed livelihood options, it became apparent that most of them would not be viable in the long term for a variety of reasons. These findings were shared with the community who expressed their displeasure as they felt that WWF was reneging on its agreed commitment. A long and complicated series of discussions followed where the community insisted on going by the original agreement while the WWF group knew that this would mean problems later when the livelihoods failed.

Ultimately, as the negotiations appeared to be bogged down, it was agreed that both parties would discuss the issue separately with members of their own group and come up with some options on the way ahead. The outcome of this was that the community decided to forego all the previously discussed options provided they were given full and broad-based support in a manner that would benefit different groups to develop only one of livelihood options that was found to be most feasible based on the studies.

*Developed by: Sejal Worah*



# Participatory Management Agreements



**Objective:** To build understanding on the format and contents of a PM agreement.

**Materials:** Flip charts, coloured markers, large post-its

**Preparation:** Examples of at least three different PM agreements – one set for each participant.

**Time:** 2 ½ - 3 hrs

1

Introduce the objective of the session and explain that while some people in the group might have had experience with developing PM agreements, this may be a relatively new step for others. In this session we will examine the elements of a PM agreement.

2

Next, hand out a post-it to each participant and ask them to note on it the one major issue/question/concern that they have with the process, content or outcome of a PM agreement based on their experience or understanding.

3

Post and cluster the comments of the participants by common issues. Initiate a plenary discussion and try to address these as far as possible using the collective experiences of the group and those of resource people present.

4

Explain that now we will analyse some “real” PM agreements. Explain the following small group activity:

- ✿ Each participant should first individually read the agreement handed out to them.
- ✿ Once all members of the group have read the agreement, they should discuss the strengths and weaknesses of the agreement in relation to the following criteria (they can also add their own if they wish):
  - Length and readability (language)
  - Background & context
  - Process of development
  - Interests of stakeholders/marginalized groups
  - Clarity of the rights, roles and responsibilities
  - Institutional arrangements
  - Impacts & monitoring
  - Conflict resolution
  - Signatories
  - Length of agreement/review mechanism
  - Appendices



- ✿ They should note the results of their discussion on a flip chart and be prepared to present back to the rest of the participants.

5

Divide the participants into groups and give each group a set of different agreements (one copy per group member). Give them 45 minutes to complete the task.

6

As the groups finish their analysis of the agreements, hand out the remaining two agreements to group members and ask them to quickly read these. Have each group present the analysis of their agreement, asking the remaining groups to comment.

7

Convene the groups into a plenary and initiate a discussion around the following:

- ❖ What were the common or recurring gaps in the agreements? What could be the reason for this?
- ❖ What were the differences in the agreements? What are these related to and what do they tell us?
- ❖ Would providing a “standard” format for PM agreements be appropriate and useful? Why or why not?

8

Close by pointing out that PM agreements vary from situation to situation and while there may not be a “standard” agreement, there are some key elements which need to be defined in order for the agreement to be implementable and replicable.

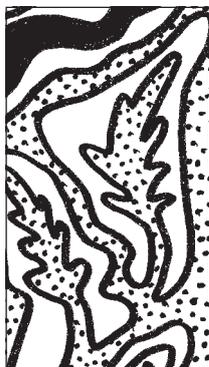
#### Facilitator Notes:

- ✿ If the group is made up of participants from different countries, try to get PM agreements from a range of countries for the analysis. If they are all from one country, try to get different types of PM agreements from one country for the analysis.
- ✿ Unless you have deliberately changed an agreement for the purposes of training to highlight gaps, try to prevent participants from being judgmental about what is overall a “bad” agreement – instead get them to focus on how the agreements can be strengthened.

Developed by:  
Sejal Worah &  
Phil Franks



# Monitoring Participatory Management Processes and Impacts



**Objective:** To build understanding and skills in developing monitoring plans for PM.

**Materials:** Flip charts, coloured markers

**Preparation:** Example of PM Monitoring Plan (Attachment 36)

A resource person to give an overview of participatory monitoring and to provide relevant inputs during the session.

**Time:** 3 – 3 ½ hrs

1

Outline the objective of the session and explain that in order to determine whether a PM arrangement is working, we need to develop and implement a monitoring system.

2

Ask the resource person to present an interactive lecture covering the essentials of participatory monitoring including: Why do we need to monitor in PM; What do we need to monitor; How would we monitor; Key issues in participatory monitoring; What is an indicator; Characteristics of a good indicator; Selecting indicators.

3

Next, use the example in Attachment 36 (or develop your own) and walk the people through a PM monitoring plan ensuring that they have understood how to fill out the different columns.

4

Explain that small groups will now be working to practice developing a monitoring plan. Outline the following process:

- ✿ Each group should select a PM site for which they want to practice developing a monitoring plan. This can be a site where PM is starting or where it is being implemented.
- ✿ Next, they should identify three key PM related objectives (these could be focused around the PM process and participation, the benefits and benefit sharing, or the arrangement and functioning of the institutions, for which they will develop indicators.)
- ✿ They should then identify the most suitable indicators for each objective and complete the monitoring framework.

5

Divide participants into country or regional groups and give them 1 ½ hours for the activity.

6

At the end of the allotted time, reconvene the groups and ask each group to present its results by turn. Ask participants to comment on the



results of the other groups and add your own comments to each of the sets of results as necessary.

7

Once all the results have been reviewed and corrected as necessary, initiate a plenary discussion around the following:

- ❖ What was the most difficult part in developing the monitoring plan? Why?
- ❖ What is likely to be the most difficult part in implementing the plan? Why?
- ❖ How would this process work with multiple stakeholders? What would make them buy into it and help with implementation?

8

Close by pointing out that often the more difficult part is implementation. Therefore the plans should be both simple and cost efficient with clear tasks and roles built in.

#### Facilitator Notes:

- ❖ One of the problems the participants will face is likely to be linked to the 'hierarchy' of indicators. Point out that this issue is arising because not all the PM objectives are being addressed and we have taken only a subset of objectives for this exercise.
- ❖ Often participants can be left frustrated as one session will almost certainly not be enough to develop a complete monitoring plan. Point out that the purpose of the session was to build understanding on the process and that this has to be developed over time with stakeholders.
- ❖ Make sure to remind the group that a complicated, detailed and elaborate plan is less likely to eventually get implemented compared to a simple, robust and participatory plan.

