

# Making small enterprises work better for social justice in forestry

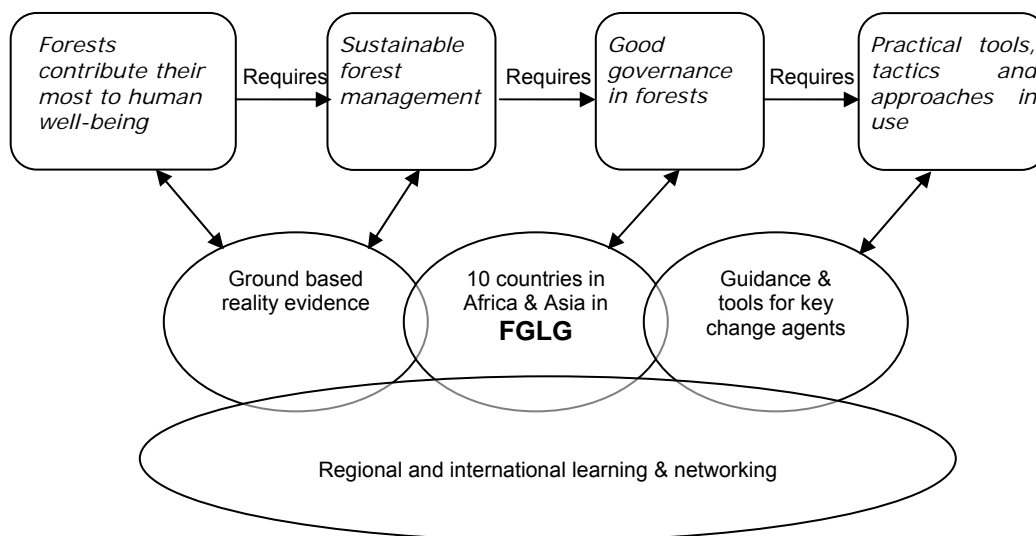
Report of a Learning Event held at the  
Indian Institute of Forest Management, Bhopal, India  
4th to 7th December 2007  
International Institute for Environment and Development (IIED)



The Forest Governance Learning Group (FGLG) is an informal alliance of in-country teams and international partners currently active in ten countries. We try to connect those marginalized from forest governance to those controlling it, and to help both do things better. Since 2003 we have been carrying out focused studies, developing tactics and tools, holding learning events, and working to effect change.

### About the Forest Governance Learning Group

A shared belief motivates the FGLG: that forestry can contribute to the eradication of poverty and sustainability – with the right leadership, institutions, policy decisions and practical systems – but that practical forest governance approaches and real preparedness to implement them on the ground are in short supply. The rationale for the Group is shown in the diagram below:



FGLG partners are:

- ❑ International Institute for Environment and Development (IIED) steers the group
- ❑ Indufor Oy based in Finland
- ❑ LTS International (LTSI) based in the UK
- ❑ Regional Community Forestry Training Center for Asia and the Pacific (RECOFTC)
- ❑ Centre d'Etudes pour la Promotion, l'Aménagement et la Protection de l'Environnement - CEPAPE), University of Ouagadougou – convenes the independently emerging team in Burkina Faso
- ❑ Cellule de Recherche Action Concertée sur la Gestion des Ressources Naturelles (CRAC-GRN) convenes the team in Niger
- ❑ Civic Response convenes the team in Ghana
- ❑ Forestry South Africa convenes the team in South Africa
- ❑ Justicia Ambiental and Terra Firma convene the team in Mozambique
- ❑ Training Support for Partners and Centre for Development Management convene the team in Malawi
- ❑ Advocates Coalition for Development and Environment convenes the team in Uganda
- ❑ Network for Environment and Sustainable Development in Central Africa and the Africa Model Forests Network convene the team in Cameroon (NESDA)
- ❑ Indian Institute for Forest Management convenes the team in India
- ❑ Inspirit and the Multi-stakeholder Forestry Programme convene the team in Indonesia
- ❑ An independent researcher with good links to government convenes the team in Vietnam

FGLG is supported by the EC and the Dutch government. This report presents the results of an international learning event and is a compilation of inputs from all FGLG partners. It does not represent the views of FGLG's donors. The website for the FGLG, where news, reports and work plans for the FGLG country teams can be found, is: <http://www.iied.org/forestry/research/projects/forest.html>.

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## Executive summary

'Making small enterprises work better for social justice in forestry' was the focus of this international learning event, reflecting an area of concern for many of the FGLG country teams. The event built on the strengths of the last international learning event held in Uganda in November 2006, and will be followed by a further event in a year's time. The aim of the 2007 event was to enable FGLG country teams to further sharpen tactical actions for the year ahead by providing opportunities for peer review, and in-depth comparative analysis of lessons. The 33 participants included two, on average, from each of nine country teams, a guest from Burkina Faso who is working on forest governance issues, and colleagues from RECOFTC, LTSI and IIED.

The following highlights from the learning event, drawn out by James Mayers on the final day, serve to illustrate some of the key issues discussed and challenges that FGLG participants are facing:

### *The context we are working in:*

- Forests are theatres of conflict (simmering stakeholder disagreement, to armed insurrection against the state)
- Justice as a process is necessary but not sufficient, justice is also a standard of human conduct (Justice Professor Mohan Gopal)
- We need to seize opportunities – for example, when legislation provides for new tribal rights to forest land and employment (Professor D.K. Bandyopadhyay, and India team)

### *Yet this context also gives us opportunities:*

- Small forest enterprise is the biggest forest sector in many countries, in terms of numbers, scale, revenue, jobs (Duncan Macqueen)
- Charcoal is worth \$40 million/year to Malawi (fuelwood \$20 billion/year to India); currently it is all illegal, but with clever policy (and much effort) it could be sustainable
- There is always a big range of pressing governance problems: the challenge for FGLG is picking the ones where there is some room for manoeuvre (South Africa)

### *We heard some useful gossip from the teams:*

- Stories of key positions, key people, sackings, banishments, overnight changes, musical chairs. We need to recognise and work with this (Malawi, Ghana, Uganda, Ghana, South Africa, Mozambique)
- The Ghana team talks about governance issues with key players during breakfast, lunch and walks ("The Indonesia team prefers dinner"): these short-term tactics are astute, but may be no substitute for concerted mobilising of constituencies
- It may be time to give up when there are more meetings than trees

### *We enjoyed field trips – and some gossip from the field:*

- "We could get organised, but what for? The legal system is stacked against us" (farmers growing trees on land which cannot be converted to cultivation)
- "Only government can do that – farmers cannot do it" (Forest Department explaining direct use of teak for enterprises)
- On the roads in India there is no governance! Social justice at last, or just a dead end?

### *There were more governance lessons from the field:*

- Improved local organisation often needs an external 'spark' – this is often in the form of a new market, but look for a policy spark too (Fuelwood field group)
- Tenure insecurity can be increased by poorly designed initiatives (Ecotourism field group)
- Massive NTFP industry/ potential is hindered by the state's feeble use of resource status information and control of prices (Herbals field group)

*FGLG can turn gossip into tactics:*

- *FGLG is riding on the hairy beast of governance* – Cameroon
- Working through FGLG members' own networks, we can use policy briefs on specific product market chains – with specific policy targets (India)
- *Mozambique is being uprooted and stored in the hold of a ship* – the rap song and video from Mozambique. The team emphasised the value of transparency, responsibility and principles-based work
- *Integrity and vibrancy – no whining, no complaining!* The Indonesia team have made good progress creating safe space for working through controversial issues, and developing capacity to tackle them
- Sensitivity of information – keep governance gossip going, as teams gain credibility and strength, find ways of releasing such information in safe and effective ways
- Attribution – we can be most effective by avoiding use of a 'brand' (and creating a target for potential backlash) and by provoking and catalysing, except when we operate as a full Group (like during the learning event)

*FGLG is having impact - more discerning governance for communities and small forest enterprises*

- Sector investment plan - policy briefs have caught attention, there has been much interaction and high level debate. A direct result is a doubling of the government budget this year for decentralised natural resource management (Uganda)
- The Mabira campaign has been won...for now: *'forestry as a rallying point for better governance in the country'* ("has taken forestry away from the mafia to the common people" – Sanjoy). Legal processes are costly, but were effective in this campaign (Uganda)
- The government is promoting community forest management and is open to advice (Vietnam)
- Parliament has taken up forestry as a result of the campaign – it is always in the news now (Mozambique)
- Installing rights and key tenure and fiscal reform in the hairy process of 'going legal' with timber in Ghana
- Forest Sector Charter has been shaped and is useful for capacity of SFEs in South Africa

*Taking us into next year – some of our challenges for the future:*

- Tenure and access rights, especially for women, are holding back community and small forest enterprise (Burkina Faso)
- *It's the tenure stupid!* All short and long term answers depend on effective democratic local resource control (Ghana)
- *FGLG's key role is "speaking truth to power"* (India)

Particularly appropriate, as the event was held in India, is Mahatma Gandhi's reply to the British (as quoted by Justice Professor Mohan Gopal): *'Good' government is no substitute for self government.*

The international learning event in Bhopal enabled participants from all FGLG teams to reflect on progress so far, to present their ideas, to discuss their challenges, to develop and consolidate new strategies – and to be re-invigorated with ideas and enthusiasm for the final year of activities in our current cycle of financial support. Valuable opportunities for cross-learning and exchange between country teams were discussed. Constructive criticism, advice and support were offered. The informal, international network of FGLG participants was strengthened such that mutual support and learning will be increasingly effective. The Bhopal learning event brought attention to the focus of the coming year: that of increasing and spreading impact of forest governance activities. We will meet again at another international learning event late in 2008, to once again share ideas and progress – and to focus on having impact from governance work for local control of forests.

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## **Acknowledgements**

This report has been compiled by Nicole Armitage, Elaine Morrison and James Mayers. All the content was generated by the participants in the Forest Governance Learning Group (FGLG) learning event in India (see Annex 1) but errors and omissions in the way it is reported are the responsibility of the compilers.

IIED would like to express its gratitude to the Indian Institute of Forest Management (IIFM) for hosting the learning event on their campus. Particular thanks go to Professor Prodyut Bhattacharya and his faculty colleagues in IIFM's International Centre for Community Forestry, especially Mr Sarvashish Roy for ensuring the smooth running of the event. The organisers of the event were Nicole Armitage and Elaine Morrison of IIED and Sarvashish Roy of IIFM. The chief facilitator was Peter O'Hara of LTS International.

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*Cover photos* were taken by members of the IIED team during the field trips.

## 1. Overview of the event and its outputs

### Objectives, participants and schedule

Building on the strengths of the last learning event held in Uganda in November 2006 (and, before it, events in South Africa and Ghana)<sup>1</sup>, the aim of this event was to further sharpen tactical actions for the year ahead by providing opportunities for peer review, and in-depth comparative analysis of lessons from country teams. The focus of the Learning Event was '**making small enterprises work better for social justice in forestry**'. Many FGLG country teams are already working with small enterprises and the learning event was an opportunity to share experiences.

Thirty three participants attended the Learning Event. This year we were especially pleased to welcome a participant from Burkina Faso, where an FGLG team is starting to form of its own accord, independent of the wider IIED-facilitated initiative. Sadly, colleagues from FGLG-Niger were unable to attend due to visa difficulties with their passports being lost by a courier company. A full contact list for participants is given in Annex 1 of this report.

This year the learning event was divided into four parts: sharing FGLG team work; exploring small enterprise issues; conducting PRA in the field with local communities; and planning for the year ahead.

Summaries of the key outputs of each session are shown below as well as the schedule for the event. Detailed material on the presentations and discussions held in each session can be found in later sections of this report.

### Inaugural speeches

The inaugural session included speeches from the two special guests, Professor D.K. Bandyopadhyay of IIFM, and Justice Professor Mohan Gopal of the National Judicial Academy. They spoke about the effect of different aspects of legislation on India's poorest communities: the potential benefits of the National Rural Employment Guarantee Act - which is one of the largest rights-based social protection initiatives in the world - and the Indian Constitution, which was founded on principles of equity and social justice.

#### ***Professor D.K. Bandyopadhyay, Director of the Indian Institute of Forest Management***

Professor D.K. Bandyopadhyay noted how society is becoming bipolar – for example in India there are more and more billionaires, yet 26 per cent of the population are below the poverty line of \$1 per day. Many of those below the poverty line live in forest areas and are dependent upon forests for their livelihoods.

Yet there are opportunities for forest dwellers to develop livelihood activities for their own benefit without having negative impacts on the forest. The National Rural Employment Guarantee Act (2005) guarantees one hundred days of employment in rural areas and very substantial funds have been earmarked for it. Much of this money should go to forest dwellers. But how can those one hundred days of employment be created? Small enterprises – the theme of the learning event - can play a key role here, and can ensure that the benefits reach people directly. Furthermore the 11<sup>th</sup> Five Year Plan, started in 2007, gave impetus to starting micro-enterprises.

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<sup>1</sup> The website for the FGLG, facilitated by the International Institute for Environment and Development (IIED), is: <http://www.iied.org/NR/forestry/projects/forest.html>  
Uganda 2006 learning event report: [http://www.iied.org/NR/forestry/documents/FGLGlearningeventUgandaReport\\_000.pdf](http://www.iied.org/NR/forestry/documents/FGLGlearningeventUgandaReport_000.pdf)  
Update on FGLG September 2007: <http://www.iied.org/NR/forestry/projects/documents/FGLGUpdateSept07.pdf>

**Justice Professor Mohan Gopal, Professor of Law and head of the National Judicial Academy in Bhopal**

The National Judicial Academy provides judicial education and policy development. It is considered to be one of the best academies for continuing judicial education in the world and is India's think-tank on justice, providing as it does opportunities for reflection and analysis of the role of the judicial system. The Supreme Court of India is known for its unusual openness and it has advanced the cause of environmental justice in particular. A reflection of its openness is its insistence that the National Judicial Academy should not be headed by a judge.

Justice Professor Mohan Gopal spoke about the Indian Constitution, which was drafted between 1946 and 1949 by Dr Ambedkar, a Harijan himself. The preamble includes the need to achieve justice, and this statement has pride of place in the Constitution.

But what do we mean by justice? Justice may be seen as a method of decision making, whereby the right people are making decisions in the right way and at the right time. The Constitution regards justice as a standard of human conduct, one which concerns the conditions under which people live. Each person has a different view of what that standard should be, but central to the concept is the idea of freedom. Gandhi's definition of freedom was based on two ethical values: truth and non-violence. He advocated questioning of the law by individuals, and civil disobedience if truth and non-violence were not adhered to. 'Ahimsa' (non-violence) is based on a view of all life and is not anthropocentric. Gandhi's well-known talisman is to consider how your decision will improve control of the poorest person over his or her own life. Another well-known statement of Gandhi's is that: '*Good government is no substitute for self government.*'

At the time of writing the Constitution, there was much debate about whether to have one person, one vote: it was feared that illiterate people would be swayed by powerful paternalistic forces. However, the one person one vote system was finally agreed, and is now the greatest source of strength in India's democracy.

India is now very open to change: for example how can new technologies best be used for the benefit of tribal people? But changes need to be within a framework of freedom and self-governance. The Indian Constitution itself was described by a scholar as a means of change, and not of overthrow: it is 'an instrument of social revolution'.

**James Mayers, Head of the Natural Resources Group at IIED**

James gave some background to the Forest Governance Learning Group (FGLG) and why we have come together in this learning event. He noted that the shared premise for the Group was that forestry can do more for poverty reduction and sustainable livelihoods, but only if *governance* – who gets to decide what – is got right. This is a vital focus for progress on *social justice* – righting past wrongs, and on the *tactics* – for making policies actually work.

FGLG is an independent alliance sharing and spreading learning on how to make forest governance work. Country teams have got going in the following years:

- 2003-04: Ghana, Uganda, Niger, Mozambique, Malawi, South Africa
- 2005-07: Cameroon, India, Indonesia, Vietnam
- 2007-09: Burkina Faso, maybe Tanzania and Nepal soon

FGLG is facilitated by IIED and currently has four targets:

- *Macro-planning frameworks* enable improved forest governance
- *Illegal and corrupt forestry* that degrades livelihoods reduced



- *Forestry enterprise* initiatives and associations spread better governance
- *Locally controlled forestry* through strengthened rights and management

There are three main elements in the work in each country:

- Small ad-hoc team of “governance-connected” individuals
- Team challenged by policy research on issues facing those marginalized by governance
- Practical guidance, tools, events, opportunistic action

Over the last year, much progress has been made:

- 10 country teams active
- Social justice learning event - Uganda
- 19 new policy research outputs/tools
- 15 new press articles/advocacy outputs
- 14 international agencies worked with
- 12 international forums participated in

And there are strong impacts from the work emerging. For example:

- *Legal timber partnership agreement* shaped between EC and Ghana
- *Small forestry enterprise* – influential development strategy in South Africa
- *Parliamentary debate on charcoal production* re-oriented from regressive policing towards sustainable livelihoods in Malawi
- *High-level media attention to destructive logging and Chinese investment* in Mozambique
- *President forced to stop give-away of forest reserves* to agribusiness after advocacy work in Uganda

‘To do’ at the this learning event at IIFM:

- *Social justice in forestry* – building on learning about law *per se* (Mukono, Uganda November 2006) to focus on *governance of small enterprise*
- Peer review of work done this last year – highlighting tactics and impacts
- Sharpen plans for the year ahead – *improving local control of forestry*

## Schedule for the learning event

	DAY 1 Tues 4 Dec	DAY 2 Wed 5 Dec	DAY 3 Thurs 6 Dec	DAY 4 Fri 7 Dec
A M	<p>START 9.00am Room 119</p> <p>SHARING FGLG TEAM WORK:</p> <p>1. Inauguration – welcome.</p> <p>Tea break/group photo 10.15 – 10.45</p> <p>2. Overview of workshop programme and process – introductions.</p> <p>3. Presentation of country team activities and lessons – Powerpoint presentations for peer review.</p>	<p>START 9.00am Room 119 Feedback team</p> <p>EXPLORING SMALL ENTERPRISE ISSUES:</p> <p>4. Rationale, definitions and key issues – small forest enterprises.</p> <p>5. Two parallel sessions. Poster sharing session of country team’s small enterprise analysis.</p> <p>Tea break 10.15- 10.30</p> <p>6. Synthesis and analysis of small enterprise lessons</p>	<p>START 7.00am Research teams can prepare for field programme. FIELD PROGRAMME – Participatory analysis of governance issues related to small forest enterprises: 8.00 am sharp. LEAVE FOR FIELD- NOTE BE PREPARED FOR VILLAGE CONDITIONS. 11. Four field participatory research teams designated to conduct an exploration of the governance environment related to four small forest enterprises/potential enterprises.</p> <p>Initially meeting with stakeholders separately.</p>	<p>START 8.30 am Room 119 Feedback team</p> <p>13. Group preparation of key findings from field programme.</p> <p>14. Group presentation of field programme findings</p> <p>10.30– 10.45 Tea Break</p> <p>PLANNING FOR YEAR AHEAD:</p> <p>15. Reflection on key outputs from workshop.</p> <p>16. FGLG country teams adapt/ enrich country team workplans – poster summaries.</p>
	<p>Lunch 12.45– 1.45pm</p>	<p>Lunch 12.30 – 1.30pm</p>	<p>Lunch roughly 12.30- 1.30pm (eating with local participants)</p>	<p>Lunch 12.30 -1.30pm</p>
P M	<p>Presentations continued...</p> <p>Tea break 3.45 - 4.00</p> <p>Presentations continued...</p> <p>FINISH 6PM</p>	<p>7. Introduction to field programme methods</p> <p>8. Small enterprise role-play - ‘dry run’ for field programme – Note outside classroom in open air – sitting on ground in sun. Be prepared. Tea break 3.45- 4.00</p> <p>9. Reflection on role play.</p> <p>10. Field programme briefing - ‘research teams’ prepare for field programme – present plan. FINISH 6PM</p>	<p>Separate stakeholder meetings continue.</p> <p>12. FGLG participants organise and facilitate multi-stakeholder discussions on enterprise environment.</p> <p>LEAVE FROM FIELD LATEST 6PM</p>	<p>17. Short presentation of enriched plans for peer review.</p> <p>Tea break 3.45 -4.00</p> <p>18. Wrap-up - fish bowl debate - key emerging issues from learning event for FGLG.</p> <p>19. Next steps – ideas to follow up on.</p> <p>20. Evaluation</p> <p>21. Closing remarks</p> <p>FINISH 6PM</p>
	<p>Evening 7.00 pm depart to hotel welcome dinner and video – Lake Matters</p>	<p>Evening 7pm Dinner 8.30 Optional side sessions (2)</p>	<p>Evening 7.30pm Dinner IIFM/ICCF hosted. Cultural programme</p>	<p>Evening 7pm Dinner. 8.30 Optional side session (1)</p>

## **Profile of each FGLG country team's work – powerpoint presentations**

Presentations were given by each country team about its work since the last learning event in Uganda in November 2006 (see section 3). The structure of the presentations was guided by suggestions from IIED a few weeks prior to the learning event.

A rotating panel made up of workshop participants provided feedback to each group on their achievements versus plans, strengths, weaknesses and impacts over the past year. Strengths included expanded membership (and background) of FGLG in some countries, successful advocacy and engagement with government and effective communication products. Panellists challenged presenters on a range of issues including the complexity and logical flow of work plans, how to measure and attribute impact, and the appropriateness of tools and tactics. Further details of panel feedback following each country presentation are included in the country sections below.

## **FGLG country teams on making SMFEs work better for social justice in forestry – poster presentations**

Following an initial presentation by Duncan Macqueen (IIED; see section 2) that highlighted some of the key issues facing SMFEs, country teams gave a poster presentation on the theme “making SMFEs work better for social justice in forestry” (see section 3). Each followed a basic structure suggested by IIED a few weeks prior to the learning event.

Questions and comments were put to the presenters. Some of the questions that came up across countries included government policies that help or hinder SMFE development, the role of alternative support structures for SMFEs (such as associations, certification bodies and NGOs) and the comparative advantage of FGLG working on these issues.

## **Field programme**

This year's field programme sought to provide an insight to the reality of the SMFE environment in the local area. Participants chose to visit one of four pre-arranged locations where stakeholders were engaged in one of the following enterprise activities: eco-tourism, herbal NTFPs, private forestry or fuelwood. Through the use of participatory research tools (that had been discussed and practised in role play the previous day), participants were tasked with identifying and examining governance factors that support or hinder the potential of small enterprises for social justice. Each team was supported by an IIFM staff member who acted as an interpreter. During the first part of the day, participants facilitated participatory analysis with separate stakeholder groups (including community members, Forestry Department staff and SMFE employees). This was followed by a session that brought together representatives from each of the different stakeholder groups with the opportunity for stakeholders to present the findings from their analysis and take part in a discussion facilitated by FGLG participants.