Developed by:  
Sejal Worah



## ● ● ● Attachment 36: Example of Monitoring Plan ● ● ●

CFM OBJECTIVE: Pit sawyers shall harvest only Balikeae insignis and Manilkara obovata						
INDICATORS	MEANS OF VERIFICATION	BASELINE NEEDED		RESPONSIBILITY		
		WHAT	WHERE	COORDINATION	COLLECTION	
No. of registered pit sawyers	Committee reports	Current no. of pit sawyers	FD records	FD/NFA (Forest Officer in Charge)	CFM Committee	
No. of new Podo tree stumps in the forest	Field survey	New Podo tree stumps at the start of 2003	CFM/FD inspection reports	FD/NFA (Forest Officer in Charge)	CFM Committee	Every 3 months
<b>OBJECTIVE: The local community shall harvest only dry wood for firewood from the forest</b>						
No. of local households collecting firewood on the specified days	Field inspection FD/CFM committee reports	No. of households collecting firewood on specified days as of July 2003	CFM Comm. Records	FD/NFA (Forest Officer in Charge)	CFM Committee	Every 3 months
No. of trees left to dry for firewood in the CFM forest areas	Field inspection FD/CFM Committee records	No. of trees cut for firewood as of July 2003	CFM Comm. records	FD/NFA (Forest Officer in Charge)	CFM Committee	Every months
<b>OBJECTIVE: Only mature fish shall be harvested from the forest reserve</b>						
Size of fish traps being used	FD/CFM Comm. inspection reports Field survey	Size of fish traps used in the 2003 fishing season	CFM Comm. records	FD/NFA (Forest Officer in Charge)	CFM Committee	Every fishing season
Size of the different species of fish being harvested from the forest reserve	FD/CFM Comm. inspection reports Field survey	Size of fish harvested in the 2003 fishing season	CFM Comm. Records	FD/NFA (Forest Officer in Charge)	CFM Committee	Every fishing season





Strengthening & Sustaining  
Participatory Management



# Developing Sustainable Livelihoods



**Objective:** To build understanding on the linkages between PM and sustainable livelihoods and to introduce a tool for designing livelihoods in a PM context.

**Materials:** Flip charts, coloured markers, large post-its, LCD

**Preparation:** Flip chart or slide with What is a Livelihood (Attachment 37), What are Sustainable Livelihoods (Attachment 38) and Forests and Livelihoods (Attachment 39).

Example of Designing Conservation-Based Livelihoods on a series of flip charts pasted together (Attachment 40).

Set of Livelihood Activities on meta cards for each group (Attachment 41).

**Time:** 3 - 3 ½ hrs

1

Explain the purpose of the session and ask participants to call out what they understand by the term 'livelihood'. Note their responses on a flip chart and discuss these briefly. Post the prepared definition from Attachment 37 and compare this with the ideas from the group.

2

Next, introduce the concept of 'sustainable livelihoods' with a brief presentation as outlined in Attachment 38. Explain that many participatory management initiatives have components related to livelihood development but that these are sometimes based on a limited understanding of the issue. Use the points in Attachment 39 to illustrate this if needed.

3

Divide participants into small groups and explain that each group will be drawing on their collective experience and knowledge to answer the following questions in 45 minutes:

- ✿ What are the links between forest management and local livelihoods? What are some of the problems related to this?
- ✿ In what ways can PM contribute to local livelihoods and how can this contribution be optimised?
- ✿ How can local livelihoods linked to PM processes be made more sustainable?

4

After all groups have finished, ask each group to present the key issues from their discussion. Record these on a flip chart as they are presenting and ask the other groups to comment.

5

Next, explain that we will be using a tool that can help develop conservation linked sustainable livelihoods. Use the example in Attachment 40 (or develop a more appropriate one) to illustrate the analysis of how each livelihood intervention, in order to meet sustainability, economic and conservation criteria is dependent on a number of "conditions" or "assumptions". Describe the following small group activity:



- ✿ They should first discuss the four options provided and select two that they want to work on for the analysis.
- ✿ Next, groups should paste each card on a flip chart and discuss the conditions needed for the livelihood to be viable, sustainable and conservation-oriented. They should note these in the left hand column of a flip chart.
- ✿ Once they have completed this part of the analysis, they should think of supporting activities for each condition/assumption and note these in the corresponding right hand column.

6

Divide participants into random groups, distribute the livelihood activities (Attachment 41) and give them 1 hour to complete the task.

7

Once all groups have finished the task, ask them to post their results around the room. Move the group from one set of results to the other, giving each group 10 minutes each to explain their results.

8

After all groups have explained their results, reconvene them into a plenary and initiate a discussion along the following:

- ✦ What to the results of the analysis demonstrate about linkages between conservation and livelihoods?
- ✦ Which of the livelihood options analysed appear to have the largest number of conditions/assumptions? What does this tell us about that intervention?
- ✦ How frequently are all of these actions undertaken during the planning stage of developing sustainable livelihoods? What does this mean?

9

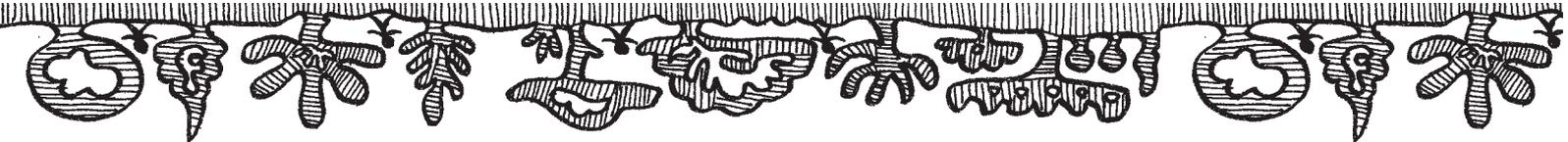
Close by reminding the group that many livelihood interventions in PM fail or are short-lived because a detailed analysis is not undertaken at the planning stage. While not all potential problems can be anticipated, it is important to pre-empt as many of these as possible through good, participatory design.

#### Facilitator Notes:

- ✿ Try to ensure that the participants, when answering the questions related to links between PM and livelihoods, bring out options based on forest-based livelihoods as well as 'alternative' livelihoods. Issues related to policies, extraction levels, marketing, benefit sharing, and elite capture should also be brought out during the discussion.
- ✿ Ensure that the groups individually or collectively pick forest-based livelihood activities as well as alternative non-forest based livelihoods for the analysis.
- ✿ While using the tool, it is important to keep the group focused on the importance of carrying out a good situation/feasibility analysis and dialogue/negotiation with the communities.

**Adapted from:**  
 Worah, *et al.*  
 Integrated  
 Conservation &  
 Development:  
 A Trainer's  
 Manual, with  
 additional  
 inputs from Phil  
 Franks





## ● ● ● Attachment 37: What Is a Livelihood? ● ● ●

A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base.

*Adapted from Chambers & Conway*

## ● ● ● Attachment 38: What Are Sustainable Livelihoods? ● ● ●

Livelihoods are sustainable when they:

- are resilient in the face of external shocks and stresses;
- are not dependent upon external support (or if they are, this support itself should be economically and institutionally sustainable);
- maintain the long-term productivity of natural resources;
- do not undermine the livelihoods of, or compromise the livelihood options open to, others.

Sustainability is an important qualifier because it implies that progress in poverty reduction is lasting, rather than fleeting. This does not mean that any given resource or institution must survive in exactly the same form. Rather it implies accumulation in the broad capital base that provides the basis for improved livelihoods, especially for poor people.

## ● ● ● Attachment 39: Forests and Livelihoods ● ● ●

- Poorest households rely on forest resources the most although wealthier households often use more in absolute terms.
- Studies in Zimbabwe show about 40% of the incomes of poorer rural households are based on products from natural woodlands.
- Studies in Tanzania showed 58% of household income was derived from wild honey, charcoal, fuel wood and wild fruits.
- Adding value to existing forest-based livelihoods can create an incentive for conservation and sustainable use within a PM framework.
- Where this is not feasible due to scarcity of resources or policy constraints, alternative sustainable livelihoods have been introduced with varying degrees of success.
- Forest resources provide important environmental services (water catchment, carbon sequestration, biodiversity), and in some situations the "stewardship" role of local communities presents new opportunities for supporting rural livelihoods.



## • • • Attachment 40: Conservation & Sustainable Livelihoods • • •

Livelihood Intervention	Conditions/Assumptions	Supporting Activities
<p>Local farmers are being assisted in 'intensification' of existing agricultural practices</p>	<ul style="list-style-type: none"> <li>• Expansion of agriculture is a threat to biodiversity/habitat conservation</li> <li>• Farmers with agricultural land (not landless people or new settlers) are the ones clearing additional land</li> <li>• Local/national policies support the strategy</li> <li>• Farmers understand and appreciate links/trade-offs with conservation</li> <li>• Farmers will be willing (and able) to accept new techniques</li> <li>• Techniques introduced are socially and culturally appropriate</li> <li>• Conservation-related trade-offs/regulations can be agreed among stakeholders</li> <li>• Income generated will be adequate to compensate for clearing additional land</li> <li>• Economic and livelihood benefits will go to appropriate groups (poor and/or those who are clearing land)</li> <li>• Inputs needed will be available and accessible over long term</li> <li>• Target group is large enough to have conservation impact</li> <li>• There are no adverse environmental or social impacts from new approaches introduced</li> <li>• Farmers will continue to apply new techniques after the initiative ends</li> </ul>	<p>Situation analysis</p> <p>Stakeholder analysis</p> <p>Policy analysis</p> <p>Consultations/Information sharing</p> <p>Information sharing/training</p> <p>Assessment of traditional knowledge/practices</p> <p>Negotiation/Dialogue</p> <p>Feasibility/market analysis</p> <p>Resource use analysis/benefit sharing mechanisms</p> <p>Sustainable funding mechanisms</p> <p>Feasibility analysis/monitoring</p> <p>Monitoring</p> <p>Institutional strengthening/capacity building</p>

## • • • Attachment 41: Sample Livelihood Interventions • • •

- A local women's group is being supported to develop handicrafts made out of forest resources
- Local youth are being provided support to develop community-based tourism linked to the forest/PA
- Local farmers are being supported to take up agro forestry and beekeeping
- Community skills of traditional weaving are being enhanced to design carpets and other woven products

# Institutional Arrangements



**Objective:** To build understanding on the importance and types of institutional arrangements in PM.

**Materials:** Flip charts, coloured markers, LCD

**Preparation:** Flip chart or slide with definition of Institutional Arrangements (Attachment 42).

Flip chart or slide with definition of Governance (Attachment 43).

Flip chart with Example of an Institutional Arrangement for PM (Attachment 44).

Three participants with some experience in PM to prepare a diagram of institutional arrangements in advance of the session (based on the example). Each of these should be slightly different from the other (from different sites or countries). Arrange the diagrams in three separate areas where the groups can work independent of each other.

**Time:** 2½ - 3 hrs

1

Explain the purpose of the session and point out that robust institutional arrangements are a pre-requisite for effective PM. Post the definition in Attachment 42 and clarify any conceptual issues if needed.

2

Highlight the importance of good governance in PM and how strong institutional arrangements contribute to this using Attachment 43.

3

Next, tell the group that three participants will act as resource persons for the session and will explain the institutional arrangements for PM in the sites/countries they are working in. The rest will, in groups, analyse each of these and provide feedback, using the following process:

- ✿ Each group should start off at one of three 'stations' where a resource person will explain the PM institutional arrangement posted at the station.
- ✿ After the explanation, the group should discuss the strengths and weaknesses of the institutional arrangement in relation to the following criteria:
  - *Representation* (composition of decision-making bodies, process of selection, etc.)
  - *Decision-making* (devolution of power and authority, levels of governance)
  - *Roles & responsibilities* (clarity/complexity, accountability, clearly defined management and rules);
  - *Cost-effectiveness and sustainability* (financial autonomy, means of generating funds)
- ✿ They should note their results on a flip chart and take this with them to the next 'station' where they repeat the process. They should spend no more than 20 minutes per station.



- ✿ At the end of visiting all the three stations, each group should have a presentation ready in the following format

Criteria	Arrangement 1	Arrangement 2	Arrangement 3
Representation			
Decision-making			
Roles & Responsibilities			
Sustainability			
Other			

4

Divide the participants into 3 groups and give them 1 hour to rotate through the stations.

5

After all groups have finished the rotation, reconvene in a plenary session and ask each group to post their results. Allow participants to review these for about 10 minutes and initiate a discussion around the following:

- ✿ How different were the analyses of the groups for each diagram? What could be the reasons for this?
- ✿ What was the commonality among the three institutional arrangements presented? What does this tell us?
- ✿ Which of the criteria appeared to be the strongest overall? Why would this be so?
- ✿ Which of the criteria appeared to need strengthening overall? What could be the reason for this?