Across the sites there was generally a relationship of dependency by the community on the Forest Department. This seemed to be exacerbated in some cases by a lack of communication and sharing of information between the Forest Department and communities (herbal enterprise) and no clear plans for community participation (eco-tourism). Other governance issues that community members raised were lack of connections to markets (fuelwood), legal barriers and limited access to capital (private forestry initiative). In the final session, suggestions for change included conducting a legal framework review and expanding the market through the value chain (private forestry initiative) and identification of alternative enterprises by the Forest Department (fuelwood).

At the end of the day, all stakeholders – and ICCF interpreters – were invited to provide anonymous feedback on how the FGLG participants performed as participatory researchers. A summary of that feedback is included below in section 4.

It was anticipated that through this experience FGLG country teams could be able to apply some of the methods used in their own work where appropriate. A more detailed description of methods used in the field programme, and how and when to use them, is available on request from Peter O'Hara ([Peter-Ohara@ltsi.co.uk](mailto:Peter-Ohara@ltsi.co.uk)).

### **Sharpening FGLG country team work plans**

On the final day, country groups each thought through their work plans for the coming year in light of the feedback and discussion at the learning event. Work plan summaries are shown in the report below. This was a good opportunity for cross-country review and questioning of work plans. This also led to further examples of advice being sought on tools and tactics, e.g. colleagues from India asking FGLG-Vietnam how their strategy for bringing top level officials into contact with rural villagers works in practice. FGLG-Ghana expressed its interest in linking with Cameroon – and in particular with relation to its work on the National Forum on Forest Governance. FGLG-Cameroon in turn, expressed its willingness to support the newly emerging Burkina Faso group.

### **Follow-up action**

Teams agreed to return to their countries to discuss their revised ideas for their 2008 work plan with their co-members and to re-submit their work plan to IIED.

Participants also proposed suggestions for FGLG as a whole in 2008 with action points to be taken up by nominated individuals/ co-venors/ groups. Of particular significance was the suggestion that in 2008 – the final guaranteed year of funding for FGLG – all groups should focus on impact and how this can be achieved. Other suggestions included making a substantial 'social justice in forestry' push in international policy processes; improved cross-country communication and learning between groups; written and film documentation of FGLG work; and thinking through funding options for beyond the current initiative at both a country and international level.

The next learning event is likely to take place in late November 2008 (location and dates still to be decided). The 2008 event will be an opportunity to report back on progress against these actions and to share and develop plans for the future of FGLG.

### **Evaluation**

A quantitative and qualitative evaluation of the learning event was carried out with all participants and full details are given in Section 6. Feedback from participants revealed that the ambitious schedule and tools for the event (and the field programme in particular) had stretched participants' thinking and enabled some excellent governance analysis and peer-to-peer interactions – but at the cost of participants feeling very tired by the end of the event. IIFM was commended for its excellent arrangement of logistics.

## 2. Presentation on small-medium forestry enterprises for social justice By Duncan Macqueen

### Some initial questions...

*What is the economy for?*

- Maximising economic growth?
- Or spreading well-being - security, decent work, relationships, environmental integrity?

*What sustains forests?*

- Control by the big few with financial capital, technology and scale efficiency?
- Or broad benefits to local communities, clear resource rights and local accountability?

*What develops communities?*

- A few scattered jobs and one-off philanthropic projects?
- Or widespread entrepreneurship and strong local associations?

### Definition of SMFES

- A business operation aimed at making profit
- Employs between 10 and 99 full time employees
- Annual turnover of US\$ 10,000-30,000,000
- Annual roundwood consumption of 3,000-20,000m<sup>3</sup>
- Informal or formal

### Rationale 1 - SMFES are significant

	<i>Brazil</i>	<i>China</i>	<i>Guyana</i>	<i>India</i>	<i>South Africa</i>	<i>Uganda</i>
NUMBER as % of total	>98%.	87%	93%	87-98%	33-95%	-
EMPLOYEES as % of total	49-70%	50%	75%	97%	25%	60%
REVENUE as % of total	75%	43%	50%	82%	3%	60%

### Rationale 2 - SMFES are growing

- 410 million – number of indigenous and other forest dependent people
- 25% of forests are owned or managed by developing country communities – doubling in last 15 years
- \$130 billion/year value added by small forestry enterprises worldwide
- 50% of industrial roundwood in US, China and N. Europe is from small family and community forests
- Trends - China and India demand, land pressure, biofuels and avoided deforestation for climate – all bring opportunities and threats

### Rationale 3 - SMFES benefit the poor

- Small scale has advantages
- Wealth accrues locally
- Conflicts due to external resource appropriation are reduced
- Entrepreneurship spreads
- Service networks develop
- Local environmental accountability is strengthened
- Cultural identity/ niche markets are catered for

#### **Rationale 4 - SMFEs need support**

- ❑ Small scale disadvantages
- ❑ Discriminated against in land and resource allocation
- ❑ Disadvantages by tax regimes or hidden subsidies to large firms
- ❑ Ignored or impeded by government bureaucracy and over-regulation
- ❑ Out-competed through lack of bargaining power/ scale efficiencies
- ❑ Cut off from markets and market information systems
- ❑ Shunned by financial and business development services

#### **Rationale 5 – groups exist to help**

- ❑ Production
- ❑ Securing resource access (e.g. Uganda Wood Farmers Association suing Uganda Investment Authority)
- ❑ Aggregation
- ❑ Reducing costs such as transport (e.g. Sakhokuhle association sharing trucks)
- ❑ Marketing
- ❑ Building image by sharing certification and fair trade costs (e.g. Kenya Coast Farm Forestry)
- ❑ Intelligence
- ❑ Finding out what buyers want (e.g. Rajasthan Handicraft producers - seminars on trends in home furnishing)

#### **Governance issues**

- ❑ Business environment – e.g. land/ resource rights, business/ forest regulations, policy fora, tax regimes
- ❑ Market networks – e.g. databases of SMFEs, market trends, investment information, consumer standards, public procurement
- ❑ Business Development Services – e.g. strengthening associations, marketing councils, business training networks
- ❑ Finance – e.g. credit lines, guarantees, grants/ subsidies

#### **Focus**

- ❑ What governance incentives and disincentives? – what needs to change to improve the spread of social benefits from sustainable SMFEs? WHAT TO DO
- ❑ What governance challenges / opportunities? – what tactics can be used to achieve success? - compiling evidence, developing options, stimulating dialogue, building advocacy campaigns – HOW TO DO IT – TACTICS!
- ❑ What FGLG comparative advantage – law (overarching national frameworks), small enterprises (commercial frameworks), local control (local frameworks) – increasing precision on how to improve social justice...WHO SHOULD DO IT

### 3. Country specific presentations and feedback

This section contains summaries of the presentations of each country team's work, their plans for the coming year, and feedback from the other participants. There are four sections within each country section:

- a summary of the country's team activities during 2007 (presented as a powerpoint during the learning event, and summarised as text here)
- a session on 'making small and medium forest enterprises work better for social justice in forestry' (presented as a poster during the learning event, and summarised as text here)
- an outline of the country team's planned activities for 2008
- and a summary of feedback from other participants, both as panel members and in plenary.

As mentioned above, the Burkina Faso Forest Governance Learning Group is as yet independent of the IIED-coordinated initiative (it is supported through a collaboration with the NGO TreeAid), but its representative, Dr Garane, kindly followed the same format as for other teams.

#### ***Burkina Faso***

#### **Summary of FGLG-Burkina Faso activities in 2007 and ideas for 2008 work plan**

##### *Burkina Faso - forest sector*

- ❑ Area 27.3 million ha – of which forest 25.9% (7.1 million ha)
- ❑ Reserved forest (25% as national parks, wildlife reserves, reserves proper) and non-reserved forest (75%) plus 67,000 ha plantation
- ❑ Deforestation 15,000 ha/yr; 0.2%
- ❑ GDP is US\$14.51 billion (US\$1.25 trillion in England) 15.6% forestry
- ❑ GDP per capita: US\$1,100 (US\$22,800 in England)
- ❑ 6% growth/yr; 3.5% inflation

##### *Forests and the forestry sector*

Widespread multipurpose species include locust bean (*Parkia biglobosa*) and baobab (*Adansonia digitata*). Shea (*Vitellaria paradoxa*) has always been carefully tended, and today the centre of the country resembles one huge green shea orchard.

Community forestry is well developed in Burkina Faso and land management is successfully adopted as the main development strategy.

However, serious obstacles include lack of security of tenure of both land and resources, weaknesses in land tenure legislation and inadequate agroforestry policies.

##### *Key stakeholders in the forestry sector include:*

- ❑ The State/ Forestry Department: Ministry for Environment
- ❑ Local elected government structures
- ❑ Civil society
- ❑ Private sector
- ❑ NGOs and bilateral cooperation agencies

### *Legal and regulatory framework*

- ❑ *Le Code de l'environnement* regulatory framework for wider environment issues
- ❑ *Le Code forestier* regulatory framework specific to the forestry sector
- ❑ *Le Code Général des Collectivités Territoriales* regulatory framework specific to decentralisation

### *National Forest Policy 1996*

#### *Key objectives*

- ❑ Reverse forest degradation
- ❑ Increase forest productivity
- ❑ Meet people's needs in forest products
- ❑ Reduce desertification

#### *Key principles*

- ❑ Participation
- ❑ Decentralisation
- ❑ Forestry integration into natural resource management
- ❑ Forestry for socio-economic development and poverty alleviation

#### *Implementation through...*

- ❑ National Community Forestry Programme
- ❑ National Forest Programme

#### *Forest governance issues 1*

- ❑ Subsidiary legislation to put in place the provisions of the *Code Forestier* has not been passed - resistance to devolution of power.
- ❑ Although decentralisation has been a central policy for 15 years, implementation is slower than in neighbouring francophone countries.
- ❑ Until recently *collectivités territoriales décentralisées* had not been put in place to take up the decentralized role envisaged for them in the *Code Forestier*.

#### *Forest governance issues 2*

- ❑ Contradictions between customary and statutory law, notably for land tenure with respect to the 1996 *Réorganisation Agraire et Foncière* (RAF)
- ❑ Scant village level understanding of implications of favourable policy changes for rural households – so they remain hostage to discretionary application of old legislation.
- ❑ Villages lack collective voice and technical/ organisational capacity to take advantage of new opportunities.
- ❑ Support also needed to build the capacity for viable forest-based enterprises

#### *Forest governance issues 3*

- ❑ TREE AID<sup>2</sup> project experience demonstrates village level tree planting/ management can be undermined by disagreements over land, grazing and tree product harvesting rights.
- ❑ TREE AID's community based tree and forest product enterprise work has highlighted entrepreneurial constraints such as tenure and access rights, particularly for women.
- ❑ Secure access to land for women and poor families was a key issue in December 2005 strategy workshop, among partners from Burkina Faso, Ghana and Mali.
- ❑ Under decentralisation, communes will have new powers to distribute land to villagers or groups of individuals

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<sup>2</sup> Tree Aid is a UK-based forestry focused development charity which provides funding and on-the-ground training and support to local organisations in the Sahel of Africa.



- ❑ Requires negotiated local agreements on access and user rights, both within and between villages and communes

#### *Opportunities/ Perspectives*

- ❑ Today the state forest service is seeking a role closer to that of a facilitator than a *fonctionnaire*
- ❑ Burkina Faso's 'Action Plan for implementing decentralisation in the forest sector' June 2006
- ❑ Civil Society initiative: Ref CEPAPE work on "*Governance de l'environnement*"
- ❑ TREE AID's new project "Shaping the policy environment to improve access to, control over and returns from pro-poor forest management in Burkina Faso"
- ❑ Improving the understanding of forest governance in the context of poverty reduction strategies amongst key decision makers and stakeholders;
- ❑ Ensuring poor forest users are effectively served and represented in local and national policy debates;
- ❑ Strengthening the capacity for forest management at commune level;
- ❑ Enabling poor rural households to negotiate and implement equitable community forest management plans (CFMP) and forest concession partnerships (FCP);
- ❑ Increasing capacity for the development of viable village tree enterprises

**"Shaping the policy environment to improve access to, control over and returns from pro-poor forest management in Burkina Faso":** TREE AID's project:

At *village level*, piloting the establishment of 20 CFMP and FCPs – to transfer rights of access and control over forest resources from the forest service via local government to community organisations.

At *commune/district level*, developing the role of elected local government in the negotiation of local rules for inclusive, sustainable tree management. Providing a framework and technical support for the development of bylaws and local agreements linked to CFMPs and FCPs.

At *national level* a Forest Governance Learning Group (FGLG) will be established to create an informal structure and space for decision-makers, key stakeholders from within and outside government to discuss issues of forest governance and to examine the real problems and obstacles to change. It will exchange ideas, analyse practical experience, derive lessons and agree strategies for their dissemination which will in turn influence future formal decision-making.

### **Making SMFEs work better for social justice in forestry in Burkina Faso**

#### *Incentives*

- ❑ Rural households need to diversify sources of cash income.
- ❑ Few alternative income generating opportunities exist for women and NWFP harvesting and marketing is their traditional preserve.
- ❑ Established urban markets for NTFPs.
- ❑ Recently urbanised populations retain tastes and practices from their rural roots and cultural value of local NTFPs cultural and 'imported' alternatives are often unaffordable => some competitive advantages

#### *Disincentives*

- ❑ Villagers themselves perceive significant constraints to enterprise development, notably;
- ❑ Lack of financial capital
- ❑ Declining tree and forest resources
- ❑ Shortage of market outlets
- ❑ This is symptomatic of generally poor market linkages. Majority of villagers have no links with wholesale buyers of tree products and there is a lack of coordination between different actors in product chains.

- ❑ Despite the expressed intentions of government, no structured approach exists for delivering support at grass roots level and government 'policy' on NWFP development needs a means of practical expression.

### Challenges

- ❑ Lack of formal business planning skills amongst village producers
- ❑ Lack of coordination between agencies responsible for supporting NWFP development and between different actors in product chains.
- ❑ Void in formal national forest policy on NTFP (and SME) development and ineffective regulatory frameworks for NTFP trade.
- ❑ Need to nurture producer associations and develop central market information services to support the graduation of producers from local to national and international markets
- ❑ How can growing enterprises secure access to increasingly valuable resources without depriving other users or being squeezed out by more powerful interests?
- ❑ How to ensure an appropriate portion of returns are reinvested in forest resource management to ensure sustainability?
- ❑ Will government be convinced to develop NTFPs to maximise benefits to poor rural households, rather than maximising export earnings?

### Impediments

To realise the full potential of tree products with commercial potential, long-term investments are required e.g. processing equipment, planting or grafting improved varieties of trees, protection of natural forests from fire, grazing or uncontrolled firewood harvesting. For poor people, such costly investment will only happen where they feel secure in their own rights to access and control these vital resources. Key impediments to this are:

- ❑ Contradictions between customary and statutory law.
- ❑ Parallel traditional and government institutions for natural resource management and dispute resolution.
- ❑ Access for poor rural households to forest resources depends on traditional systems of land tenure.
- ❑ Uncertainty about the changes that the current process of decentralisation in the forestry sector will bring.
- ❑ Practical implementation of decentralization policy has been slower than in neighbouring francophone countries and some relevant subsidiary legislation is still missing.
- ❑ Change brings potential for capture by local political elites. If demand and market value for NWFPs increases, there is likely to be local pressures to restrict free access.
- ❑ Pressure to introduce/ increase/ enforce taxation on NTFP harvesting to generate revenue to fund central and or commune government could undermine the viability of forest enterprises. Worse still if implementation of taxation is arbitrary or inconsistent, rational planning and investment in forest enterprises will suffer.
- ❑ At village level there is scant understanding of favourable changes in legislation and policy and their implications for rural households.
- ❑ The collective voice and technical/ organisational capacity to take advantage of these new opportunities is also often lacking.

### Opportunities

- ❑ State forest service is seeking a role closer to that of a facilitator than a *fonctionnaire*
- ❑ There is new interest in the developing role of civil society in the decentralized management of natural resources, evidenced by the recent study undertaken by CEPAPE/ University of Ouagadougou in the context of the EC PADEG Programme, supporting consolidation of the democratic process, the rule of law and good governance.
- ❑ The *Code Forestier* establishes, as a founding principle in forest policy, the participation and transfer of effective responsibility to the population in the planning, execution and monitoring

and evaluation of forestry activities, notably through the decentralized management of natural resources.

- ❑ In June 2006 MATD developed a *Strategic Framework* and Action Plan for the implementation of decentralization to 2015
- ❑ Potential role for Burkina FGLG
- ❑ Create a space for decision-makers, key stakeholders from within and outside government to discuss issues of forest governance and to examine the real problems and obstacles to change
- ❑ Informal structure for exchange of ideas, analysis of practical experience, for deriving lessons and agreeing strategies for their dissemination
- ❑ Commission relevant collaborative policy research, including:
  - ❑ Legal review to establish formal framework and legal boundaries for CFMP and FCP
  - ❑ Targeted studies of land use and forestry injustice
  - ❑ Analysis of experience arising from CFMP and FCP pilots
  - ❑ Analysis of market chain constraints to identify where policy change is needed to support village tree enterprise development
- ❑ Defining and documenting practical guidance, tools and best practice for future work

And ultimately, *to influence future formal decision-making in favour of making small enterprises work better for social justice in forestry in Burkina Faso.*

#### **Additional points raised in plenary**

As FGLG-Burkina is a new group with some exciting plans for the future, the main points raised were on clarifications of the presentation content. Other country teams were supportive of the plans laid out and FGLG-Cameroon expressed its particular willingness to provide moral and practical support to the group where appropriate. It was also agreed that it would be beneficial to introduce the Burkina team to the work of FGLG-Niger.

## Cameroon

### Summary of FGLG-Cameroon activities in 2007

#### Context

- ❑ Revised and developed following the Learning Event in Uganda in late 2006. ~
- ❑ Total land are: 470,000 km<sup>2</sup>
- ❑ Population: ~16 million
- ❑ Major forestry reform in 1994
- ❑ Consider in the broader context of the Congo Basin

#### Work plan recap

- ❑ Revised and developed following the Learning Event in Uganda in late 2006.

#### Strategies

- ❑ Alliance building – Forest Governance Facility (multi-donor support facility to civil society in the sector)/Cameroon Environment Watch/Ministry of Forests - Synergies and funds led to good participation (with a Memorandum of Understanding developed between FGF and FGLG Cameroon [GREG-Foret]) but slowed us down
- ❑ Build on strengths of members, for example: Model Forests – the African network is undergoing a surge in development and the convener of GREG-Foret is its new coordinator; Parliamentarians – are key to the group
- ❑ RFA – revenues from forest use for local benefit
- ❑ FLEGT-related debates

#### Achievements - outputs and outcomes

- ❑ Cameroon-EU VPA negotiation is now underway and GREG-Foret will seek to influence it
- ❑ Bali on climate change: now - REDD vs. RED (particularly Gabon, DRC) – stimulated the debate in Cameroon
- ❑ Congo Basin forest planning (CBFP) 3<sup>rd</sup> Facilitation (Germany – after the US and France), and a major new UK Trust Fund earmarked for the Congo Basin - GREG-Foret members are involved in the discussions
- ❑ RFA: ~ 6 billion CFAs in revenue – but discrepancies between theoretical and real amounts. There is an upcoming WRI/CIFOR study (3 municipalities- Distributional Mechanisms) + DFID/WB- supported work + institutional mechanisms (imports)
- ❑ Debate on corruption – Pressure of European Ambassadors – 70 days consultancy – Committee of 3 - what finality? GREG-Foret members are pressing for answers
- ❑ Revision of Community Forest manual GREG-Foret is involved
- ❑ GREG-Foret is now convened by the coordinator of the African Model Forests Network (which covers about 1,600,000 ha in 11 sites so far) – who has moved from his role with CIFOR, who will continue to be an active member of the team. COMIFAC is going to host the next phase of the Model Forests process

### Making small enterprises work better for social justice in forestry in Cameroon

[Please email Chimere Diaw ([c.diaw@africanmodelforests.org](mailto:c.diaw@africanmodelforests.org)) for a copy of the poster summary on this work which due to size limitations we are unable to reproduce here]

## Ideas for FGLG-Cameroon 2008 work plan

Main purpose/objectives	Methodology: how to reach to purpose/objective (step 1,2,3 etc.)	Potential impact	Potential limitations	Comments
Agree with MINFOF, CCPM, and other actors on pathway and priority actions to improve forest governance in Cameroon	Finalise the institutional mapping and gap analysis of governance in Cameroon; Develop a position paper	State of the Arts of Governance in Cameroon presented and discussed with all key stakeholders	Snapshots and bits of processes, but establishing monitoring and change mechanisms is a very different question	
Initiate one priority action with government and other actors to improve forest governance	National Forum on Forest Governance co-organised with MINFOF, FGF and the African Model Forest Initiative	Multi-stakeholder national agreement on priority governance actions and pathways	Has to be linked to FESP with early buy-in by MINFOF (Early discussion of plan with D. Koulagna and Ministry officials)	This is always a challenge in terms of timing – beware of that
	Two GREG-Foret “Open Seminars” on identified governance issues including gap analysis and corruption	Integrate lessons, diversity of views and develop position papers		
	GREG coordination and integration meetings	More systemic integration of actions on the ground to the GREG agenda		

## Panel feedback and additional points raised in plenary

Feedback on Day 1 country presentation			
Achievements versus plan	Strengths	Weaknesses	Impact
1. Well networked, would like to hear more about alliances 2. Not clear about lessons integration 3. Gap analysis - not sure if done 4. NFFG postponed	1. Variety of members 2. Diverse experience and backgrounds 3. Impressive strategy for NFFG integration		

Participants took a keen interest in the Model Forest initiative that is being championed by the group. Questions included how the multi-stakeholder approach works in practice and what incentives/disincentives are provided for stakeholders to join. The team responded that despite the diversity of the Model Forest partnership a common stakeholder vision has been developed which is now crucial to its functioning. Stakeholders are invited to join the partnership on a voluntary basis – and generally do so when they understand that it is to their benefit. The team has found that timescales can vary dramatically with some things being achievable within just a few days and others taking up to ten years.

Following the presentation of the 2008-09 work plan, it was suggested that government engagement could be given less emphasis if this slows down efforts to move forward with other stakeholders. The team responded that it has been important to reach agreement with government early on, but that more could be done to (for example) make media engagement and campaigns more explicit in the process.

The Ghana team expressed its interest in linking with Cameroon – and in particular in relation to its work on the National Forum on Forest Governance. It was also suggested that FGLG-Cameroon could start thinking a bit more about what might happen after the Forum has been set up.

## Ghana

### Summary of FGLG-Ghana activities in 2007

#### Purpose

- ❑ Provide tactical support to amplify initiatives that work to improve the social justice content in Ghana's forest governance reform processes.

#### Background

- ❑ Land area 238,500 km<sup>2</sup>
- ❑ Population – 20 million (± 12 million forest dependent)
- ❑ Per capita GNP – \$450
- ❑ GDP = 35% agriculture, 23.2% services, 23.2% industry
- ❑ Main exports – Gold, cocoa, tourism
- ❑ Timber 2.2% of GDP
- ❑ Forest cover 5.3m ha (FAO 2005)

#### 2007 Workplan recap

- ❑ Enhance democratisation of policymaking through support to Forest Voices Project (FVP)
- ❑ Enhance formal governance reform process through support to Forest Law Enforcement Governance and Trade (FLEGT) negotiations including impacts assessment study
- ❑ Institutionalise gains from FVP and FLEGT through learning
- ❑ Stakeholder events
- ❑ Governance training for mid-level forest management

#### 2007 Activities

- ❑ FVP
- ❑ Supported (strategising and learning) for ± 28 District, 10 regional and 1 National Forest Forum (FF)
- ❑ Supported formation and learning of FF facilitators meeting
- ❑ Akosombo III (Community Based Natural Resource Meeting)
- ❑ Supported CFM/ CFE meet (strategy and synthesis of AI and AII)
- ❑ FLEGT
- ❑ Shaped impacts assessment (formally IIED work)
- ❑ Provided critical inputs at many junctures

Method or tactic	How it was used	Strengths of method	Weakness of method	Lessons learned
Breakfasts	High level civil service contact	Garners priceless inside information	Info not attributable.  Danger of manipulation	Tactical approaches have limited play and are not substitutes for strategic constituency mobilisation
Lunches	Political contact	Enables policy influence	Only works with specific personalities and difficult to scale up	
Walks	silviocrat	None since guard changed		

Method or tactic	How it was used	Strengths of method	Weakness of method	Lessons learned
Convene Stakeholder meetings	Broad based CSO meet in July	Delivered articulate for change	Requires considerable resources	Concentrate and leverage
“From the convenor’s laptop”	Briefs influenced: • FWG letter to GOG/EU • GOG governance objectives statement • Resolution of permits regime dispute	Gets attention	Draws unwanted attention to individuals involved	Tactical approaches have limited play and are not substitutes for strategic constituency mobilisation

### *Governance Gossip Highlights*

- ❑ Change of guard creating new dynamic in institutional relationships.
- ❑ Old consensus amongst silviocrats, timber magnates, politicians, landed elite collapsed.
- ❑ Desperate backlash from old guard underway from within Board and Management.

Achievements (outputs, outcomes and indirect or spin-off impacts)	Key ingredients involved and reasons why it was achieved (formal and informal means), and ways in which achievement can be verified
Legitimacy of FFs established	1st national cycle completed. Clear and relevant contributions to forestry policy discourse made. MOV: NFF, RFF Reports
“2015” CFM / CFE targets set as between FC Collaborative Resource Management Unit (CRMU) and CSOs	Akosombo III has delivered a clear programme for quantum leap tied to MDG dates etc. MOV: Akosombo Communiqué / Facilitators Report
More articulate pressure from expanding CSOs has strengthened FLEGT processes considerably.	<ul style="list-style-type: none"> <li>• Ministerial Agreement on participatory principle, structures and processes</li> <li>• FC acceptance of national “governance objectives”</li> <li>• Legal Standard nearly complete will include FPIC for land use decisions</li> <li>• Accepted impact assessment parameters involve full scale revival of reform agenda after 10 years</li> <li>• MOV: Ghana FLEGT documentation</li> </ul>

Key dilemmas and disappointments	Lessons that can be drawn
Impossible to brand “leverage” outputs	Outcomes more important than outputs
“Confidential” information is often difficult to use.	Preface interactions with agenda statements so there is no confusion. Respect confidences.
Danger of becoming manipulative or being manipulated.	Stay out of rat race and work to build platforms for consensus
More meetings than trees ...	Be strategic in allocating your time

### *FGLG reflection and recommendations - Go with the flow!*

- ❑ Truly huge forces are shaping the struggle. Climate change, market convergence, weak \$, China ....
- ❑ Impossible to dominate. Can only channel bits and pieces of the energy generated
- ❑ FGLG reflection and recommendations – Build Alliances!



- ❑ Coordinated tactical bits add up to strategic interventions and maybe a sea-change
- ❑ Cross-border and cross-issue networking is essential – need more than annual learning events!
- ❑ FGLG reflection and recommendations – Be tactical!
- ❑ Enough big platforms, institutions and movements around.
- ❑ FGLG most effective if it does not brand interventions (and create a target for backlash) but gently catalyse.
- ❑ FGLG reflection and recommendations – It’s the tenure stupid!
- ❑ All the short and long term answers depend on effective democratic community resource-control.
- ❑ Markets/ State institutions must rebuild on basis of new (ancient?) just tenure relationships.

FGLG team reflection and recommendations – Act Now!

Climate Change means tropical forestry governance agenda is a species survival issue.

No more “effing” around – Time for a New World Order!!!

Impacts – strategy will have an impact on other groups working in this field. Advantage of being able to cover almost all parts of the country. Kind of influence they have exerted on the policy making process – recommendations have been largely accepted by the government.

## Making small enterprises work better for social justice in forestry in Ghana

<i>Community Forest Enterprise - Concretising Rights and Social Justice in Ghana forestry</i>	
<p><b>Background</b></p> <ul style="list-style-type: none"> <li>• Ghana has 5.3 m ha of forests</li> <li>• Forest is critical resource for 60%-70% of the population</li> <li>• Huge CFE potential - Many socially beneficial CFEs blossom and die each year. Many limp along.</li> <li>• Transition from subsistence/ supplementation to enterprise not complete.</li> </ul> <p><b>Potential</b></p> <ul style="list-style-type: none"> <li>• Lumber for domestic market \$400 million/annum</li> <li>• Energy for low income households (6.2 Tonnes of Oil Equivalent – 63% national supply)</li> <li>• protein \$300 m/a</li> <li>• Furniture and materials</li> <li>• Medicines and hygiene</li> <li>• Wrapping and packaging</li> <li>• Tourism – small but growing</li> </ul> <p><b>CFE would be a breakthrough for Social Justice agenda and forestry in Ghana:</b></p> <ul style="list-style-type: none"> <li>• transcend structural rural poverty and decay towards dignity</li> <li>• reduce forest management costs and improve outcomes</li> <li>• stabilise and democratise rural populations</li> <li>• reduced NR conflicts</li> <li>• strengthen local government and citizenship culture</li> </ul>	
<p><b>Disincentives</b></p> <ul style="list-style-type: none"> <li>• Insecure tenure - elite (state and chiefs') squeeze communal actors</li> <li>• Hostile legal regime criminalises/ excludes CFEs – (e.g. capricious permits regime/ lack of rural incorporation options)</li> <li>• “Consulting” industry (marketing, financial, management, advertising, engineering) unimaginatively biased towards large foreign export oriented extractives</li> <li>• National infrastructure designed for extractives and cocoa</li> <li>• Increasingly poor rural organisation</li> </ul> <p><b>Challenges</b></p> <ul style="list-style-type: none"> <li>• Ascendancy of militant land elite</li> <li>• Global neo-liberal land agenda (e.g. World Bank Land Administration Project)</li> <li>• Weak technical support</li> <li>• market information</li> <li>• operational skills development (failed educational system!)</li> <li>• credit</li> <li>• Lack of trade infrastructure</li> <li>• Backwardness – e.g. gender/ ethnic inequalities</li> </ul>	<p><b>Incentives</b></p> <p>Large informal national &amp; regional market for forest products \$250 million/annum</p> <p><b>Opportunities</b></p> <ul style="list-style-type: none"> <li>• November 2007 “Akosombo III” (Community Based Natural Resource Management) meeting of FC and Civil society adopted a “2015” agenda for devolving forest management to communities</li> <li>• November National Forest Forum – strengthened grassroots participation in policy process</li> <li>• Voluntary Partnership Agreement process - emerging as a strong framework for policymaking</li> <li>• Cultural Initiatives Support Fund (€2M EU fund)</li> <li>• Global trends e.g. July 2007 CFM/ CFE meeting Brazil;</li> <li>• ITTO planned 2008 Africa CFM/ CFE meeting;</li> <li>• Global Alliance for Community Forest (GACF) meeting Yaoundé 2008</li> </ul>
<p><b>A Catalytic Role for FGLG?</b></p> <ul style="list-style-type: none"> <li>• Sub-group “membership” already networked into Ghana CFE campaign. Can: (as a knowledge network) funnel IIED and members’ resources and links (e.g. Rights and Resources Initiative/ GACF/ ITTO campaigns)</li> <li>• comparative experience of sustainable CFE development</li> <li>• comparative experience of CFE regulation</li> <li>• facilitate policy advocacy</li> <li>• facilitate enterprise and governance capacity building at various levels</li> <li>• assist in design of and learning from proposed “Akosombo” pilots</li> <li>• can leverage other local resources without arousing competitive spirit</li> </ul>	

## Ideas for FGLG-Ghana 2008 work plan

### *Uganda framework valid*

- ❑ Democratise Forestry (policymaking)
- ❑ Intervene in FLEGT process
- ❑ Provide governance training to mid-level managers

### *Democratise forestry*

- ❑ GOG conceded participatory decision-making and committed to massive expansion of District Forest Forums - build capacity to support
- ❑ Incorporate Akosombo III decisions (CFM/ CFE agenda) – particularly tenure issue
- ❑ Take on policy/ legislative drafting (support from India)
- ❑ Support pilot CFM/ CFE project (support from many)
- ❑ Explore model forestry concept (support from FGLG-Cameroon)

### *Adaptations II - FLEGT process*

- ❑ GOG/ FC has conceded many positions: document and consolidate
- ❑ Participatory process
- ❑ Governance vision
- ❑ Legal standard
- ❑ Be extra tactical to secure deal by end April

### *Adaptations III - governance training*

- ❑ Probably go for 2 trainings

Objectives	Methodology	Potential impact	Potential limitations	Comments
Democratise forestry - policy/ legislative drafting	Draft project proposal with FWG/ FC	Concretise	Can only be implemented in 2009	Seek support from FGLG International
Explore model forestry concept	Support from FGLG-C	Broaden national discussion	??	
Support FLEGT conclusion by April	Breakfasts/ Lunches/ from convener's desktop	Sea-change in FG benchmarks	May involve concessions	Need to have a plan B in case of FLEGT failure
Governance training for middle level forestry staff	Political economy, policy and legal framework training (participatory and technical)	<ul style="list-style-type: none"> <li>• Broaden reform constituency</li> <li>• Strengthen institution</li> </ul>		JV with IUCN

### *National Learning Event?*

- ❑ Useful to have some broad-based assessment (e.g. after VPA signed) of status of reform process and next steps.
- ❑ Also 5 year review of FGLG-Ghana work?

## Panel feedback and additional points raised in plenary

Feedback on Day 1 country presentation			
Achievements versus plan	Strengths	Weaknesses	Impact
1. Achieved plans 2. Working on ongoing processes which is good 3. Impressed by reflection and understanding as a group	1. Innovative methods - “Breakfast and Lunch” and stakeholder meeting etc. 2. Could think more about methods for working with local community. 3. Need to allocate more time to enable info to filter down.	1. Question of attribution ~ how to isolate the contribution by FGLG when it is supporting other initiatives 2. Issues of analysis – what about linking forest voices with other initiatives.	1. Will have clear impact for other groups working in this field also 2. Good geographical range 3. Have been accepted by the government.

Areas of particular interest included the EU-Ghana Voluntary Partnership Agreement (VPA) and the legal framework for community forestry enterprises. The VPA is seen as a positive new development that will bring new voices to the struggle in Ghana – largely due to pressure from European markets and the west that is able to assert a greater influence over the Ghanaian government than civil society. Agreement is yet to be reached on legality standards for the VPA.

Community land tenure has never been mapped or recorded in Ghana and there is no national strategy on community forestry enterprises. The government’s main forestry focus is timber and the permit regime system has served to restrict community access to NTFPs.

## **India**

### **Summary of FGLG-India activities in 2007**

*Phase 1 core objective: 'Governance tactics for forestry enterprise'*

- ❑ multi-stakeholder discussions on NTFP micro-enterprises
- ❑ governance tactics for policy change
- ❑ orienting key stakeholders to forest governance and transparency issues

*Phase 2 (from August 07) themes – still being developed:*

- ❑ transparency, illegality and corruption (in herbal raw material procurement)
- ❑ ownership, access rights, policy and management framework (for forest resource)

#### *India at a glance*

Total forest area	64.1 m ha
Part of forest of land area	20 %
Per capita forest area	0.06 ha
Wood consumption per capita	0.29 m <sup>3</sup>
Population	1,129,866,154 (July 2007 est. CIA)
70% of Indians reside in rural areas: compared to 17.52% of the world population	

*Three phases of forest policy in independent India:*

- ❑ 1947-1976 - Forests for revenue generation - timber and industry, neglect of village commons
- ❑ 1976-1988 - Intensification of commercial forestry; meet industrial demand from natural forests (by logging and conversion) and shift subsistence demands from natural forests to social and farm forestry on non-forest and private lands
- ❑ 1988 onwards – current Forest Policy (1988) - conservation focus and people's participation in forestry, Joint Forest Management, and a radical shift from the earlier revenue orientation, conservation is a priority, PESA 1996, Tribal Forest Land Right Act 2006

*Work plan recap*

- ❑ Selected NTFP enterprise governance in Central India (Andhra Pradesh, Madhya Pradesh and Orissa)
- ❑ Status of enterprise
- ❑ Strengths and limitations
- ❑ Stakeholders' awareness

*Activities*

- ❑ Synthesizing the information for NTFP enterprise governance
- ❑ Multi-stakeholders' consultation for adopting micro-enterprise friendly governance practices
- ❑ Dissemination of the proceedings to the policy makers, bureaucrats, civil society for implementation
- ❑ Outcome
- ❑ Two national level workshops were conducted on enterprise and governance issues and role of civil society in forest governance
- ❑ Forest enterprise governance is being hotly debated at the MoEF and in non governmental sector
- ❑ Several policy recommendations are in consideration including incorporating NTFPs management in Forest Divisional Working Plan preparation
- ❑ Publication of the proceedings and policy briefs

<b>Planned Activities</b>	<b>Status</b>
Finalisation of enhanced work plan	Completed in May 2007
Completion of 3 State studies on Governance Issues in <i>selected NTFP based enterprise development</i>	May 2007
Mobilisation of resources, preparatory work and organisation of National Workshop on “ <i>Multi stake holder consultation for defining micro enterprise friendly forest governance</i> ”	3-4 May 2007
Workshop proceedings, finalisation printing and dissemination	October end 2007
Synthesis report, next phase work plan and policy briefs	Mid November 2007
Organizing national workshop on “ <i>Role of Civil Society in the Forestry Sector in India</i> ” Collaboration with CFA	10-11 October 2007 at FRI Dehradun
Taking forward Phase-I work and Initiating Phase-II activities	September – November 2007 (Ongoing)

<b>Method or tactic name, and purpose for which it was used</b>	<b>How it was used (step 1,2,3 etc) and with whom</b>	<b>Strengths of method or tactic</b>	<b>Weakness of method or tactic</b>	<b>Lesson learnt and ways forward – to better influence forest governance</b>
Synthesis, compilation of important information	Step 1: Analysis of information Step 2: Policy brief development Step 3: Discussion paper Step 4: IEC (information, education and communication) material			
Case documentation of governance mechanism of selected enterprises (state studies on selected product)	Step 1: Desk research Step 2: Field survey Step 3: Discussion with senior officials and field officials Step 4: Presentation to stakeholders Step 5: Informal interaction Step 6: Student’s curriculum in NRM and forestry course			
National level “Consultation” on governance topic and organizing learning event	Identified key stakeholders and important people from each category			
Bringing “Forest Governance” issue as priority in other network activity	Bringing case examples proposals, prospects in other networks			
Develop motivated critical mass/ network members for active networking	Step 1: Roping in expertise of law/ judiciary Step 2: Involving NGO, academics, Government, freelancers Step 3: Advocacy		Low response	

## *Governance Gossip highlights*

- *Incidents, Breakthrough and Setbacks*

*(A) Janadesh rally (Public Address) resolves to fight for land/ forest rights*

RALLY OF THE POOR (Janadesh): 25,000 Tribals, Dalits and villagers from 15 states and 10 other countries' (indigenous community) representatives participated in a march and reached Delhi after walking the 340km. from Gwalior over a one month period from 2 October 2007. Once in Delhi, the marchers were briefly detained but the final outcome was that the government has set up a land rights commission, half of whose members are from civil society. The actions and progress made by the committee will be monitored by a land rights council, chaired by the Prime Minister. The final outcome is yet to evolve, but the 'struggle and dialogue' approach of Ekta Parishad, the organisers, brought about a significant breakthrough in the fight for land rights. The progress of the commission and council will be monitored closely.

*(B) Tribal Land Rights Act 2006 got Central Nod*

The 'Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006' - commonly known as the 'Forest Rights Act' - came into force on 29 December 2006. The formulation and passing of the Act has been highly contentious, with much debate between the conservation/ wildlife lobby and those working for the rights of forest dwellers. Notification of the Act was delayed, as concerns were raised about the possible adverse impact of the Act on wildlife. A tribal rights body, the Campaign for Survival and Dignity, stated that the hasty declaration of forest dwellers' settlements as 'critical wildlife habitat' is a move designed to take land from forest dwellers in the name of conservation, so as to give them to the industry and timber mafia. Wildlife lobby and forest department officials feared that land allotted to tribals and other forest dwellers would ultimately be bought by land mafia at throwaway prices and they would be forced to flee to urban areas to work as labourers. [note: the Rules for implementation of the Act were finally agreed in January 2008, and implementation of the provisions of the Act has now begun].

*(C) Moves made by the people, programmes and institutions: some reports from the media*

*Retrieving people's dignity through land:* in Madhya Pradesh, a large number of tribals joined a procession to demand full rights on forest land in August 2006. They came from six districts in MP, and were joined by representatives from Chhattisgarh, Maharashtra and Orissa.

*Delays in implementation of Tribal Rights Act:* Use of bureaucratic ignorance of the rules as a tool for delay. Posco to pay Rs 88-crore for forest land (reported in November 2007). Posco-India, an iron ore mining company, will have to pay nearly Rs. 88 crore towards compensation for the forest land on which the steel project will come up, as per Supreme Court directives. The companies using forest land for non-forest purpose will have to pay Rs. 7 lakh per hectare as compensation. This is additional to the money to be spent by land users for the compensatory forests.

*Tribals to get land on lease for residence and farming in forests in hilly areas* (reported in March 2007). Tribals residing in hilly areas will be given land on lease in forests for residence and farming purposes. The former Prime Minister, Shri Atal Bihari Vajpayee, chaired the 21st meeting of the Indian Board of Wildlife on 21st January 2002 and recommended that a Forest Commission be set up to look into restructuring, reform and strengthening of the entire forest setup and affiliated institutions in the country, with the chairmanship of Justice B.N. Kirpal, Chief Justice of India (Retired). The Commission was charged with reviewing and assessing the existing policy and legal framework and their impact in a holistic manner from the ecological, economic, social and cultural viewpoint; examining the current status of forest administration and the forestry institutions both at all India and State level to meet the emerging needs of civil society; making recommendations indicating specific policy options for achieving sustainable forest and wildlife management and ecological security; and suggesting ways and means to make forest administration more effective with a view to helping to achieve the above policy options. Further, it was to look at establishing meaningful partnerships and interface between

forestry management and local communities including tribals. The report was submitted recently by the committee to the Government of India.

*National Rural Employment Generation Act (NREGA)*

This Act is designed to provide for the enhancement of livelihood security of the households in rural areas of the country by providing at least 100 days of guaranteed wage employment in every financial year to every household. This has now been extended to 200 districts covered under NREGA.

However there are allegations of misuse: for example, adivasis in a particular village in Orissa have shown that their job cards have forged entries, and more than 90 per cent of NREGA funds in that village have been misappropriated by officials.

*Workshops organised by FGLG-India*

The CFA-FGLG workshop on “Role of Civil society in Forestry Sector” was held at Dehradun in collaboration with ICFRE on 10-11 October 2007. This workshop aimed to assess the present status and involvement of civil society in forestry sector in India. FGLG–India organised a special session on forest governance, attended by 85 participants.

A multi-stakeholder consultation for ‘Defining micro enterprise friendly forest governance’ was organised by FGLG-India in collaboration with the Andhra Pradesh Forest Academy, in Hyderabad on 3-4 May 2007.

*Achievements and Outputs of FGLG India*

- ❑ Three reports of state studies
- ❑ Synthesis report
- ❑ Five briefing papers on five products
- ❑ Two national workshops: key facilitation by FGLG India for one; co-organiser in the other
- ❑ Proceedings of one national workshop printed and disseminated widely

*Outcomes*

- ❑ Community based micro enterprises and the governance issues were brought to the forefront for discussion and necessary action by concerned departments, donors, national schemes.
- ❑ FGLG-network strengthened its links with members; others are approaching the Group with a view to becoming members.

<b>Key dilemmas and disappointments</b>	<b>Lessons that can be drawn</b>
Can governance tactics ever be percolate to all responsible institutions (Govt., Local Self government/ Civil society Organisation) at each level?	Uncertainty
Limited methods of governance tactic were used	A basket of methods need to be used as per time, place and requirement
Could not establish yet formal linkages with donors and other network	It is a gradual process, need some years of existence as project mode
The initial excitement of being part of an international project could not be sustained somehow.	More activities and follow up (action point)
It is disappointing that other issues such as social reform, equity and household economic development have not been appropriately focussed in the current tactics	Small enterprise address limited issues of social justice

*Team reflection and recommendations*

- ❑ Distance acted as hindrance for frequent meetings amongst FGLG members



- ❑ Most of the members hold key responsibilities in their regular jobs and hence could not spare much time; however, it was found useful as they were part of the other group, are taking initiative on follow up activities
- ❑ Limited budget does not provide scope to take up any concrete initiatives.
- ❑ There are disagreements at times within FGLG due to its *diverse orientation and composition* amongst the team which may be considered as a weakness as well as a strength.
- ❑ The programme is just 1½ years old. It must continue with more spirit and effort by adding useful ideas on board and involving others out of FGLG circle.
- ❑ *More networking with other partner countries FGLG team* and collaborative programme to initiate.

### **Making small enterprises work better for social justice in forestry in India**

In India, out of a tribal population of 68 million, 50% depend on NTFPs for their livelihood requirement and earn cash income from selling of the NTFPs through the local traders. The money that these people make from this business is a small fraction of the market place. Over the last four decades India had been experiencing a boom in the NTFP trade, evident from the growth of exports of between 5-15% annually with an average of 11%. Meanwhile the primary producers continue to remain very poor. The collection of leaves and bidi rolling probably constitutes a sector worth an estimated Rs. 585 million in Andhra Pradesh, Rs. 1,845.0 million in M.P. and Rs. 750 million in Orissa.