6

Close by asking the group to once again reflect on the importance of governance and institutional arrangements in PM. Refer back to the PM Process diagram developed in an earlier session and point out that these arrangements will evolve over time based on how they function. There is rarely a "perfect" model that works in all situations although there are ideal characteristics that we should aim for.

#### Facilitator Notes

- ✿ Ensure that the groups do not start trying to 'correct' the diagrams but instead analyse them as presented.
- ✿ Try to get the participants to refrain from being judgemental about the 'best' arrangement as this might depend not on the actual arrangement but on the level of knowledge of the participant who has developed the diagram.

Developed by:  
Phil Franks &  
Sejal Worah





## ● ● ● Attachment 42: Institutional Arrangements ● ● ●

### **An Institutional Arrangement comprises**

- Architecture (organisations and committees)
- roles, responsibilities, relationships and terms of representation (as defined by policy and statutory/customary law)

### **Success of CFM implementation depends critically on:**

- Adequate incentives (legal, institutional, economic, technical)
- Good governance
- A functional and sustainable institutional arrangement

## ● ● ● Attachment 43: Governance ● ● ●

Governance is defined as 'the formal and informal power relationships surrounding the management of public affairs, including service delivery'

Governance is a broader notion than government whose principal elements include the constitution, legislature, executive and judiciary

Governance involves interaction between these formal institutions and those of civil society

Typical criteria for assessing quality of governance include the degree of participation, accountability and efficiency in the conduct of public affairs

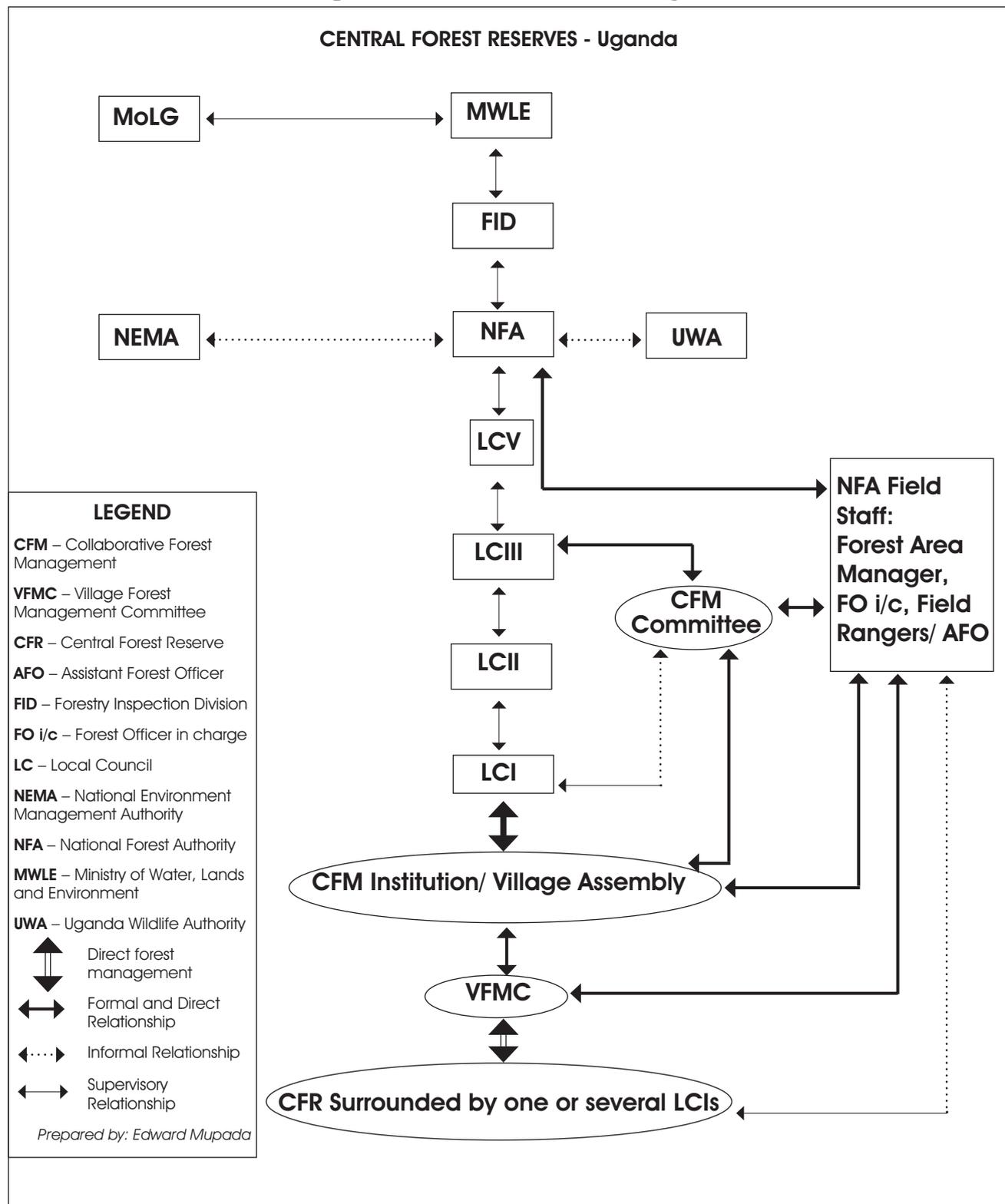
### **Good governance requires**

- strong, democratic government and civil society organisations
- clear definition of roles, responsibilities and accountabilities