#### *Revenue from various forest products in India*

<b>Type of NTFP</b>	<b>1998-1999</b>	<b>1999-2000</b>
Sal Seeds	252	389.32
Bidi Leaves	25,800.95	24,463.42
Gums	1,002.84	1,160.91
Resins	3,882.27	1,999.53
Canes/ Rattans	18.67	20.99
Bamboo	3,270.83	5,045.75
Grass and Fodder	757.76	898.24
Lac	7.57	6.68
Drugs and Spices	70.84	48.79
Tannins	370	322
Other NTFP	4,414.38	578.07
<b>Total</b>	<b>39,848.11</b>	<b>34,933.7</b>

#### *Incentives*

- ❑ *Commercialization* – Sharp rise in the demand for herbal products
- ❑ *Access to resource* – Local people got rights on forest resource collection
- ❑ *Liberalization of the policies* – Following the Forest Policy of 1988 several pro-poor forestry models and projects were developed.
- ❑ *Benefit sharing arrangements* – Under JFM and other policies the profits from forestry are shared with those who protect and harvest them.
- ❑ *Transit pass* – Relaxation in transit pass rules for NTFPs transportation
- ❑ *Denationalization* – several products in different states are denationalized which can promote private entrepreneurs

#### *Disincentives*

- ❑ *Taxation* – Various forms of taxation like VAT, Forest Development Tax, Education Cess, Excise Duty are levied on the products made from forest resources, which amount to around 70-40% through the value chain from collectors to consumer.
- ❑ *Conservation* – Unsustainable harvesting is illegal looking to the conservation of the resources. There is no clear cut mechanism to check the unsustainable harvesting and the government

adopts blanket banning on the collection to ensure regeneration. The same goes for Supreme Court ruling too – regarding the ban on green felling.

- ❑ *Low returns* – Lack of value addition and quality measure fetched very low price of the actual market price to consumers.

### *Herbal Enterprise*

India has 15 Agroclimatic zones, 47,000 different plant species and 15,000 medicinal plants. The Indian Systems of Medicine have identified 1,500 medicinal plants, of which 500 species are mostly used in the preparation of drugs. The domestic market of Indian Systems of Medicine and Homoeopathy is of the order of Rs.4,000 crores (2000), which is expanding day by day. The Ayurveda drug market alone is of the order of Rs.3,500 crores (2000). India's exports from Medicinal and Herbal plants were worth Rs. 446 crores in the year 2000, rising to Rs.3,000 crores annually by 2005. India, with its diversified biodiversity has a tremendous potential and advantage in this emerging area.

### *Contribution of FGLG India*

1. Identified products (Mahua, Tendu Leaves, Tamarind, Bamboo and Sal Seed) specific enterprise issues and their possible solutions.
2. Governance issues are discussed at different platforms for influence through publication and workshops to policy makers, officials, communities, civil societies and other stakeholders

### *Opportunities*

- ❑ Increased local ownership/ control of forest resources
- ❑ Opportunities for niche markets in a globalized world
- ❑ Conditions that favour intensification of forest management and farm based production
- ❑ More democratic governance, transparency and accountability
- ❑ Increased attention to, and possible a reduction in corruption and illegality
- ❑ The existence of a large number of JFM committees through which to work.
- ❑ Building up the institutional capacity of local NGOs and entrepreneurs
- ❑ Development of local level information centres to inform collectors of market prices and link buyers with collectors

### *Challenges*

- ❑ Difficult to develop buy-back arrangements and no minimum support price (MSP)
- ❑ Lack of resource inventory and product potential in different areas
- ❑ Lack of suitable storage facilities at village level
- ❑ Burden of taxes on NTFP products (VAT and mandi tax)
- ❑ Lack of skills in product identification and sustainable harvesting techniques
- ❑ Insufficient promotion and advertising
- ❑ High cost of storage, transportation and spoilage losses from interior areas
- ❑ Weak networks among the entrepreneurs and limited credit availability
- ❑ Strong control still exercised by Forest Department within forest areas from which the majority of NTFPs are sourced
- ❑ Too many requirements and procedures in the government policies
- ❑ Cheaper international production and market fluctuation

## Ideas for FGLG-India 2008 work plan

Main purpose/ Objectives	Methodology: How to reach to purpose/ objective (step 1,2,3 etc.	Potential impact	Potential limitations	Comments
1. To check illegal procurement of forest produces (Medicinal and NTFP) by industrial houses and traders	- Dissemination of relevant information to all concerned including the policy makers - Institution building	- Reduced illegal harvesting - Awareness generation at all level - Industry pay real price to the collectors	- Restriction of FD may increase - Conflict with industrial lobby	Assessing impacts may not be very visible
2. To generate awareness in Tribal Forest Rights Act and other related legislations	Information sharing and demand for transparency: - Letters Campaign - Newspaper - Website - Memorandum - TV coverage - Press conference - Public meeting - Policy briefing in local language	- Rules are notified - Effective implementation of the Act	- Rules may be delayed and restricted through other action	Attempts to twist
3. Networking of Private forestry in M.P.	- Farmers meeting - Roping local FD staff and Chartered foresters	- Assured benefit from timber - Simplification of rules and regulations	- FD support - Time	- In two Forest Divisions it may be initiated
4. Cooperative formation of fuelwood collectors in CFM area in Orissa	- Survey, identify potential area - Awareness	- Reduced drudgery - More return - Recognised as enterprise	- Unofficial - Market	- CFM people realised

## Panel feedback and additional points raised in plenary

Feedback on Day 1 country presentation			
Achievements versus plan	Strengths	Weaknesses	Impact
1. All targets met (but slow at times) 2. Policy briefs are still on the way. 3. Excellent report from the May Hyderabad workshop – should build on the gains of the workshop through lobbying and advocacy in the year to come	1. Good team effort and good resources available e.g. for producing the workshop report 2. Buy-in from stakeholders' participation 3. Used traditional method but nothing innovative	1. Difficult to see who the target groups are and what impact has been 2. Materials produced need to reach target audience	1. Work is in progress but some analysis now done for 3 states 2. Engagement and awareness raising among different stakeholder groups is an important starting point that the group can now build on. 3. Hosting this meeting is also an impact

Some questions were raised around the Forest Rights Act and the role of FGLG-India in monitoring its effective implementation. The team clarified that it will monitor and document implementation of the act in three states.

It was suggested that discussions on the 'Forest Rights Act' may benefit from some clarification of the wording to ensure that information is disseminated and understood on the content of the Act. The team plans to take a closer look at the Act to see what provision is included for regeneration of NTFP resources. It was also suggested that FGLG-India could seek collaboration with other groups on the Act.

#### *Forest Based Enterprise*

There has been an apparent drop in total forest production from 1998-2000 – this may be due to liberalisation policies. Gram panchayats now supervise management of forest produce, but don't always keep records of transactions, so official production figures may be lower than actuals.

It was questioned whether liberalization of policies leads to unsustainable harvesting: the team responded that it can create the conditions for unsustainable harvesting. For example, private companies may not have an appropriate governance mechanism, and the Forest Department sees itself as no longer having a role. However, liberalisation may also create the potential for greater sustainability where it stimulates stronger local organisations.

There have been some changes in taxes: for example VAT no longer applies to NTFPs in Andhra Pradesh, and the Forest Development tax has been withdrawn in Orissa. FGLG participated in a national workshop, hosted by ATREE earlier in 2007, on forest tax reform.

Asked whether there is any support to replant forest and to create community conservation areas, the team responded that community reserves have been a legal concept since the Wildlife Policy of 2002.

The Indian team was advised to think about how they are mobilising people to drive home the necessary changes: documents aren't enough on their own. Each member of the Indian team is using his/her own networks, and key government officials are now included in the Group.

Outstanding queries – which FGLG India will aim to internalise and respond to in its work over the coming year:

- Danger of diversion of effort towards general information development on SMEs rather than on key governance issues to tackle?
- Some of this is about governance but a clear identification of governance issues which FGLG India is/ can be working on is needed. For all issues, can the team think: what governance tactics are needed to address this?
- What is FGLG's comparative advantages in working with SME models and which particular governance issues will it focus on?
- Of the enterprise models, which are widely practiced and which are still just theory? How are the models adopted to suit local variability?

## ***Indonesia***

### **Summary of FGLG-Indonesia activities in 2007**

#### *Aims and objectives 2007*

- ❑ Exchange and spread learning
- ❑ Make measurable progress
- ❑ Within government and in relationship with other actors
- ❑ Build long-term capacity of leaders
- ❑ Provide materials, tools and guidance

#### *Achievements*

- ❑ ELIMINATING BUREAUCRATIC HIERARCHY AND 'GOVERNANCE BLOCKS'... Within the group, people can share information and lesson-learned about good governance
- ❑ AS PASSIONATE AS YOU TALK ABOUT LOVE... Fruitful discussion every meeting
- ❑ GROUP OF INSPIRING GATEWAYS... FGLG has become 'new thinking culture' for its approach: encouraging people to adapt well in the face of any problem

#### *Governance gossip*

- ❑ Redistribution of bare land policy: Alleviate poverty?
- ❑ Social forestry for local people empowerment
- ❑ Highlight from learning process: "No whining! No complaining!"

#### *Workplan recap 2007*

- ❑ Member's capacity building
- ❑ Individual and shared tasks
- ❑ Building learning-hubs at district level: Jambi and Kendari

#### *Group reflections and recommendations*

- ❑ Independent learning group
- ❑ Communication strategy
- ❑ Learning-hubs
- ❑ Learning output - Recruitment strategy: MGM

### **Making SMFEs work better for social justice in forestry in Indonesia**

#### *An overview of small scale forestry enterprises in Indonesia*

Since Indonesia was hit by the economic crisis which resulted in reformation in 1997, the government has taken account seriously of the small-medium scale enterprises. These kinds of enterprises have proven that they are strong enough to deal with global economic fluctuation.

Small-scale enterprises have played an important role in Indonesia's economic development as a developing country, and small forestry enterprises are not excluded from this role. The national statistical data ON 2006 noted that out of over 48 million corporate units in Indonesia, 99.76% of them are small enterprises. Among the small enterprises, 53.46% of them are small forestry and farm-based enterprises. Small forestry and farm-based enterprises also the ones which incorporate the biggest number of workers: 42.75% from over 88 million Indonesian workers inside the country.

Most local people trade in forest products for their subsistence needs. However, in order for them to have more sustainable income and specifically to improve their livelihood, the trading activity has developed into more complex economic chain. This chain is in need of better incentives to become the nation's economic pillar.

### *Government Initiative: Community-Based Forestry Management (CBFM)*

Facing the fact that about 48.8 million people have their shelter and gain their livelihood from the forest (CIFOR, 2004), the Indonesian government and other forestry institutions (e.g. research institutions and NGOs) has been developing several collective management initiatives, with the community-based forest management (CBFM) approach as the main paradigm. Although from the implementation, the name of the initiatives often altered, the aims and objectives remain the same.

*Hutan Kemasyarakatan* (HKm - Social Forestry) is one of the CBFM programmes whose main focus is to encourage the local community livelihood through the civil society organisations (CSOs). Strong and independent CSOs have become the indicator of the programme's accomplishment as the government gives access for people to manage forest lands and use forest products (both timber and non-timber forest products) through the organisations.

The cooperative model is one of the most compatible organisational models for HKm. Why the cooperative? Because the cooperative is a business form which is based on mutual partnership, where collective decisions become the highest priority in every decision making process. *Anggaran Dasar* and *Anggaran Rumah Tangga* as the primary regulation guarantees that this organisation gives appropriate incentives and disincentives system to its members.

Cooperatives in the HKm programme help their members with provision of capital and market access. Capital incentives are given by the cooperative as soft loans to its members. Meanwhile, as a market access provider the cooperatives help their members to sell their products. The benefit gained will be shared with all the members based on the mechanism written in *Anggaran Rumah Tangga*.

The programme worked well in Yogyakarta Province. There are 42 farmer groups which developed into cooperatives. Business focus and activities are multifarious with diverse capital strengths. Membership varies between 30-40 people, depending on the working area. The cash flow can reach 50 million rupiahs per group.

### *State-owned Enterprise Initiative: Perhutani's Pengelolaan Hutan Bersama Masyarakat (PHBM - forest management with the community)*

Perum Perhutani is the state-owned enterprise which operates under the supervision of the Indonesian Ministry of Forestry. Perum Perhutani is the oldest institution in sustainable forest management in Indonesia and which has a vision to become the best tropical forest management agency in the world. Its mission is to manage tropical forest sustainably in collaboration with forest village community, increase productivity (quantity and quality), optimize benefits of products and environmental services, build professional human resources and participate in building regional and national economy.

PHBM is similar to the corporate social responsibility programme, where the corporate gives incentives to groups of people who live near the Perhutani working area. A group of people to whom the incentives are given is called *Lembaga Masyarakat Desa Hutan* (LMDH - forest village community organisation). In most cases, LMDH was already established previously as the community's cooperative or the community's small enterprise. Through this programme, Perhutani gives soft loans to LMDH to develop their business, and LMDH shares its profit in return.

The soft loan is called *Program Kemitraan dan Bina Lingkungan* (PKBL - partnership and environment management programme). It was started in 1992, and up to the year 2006, the programme had given 65 billion rupiahs of soft loans to various LMDH. The PKBL fund itself is part of Perhutani's annual net

profit. Within the programme, Perhutani also conducts several capacity building activities for people in LMDH.

#### *Community and NGO Initiative: Sentarum Forest Honey, West Kalimantan*

Sweet as honey, the community initiative of forest honey in Danau Sentarum, West Kalimantan, has given profit for the community, both economically and ecologically. The initiative was established in 2006 as the association of forest honey collectors from a long process helped by the local NGO, Riak Bumi.

Asosiasi Periaau Danau Sentarum (APDS - Danau Sentarum's honey collectors association) is a civil society organisation whose main objectives are to maintain the quality of organic forest honey products, to protect the Danau Sentarum National Park area, and to be an economic organisation to improve the members' livelihood.

To improve and maintain the quality and quantity of forest honey produced by the collector, APDS standardize the honey collection, production, and the monitoring procedures for the whole process. The standards guarantee that the whole procedures meet the requirements of market demand and natural sustainability. Forest honey from APDS has already been certified by the BioCert on May 11, 2007. In order to improve the members' livelihood, APDS has set the standard price which is higher than the price offered by other buyers. APDS also applies a fair trade mechanism which obliges it to pay 50% in advance for every batch of honey purchased from the collector.

APDS create and facilitate the honey collectors for wider market access. Associated with Jaringan Madu Hutan Indonesia (JMHI - Indonesia forest honey network), APDS is one of the suppliers of organic forest honey for Dian Niaga, an enterprise based in Jakarta which supplies forest honey to the food and cosmetic industries.

Today, APDS has recruited five groups of forest honey collectors; each group consists of 10-20 collectors. More members are joining because people have already experienced the contribution of the APDS to their livelihood and their professional skills.

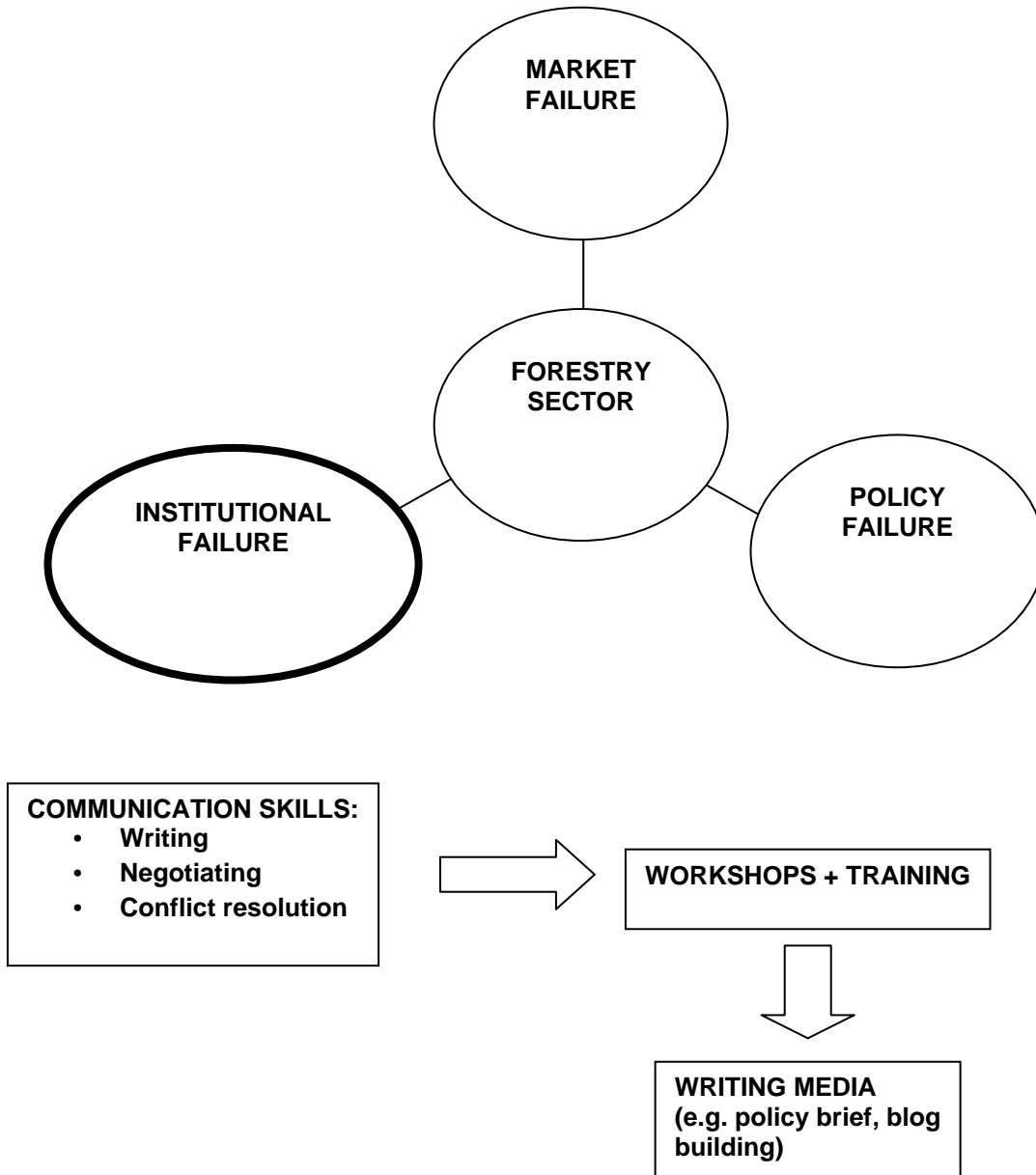
#### *What's next?*

The success stories of small forestry enterprises can be found dispersed all over the nation, but it doesn't mean that they have already made a significant contribution to nation's GDP (based on 2006 statistical data, small forestry enterprises contributed 0.53% of total GDP). FGLG Indonesia country team is optimistic that small forestry enterprises could give more contribution to GDP as long as the government gives appropriate incentives to them. There are several points that should be taken into account extra seriously, in order for the government and other institutes (e.g. research institutes or other enterprises) to make the small forestry enterprises work better:

- ❑ Small forestry enterprises' products are unique as they are clustered in specific production sites; in many cases, varieties of technology and process which are applied could also result the variety of the products. This condition creates the scarcity of those products which makes them more valuable. The challenge for the government is to build infrastructure.
- ❑ Government should give maximum support for the certification process of small forestry enterprises' products and also the post-production policies
- ❑ To encourage enterprise, government and other institutes may have to consider a reverse cycle. Most cycles start from organisational establishment as enterprise to market access. Since the main problem for most enterprises is to create and/or to find a market, an enterprise cycle which starts from the market may overcome the problem.

- The Ministry of Forestry might have to consider making public service policy to support enterprise development (e.g. policies for providing access to land, information and credit investment), and to minimize the bureaucratic chain of granting licences.

**Ideas for FGLG-Indonesia 2008 work plan**





In 2008, FGLG Indonesia will (a) continue to facilitate members' capacities to influence forest governance and (b) share and spread messages about what FGLG members have achieved – what “governance learning” has happened with real impact on forestry institutions – through creative communications.

There are more opportunities at the district level than at national level – for example in Bungo and Kendari. A potential third site at Kalimantan Barat (Kapuas Hulu) could be developed, perhaps if further resources are raised. A risk is that of backsliding on governance at the national level – going back to national targets for tree-planting rather than locally controlled processes.

The governance landscape in Indonesia has changed over the past year. Under the spotlight of hosting the Bali COP, the Indonesian government committed to a series of ambitious targets under its mitigation action plan until 2009: plant millions of trees to rehabilitate 11 million ha of damaged forests, reduce the deforestation rate by 24 million ha, and reduce forest fires by 50%. This return to a highly centralized approach is at odds with inclusive governance. FGLG members will redouble their efforts to challenge their own departments to share power with other stakeholders.

**Panel feedback and additional points raised in plenary**

<b>Feedback on Day 1 country presentation</b>			
<b>Achievements versus plan</b>	<b>Strengths</b>	<b>Weaknesses</b>	<b>Impact</b>
1. Bringing together of stakeholders has been good 2. Group has brought a new brand/ thinking culture – a good process for change from within 3. Increased capacity of members – esp. in policy advocacy	1. Good strategic flow 2. Many tools and methods have been internalized but need clarifying	1. Need to look closely at policy failures. 2. Didn't understand leadership concept. 3. Need to make everything fresh	1. System the group is trying to set up is very complex. 2. Difficult to assess impact of long term work 3. Long-term nature of work (capacity building) is an achievement in itself (Many similarities noted with Mozambique)

The Indonesia group is aiming for district and national level impacts. The group plans to strengthen implementation of the concepts they are working on through a communications strategy. Policy briefs and one-to-one negotiations (dinners) will be used to influence policy change. SMFE associations seek support from fair trade and NGO movements.

The convenors of FGLG-Indonesia emphasise their role as facilitators of group activities, with members providing forestry and governance expertise and encouraging change by working together through one group.

## **Malawi**

### **Summary of FGLG-Malawi activities in 2007**

#### *Some key forest reserves*

<b>Region</b>	<b>Total forest</b>	<b>Forest reserves</b>	<b>National parks and game reserves</b>	<b>Customary land forest</b>	<b>Population</b>
Northern	11,231	2,358	3,060	5,813	1.2 (12.1%)
Central	7,374	2,507	4,120	677	4.1 (41.4%)
Southern	7,823	3,211	2,500	2,353	4.6 (46.5%)
Malawi	26,428	8,076	9,680	8,843	9.9 (100%)

#### *FGLG Malawi – sharing what was done and lessons learned over the last year.*

- ❑ To bring awareness and inform government on what empowerment can achieve to enable communities to have access to and benefit from forests
- ❑ To highlight that charcoal production was largely being ignored despite the known implications for forest degradation
- ❑ To develop and agree on charcoal options to be presented as a technical paper for the Minister's approval.
- ❑ To establish a forum where members can share topical issues.
- ❑ To explore the links between national forestry programmes and poverty reduction strategies.
- ❑ To promote best practice at central and district level through policy briefs.
- ❑ To explore opportunities for SMEs
- ❑ To continue to discuss a range of issues with the Department of Forestry
- ❑ To continue to highlight the work and achievements of FGLG to the wider community, development partners and policy makers.
- ❑ To explore the possibility of establishing in an Independent Forestry Monitoring initiative in Malawi to be facilitated by Global Witness.

#### *Work plan recap: Main achievements of the Malawi FGLG from Uganda in late 2006.*

- ❑ Conclusion of specific research on charcoal and development of options and approaches to promote sustainable charcoal production
- ❑ Organisation of learning events, news events and products.
- ❑ Working together as FGLG in order to promote change
- ❑ Commissioning of a study on the extent of small and medium forest enterprises (SMFEs) and their associations with a strategy for SMFE promotion - linking to previous work on charcoal
- ❑ Assessing possibility of establishing independent forest monitoring in Malawi
- ❑ Feasibility study of Independent Forest Monitoring
- ❑ Advocacy work on illegality and lack of enforcement of Forest Laws and Regulation
- ❑ Participation in local and international forest governance events
- ❑ Capacity building for District Forestry Offices - increasing their learning opportunities through information sharing

*Actual versus planned activities - differences and reasons for those differences*

<b>Period</b>	<b>Activity:</b> Publish the first policy briefing note on charcoal production			
	<b>Planned</b>	<b>Actual</b>	<b>Differences</b>	<b>Reasons</b>
By end April 2006	To publish policy note	Policy note produced and distributed widely – draft prepared and circulated	Original idea was a study on certified wood fuel used in tobacco industry	Charcoal study started in January 2007 hence delay
<b>Period</b>	<b>Activity:</b> Commission a study on Malawi's charcoal trade			
	<b>Planned</b>	<b>Actual</b>	<b>Differences</b>	<b>Reasons</b>
By mid May 2006	To commission charcoal study	The study has been done a report has been produced	Original study on certified wood fuel used in tobacco industry shelved	Agreement by stakeholders for charcoal study incurred delays
<b>Period</b>	<b>Activity:</b> Prepare the terms of reference and commission a study on the extent of Small and Medium Forest Enterprises (SMFEs) and their associations			
	<b>Planned</b>	<b>Actual</b>	<b>Differences</b>	<b>Reasons</b>
By December 2006	To prepare ToRs	Done, ToRs distributed widely, study has commenced and draft report to be ready soon	No difference	
<b>Period</b>	<b>Activity:</b> Publish the second policy briefing note on an SMFE development strategy			
	<b>Planned</b>	<b>Actual</b>	<b>Differences</b>	<b>Reasons</b>
By April 2007	To publish second policy briefing note	A draft policy brief on SMFEs developed and published for the FBE Fair	Draft policy brief put out before study completed to stimulate interest	SFME study not commenced yet; second policy note meant to come out after completion of SMFE study
<b>Period</b>	<b>Activity:</b> Review SMFE study and current opinion on the enabling environment for SMFEs in the forest sector			
	<b>Planned</b>	<b>Actual</b>	<b>Differences</b>	<b>Reasons</b>
	To review SMFE study and current opinion	Not done, because it is planned to be done after the study.	No difference	SFME study to be completed end of year; review to follow
<b>Period</b>	<b>Activity:</b> Develop understanding of the notion of Corporate Social Responsibility (CSR) amongst larger industries (e.g. Tobacco) within Malawi, how this might be useful to link with smaller community producers e.g. fuelwood or charcoal producers and evaluate the possibility of doing a CSR pilot initiative with the tobacco industry			
	<b>Planned</b>	<b>Actual</b>	<b>Differences</b>	<b>Reasons</b>
	To develop understanding	A meeting with Premier TAMA Tobacco Company was held	No difference	
<b>Period</b>	<b>Activity:</b> Ensure piloting of charcoal licensing			
	<b>Planned</b>	<b>Actual</b>	<b>Differences</b>	<b>Reasons</b>
By March 2008	Piloting not started yet;	Meetings held to develop and agree on charcoal options	Piloting not started	Awaiting approval of charcoal study report plus the options report by policy makers

<b>Period</b>	<b>Activity:</b> Develop the ToRs to review the functions of the VNRCs and develop a benefit sharing mechanisms for the Department of Forestry Revenues at the District level			
	<b>Planned</b>	<b>Actual</b>	<b>Differences</b>	<b>Reasons</b>
By March 2008	To develop ToRs	Not done	No difference in planned activity	Exercise to be done in 2008
<b>Period</b>	<b>Activity:</b> Training for district level forest officers on how to implement best practice guidelines to ensure that communities benefit from forest enterprise, including charcoal production			
	<b>Planned</b>	<b>Actual</b>	<b>Differences</b>	<b>Reasons</b>
By March 2008	Training for district level forest officers	Activities for capacity building for the case study in Ntcheu district have continued	Activity planned countrywide	Other districts yet to identify their case studies
<b>Period</b>	<b>Activity:</b> Ensure piloting of charcoal licensing			
	<b>Planned</b>	<b>Actual</b>	<b>Differences</b>	<b>Reasons</b>
By March 2008	Piloting not started yet;	Meetings held to develop and agree on charcoal options	Piloting not started	Awaiting approval of charcoal study report plus the options report by policy makers
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By March 2008	To develop ToRs	Not done	No difference in planned activity	Exercise to be done in 2008
<b>Period</b>	<b>Activity:</b> Training for district level forest officers on how to implement best practice guidelines to ensure that communities benefit from forest enterprise, including charcoal production			
	<b>Planned</b>	<b>Actual</b>	<b>Differences</b>	<b>Reasons</b>
By March 2008	Training for district level forest officers	Activities for capacity building for the case study in Ntcheu district have continued	Activity planned countrywide	Other districts yet to identify their case studies
<b>Period</b>	<b>Activity:</b> To introduce Independent Forest Monitoring in Malawi			
	<b>Planned</b>	<b>Actual</b>	<b>Differences</b>	<b>Reasons</b>
	Independent Forest Monitoring to carry out an assessment in Malawi	The FGLG-Malawi had discussions with David Young from Independent Monitoring who conducted on a scoping study on possibilities of IFM in Malawi. Report produced and recommendations made	No change in plan	

<b>Method or tactic name, and purpose for which it was used</b>	<b>How it was used (step 1,2,3 etc) and with whom</b>	<b>Strengths of method or tactic</b>	<b>Weakness of method or tactic</b>	<b>Lessons learned and ways forward – to better influence forest governance</b>
Visits	Minister taken to a case study site in Ntcheu	Developed appreciation of key policy maker	Limited number to develop further appreciation	Method good for developing awareness for key policy makers and will continue to be used
Newsletters - The District Post	To highlight topical issues	It has wide audience and coverage	Sustaining resources to continue production	Useful way to disseminate information; FGLG will continue to publish it
Gossip Forum	Email, sharing current issues on forest governance issues in Malawi	Cheap, links up with many experts at a time	Access is limited.  Many people are afraid to reveal certain governance issues	The method is good but not conducive for sensitive issues
Radio debate	Debate on Zodiak Broadcasting Station by a panel of experts including Minister of Forestry to highlight problems of charcoal production in Malawi	There was wide coverage	Limited participation by other stakeholders who could not attend or phone in	Public debates on radio are useful for disseminating topical issues and wider audience is able to learn something; further debates planned
Publication of policy briefs	A draft policy brief on SMFEs disseminated at the FBE Fair in Blantyre	Was informative and wider application by other stakeholders expected	Limited quantities available	Policy briefing are notes important to inform stakeholders; policy briefs to be produced regularly on various topics
Press releases	NGO coalition concerns/petition on charcoal production to government	Press release jolted people including government authorities to stop and listen	The message could be sustained because of expenses involved	Press releases have an immediate impact; however periodic release on 'position' on forest issues needs to be maintained
Meetings	Discussions on a wide range of issues e.g. government initiative to use the Malawi Army in its forest reserves; instability in the management of the Department of Forestry;	Enabled discussions on progress of various initiatives under FGLG and decision making	Attended by a small number of members	Meetings are important for continuous dialogue and decision making; they will continue to be used by FGLG to discuss issues

<b>Method or tactic name, and purpose for which it was used</b>	<b>How it was used (step 1,2,3 etc) and with whom</b>	<b>Strengths of method or tactic</b>	<b>Weakness of method or tactic</b>	<b>Lessons learned and ways forward – to better influence forest governance</b>
	charcoal study; tobacco companies			and to mobilise stakeholders
FBE show	Show exhibited various forest products and showcased some forest products enterprises already on the market	It was showed the potential of forest products as part of any business enterprise; it developed interest among potential entrepreneurs in forest products	It did not demonstrate how the products can be harvested, processed and their attendant costs	Seeing is believing – the more people see the products of the forest, the more will be willing to invest SMFEs; FGLG will participate actively in these shows
Research studies	Charcoal and SMFEs studies	Highlighted the facts and potential of activities which could contribute to government revenue and poverty reduction	Difficult to maintain euphoria or interest as times passes and new issues emerge	Studies are good to describe or explain an event and explore opportunities for further improvements; FGLG will advocate for implementation of the findings of the two studies

*Governance gossip' highlights*

- ❑ The change of leadership in FD, bringing in new management and posting away some key figures, appointing our own Convener to Deputy Directorship.
- ❑ The Minister refusing to do anything on charcoal without providing alternatives.
- ❑ The new Director of Forestry announcing plans for FD to start levying Water Boards for catchment area management purposes.
- ❑ Disappointments: our own members fearing to give out information.
- ❑ Departure of our former colleague, Todd Johnson, who was with CAMPASS and is now in Afghanistan.

<b>Achievements (outputs, outcomes and indirect or spin-off impacts)</b>	<b>Key ingredients involved and reasons why it was achieved (formal and informal means), and ways in which achievement can be verified</b>
The bringing of awareness through a case study site at Ministerial level to importance of tree planting by the Minister	Successful mobilisation and training of the community and committees (10 committees trained): communities manage their own forests
Charcoal study – the revelation of the potential for revenue generation for government and poverty reduction	FGLG initiated debate on radio and mobilised funding for a study; concerns over forest degradation mean the study was well placed to have an audience and expected impact
Engagement of tobacco companies on their roles in forest development and corporate social responsibility	Tobacco companies vilified as the main causers of forest degradation in Malawi; so Premier TAMA Tobacco Company and Limbe Leaf Tobacco willing to take part
Commissioning of the study on SMFEs	General government policy to improve people's livelihoods and reduce poverty; at the same time the charcoal study has revealed the hidden wealth that could be tapped if charcoal production could be done sustainably;
Establishment of a Governance Gossip Forum	General appetite for information sharing on topical issues concerning forestry Malawi

<b>Key dilemmas and disappointments</b>	<b>Lessons that can be drawn</b>
Convenorship – very busy with other important issues in the Forestry Department	FGLG should have flexibility to convene as a group and be able appoint a chairperson at a meeting in the absence of a Convenor so that activities continue to progress
The issue of directorship caused instability in the Forestry Department therefore affecting decision making at policy level some of the concerning FGLG such finalisation of technical report to the Minister	Although the new leadership is supportive of FGLG activities it may well be that in future there could delays in key decisions to be made on behalf of FGLG or outright rejection of some
Late delivery of the IFM report	FGLG to strictly lay down conditions for offer of contracts
Reluctance of members to participate in the Governance Gossip Forum especially the sharing of governance information, which tends to sensitive in most cases. The forum is also not well patronised.	It is important to recognise that some people by virtue of their positions either in public, private or civil institutions may not feel safe or compelled to comment on issues that arise on the forum

#### *FGLG team reflection and recommendations*

- ❑ Case studies (e.g. Ntcheu) highlight to key policy makers what local communities can do. It will strengthen the support which policy makers intend to give communities but results are seen.
- ❑ Meetings have been a driver in discussing issues although the dissemination of meeting results has been better using modern communication methods such as e-mail.
- ❑ The use of studies (e.g. Charcoal) has opened up opportunities to relook at issues which although worked on before, some pertinent issues (problems) have remained unresolved.
- ❑ The publication of policy briefs, press releases, the newsletter, Gossip Forum and radio debates are now contributing to the 'wake up call' for Malawians on environmental and natural resources problems amidst them and therefore get to call for action.
- ❑ The planning and action has been done based on agreed plans by members through meetings and other forms of communication. Where it is difficult to bring together members, the other

forms of communication are still viable to send and get information. Other activities such as the FBE fair have also informed the process of planning and action.

- ❑ During last year, patience was the virtue. Certain activities could not be done or delivered on schedule but were carried out nevertheless.

## **Making SMFEs work better for social justice in forestry in Malawi**

### *Timber and non-timber products:*

#### Processed products

- ❑ Timber
- ❑ Honey
- ❑ Fruit Juices
- ❑ Cane furniture

#### Unprocessed products

- ❑ Mushrooms
- ❑ Traditional medicines
- ❑ Poles

### *Focus of the study*

- ❑ Timber, curios, fruit juices, cane furniture
- ❑ Incentive structures for SMFEs
- ❑ Presence of supportive governance environment
- ❑ Business Licences available for forestry based enterprises
- ❑ Export permits available for various products (as above)
- ❑ Medium-based timber producers exported without a licence (is it as a result of lack of information, rent seeking behaviour among public officials or involvement of foreigners in timber export?)
- ❑ Improved Forestry Management for Sustainable Livelihoods Programme is aimed at supporting the livelihood of people through using forestry resources on a sustainable basis
- ❑ Decentralization Act offers an opportunity for subjects to manage their resources (including forests) within their locality with accountability and transparency to the locals

### *Disincentive structures*

- ❑ Land Act has no provision for having a proportion of area on trees/ forests on customary land therefore it has potential of depleting forest resources on the existing foresting reserves and protected areas
- ❑ Weak Institutional Structures
- ❑ Associations are at an infant stage and there is uncertainty of their being an annual grouping (mobile saw millers in timber sub-sector)
- ❑ Lack of credit facilities to Small and Medium Forest Enterprises (SMFE)
- ❑ Lack of market information (including export market)
- ❑ Lack of grading and standards
- ❑ Lack of guarantees on rewards on good forestry management (felling and re-planting)

### *Sources of transaction costs*

- ❑ Registration of business licences done at one location (Blantyre) for the whole country
- ❑ Bribes to public officials (Forestry, Police) during conveyance of non-soft wood timber.
- ❑ Illegal transporting (use of unofficial transporting vehicles: actually these are cheaper than officially hired vehicles)
- ❑ Late issuance of permits resulting in illegal cutting of trees (especially observed in 2007)



- ❑ High fees for the small pit sawyers who are also given poor quality trees in distant places

#### *Challenges to SMFEs*

- ❑ Generally SMFEs are demonized as a pariah subsector for apparent depletion of trees and forests.
- ❑ Supply-side challenges
- ❑ Low value added in timber (non-seasoned and non-treated timber, non-graded, no standards, no phytosanitary certificate) therefore just sell as wet timber with low prices
- ❑ Lack of cooperatives to better organize businesses in terms of access to raw materials, processing, transportation and marketing along the entire value chain
- ❑ Lack of seasoning infrastructure for drying timber
- ❑ High capital outlay which pit sawyers' business can't access
- ❑ Lack of credit facilities for SMFEs
- ❑ Lack of credit reference bureau to access official credit
- ❑ Lack of credit guarantee schemes to assist small scale entrepreneurs
- ❑ Lack of investors in developing locally developed technologies e.g. Malawi Industrial Research and Technology Development
- ❑ Pit sawyers offered marginal areas and trees of inferior quality
- ❑ Demand-side challenges
- ❑ Lack of access to lucrative markets as a result of low value products produced and protection in some markets e.g. curios in South African market have barriers to entry
- ❑ Low marketing opportunities observed in other products: Cane furniture, curios: these face demand side constraints

#### *Opportunities for SMFEs*

- ❑ One Village One Product is a programme aimed at promoting products common to an area in improving its production and sales/ exports
- ❑ Malawi Export Promotion Council (MEPC) can promote forest enterprise exports
- ❑ Malawian Entrepreneurial Development Institute (MEDI) can develop the skills and business capability of small entrepreneurs but nothing has been done in the FEs.
- ❑ Malawi Confederation of Chambers of Commerce and Industry offers opportunity to producers of non-timber forest product to exhibit at annual trade fairs
- ❑ Forest based enterprises fair
- ❑ Development of Malawian Traders Trust (DEMATT) and Small Enterprise Development of Malawi (SEDOM) are aimed at providing business training and micro-finance to small scale enterprises. Nothing has been done in the FEs.
- ❑ Cooperative Policy is in place to promote the formation of association or cooperative and train them at no cost. This can play a crucial role in the formation of associations of forest enterprises
- ❑ Competition Policy is aimed at avoiding unfair trade and protecting the consumer. Thus small and medium forest enterprises can be protected from the large scale forest enterprises
- ❑ Reasonably high prices observed in Timber and Charcoal sectors - however these sectors face supply-side problems
- ❑ High potential for export markets with growing exports to Somalia, Kenya, Burundi, South Africa and Middle East
- ❑ Potential for larger margins if the products are treated, graded and standardized
- ❑ The entry of lending institutions and business training institutions into the sector can boost productivity and quality of products
- ❑ Institutions such as MEPC can assist SMFEs to access more lucrative markets by using existing bilateral and multilateral trade agreements such as South Africa-Malawi bilateral agreement, COMESA, SADC and WTO

#### *Comparative advantage of FGLG*

- ❑ FGLG should assist in capacity building through sensitisation of various potential supporting institutions on the contribution of specific SMFE value chains to economic development-not as a pariah subsector. They deserve credit, training in business management, skill development and organisation (associations)
- ❑ FGLG should lobby government to support SMFEs as one of the poverty reduction within the Malawi Growth and Development Strategy (MGDS) through development and implementation of supportive policies
- ❑ FGLG should lobby NGOs to develop and strengthen the existing capacities of SMFEs
- ❑ FGLG should link the existing SMFEs with local and international institutions which can develop the SMFEs

### **Ideas for FGLG-Malawi 2008 work plan**

#### *OBJECTIVE 1: Improve SME Governance Environment*

##### Activities

- ❑ Finalise SME study
- ❑ Dissemination meetings for study
- ❑ Policy Brief on Charcoal and SME
- ❑ Debates – radio on the policy briefing
- ❑ Launch Policy Brief

##### Impacts

- ❑ Government adopts Charcoal Production Options developed by FGLG and partners

#### *OBJECTIVE 2: Promotion of local control and governance of forests*

##### Activities

- ❑ Document case study in Ntcheu
- ❑ Spread main conclusions to key figures involved in decentralisation
- ❑ Conduct study on local forestry institutions and local control
- ❑ Policy Brief on local institutions for forest management
- ❑ Dissemination meetings to build constituency for change

##### Impacts

- ❑ New model for local control and governance based on traditional structures is developed

#### *OBJECTIVE 3: Creating and building evidence into policy processes (for sustainability)*

##### Activities

- ❑ Engagement with Civil Society processes
- ❑ Engagement with FD [+ EU Programme]
- ❑ Influencing involvement of Ministry Local Government with relation to local forestry control
- ❑ Capacity building for FD and DA [supporting staff to attend related governance meetings in Malawi]
- ❑ FGLG Coordination
- ❑ Continue Newsletters & Gossip forum

##### Impacts

- ❑ Policy processes respond positively to evidence and advocacy generated by FGLG

## Panel feedback and additional points raised in plenary

Feedback on Day 1 country presentation			
Achievements versus plan	Strengths	Weaknesses	Impact
1. Excellent charcoal study 2. Expansion of membership 3. Need to use district post better	1. Sustainable charcoal research 2. Information sharing forum 3. NFP & PRSP links 4. Radio very good for outreach	1. No logical flow early on and wide range of actions 2. Not sure whether tactics were appropriate 3. Lots done but hard to separate impacts from achievements	1. Good progress in talking about charcoal with ministers

Deforestation is a growing problem and charcoal production (which accounts for 0.5% of GDP) has had a significant impact on this. Budget constraints have impeded reforestation.

Following interaction with David Young of Global Witness at the 2006 learning event, the Malawi team commissioned a feasibility study for independent forest monitoring to try and address some of these issues. FGLG-Malawi is yet to formally submit the study but has been having some positive discussions around this with policy makers. In advocacy work and documentation of charcoal production, FGLG-Malawi's role has been both direct and indirect. Some studies have been implemented directly with FGLG funds, whereas other activities have been initiated by FGLG but carried out by non-members.

## **Mozambique**

### **Summary of FGLG-Mozambique – Amigos da Floresta activities in 2007**

#### *Context*

In 2006, forest issues went public with the publication by Catherine MacKenzie of a report 'Chinese Takeaway: Forest governance in Zambezia, Mozambique'. This report drew attention to the way in which the forests of Zambezia were being exploited (illegally, with rapid deforestation and degradation and the creation of poverty). Early in 2007, various logging trucks were intercepted exiting the Arquipelago das Quirimbas National Park, without any license or authorisation. The timber had been logged illegally inside the Park. There was little formal condemnation from the authorities.

#### *Various converging reports*

- ❑ Forest Law Enforcement in Mozambique: An Overview Mission Report (Filippo Del Gatto, FAO, DNFFT, 2003)
- ❑ Improving the Competitiveness of the Timber and Wood Sector in Mozambique (Alan Ogle and Isilda Nhantumbo, CTA/USAID, 2006)
- ❑ Global Forest Product Chains: a Mozambique case study identifying challenges and opportunities for China through a wood commodity chain sustainability analysis (Antoine Bossel, Simon Norfolk, Terra Firma/IIED/Forest Governance Learning Group, 2007)

#### *Founding members that established the movement 'Amigos da Floresta' (Friends of the Forest, February 2007)*

- ❑ Centro Terra Viva (CTV)
- ❑ Justiça Ambiental (JA)
- ❑ Centro para a Integridade Pública (CIP)
- ❑ Cruzeiro do Sul – Instituto para o Desenvolvimento José Negrão
- ❑ FONZA – Fórum de Organizações não Governamentais da Zambézia
- ❑ Livaningo
- ❑ Organização Rural de Ajuda Mútua (ORAM)
- ❑ Pro-Ambiente/FDUEM

#### *Objectives of the Amigos da Floresta movement*

- ❑ To promote debates, studies and other initiatives to raise public awareness about environmental issues
- ❑ To contribute to economic, social and environmental sustainability in forest extraction activities
- ❑ To contribute to fair and equitably distributed benefits from commercial forest exploitation
- ❑ To draw attention to and provide critical mass for support to communities involved in the production of firewood and charcoal
- ❑ To improve the transparency of information flows about natural resource management leading to greater legality in forest exploitation

#### *Principles of the Amigos da Floresta movement*

- ❑ The centrality of engaged citizenship
- ❑ Encouraging citizens to shoulder responsibilities
- ❑ The precautionary principle
- ❑ Freedom of information on environmental issues
- ❑ The pursuit of sustainable development
- ❑ The need for integrated environmental management

#### *Initial activities*

A letter was written expressing concern to the governors of Zambezia and Cabo Delgado provinces. A debate on forest management in Mozambique was organised. An environmental education

programme was launched in 20 schools in Maputo Province and City. An outline of the movement and associated video was produced. A march was organised to coincide with the International Day of the Forests

#### *Impacts of the movement*

An intense debate was stimulated at the level of the National Assembly in response to a petition from the opposition party. The press published increasingly critical comments of the way in which forest resources were being governed. A change was precipitated in the leadership of the Ministry of Agriculture.