### **That promote**

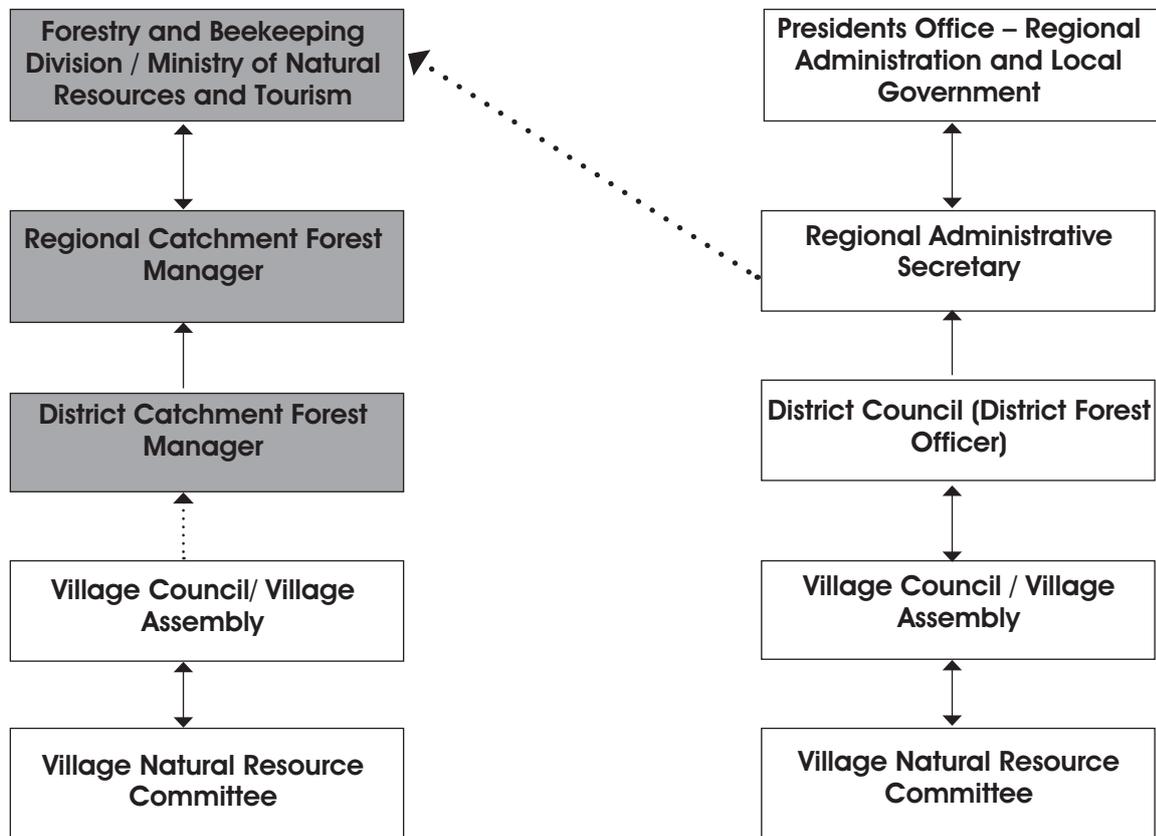
- real participation, transparency, accountability & efficiency
- 

● ● ● Attachment 44: Examples of Institutional Arrangement for PFM/CFM ● ● ●





### Central and Local Forest Reserves - Tanzania



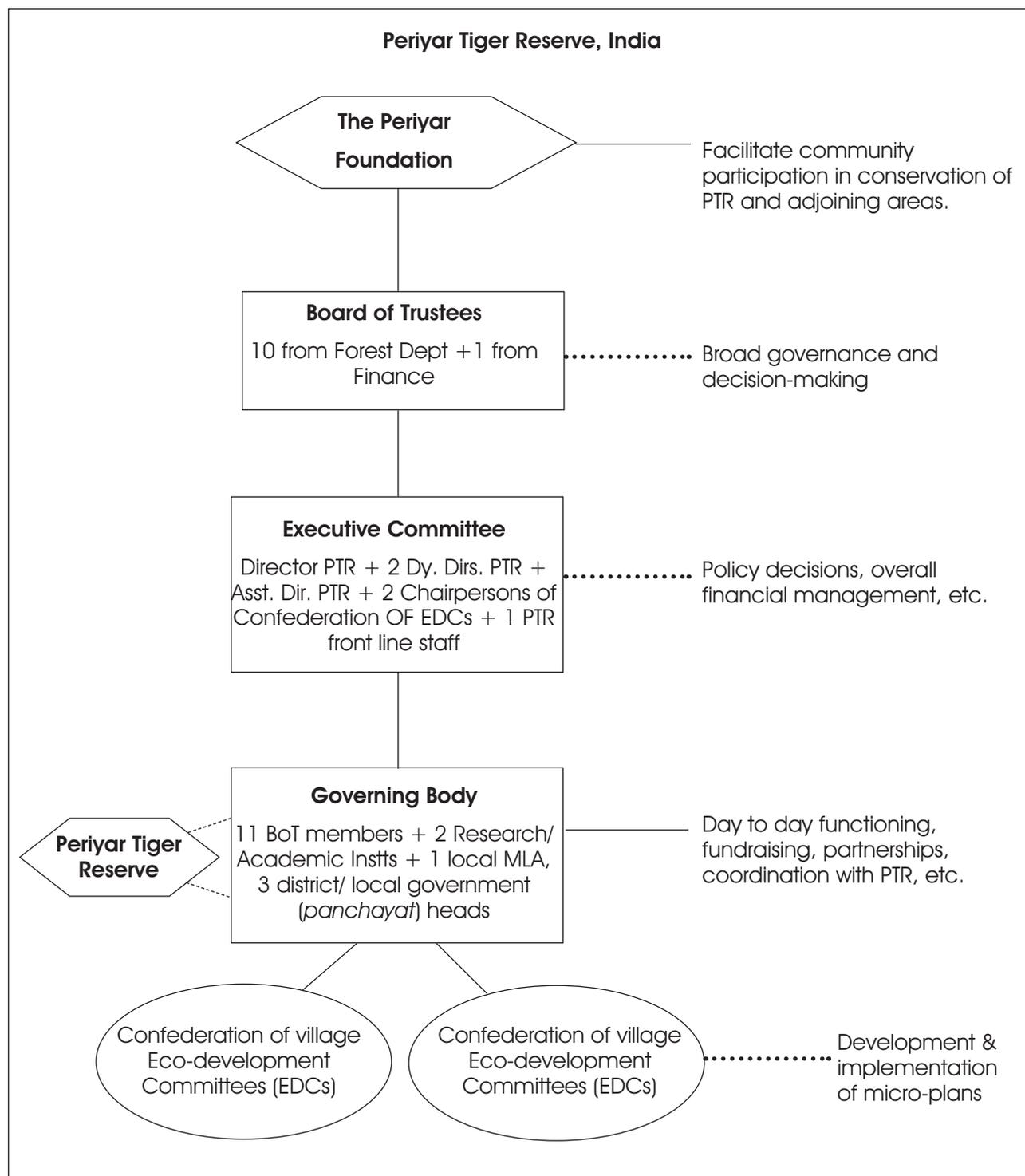
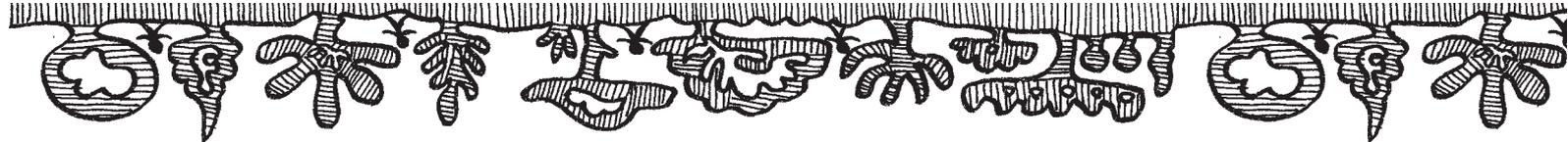
JFM arrangements in National Forest Reserves (Catchment and Mangrove)

CBFM Arrangements on Village Land and JFM arrangements in Local Authority Forest Reserves

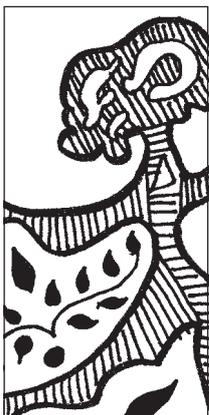
Note: Dotted line indicates informal link (between Ministries) and shaded boxes indicate Forestry Division staff/responsibilities

Developed by: Tom Blomley





# Developing Organisational Capacity



**Objective:** To build understanding on how organisations develop and identify key areas where organizational capacity needs to be strengthened

**Materials:** Flip charts, coloured markers, LCD

**Preparation:** Slide with What is Organisational Development (Attachment 45).

Flip chart with Areas for Organisational Capacity Building (Attachment 46).

**Time:** 2½ - 3 hrs

1

Explain that it is very important that local organisations and institutions have the capacity to manage the change process that PM entails and to function effectively to fulfil the roles expected of them. Often, not enough attention is paid to this and PM can fail when local organisations are not adequately strengthened.

2

Point out that there are multiple definitions of organisations, institutions and organisational development. For this session, we will focus on the simplest and most relevant definition that can help us understand what is needed for local organisations to sustain themselves and undertake PM. Post the prepared definitions from Attachment 45 and walk the group through these.

3

Next, explain that we will be working in groups to identify specific organisational capacity skills needed in order for local organisations to fulfil the roles expected of them and also to be able to take control of their future and manage the change process effectively. Explain the following group process:

- ✿ Each group should discuss and identify a “real” local organisation that one of them is familiar with in a PM context.
- ✿ Based on this, they should then try to identify essential skills, processes, structures, technologies that need to be in place for the organisation to undertake effectively its role in PM.
- ✿ They should think of these capacities and processes under the following broad headings (use the example in Attachment 46 to provide some guidance if needed):
  - Resource Management
  - Financial/Administrative Management
  - Organisational and Social Dynamics
  - Advocacy/Communications
  - Income Generation



4

Divide the participants into small groups and give them 1 hour to complete the task.

5

After all groups have finished, reconvene in a plenary session and ask each group to post their results. Allow participants to review these for about 10 minutes and initiate a discussion around the following:

- ❖ How different were the analyses of the groups? To what extent can this be linked to the type of organisation or the stage at which the organisation was?
- ❖ What were some of the most frequently repeated capacity needs identified? What does this tell us?
- ❖ Did any groups come up with issues/capacities that were unique? Would these be applicable more widely?
- ❖ Which of these areas is the most difficult to address? Where do most organisational weaknesses emanate from?

6

Close by pointing out that while the focus of the session is more on the “techno-structural” aspects of the organisations and not the “cognitive-cultural-emotional” aspects of organisations, both are equally important for an organisation to be effective.

#### Facilitator Notes:

- ❖ Note that the focus of this session is on local (community-based) organisations involved in PM. A subsequent session will focus on government organisations involved in PM. This should be clarified at the outset.
- ❖ Participants will probably note that many of the skills needed for local organisations are similar to what their own organisations need for facilitating PM. Point out that while this is true, the approach to capacity building at the different levels will vary and we need to think carefully about how these skills can be built at the community level. Training may not necessarily be the answer.
- ❖ Based on time available, an additional activity could be for groups to think about how local organisational capacity can be strengthened.

Developed by:  
Sejal Worah





## ● ● ● Attachment 45: Organisations and Organisational Development ● ● ●

### **An Organisation...**

- \* is a complex of people or groups that, according to commonly agreed rules and procedures strive to realize one or more pre-set objectives
- \* does not necessarily have to be formal, with written constitutions, objectives, procedures, etc as long as there is a common understanding among the members about the objectives and how to achieve them
- \* could be a group of women producing baskets, whether or not it is registered and whether or not it has a constitution
- \* could also be a formally registered local body such as a Village Forest Management Committee

*Adapted from: MSTCDC OD Workshop Report, 2004*

### **Organisational Development is...**

- \* a conscious and deliberate process through which organisations are empowered to be more conscious themselves (context, identity, culture, competencies) and to take charge of their own development [*MSTCDC OD Workshop Report 2004*].
- \* the discipline of creating and applying processes aimed at developing the capacity of organisations...such that the organisation is better able to take control of its own functions and future in a responsible manner [*CDRA 1995*].
- \* the facilitation of an organisation's capacity to self-reflect, self-regulate and take control of its own process of improvement and learning [*Kaplan 1996*].
- \* about creating the conditions in which change can take place from within the organisation [*Hailey 1996*].

## ● ● ● Attachment 46: Areas for Organisational Capacity Building ● ● ●

- \* Resource Management: developing resource use plans; monitoring; patrolling; mapping; GPS use; baseline surveys; impact assessments;
- \* Financial & Administrative Management: records; book-keeping; organising meetings; minute taking; budgeting
- \* Organisational & Social Dynamics: mobilising members; representation; team cohesion; collective decision-making; enforcement; managing conflict; leadership
- \* Advocacy & Communications: documentation; networking & developing alliances; presentation; collaboration with authorities;
- \* Income Generation: business planning; marketing; benefit sharing; accessing government schemes;



# Attitudinal & Organisational Change



**Objective:** To build understanding on attitudinal changes needed to implement PM.

**Materials:** Flip charts, coloured markers

**Preparation:** Flip chart with Types of Resistance to Change (Attachment 47). Handout of this for all participants.

**Time:** 2 ½ - 3 hrs

1

Start by explaining now that we have an understanding of what PM entails, it should be clear that moving from “conventional” forest or PA management to PM requires changes in individual attitudes, roles, skills, management and leadership styles.