#### *Reaction to the movement*

It was suggested that the movement was serving the interests of Western powers against further cooperation with China. Moreover it was stated that forest management was vastly improved following diverse legislative measures. There was no perceived risk of deforestation leading to desertification, because Mozambique has such rich forest resources. IN any case, the annual harvesting volumes were below the annual quota (calculated on the basis of sustainable forest management) – even if this harvest is concentrating on a few commercial species. The real driver of deforestation was local communities need for fire wood and charcoal and for agricultural land.

#### *Witness*

*“Now it is very difficult to find the timber species pau-preto. It is necessary to walk very far to find even a single trunk. They (the Chinese) have carried away all the large trees...”* Samuel, Artesan, Nampula, 23 November 2007.

#### *Activities for 2008*

- ❑ Formally link the Amigos da Floresta group to the Forest Governance Learning Group
- ❑ Run a formal campaign to raise awareness about the importance of forest protection
- ❑ Conduct research to further shed light on current forest practices and possible alternatives
- ❑ Help to promote models of sustainable development
- ❑ Support actions to curb illegal logging.

### **Making SMFEs work better for social justice in forestry in Mozambique**

[Readers are invited to email [cmanuelterra@gmail.com](mailto:cmanuelterra@gmail.com) for further details on this topic]

## Ideas for FGLG-Mozambique 2008 work plan

Main purpose/ objectives	Methodology	Potential impact	Potential limitations	Comments
<b>General activities</b>	Convene a national FGLG group	Improved integration of stakeholders' interventions on the forestry sector	Possible lack of interest from the forestry department	The FD is not prepared to hear criticisms
	Organize regular meetings with members of Friends of the Forest			
<b>Public campaign on the importance of rational forest use</b>	Development of a theatre piece	Increased public awareness and interest on sustainability of forestry management	Attempts to link the campaign to foreign interests and to the West versus China debate  Funding	This has happened before
	Publish a comic strip based on the theatre described above			
	Compile a book on the current status of the forest sector in Mozambique			
	Produce a film documentary			
	Continue to use popular music cultural to spread messages on environmental issues			
Use key dates to publish opinion pieces to mobilise the public				
<b>Research</b>	Help to revise and publicize relevant research	Technical and scientific data for improved forestry management widely available	None	
<b>Spread models of sustainable development</b>	Use the CTV study on small or medium enterprises to push for better government /donor support for community initiatives	Importance of community involvement in forestry management highlighted	None	
	Create synergies between FGLG and the Forum CBNRM			
<b>Actions to combat forest illegality</b>	Attempt to revitalize the National Forest Forum to make it a more active platform for discussion	Law enforcement improved at all levels	Possibility of threats and other challenges against involved NGOs.	Forestry sector has deep political and economic contours and the campaign has the potential to affect personal hidden interests
	Organize public debates on important forest issues			
	Prepare and submit petitions to governmental institutions related to forestry			
	Attempt to use FGLG members links with communities to improve information collection on problems in the forest sector			

## Panel feedback and additional points raised in plenary

Feedback on Day 1 country presentation			
Achievements versus plan	Strengths	Weaknesses	Impact
1. Some encouraging new initiatives and advocacy in policy guidelines on forest management 2. Need clear objectives for 2008.	1. Involvement of public 2. Range of successful methods 3. Letter writing strategy and media work 4. Clear objectives 5. Very good documentation and photos.	1. Challenge of creating a learning group 2. Plan looks too ambitious 3. Link between 'Chinese takeaway' and local issues is not clear 4. Uncertain if Friends of Forests should rebrand as FGLG.	1. Obvious impact ~ but many not have touched all sectors 2. Check for bias and whether on the right track

Over the past year the group has undergone a change in convenorship for tactical reasons. The previous convenor (Adolfo Bila) is still very much involved. This change has brought about some shift in activities with a greater focus on campaigning/ policy change. Campaigns have been based on the legality of decisions – how these are made, how the law is enforced and how government is collaborating with local communities to prevent illegal activity. It was suggested that alongside these activities, the group may wish to retain some of its roots and recognition as a governance forum.

It was also suggested that the links to – and impacts on – people could be made a bit more explicit under work plan activities.

## South Africa

### Summary of FGLG-South Africa activities in 2007

#### Purpose of FGLG-SA

- ❑ Development of SFESDS including clarification of roles and responsibilities;
- ❑ Consolidation of inputs into various planning processes including NFP, PGDS, IDP and Charter;
- ❑ Host and/ co-host SFE business events;
- ❑ Pilot implementation of SFESDS.

#### Planned versus actual activities comparison

Planned	Actual/Outputs	Outcomes
Development of SFESDS	Outline design; chapter 1 & 2 drafted;	Influence on the NFP, Charter, Provincial FSI & IDP/LED instruments;
Consolidation of inputs	NFP; Forest Charter; PGDS; NIPF; IDP; EC-FDP;	Provincial FSI – KZN & LP; SFE membership on IDP/LED/Disaster Management Forums;
Host and/co-host SFE business events	Ensured participation of SFE on the charter workshops Seven SFE events planned for early 2008	First hand information and comments
Pilot implementation of SFESDS	None	N/A

Method or tactic & purpose for which it was used	How it was used (step 1,2,3) and with whom	Strengths of method or tactic	Weakness of method or tactic	Lessons learned & ways forward to better influence FG
Brainstorming and prioritisation <i>Identify &amp; prioritise issues</i>	Appraisal; listing of views; capturing of views; deciding on core issues; focused group discussions; FGLG-SA members and stakeholders	Transparency; participatory; inclusive; flexibility;	Shy participants may feel challenged	Give shy participants extra opportunity to express themselves to promote shared visioning
Situational analysis Provide baseline information and trigger thinking	Decide on an issue, viewpoint and key attributes; literature review; interact with subject experts; draft synthetic reference FGLG-SA members	An objective but biased assessment; facilitate formulation of balanced views and messages to inform decision-making;		Always necessary to kick start a session with well informed punchy messages to influence proceedings
Stakeholder mobilisation and engagement	Workshops, meetings, presentations and	Raise awareness and share information; create		Stakeholder sensitivity and receptiveness – could alienate and



Method or tactic & purpose for which it was used	How it was used (step 1,2,3) and with whom	Strengths of method or tactic	Weakness of method or tactic	Lessons learned & ways forward to better influence FG
Raise awareness, forge relations, visioning and decision-making	electronic media Stakeholders	shared vision and build relations; highlight opportunities, short-falls and interventions; leverage resources		defeat purpose. Cautious assessment of their reactions as process unfolds and selection of appropriate tactic(s)

*Governance gossip highlights*

- ❑ Realisation that sector growth and development will be facilitated by SFE;
- ❑ Commitment to support SFE through charter but lack of urgency – timing;
- ❑ Endorsement of regional FSI as an organising framework, and ultimate anticipated programmes;
- ❑ *Ad hoc* SFE business support as a result of mobilisation

Achievements (outputs, outcomes and indirect or spin-off impacts)	Key ingredients involved and reasons why it was achieved (formal and informal means), and ways in which achievement can be verified
Work done towards developing SFESDS	SFESDS outline; Charter 1 & 2 drafted; situational analysis completed; securing support from INR to facilitate objectives 1 & 2; principle interest for FF to support FGLG-SA activities;
Consolidation on inputs into various key planning processes	Charter; NFP; PGDS; IDP/LED; EC – FDP;
Capacity building of members and ultimately their organisations, and subsequent SFE impacts	Clear awareness about sector and its opportunities, challenges and intervention mechanisms;
Institutionalisation of regional FSI	KZN, EC, LP and MP endorsement; LP MoU and draft programme; KZN strategic assessment and SFE projects;
National and International advocacy and lobbying for SFE support	UNFF 7th Session side events; CFM&F Conference; BBBEE Conference – MP;

Key dilemmas and disappointments	Lessons that can be drawn
Limited tangible support from DWAF regarding commitment made	Lack of will to act upon made commitment and/ deliberate crafted act of frustrating progress
Proliferation of events targeted to SFE that impacts on FGLG-SA plans amongst others	
Propagandas to facilitate ulterior motives that misuse objective and genuine commitment	

## FGLG-SA Reflections

FGLG-SA original designs	FGLG-SA reviewed
Approach - series of events aimed at reviewing & setting targets towards achieving deliverables	Approach – series of events aimed at work-shopping an identified milestone towards achieving deliverables, e.g. using SFESDS framework for the rest
Convenor to facilitate drafting of relevant references as outputs	Convenor to facilitate processes with drafting services provided elsewhere, e.g. INR support
FGLG-SA core and call-in members as reference critique	Members as researchers in preparation towards a focussed event
Networks through FGLG process and countries	Broadly network to share lessons and influence other processes, e.g. FF

## Making SMFEs work better for social justice in forestry in South Africa

### What are SFEs in South Africa?

- Activities limited to forestry, contracting, charcoal and sawmilling;
- Annual turn-over of not more than R5 m;
- Could be an individual or a group;
- Predominantly constituted by previously disadvantaged groups and found in tribal areas

### SFEs in value chain

Items		Growers		Contractors		Saw-millers		Charcoal	
Numbers		24 K				240		160	100%
Extend		57 K Ha	4%			?		?	N/A
Turnover	Producti on	600 K T/Y	3%			?		?	N/A
	Rand	R180 m	5%			% of R1.7b		R115 m	N/A
Employment		?	?			% of 30 K		5 500	N/A
Potential growth	Extend	150 K Ha	≤ 41%			?		?	
	No.	41 K	38%			?		?	
Potential trans. Impact		± 46% of 1.4 m ha	± 46%			?		?	?

### SFE incentives

- Good legislative provisions with little effects;
- Good business environment, programmes and/ schemes;
- Effective organisational capacity; and
- Good support systems and programmes but inaccessible.

### SFE disincentives

- Inaccessible support systems and provisions;
- Lack of packaged growth and development opportunities;
- Poor infrastructure conditions in tribal or rural areas;

- ❑ Dispersed and/ conflicting instruments;
- ❑ Lack of strategic guidance.

#### *SFE challenges in South Africa*

- ❑ Capital intensive nature of forest requiring high investments up-front limiting new entrance;
- ❑ Access to capital resources and services, e.g. finance and skills respectively;
- ❑ Lack of communication and access to information;
- ❑ Bureaucracy and cost of legislations;
- ❑ Limited G&D opportunities including physical and resources;
- ❑ Infrastructure development conditions;
- ❑ Market and marketing deficiencies – such as contract and procedures negotiations disparities;
- ❑ Access to technical and technological support;
- ❑ Availability and access to relevant industry's codes of good practice;
- ❑ Dispersed and uncoordinated strategic approaches and instruments;
- ❑ Direct and indirect benefits, e.g. advancing SFEs and development challenges such as job creation.

#### *Some of SFE recommended interventions*

- ❑ Real economic transformation with appropriate business models;
- ❑ Design appropriate, complete and integrated resources and services facilities;
- ❑ Design communication and information dissemination strategy for SFE;
- ❑ Strategic legislative and incentives impact assessment;
- ❑ Value chain G&D opportunities' assessment;
- ❑ SFE participation on decision making processes including infrastructure programme design;
- ❑ Design bench-mark sub-sector contract models to SFE in negotiations;
- ❑ Profile and communicate support facilities available to SFE;
- ❑ Design industry and categoric SFE CoGPs;
- ❑ Internalisation of challenges through trans. & priv. processes;
- ❑ Institutionalisation of SFE strategy.

#### *Identified role of FGLG-SA*

- ❑ Catalyse development of SFESDS including clarification of roles and responsibilities of key agencies;
- ❑ Consolidation of inputs into various and key planning processes including NFP, PGDS, IDP, Charter and legislative briefs;
- ❑ Host and/ co-host SFE business events;
- ❑ Pilot implementation of SFESDS – promoting uptake.

#### *FGLG-SA methodology*

- ❑ Stakeholder and participatory driven to facilitate discussions and negotiations;
- ❑ Flexible, category and varying level of core and/or call-in group members;
- ❑ Six working groups as discussion and crafting nodes;
- ❑ Phased and series of learning cycles, each focused on achieving distinct milestone(s); and
- ❑ Needs and sector-based to promote integration.

## Ideas for FGLG-South Africa 2008 work plan

Main purpose	Methodology	Potential impact	Potential limitations	Comments
Catalyse development of SFE support and development strategy (SFESDS)	Outsource SFESDS packaging services; workshop different components of SFESDS; mobilise key role players based on SFESDS; facilitate creation of information and capacity;	Provide strategic coordination; facilitate sustainable project development; facilitate sector customised SME programme; facilitate achievement of various policies, e.g. forest sector charter and KZN industrial development policy;	Time for implementation; lack of buy-in from key role players;	FGLG-SA would focus on promoting uptake of SFESDS with key role players
Consolidation of inputs into various planning processes	Appraisals, participation on key identified processes; mobilisation of key role;	Facilitate achievement of integrated planning on SFE issues;	Lack of buy-in from key role players; timing;	Impact on on-going exercises
Host and/ co-host SFE events	Workshops; meetings; presentations; programmes;	Effective communication and information dissemination; awareness creation on FGLG-SA role on SFE development;	Financial resources; time;	Partner and/ leverage resources with other key stakeholders
Pilot implementation of SFESDS	Mobilise key role players based on SFESDS; meetings; presentations;	Facilitate uptake of SFESDS components and integrated planning;	Time for implementation; lack of buy-in from key role players;	Interact with key stakeholders simultaneously to the development of SFESDS

## Panel feedback and additional points raised in plenary

Feedback on Day 1 country presentation			
Achievements versus plan	Strengths	Weaknesses	Impact
<ol style="list-style-type: none"> <li>1. Good progress on ongoing processes.</li> <li>2. Some progress already but need to ensure broader stakeholder engagement</li> <li>3. Consolidation of inputs is very useful</li> <li>4. Progress on hosting SFE events may be a bit slow</li> </ol>	<ol style="list-style-type: none"> <li>1. Analysis and design of SFE framework</li> <li>2. Linking forestry to overall development of South Africa</li> <li>3. Stakeholder mobilisation</li> </ol>	<ol style="list-style-type: none"> <li>1. Need to prioritise events in order to improve impact</li> <li>2. Need aggressive information, communication and education programme with shy /non-committal stakeholders e.g. Ghana's approach of breakfast meetings</li> </ol>	<ol style="list-style-type: none"> <li>1. Capacity building and mobilisation of SFES</li> <li>2. Getting SFES into Forest Charter</li> <li>3. Impact on NFP unclear (Too many acronyms used)</li> </ol>

FGLG-Cameroon was interested to hear about democratic versus customary institutions with regard to land restitution in South Africa. The South Africa team responded that the government has started to enact protection and rights for customary owners – which is now entrenched in the legislation. It was suggested that under the ideas for the 2008 work plan ‘pilot implementation’ may be more of a methodology rather than purpose. The team replied that as there is currently no strategy for SFESDS, developing and piloting it are considered two separate activities. Questions were also raised about the ownership of the SFESDS process and to what extent SMFEs are included given their status as target beneficiaries.

Three main influences of government on SFEs – and thus three key areas of opportunity for FGLG were identified by the team as being: tenure; finance; and development programmes. On the latter, prospects are good for working with Department of water affairs and Forestry and Department of Trade and Industry, and are particularly exciting in Kwa-Zulu Natal, with ways of shaping the implementation of the National and Provincial Industrial Development Programmes and Customised Sector programme.

Organisations representing contractors are weak in South Africa – there is one national level organisation but in practice it only represents part of the sector. The big companies are cagey about recognising it – which sustains its weak position.

Small growers and producers currently have much weaker access to government than the corporate forestry players – there is much going on with SFEs but until sufficient strength is developed amongst SFE associations, they will continue to be marginal players on the scene. FGLG work is therefore critical.

Wood production for pulp was emphasised as the key SMFE sector yet, in terms of local livelihood benefits and costs, charcoal is also a hugely important sector (and woodlands collectively cover a much larger area in South Africa than planted forests and trees on smallholdings).

In the year ahead, the FGLG team in South Africa was urged to identify more clearly: how to address some of the governance challenges in organising SMFE/smallholder groups into bodies with whom the state can interact; what models of organisation are being pushed and why; and how its work can contribute to realising social justice.

## ***Uganda***

### **Summary of FGLG-Uganda activities in 2007**

#### *Introduction*

- ❑ Uganda is located in East Africa and has a total land area of 236,040 Sq. Kilometers. Population is currently estimated to be over 28m, and is growing at a rate of 3.4%.
- ❑ The country is agricultural dependent with over 70% of the population engaged in subsistence farming and over 90% dependent on wood fuel.
- ❑ The country is endowed with a broad array of natural resources: forests, lakes, rivers, swamps, wildlife, and minerals e.g. cobalt & oil.

#### *Forest cover*

- ❑ Forests and woodlands cover a total of 4.9m ha, about 24% of the total land area.
- ❑ Of the 4.9m ha, 30% are in protected areas and 70% are found on private land.
- ❑ Protected Areas contain the country's Permanent Forest Estate (PFE), which is 1.9m ha.
- ❑ According to the PEAP, forestry contributes 6% of GDP; directly employs 100,000 people and 750,000 indirectly; provides 90% of the energy demand (wood fuel and charcoal)
- ❑ Forests are important for climate moderation and income generation for people. In Masindi district for example, people living near forests raise as much as 18% of their incomes from forests.

#### *FGLG - Uganda*

- ❑ To link, facilitate dialogue, and spread learning amongst the various actors in the forestry sector about workable approaches to good forest governance
- ❑ To make measurable progress in enhancing justice and equitable distribution of forestry resource benefits and enhance local ownership and access to those resources
- ❑ To develop initiatives for combating illegalities in the forestry sector, and to enhance the integrity of the forestry resource base.
- ❑ To advocate for just and equitable forestry related policies, laws and mechanisms of implementation.
- ❑ To link Uganda with the other participating countries in the FGLG, so as to share lessons and experiences

#### *Core objectives of the group over the past year*

- ❑ To profile the activities of the UFGLG
- ❑ To profile the position of the forests sector in the macro (PEAP, etc) and micro economies (ENR – SIP, etc)
- ❑ To trigger increased budgetary flows to the forests sector
- ❑ To resolve illegalities and governance shortfalls impinging progress in the sector

#### *Work Plan for 2007*

- ❑ Engaging in the PEAP; ENR SWG; ENR SIP; and Budget Processes
- ❑ Develop and implement a campaign to curb illegalities (e.g. encroachments, forests degazettement, and evictions)
- ❑ Create awareness by using existing work e.g. improving justice tool kit
- ❑ Engaging with the private sector on practical legal compliance
- ❑ Providing legal advisory support to communities in distress
- ❑ Organize consultative fora on topical issues in the forests sector

Under these broad themes, a number of substantive activities (research, advocacy and outreach) were identified and implemented in the course of the year.

*Activities and outputs*

- ❑ ENR-SIP: The secretariat was involved in the preparation of the final draft of the ENR-SIP. In July 2007, ACODE contributed to the final review of the document and to its launch in early December 2007.
- ❑ Budget Advocacy: Commissioned two research papers – on marginalization of the ENR sector; and disbursements to the District Forestry Services (DFS). Working drafts for both papers are in place, undergoing peer review
- ❑ Organised a high level policy dialogue on the 2007/08 budget where the paper on marginalization of the ENR sector was presented and discussed. Among the key discussants were the secretary to the treasury and director of Budget
- ❑ Provided intellectual guidance and strategic direction to the Mabira forest advocacy campaign, wrote briefs and memoranda, developed campaign materials like flyers, etc.
- ❑ Mobilised partners (CSOs, MPs, the public) to resist the giveaway of Mabira forest. The CHOGM 2007 advised GoU not to.
- ❑ Constituted a legal team that is handling court cases that seek to challenge the unlawful giveaway of forest reserves to private investors.
- ❑ Public sensitisation campaigns were carried out to cause citizen appreciation of forestry and the need for conservation
- ❑ Supported vulnerable natural resource dependent communities in Manafwa district of Eastern Uganda to overcome a deadlock with the UWA over encroachments on Mt. Elgon National Park

*Things that have not been implemented*

- ❑ The national forests conference has not taken off. This was planned to be an annual conference that brings together stakeholders across the country to dialogue on forestry and to monitor the implementation of the national forests plan.
- ❑ Engaging with the private sector on practical legal compliance

<b>Method or tactic</b>	<b>Strength</b>	<b>Weakness</b>
Coalition building	Stronger voice; broad expertise; less risky	Delays action
Flyers & stickers	Communication; outreach; durable	Costly
Public demonstrations	Sensitisation; makes news	Can go out of hand
Resignations	Makes news	Weakens the institutions
Target the investor	Easier target	'Anti-investment'
Engage int'l media and actors	Wide outreach, increased pressure	
Use others images - Prof. Wangari	Makes news	Not easy to get to
Get sensitive information	Informed position	Not easy to get; risky
Legal process	Binding	Too costly

*Achievements*

- ❑ The ENR-SIP has been finalised and launched - forms basis for ENR budget
- ❑ The budget ceiling for ENR has been raised from Uganda shillings 26.03 billion in 2007/08 to 45.36 billion in 2008/09
- ❑ Ministry of finance has adopted guidelines for mainstreaming ENR and made them mandatory for all sectors in the budgeting process.
- ❑ Mabira forest, Bugala Island forests and many others have been saved from degazettement, at least for the time being
- ❑ The Mabira advocacy campaign demonstrated forestry as a rallying point for citizen participation to streamline governance in the country. This provides opportunities for replication.

- ❑ The UFGLG secretariat facilitated discussions on climate change at the recently held Commonwealth Heads of Government Meeting (CHOGM) in Kampala.

### Challenges

- ❑ Policy advocacy is usually untimely and requires endurance
- ❑ The activities for the year were too costly in terms of time and resources. Some activities had to be omitted.
- ❑ The Mabira protests turned rowdy - taking a racial outlook and threatening the legitimacy of the campaign

### Making SMFEs work better for social justice in forestry in Uganda

Small and medium enterprises contribute greatly to poverty eradication and improvement of the livelihoods of both rural and urban dwellers. However their performance is affected by nature of the sector, enterprise specific constraints and low investment incentives.

### Key enterprises in Uganda

- ❑ Sawmilling/ pitsawing
- ❑ Carpentry/ furniture
- ❑ Basket making
- ❑ Non-timber producers e.g bee-keeping
- ❑ Small scale tree seed sellers
- ❑ Small scale tree farming
- ❑ Charcoaling
- ❑ Commercial nursery

### Characteristics

No. of workers                      20-100  
 Annual Turn-over (US \$)        26,300  
 Financial Investment (US \$) 500,000

Source: Krassowska and Auren

### Constraints

- ❑ Poor skills in financial management undermine effectiveness.
- ❑ Low investment in technology – waste, inefficiency;
- ❑ Casual employment and limited training
- ❑ Poor market information – poor quality products don't reach value markets
- ❑ Land rental fees are high eg. for tree planting
- ❑ Licensing and legality issues – charcoal burning is illegal
- ❑ Organisations and associations are weak
- ❑ The forest sector has for long been disorganised
- ❑ General lack of land policy
- ❑ Overlapping mandates in GoU institutions
- ❑ Fiscal – tax policy driven by big players
- ❑ Non-vibrant private sector

### Categories of SME in forestry

	Impact	Estimated number
Small scale rural producers	Significant	500,000
Large scale commercial producers	Significant	5,000
Primary wood processors	High	4000
Secondary wood processors	High	25,000
Forest based tourism	Localised	81

Source: Krassowska and Auren



### Way forward for SMEs in Uganda

- ❑ Developing linkages, associations and networks
- ❑ Preparing the ground for investment
- ❑ Developing markets and market information
- ❑ Linking SMEs to Poverty Eradication Action Plan

### Policy opportunities

- ❑ Policy, legal and institutional reforms provide major opportunities for SMEs
- ❑ Increased support to private sector and community based collaborative initiatives
- ❑ The NFP provides opportunities for capacity building and training
- ❑ Emerging Regional and International trade promoted by GoU
- ❑ NFP, Forest Act and Policy provide for improved land and tree tenure
- ❑ Licensing and leasing provide for transparency
- ❑ Emerging associations provide platforms for lobbying, promoting standards, training and collective marketing
- ❑ Improved investment incentives (UIA)

### Ideas for FGLG-Uganda 2008 work plan

Main Purpose/ Objectives	Methodology: How to reach the purpose/ objective	Potential impact	Potential limitations	Comments
Influence macro and micro policy processes	Engage in the PEAP review; Engage ENR-SIP implementation processes; Engage MTEF policy processes Mainstream forest based enterprises in macro and micro processes	Increased allocation of resources to the forestry related activities	Policy reform processes take long	Piggy-back on earlier achievements
Develop and implement a campaign to curb illegalities	Prepare policy briefs Prepare media supplements Engage legal processes	Reduced illegalities	Political interference	Expect collaboration of responsible institutions
Engage with small enterprises to promote a conducive working environment	Develop linkages and networks Linking SMEs to Poverty Eradication Action Plan Influence land policy formulation process Legal advisory support for SMEs	SME networks established  Contribution of SMEs to poverty eradication recognised in policy documents	Limited geographic scope for coverage	The role of local governments will be important
Promote dialogue amongst stakeholders in the forest sector on best practices	Organize annual national forests dialogue(s)	Appreciation of forestry by stakeholders	Availability of resources	Tagging this to a major event

## Panel feedback and additional points raised in plenary

Feedback on Day 1 country presentation			
Achievements versus plan	Strengths	Weaknesses	Impact
1. Very impressive progress on budget increase and facilitation process on climate change 3. Some engagement in ENR etc. unclear 4. Overall plan was clear and very ambitious so ok not to achieve everything	1. Advocacy and communication based on members' expertise 2. Engaging private sector in legal bound plans and using a team of legal experts 3. Taking forest management more in to the hands of people	1. Huge unforeseen challenge with Mabira - could have empowered others and taken more of a back seat to make (partly to ensure group does not lose its legitimacy if things get out of hand)	1. Mabira success was a big impact. Now a question of how to sustain it? 2. High level engagement with ministries 3. Need to follow budget up with ministers on budget increase to ensure it is managed well

The Uganda team was commended for its effective role in the Mabira campaign. Participants queried how prominent the FGLG brand was in this work. The team responded that as many of its members work in government and not in a position to publicly associate themselves with all of its activities, the FGLG brand is kept fairly discreet and the group operates mainly behind the scenes. The group operates as an advisory committee, supported by a secretariat and meets each quarter to discuss guidance and progress.

The Poverty Eradication Action Plan (PEAP) review which takes place every four years is a useful initiative for the team to engage in as it is the defining mechanism for resource flows and so can be quite influential. FGLG-Uganda members will engage in this review.

FGLG Uganda plans to work more on policy frameworks that affect SMEs in the coming year. This will primarily be through work on the upcoming land policy review and on legalising enterprises – these are the kinds of policy challenges that FGLG can tackle. In doing this FGLG-Uganda will utilise recent past work, notably by Krassowska and Auren, and by Kazoora et al on forestry SMEs and SME associations respectively to try and overcome the perception in macro-policy that forestry is a ‘non-vibrant’ sector of the economy. In the coming year FGLG Uganda was also urged to consider: Who is working on quality control and improving quality to open export markets? Might FGLG-Uganda catalyse a governance analysis of the woodfuel/ charcoal trade similar to that done in Malawi?

## ***Vietnam***

### **Summary of FGLG-Vietnam activities in 2007**

#### *Vietnam Context: general*

- ❑ Located in the Southeast Asia, bordered with China, Laos, Cambodia and South China sea.
- ❑ Population: 84.2 million people (December 2006), over 54 ethnic groups
- ❑ GDP per capita: 720US\$, growth rate: 8.2% in 2006
- ❑ Poverty rate: 58.2% in 1993 and 18.1% in 2004.
- ❑ Rural upland population: est. 25 mil (30% of total pop.)

#### *Vietnam Context: forestry*

- ❑ Forested area (12/2006): 12.5 mil ha (38% forest cover)
- ❑ Forest tenure: shift from state to multi-holder forestry
- ❑ Unclear contribution of forest to poverty alleviation
- ❑ Community forest management (CFM) being practiced by local people for generations
- ❑ Legal recognition of community forestry in 2004
- ❑ Community forestry (CF) guideline drafted and to be tried out in 40 communes in 10 provinces

#### *Goals of FGLG Vietnam*

- ❑ Sharing of experience and learning on poverty alleviation through community forestry
- ❑ Contribution to the development of CF guideline with concrete lessons from existing (new and traditional) CFM examples

#### *Project sites*

- ❑ Thua Thien Hue province in the Central Region, with traditional and new CFM models
- ❑ Dak Lak province in the Central Highlands with advanced model of CFM and benefit sharing
- ❑ Some activities in Bac Kan province in the Northeast

#### *The team*

- ❑ Policy-makers at national level
- ❑ Law enforcers at provincial level
- ❑ Practitioners
- ❑ Academia
- ❑ (Community members to be included in phase 2)
- ❑ Convened by an independent researcher/ consultant

#### *Workplan: Phase 1 (Sep 2006 – Aug 2007): understanding of the situation*

##### Main activities:

- ❑ Survey existing CFM examples
- ❑ Discuss findings and future FGLG activities
- ❑ Prepare CFM report and concrete workplan for the next phase

##### Planned outputs:

- ❑ Two provincial reports on existing CF and proposed activities
- ❑ A national report synthesizing key findings from two provincial report

#### *Workplan: Phase 2 (Sep 2007 – Aug 2008): promote mutual learning among communities*

##### Main activities:

- ❑ Exchange-visits and study tours within and across provinces
- ❑ Assisting selected communities in dealing with problems identified in CFM survey of phase 1
- ❑ Concrete activities identified in activity plan

##### Planned outputs:

- ❑ Exchange-visits and study tours organised

- ❑ Assistance to communities provided
- ❑ Policy advocacy

*Workplan: Phase 3 (Sep 2008 – Jan 2009): documentation and dissemination*

Main activities:

- ❑ Document lessons learnt
- ❑ Prepare and discuss recommendations to CF guideline
- ❑ Disseminate findings and lessons learnt in various forms

Planned outputs:

- ❑ Final report on lessons learnt and policy implications
- ❑ Policy brief summarizing major findings and recommendations

*Actual achievements*

<b>Activities</b>	<b>Planned</b>	<b>Actual</b>
CFM surveys in 2 provinces	12/2006 – 05/2007	12/2006 – 06/2007
Provincial workshops	04-05/2007	05-06/2007
National workshop	06/2007	08/2007
Provincial CFM reports	04-05/2007	09-10/2007
National synthesis report	06/2007	08/2007 (to be revised)
Detail planning for phase 2	04-08/2007	05-10-2007
Policy brief	Not planned	11-12/2007
Team meetings	01/2007 & 06/2007	05/2007 & 08/2007
Project sites	Dak Lak, Thua Thien Hue (and Son La)	Dak Lak, Thua Thien Hue and Bac Kan
Contracts to local partners to implement project activities at field level	09/2007	10-11/2007

*Assessment of methods*

<b>Methods/ tactics</b>	<b>Uses</b>	<b>Strengths</b>	<b>Weaknesses</b>	<b>Lessons</b>
Involve key persons from start	CFM survey & planning	Capture various interests	Conflicting interests	Need to prioritise
Work with academia and practitioners	CFM survey & planning	make use of strengths of both groups	coordination problem	facilitation skill is important
Work with interested individuals	CFM survey & planning	avoid admin burden and work with right persons	hard to avoid some admin. procedures	work with individuals and use orgs when necessary

*Highlights of ‘Gossip’*

- ❑ The concept of ‘governance’ is new and people are more familiar with state management
- ❑ Small projects but can bring in important lessons for policy-makers (from a policy-maker from MARD Vietnam)

- ❑ Participatory assessment, it is a very interesting approach (a FGLG team member from Thua Thien Hue)
- ❑ Is legal title really necessary for community forestry?

### *Outputs*

<b>Achievements</b>	<b>Key ingredients and reasons</b>
Two provincial CFM reports	CFM surveys, provincial workshops
CFM synthesis report	Provincial reports, national workshop
Policy brief on CFM and poverty alleviation (under preparation)	Provincial and synthesis reports, provincial and national workshops
Detailed planning for phase 2	CFM surveys, provincial and national workshops, discussion among FGLG team members

### *Outcomes*

<b>Achievements</b>	<b>Key ingredients and reasons</b>
Information on CFM from 2 provinces made available	CFM surveys, provincial and national workshops, provincial and synthesis reports
FGLG (activities) known in Vietnam	Workshops held by FGLG, representation of FGLG in various meetings

### *Dilemmas and disappointments*

<b>Dilemmas and Disappointment</b>	<b>Lessons drawn</b>
Administrative procedures	Work with both interested individuals and organisations
Common perception that forest dependent people are backward	It is important to demonstrate existing CFM initiatives by local people
Time limited/ conflict	Need to prioritise things

### *Reflection*

#### Strengths:

- ❑ Connect to expertise from various levels and sectors
- ❑ Direct policy influence through participation of policy makers in the team and in project activities
- ❑ Practical experiences on CFM and poverty alleviation
- ❑ Past working relations
- ❑ Attention to FLEG from the government
- ❑ Timely and constructive supports from RECOFTC and IIED when needed

#### Weaknesses:

- ❑ Time conflicts and time management

### *Recommendations*

- ❑ Keep up the good work
- ❑ Creation of a time saving machine?

## **Making SMFEs work better for social justice in forestry in Vietnam**

### *Background to Bac Kan*

Bac Kan is a mountainous province located in the Northeastern Region of Vietnam, 160 km from Hanoi. Its total physical area is around 486 thousand ha. The province is inhabited by over 308

thousand people from seven different ethnic groups, namely Tay, Kinh, Dao, Nung, Hmong, Hoa, and San Chay.

Bac Kan is rich in natural resources, particularly forest. Of the total physical area, around 80% (388 thousand ha) are classified as forestry land. With 265 thousand ha of forested area, the current forest cover in the province is 54%. Forest is a major source of income for around 200 thousand people (65% of the province population). At present, around 77 thousand ha of forest are under management of local people (around 35 thousand households). Six state forest enterprise manage and use around 17.7 thousand ha of forest land.

#### *Wood and non-wood processing in Bac Kan*

There are currently 156 wood and non-wood processing units operating in the province, employing around 700 laborers. Except for one state funded enterprise, which focuses on pulp paper, most others are small private home-based enterprises. Their activities focus on processing of furniture for domestic uses within the province.

Annually, there is a demand of around 36 thousand cubic meters of round wood and 570 tons of bamboos for such enterprises. However, their contribution to the provincial economy is still minor. The province is trying to make wood and non-wood processing an important part of the local economy. Expected products include medium-density fiberboards (MDF), finger joint board, export quality chopsticks, cinnamon, bamboo works, and furniture, which aim for not only national but also international markets.

*To achieve such goal, Bac Kan plans to take the following measures:*

- ❑ Improve the competitiveness of the provincial products through increased labor productivity, product diversification, and meeting quality requirements
- ❑ Expand markets, including both national and international markets
- ❑ Improve collaboration between individual processing units
- ❑ Produce finished products for the market
- ❑ Increase training and promote trade relations with other provinces
- ❑ Improve market information system through internet and various means
- ❑ Establish favorable legal environment to attract external investment

#### *Opportunities*

- ❑ Favorable policy framework from the province:
- ❑ On land tax: tax exemption or reduction for the first three years
- ❑ Limit on export of raw materials outside of the province
- ❑ Possibility to harvest some timber products (partial remove of logging ban)
- ❑ Encouragement for planting of some non-timber products for processing
- ❑ Low interest rate (50% of the current rate)
- ❑ Forestry considered as one of the three important pillars of provincial economy
- ❑ Potentially rich supply of materials
- ❑ Presence of traditional handicrafts and artwork
- ❑ Low labor costs

#### *Challenges*

- ❑ The current trade relations for forest products in the province is poorly developed
- ❑ Poor capacity for market information provision and market prediction
- ❑ Accession to WTO implies lower import taxes for foreign products, which challenges the competitiveness of domestic products
- ❑ Poor road access and difficult topographical conditions
- ❑ Poor provision of training on forest product trading and WTO accession
- ❑ Limited investment from within the province

- ❑ Poor infrastructure of forest product processing units

#### *Expected contribution from FGLG team*

- ❑ Improve understanding of forest product processing and trade in the province
- ❑ Share experience on how forestry can be made more pro-poor
- ❑ Liaise Bac Kan with other provinces and initiatives
- ❑ Introduce new approach to forest governance, which takes into account participation of different stakeholders
- ❑ Help provincial forestry officials better serve the needs of forest dependent people

#### **Ideas for FGLG-Vietnam 2008 work plan**

##### *Main objectives*

- ❑ **Sharing** of experience and **learning** on poverty alleviation through community forestry
- ❑ Contribution to the development of community forestry guidelines, which are being tested by Forest Department, with concrete lessons from existing (new and traditional) CFM examples

##### *Focus areas*

- ❑ Legality of CFM: should legal title be given to community?
- ❑ Allocation of forest to community: what conditions (forest and community) are needed for CFM?
- ❑ Forest management and benefit sharing: governance structure, pro-poor benefit sharing, sustainable forest management model, and external supports

##### *Methodology*

- ❑ Organisation of study tours and visits to local communities
- ❑ Organisation of/ participating in workshops and meetings
- ❑ Participation in Vietnam FLEGT network
- ❑ Participatory assessment through field events
- ❑ Improved access to laws and policies by local people
- ❑ Field research
- ❑ Quantitative and qualitative analyses
- ❑ Consultation with different stakeholders (including policy-makers)
- ❑ Involvement of key stakeholders (e.g. policy-makers) in project activities
- ❑ Policy brief
- ❑ Consultation with FGLG international colleagues

##### *Potential impacts*

- ❑ Improved knowledge of people involved (FGLG members and non-members) with regards to issues as forest governance, poverty alleviation in forestry
- ❑ Integration of recommendations from FGLG in CF guidelines
- ❑ New approaches for poverty alleviation in upland forest environment
- ❑ Lessons for international audience

##### *Potential limitations*

- ❑ Time
- ❑ Funding
- ❑ Policy lobbying (by social movement)

##### *Comments*

- ❑ Supports and sharing of experiences from FGLG international colleagues

## Panel feedback and additional points raised in plenary

Feedback on Day 1 country presentation			
Achievements vs plan	Strengths	Weaknesses	Impact
1. Good participatory assessment 2. Very good report writing	1. Wide coverage in 3 provinces – good opportunity for comparative analysis 2. Work direct with communities so good grounding for evidence-based advocacy 3. Multi stakeholder team	1. Reporting on activities – don't understand enough about these	1. CFM reports and policy briefs are part of process but need to ensure follow up? 3. CFM now recognised by government

The India team was interested to hear how the policy advocacy work bringing together top levels of hierarchy with community members will work in practice as this could prove difficult and possibly ineffective in India. The Vietnam team responded that these actions for next year will repeat a similar exercise in 2003 when high level ministers stayed in a village for three days. The ministers valued this experience and it proved to be an effective way of leaving a lasting impression on them.

There has been a dramatic drop in poverty in Vietnam over the past decade – most of this was at a low lying level with the agricultural land allocation revolution playing a significant role. The contribution of forestry is somewhat unclear but forestry is now receiving more attention as a vehicle for poverty reduction.

There is a weak information base on forestry SMEs in Vietnam. Whilst there are associations of large scale industrial and farmer organisations, there are no comparable associations for small forest enterprise per se.

It has been estimated that forest products in Bac Kan provide an average of some 35-40% of household income, so governance that supports more effective small enterprises – in wood use, jobs, capacity etc - has much potential impact. In the coming year FGLG-Vietnam is urged also to consider:

- Provincial authorities seem to be planning an industry based on large scale wood product processing - is there a need for a fairly strong effort by FGLG Vietnam to ensure smaller scale alternatives are well discussed and engaged with at policy level?
- What role for policy advocacy on pro-poor forestry/enterprise and how can the dimensions of social justice really be emphasised?



## 4. Field programme

Participants split into four groups for field visits. Prior to the field visit, a dry run role play was conducted, so that participants could apply some of the field methods and subsequently develop an appropriate approach for each field visit. Each group included one or more IIFM staff member who acted as interpreters, one or more from the IIED team who took a support role, and participants from various FGLG country teams. Field visits took place over a while day and the four groups reported their main findings the following morning.

### ***Summary of ecotourism enterprise findings, Delabadi village, Ratapani Sanctuary***

#### *Context and background*

- ❑ Mathar is a forest village set by the Forest Department in the 1930s for labour requirement.
- ❑ The village is located inside the Ratapani Sanctuary, which is 12km from the Ecotourism centre at Delbadi.
- ❑ In 1930s, there were 8-10 families living in Mathar, there are now 100 plus.
- ❑ The village has an Eco-Development Committee which was formed in 1996-97.
- ❑ Village residents are from the Central Indian tribal community of Barola Thakur.

#### *Field trip findings*

##### *1. Relationship*

- ❑ Two stakeholder groups: villagers and the Forest Department.
- ❑ There is a relationship of dependence of the villagers on the FD.
- ❑ The FD is allowing collection of fuelwood, small timber and NTFPs, even if there are strong legal restrictions.
- ❑ No apparent conflicts: friendly relationship.
- ❑ No tangible benefits as the project is yet to begin.
- ❑ Nonetheless, 10-15 families are employed as labour for the project.

##### *2. Incentives*

- ❑ Employment opportunities
- ❑ Capacity building
- ❑ Income and profit

##### *3. Disincentives*

- ❑ Lack of information on the project – both villagers and the FD
- ❑ Recruitment standards are high
- ❑ Poor communication facilities

##### *4. Causes of problems*

- ❑ Lack of confidence of the villagers in the project
- ❑ The project does not seem to be participatory

##### *5. Challenges and opportunities*

- ❑ More awareness of the project
- ❑ Improve communication between stakeholders
- ❑ Clear community participation plan
- ❑ Dense forest, varied wildlife species, historical importance.... high potential for eco-tourism development.
- ❑ Local communities are motivated.

## 6. Approach and methods

- ❑ Participatory approach
- ❑ Three focused group discussions with villagers with stakeholders' ranking
- ❑ SWOT analysis with FD
- ❑ One-to-one discussion with Forest Department
- ❑ Researchers' evaluation by the villagers and FD
- ❑ Consolidation of output

## ***Summary of fuelwood enterprise findings, Devgaon village***

### *Timeline*

- ❑ The village we met was established in 1980 when people moved from other districts to this area and purchased land.
- ❑ Village now comprises 120 families, only 17 of them own land.
- ❑ For many years they practised forest-based activities to supplement their agricultural living.
- ❑ JFM Committee (JFMC) was established in 1997 to protect the forest and it 'restricted' a number of forest based activities
- ❑ Firewood and bamboo now have to be bought by the villagers before they can use them. The profit margins they make for the products have now become minimal
- ❑ The restriction was introduced as part of the FD 15-year management plan
- ❑ Since 2005 a new cotton industry has been built; it employs workers as casual labour

### *Relationships*

- ❑ The power-control relationship between FD-JFMC and the communities is skewed.
- ❑ FD is the only State Department engaged in development activities in the village. Through them, other departments are invited into the community
- ❑ The FD develops the management plan – community ability to alter the plan is absent
- ❑ The management plan is focused on timber and protection and not on active management for community benefits

### *Characteristics of the firewood enterprise*

- ❑ When harvested they take the firewood directly to the consumers: there are no wholesale or retail agents.
- ❑ Local market is limited
- ❑ Other households are involved in leaf collection and leaf plate making, gum, herbal medicine enterprises

### *Value chain assessment*

- ❑ All households in the village participate
- ❑ Headload is approximately 35 kgs
- ❑ Markets
- ❑ 'farmgate' price Rs25/headload
- ❑ Pilli Kara is 2kms away and 50% of the produce is sold there, at Rs 50/ headload
- ❑ Hoshangabad is 13kms away (a 5 hour walk): 50% of the produce is sold there at Rs 70/ headload
- ❑ Compare these earnings to the daily casual/ minimum wage of Rs 100.
- ❑ Buyers: labourers and households
- ❑ Seasonality
- ❑ September – May (dry) sale time
- ❑ June – August is the off season when collectors survive on savings from sales
- ❑ No alternative sources of livelihoods during off season time

### *Incentives*

- ❑ Very few alternatives, and with land insecurity they need to make a living from either selling labour, or selling forest products
- ❑ Growth of industry in local area presents a market opportunity
- ❑ Appears that social capital is high that can help with joint organisation

### *Disincentives*

- ❑ FD do not have the enterprise development skills needed to support the communities, but other departments are not engaged – no integrated approach to supporting the communities.

- ❑ Lack of communication/ engagement between stakeholders
- ❑ Lack of bargaining power of communities

#### *Causes of problems*

- ❑ Few market options – small rural market
- ❑ Lack of a proximate, large market for driving greater entrepreneurial development
- ❑ Lack of skills in the community
- ❑ Does not seem to be an alignment between alternative opportunities devised by FD and the capacity within the community
- ❑ Initiative to build capacity is not yet developed

#### *Opportunities*

- ❑ Used visioning exercise
- ❑ Bamboo crafting skills are there, but cannot harvest the bamboo
- ❑ Price of wood too high for getting wood to make boats, but interest in fishing
- ❑ Want draught bullocks for their fields to improve productivity

#### *Different perspectives of the firewood enterprises*

- ❑ Believed something good would come out of the meeting with the communities
- ❑ They did not have perspectives beyond the small informal enterprises
- ❑ Believe that their plan for alternative enterprises will provide sufficient options
- ❑ Acknowledged that they needed cooperation from other departments

#### *Into the future*

- ❑ Used visioning exercise
- ❑ 2007 – FD start an initiative to try and identify alternative enterprises
- ❑ This is to be developed this year....