2

Divide participants into three groups and ask them to think about and discuss these changes in their groups. Group 1 should discuss changes in roles and functions needed for promoting or implementing CFM; Group 2 should discuss attitudinal changes; and Group 3 should discuss changes in skills.

3

At the end of 20 minutes ask each group to present their results, inviting other groups to add ideas.

4

Next, explain that resistance to change is a common and natural response to uncertainty. Ask the group to think about why people might resist change, reflecting on their own behavior in such situations. After giving them a few minutes to think about this, record individual responses on a flip chart and discuss.

5

Point out that these factors can be broadly classified into three categories. Walk the group through the presentation in Attachment 47 and discuss how their responses fit into these categories. Discuss further which are the most common “types” or resistance to change and which might be the most difficult to address.

6

Ask the group to think about motivation which can help overcome such resistance. Explain that different people are motivated by different factors. While a few people tend to be self-motivated, most of us are motivated by external factors such as security, recognition and returns. As PM managers and/or facilitators, we are often in a position where we need to use our motivational skills. These are not so much about understanding how to motivate people but about understanding what motivates people and then creating the right environment for this.

7

Now explain that having understood the concepts of resistance to change and motivation, we are in a better position to think about how to



bring about change for PM. Explain the following group activity:

- ✿ Each group should discuss and pick a few (3-5) of the issues from the handout (from different categories) – these should ideally be issues that people in the group have experienced for themselves
- ✿ They should then discuss ways in which they might overcome that resistance – again ideally based on their own experiences
- ✿ They should note the results on a flip chart in two columns – one column stating the problem and the other outlining solutions

8

Divide participants into small groups and give them 40 minutes to complete the task.

9

Once the groups are done, ask them to post the completed flip charts around the room and spend a few minutes looking at the results of the other groups.

10

Once all participants have had a chance to look at each others' results, initiate a discussion along the following:

- ✿ What were some of the common areas of resistance that the groups focused on? Why?
- ✿ How similar or different were the solutions that the groups came up with? What could have influenced this?
- ✿ What were some of the more interesting or innovative ideas for overcoming resistance or motivating people to change that groups came up with? Would these work in other situations?

11

Ask the groups if there were any "difficult" areas that they could not address and then explore a collective response to these. Close by pointing out that while not all resistance to changes needed for PM can be overcome easily, understanding what motivates people and why they resist change can help in coming up with appropriate strategies and incentives.

**Facilitator Notes:**

- ✿ This session primarily focuses on changes needed for PM within government agencies and departments and this should be clarified at the start (although this can also apply to other organisations)

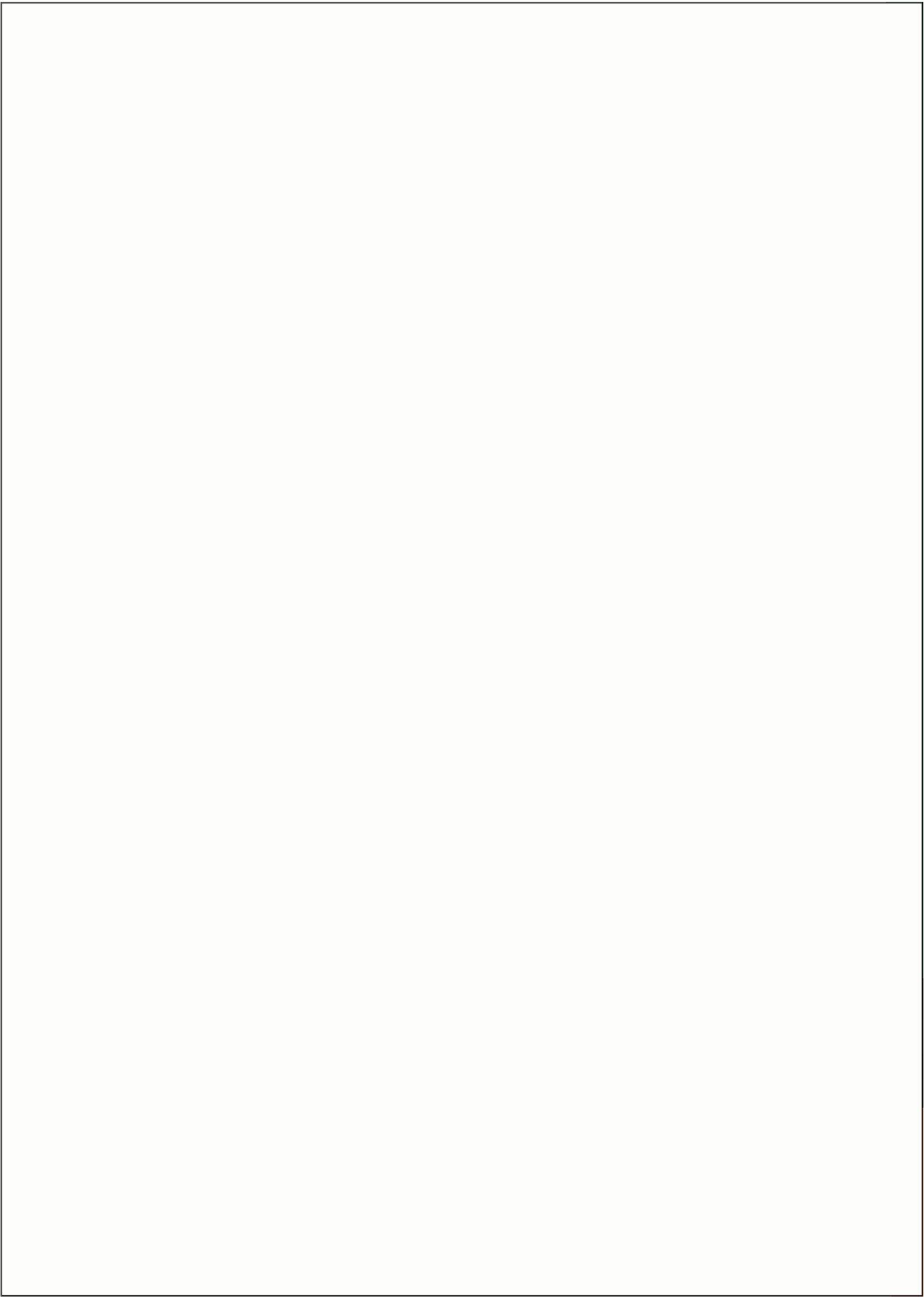
**Developed by:**  
Sejal Worah

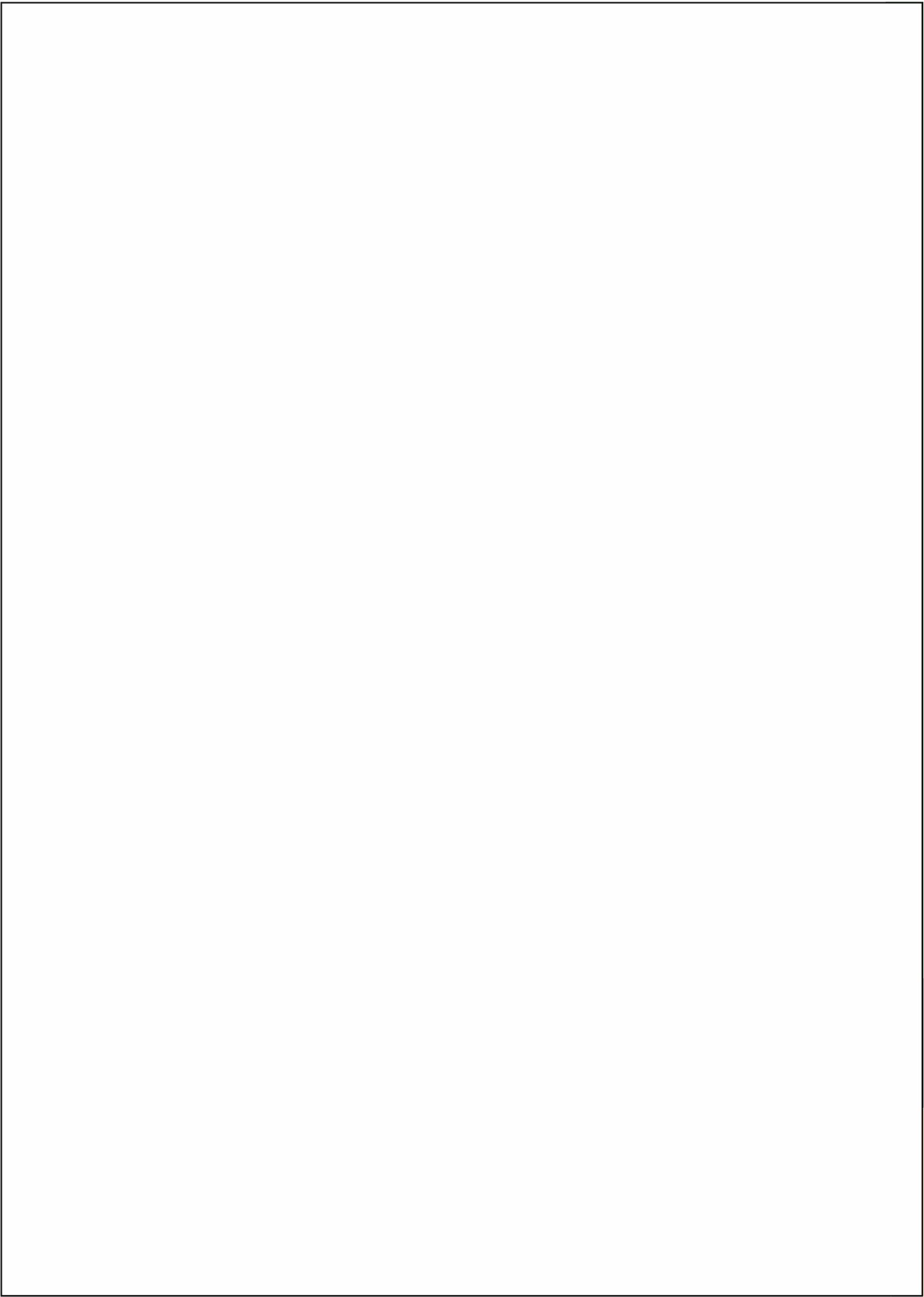


## ● ● ● Attachment 47: Types of Resistance to Change ● ● ●

<p><b>General insecurity generated by a process of change</b></p>	<ul style="list-style-type: none"> <li>• Feeling that other bigger concerns are not being addressed while change of one kind is being pushed</li> <li>• Lack of conviction that senior management really supports the changes</li> <li>• Change seen as imposed by outsiders with little understanding of field realities</li> <li>• Fear of failure</li> <li>• Concern that changes will increase workload</li> <li>• Feeling of comfort and security in current way of working</li> <li>• Fear of criticism</li> <li>• Insecurity in taking the lead</li> <li>• Feeling that it is futile to change way of working in the field when the rest of the organisation is unchanged</li> <li>• Concern that it will be impossible to change relationships with other stakeholders (e.g. community, loggers, etc.)</li> <li>• Skepticism about changes because of first-hand knowledge of local politics</li> </ul>
<p><b>Straightforward practical problems</b></p>	<ul style="list-style-type: none"> <li>• Time constraints</li> <li>• Policy constraints</li> <li>• Negative perceptions of other stakeholders</li> <li>• Inadequate resources and infrastructure</li> <li>• Lack of capacity/skills</li> <li>• Poor cooperation from other agencies</li> </ul>
<p><b>Fundamental opposition</b></p>	<ul style="list-style-type: none"> <li>• Belief that the change undermines mandate and strengths of organisation</li> <li>• Don't believe communities can manage forests</li> <li>• Wish to remain in power and control</li> <li>• Threatened by accountability and transparency</li> <li>• Democratic principles go against traditional working system</li> </ul>

*Adapted from: Organisational Change for Participatory Forest management (FAO)*





# Participatory Management of Forests and Protected Areas A Trainer's Manual

by Sejal Worah

This manual is designed for forest and Protected Area managers, NGO professionals and academics working towards building capacity for strengthening participatory approaches towards forest and PA management. It contains a set of training activities with detailed instructions, handouts, case studies and facilitator notes to help design and implement training courses on various aspects of participatory resource management. It is developed based on a series of training courses conducted in Asia and Africa and all sessions have been successfully field-tested with a variety of audiences. The manual should help forest and PA practitioners to enhance existing training approaches by providing a set of participatory and interactive sessions in key topics that can be adapted and modified to suit different groups and situations. The training activities in the manual can be used for short courses for senior decision-makers as well as field training for community groups. Its true effectiveness depends also on the experience and innovation of the user.