#### *Community assessment*

- ❑ 15/16 by men
- ❑ 17/16 by women

## ***Summary of private forestry enterprise findings, Lok Vaniki village***

### *Background*

- ❑ MP has a number of private tree and forest areas that have traditionally been idle - economically not contributing to people's livelihoods.
- ❑ Lok Vaniki is a scheme which aims to promote economic and social development of the community through community forestry.
- ❑ Trees are felled and sold to the FD through auction or MSP. Felling is based on an approved Forest Management Plan (FMP).
- ❑ A Conservator of Forests (CF) is responsible for assisting farmers to develop a Forest Management Plan.

### *Findings - overview*

- ❑ Community happy with the scheme, previously the community was cheated by private traders
- ❑ Delayed payments - FD says no delays; farmers say a lot of delays.
- ❑ Relationships - farmers say not they are not as good; while FD says good relationship.
- ❑ Chartered forester has generally a good relationship with both farmers and FD.

### *Incentives for farmers*

- ❑ Revenue generation for various stakeholders
- ❑ Conservator of Forests receives 6%
- ❑ Costs amount to 15%
- ❑ Farmers (including costs) receive 79%
- ❑ Farmers have predictable markets for their wood and wood users have reliable supply of wood.
- ❑ There is technical support provided by CF to farmers to develop FMP

### *Disincentives*

- ❑ Legal barriers
- ❑ Limited access to capital
- ❑ Limited wood for domestic use
- ❑ Bureaucracy
- ❑ Theft

### *Challenges*

- ❑ Limited forestry extension services by FD
- ❑ Wood supply outstrips demand
- ❑ No market establishment done

### *Opportunities*

- ❑ Legal framework review
- ❑ Expanding market through the value chain

## ***Summary of herbal enterprise findings, Khanpura village***

### *Context*

- ❑ Team: 7 people (3 women)
- ❑ Visited: Khanpura village, Rethi processing centre, Minor forest product processing centre
- ❑ Methods: focus group discussions, historical time line analysis, problem analysis using cards, possible solutions, visioning

### *Findings: villagers*

- ❑ Water was the major problem in the village (80% of the responses on cards) and this had a major impact, particularly on women
- ❑ Villagers had ideas about how to resolve this but lacked the means (finance, collective action, tenure, felling schedule, benefit sharing?)
- ❑ Marketing of forest products was an issue – the establishment of the processing centre eliminated the problem regarding trade in herbals (stable prices) but not so for other products
- ❑ Few alternative sources of income

### *Findings: Forest Department*

- ❑ FD focuses on timber products but no felling has been done for the village
- ❑ FD has not provided support regarding NTFPs. They have no idea about whether NTFP stocks are being depleted or whether they are increasing

### *Processing centre*

- ❑ Unstable supply as collectors are engaged in other businesses (e.g. agriculture) than collection of herbal medicine
- ❑ All medical knowledge is with one person which is a big risk
- ❑ Prices are regulated by the state, which does not reflect demand and supply (ie. market does not operate)

### *Synthesis*

- ❑ Dependence on materials from natural forest. No plantation of medicinal plants exists
- ❑ Potential for expansion is not studied.

## ***Feedback on role of FGLG participants as participatory researchers***

At the end of the field programme, stakeholders were invited to provide anonymous feedback on how FGLG participants performed as participatory researchers. A cross-section of comments made by community members, enterprise employees and Forestry Department staff is shown below:

- ❑ This is the first time people from outside came to village – we are very happy
- ❑ Method of asking questions was very simple – easy to answer
- ❑ Good opportunity to talk with forest officials from different countries
- ❑ How will we benefit from your visit?
- ❑ Could not talk openly due to language problem
- ❑ Your visit and briefing about the concept of eco-tourism was very good
- ❑ Involving all gender and community in discussion with patience
- ❑ Liked the information (national and international) provided by you

This feedback was discussed on the final day of the workshop. Whether it was the role of FGLG participants to explain concepts and provide information to stakeholders was raised. It was generally agreed that such behaviour would not fall under a perfect model of participatory research (in which the emphasis is on stakeholders providing and analysing all the information), but that it had been necessary to do so in certain cases e.g. at the eco-tourism site where the initiative was still very much at 'potential' stage and community members and Forest Department staff were unsure of what this could mean for them or their environment.

Members of the ICCF faculty at IIFM acted as interpreters during the field programme to support communication between stakeholders and FGLG participants. Following the visit the interpreters were asked to provide their feedback on how the day had gone. A cross-section of their comments is shown below:

- ❑ The group activity was very good but due to time shortage all aspects could not be addressed properly. In some places, discussion was not that much focused; however, the group tactfully handled the situation.
- ❑ The card system is useful to those who can write. Illiterate people cannot express their views and feel ignored. This was evident at the field site.
- ❑ Group was very sincere in their effort that is why instead of time constraints and tiredness they covered all the target areas as mentioned in the schedule.
- ❑ Villagers, staff of FD and other stakeholders verbally appreciated activities of the participants and their behaviour as well as their approach toward the problem.
- ❑ Farmers and participants had a very good interaction through interpreter
- ❑ Researchers could have discussed about the major forest resources, extraction practices, community views about the better management of forest resources, important governance issues and potential for developing specific forest hosted enterprise.
- ❑ The approach of researchers towards identifying problems, opportunities in forest governance was good.
- ❑ The field methods were understood and accepted by the people
- ❑ The final/ joint stakeholders meeting should be more focused. Researchers must use chart paper or any other visual media to recap the issues and views expressed by the villagers. The researchers just spent 5 minutes to wrap up the stakeholders' meeting.
- ❑ The group was able to build trust and develop relationship with the community.

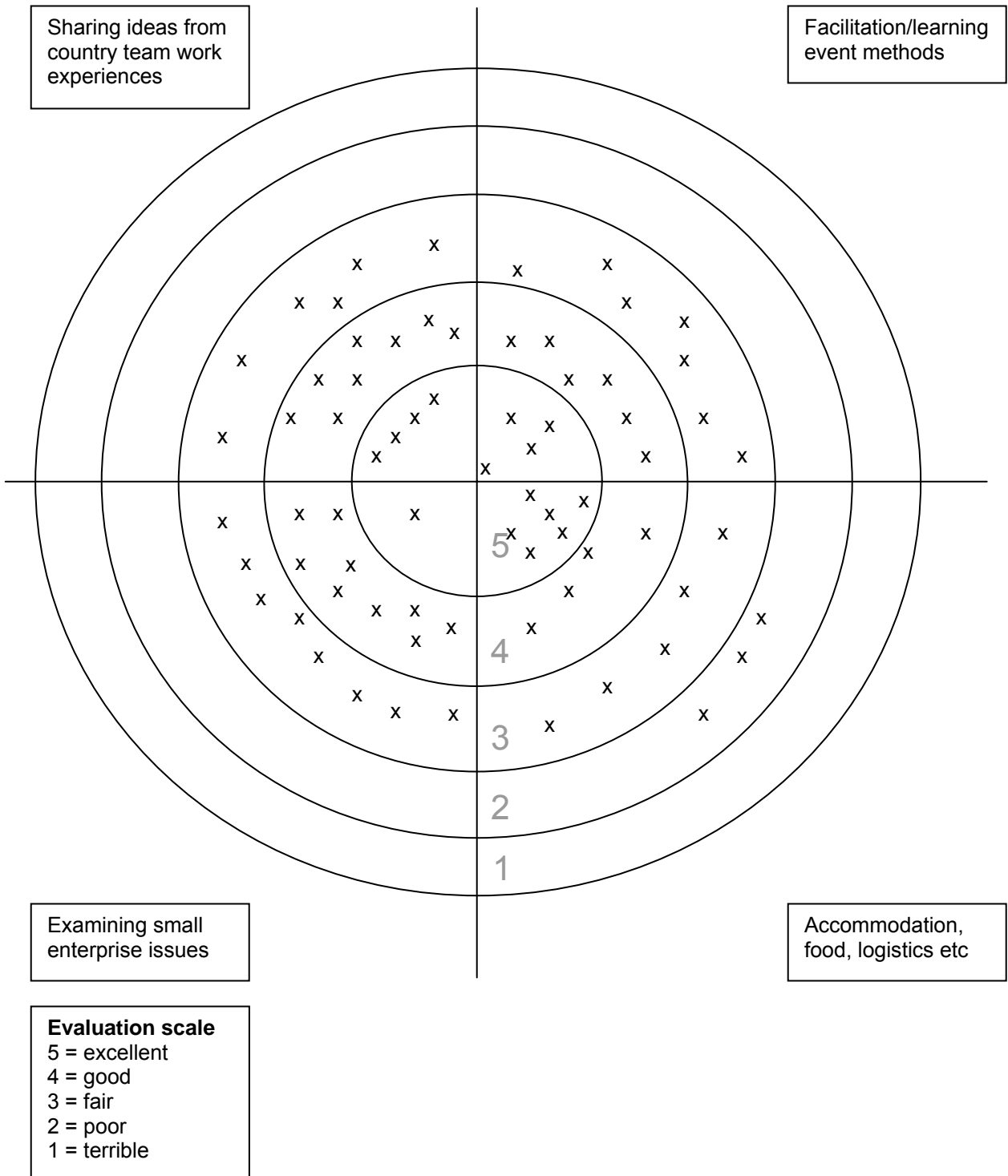
## 5. Agreed follow-up actions in 2008

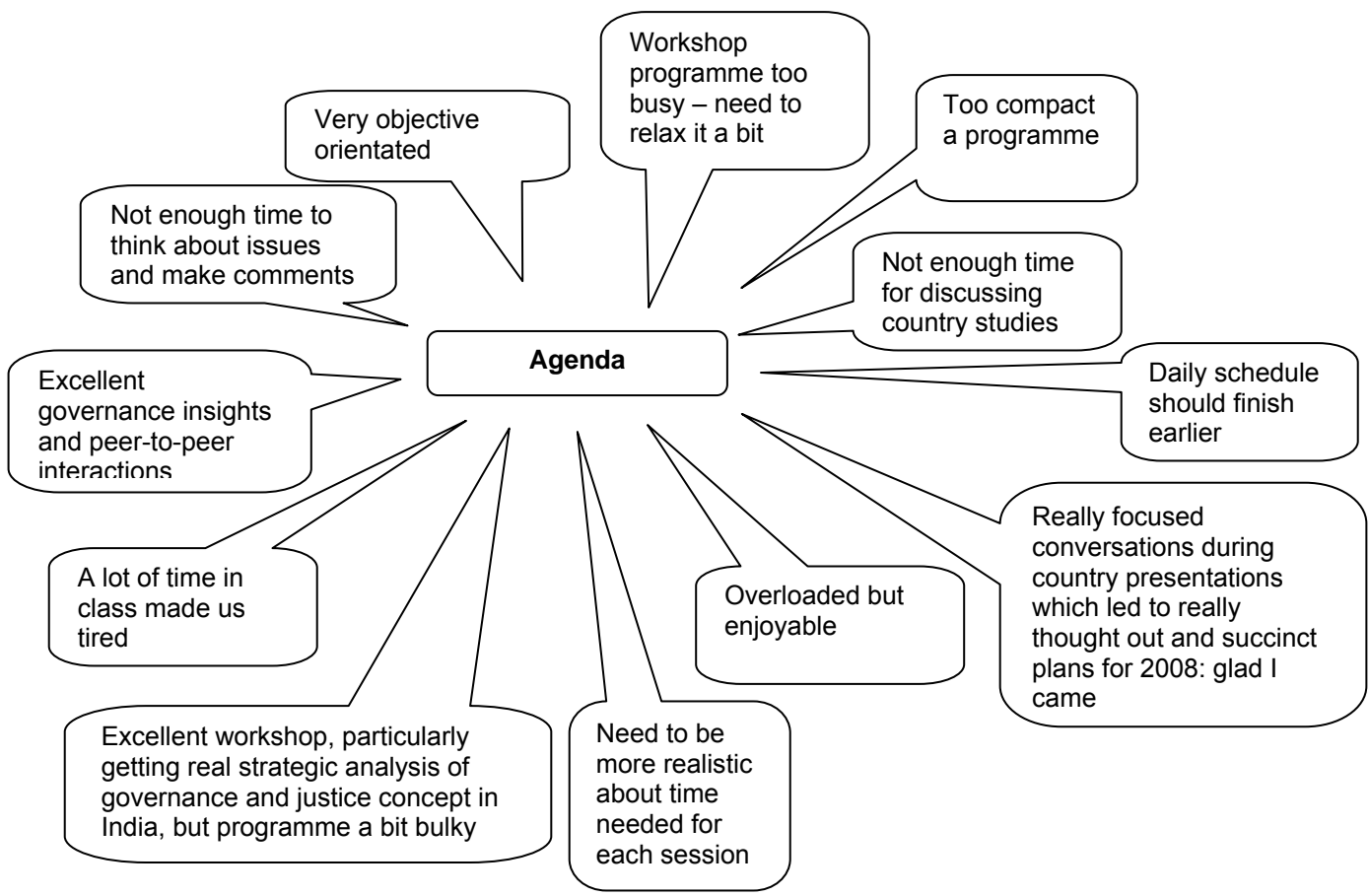
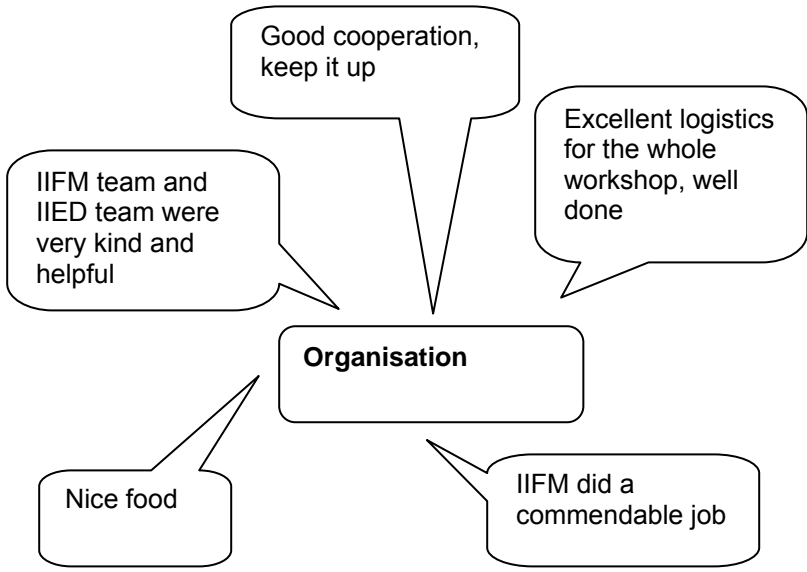
Suggestions for action	When will it be done?	What are the things we need to do to make this happen?	Who is going to be responsible for making sure these things happen? (To take an initial lead, work with others, ensure it is done)
<b>Substantial impact by each team within a year</b>	Throughout 2008	<ul style="list-style-type: none"> <li>- Focus on learning successful strategies</li> <li>- Policy advocacy role and educate policy makers</li> <li>- Implementation of project findings at micro level</li> <li>- Governance takes time – continue building on momentum</li> </ul>	All country team convenors
<b>Forum for cross-country communication throughout the year</b>	Now	<p>Set up a system to enable some of the following:</p> <ul style="list-style-type: none"> <li>- Listserve/ global gossip sharing</li> <li>- Calendar of global events</li> <li>- Wikimedia</li> <li>- Directory of FGLG members with brief CV and photo for better networking</li> </ul> <p>This will build on the existing quarterly update prepared by IIED with governance gossip and news contributions by all country teams.</p>	Nicole Armitage (IIED)
<b>Greater learning and cooperation within and between regions</b>	Throughout 2008	<ul style="list-style-type: none"> <li>- More frequent regional learning</li> <li>- Sub-regional interaction</li> <li>- FGLG regional initiatives eg. south/ east/ central/ west Africa</li> <li>- Need to continue creating more space for bilateral cooperation</li> <li>- Ghana/ Cameroon/ Burkina/ Niger learning and action</li> <li>- Cross-country exchange on key issues</li> </ul>	Kyeretwie Opoku (Ghana)
<b>Written documentation of FGLG work</b>	Throughout 2008	<ul style="list-style-type: none"> <li>- Consider one big volume published compiling governance tactics by 09</li> <li>- FGLG cross country publication plan</li> <li>- Policy briefs based on countries' experiences</li> <li>- FGLG lessons synthesis publication</li> </ul>	Prodyut Bhattacharya (India)
<b>Video</b>	Second half of 2008	<ul style="list-style-type: none"> <li>- liaise with teams to produce a short video showing forest governance challenges, successes, dilemmas</li> </ul>	Elaine Morrison (IIED)
<b>International networks and partnerships</b>	Throughout 2008	<ul style="list-style-type: none"> <li>- FGLG should look at partnering with FSC or ISO for purposes of continuity</li> <li>- Network with other forestry forums and institutions</li> </ul>	Carl van Loggerenberg (South Africa)
<b>Funding (international level)</b>	Throughout 2008	<ul style="list-style-type: none"> <li>- Help secure group-wide follow on funding</li> <li>- Help secure finance for groupings of FGLG teams on particular themes</li> <li>- Prepare an exit strategy</li> </ul>	James Mayers (IIED)
<b>Funding (country level)</b>	Throughout 2008	<ul style="list-style-type: none"> <li>- Search support (technical, financial) for follow up activities in the countries</li> <li>- Broaden participation in fundraising</li> </ul>	All country team convenors

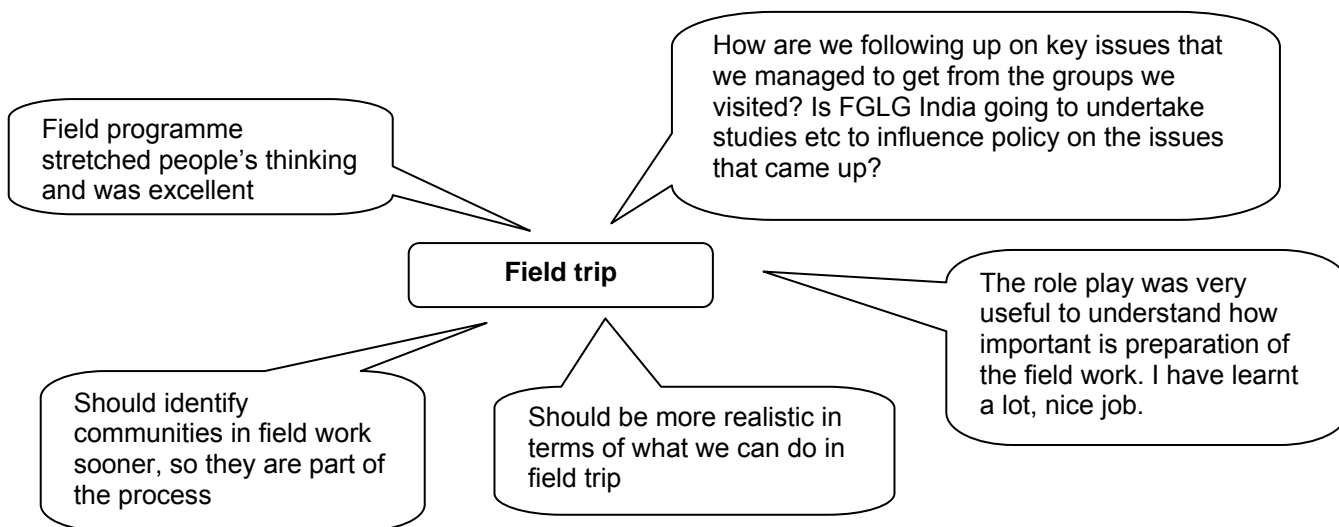
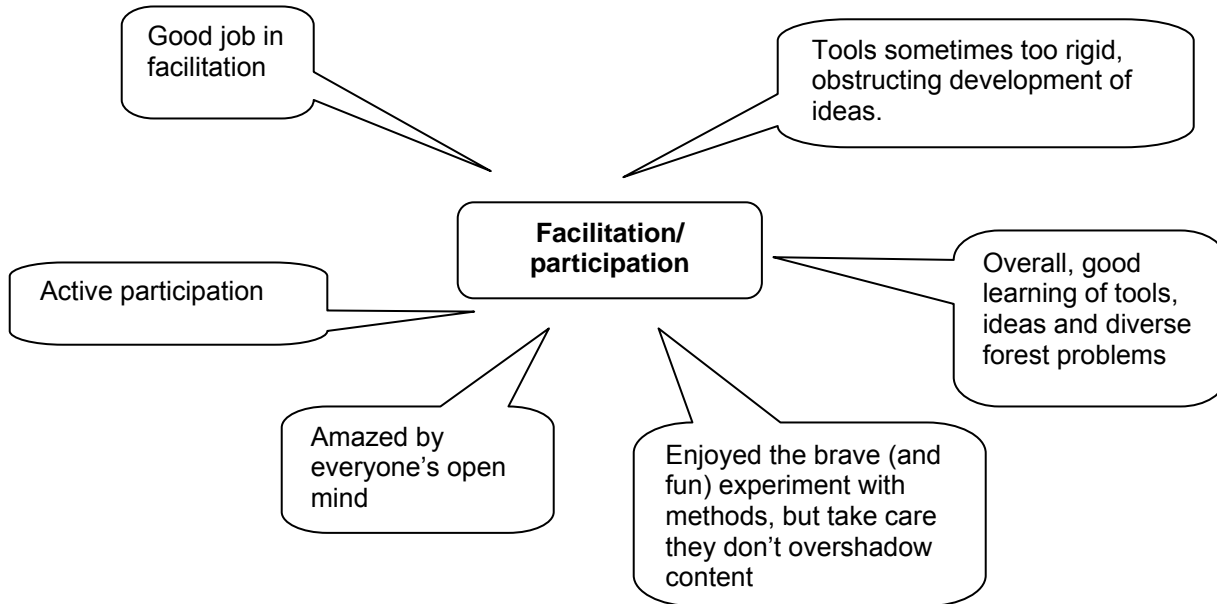


		<ul style="list-style-type: none"> <li>- Identify alternative funding for national work while maintaining the FGLG partnership</li> <li>- Consider doing some private sector work (as possible source of funding)</li> <li>- Submit quarterly narrative and financial reports on time</li> </ul>	
<b>Introduce new themes to FGLG work</b>	Throughout 2008	<p>Consider expanding scope of FGLG to include some of the following:</p> <ul style="list-style-type: none"> <li>- Natural resource governance</li> <li>- Institutional capacity building for small enterprise support</li> <li>- Forest governance and adaptation to climate change/ pro-poor avoided deforestation payments</li> <li>- Entitlement and tenure security issues</li> <li>- Better forest information</li> <li>- Capacity building to help consolidate and sustain community institutions</li> <li>- Public-private partnership in global governance</li> <li>- Mapping of CFM initiatives across the world</li> <li>- Inviting Latin American countries to join FGLG</li> </ul> <p>All groups to continue using methods/ strategies of their choice but still focusing on the same issues.</p>	James Mayers (IIED)
<b>Create a substantial social justice in forestry 'push' in international policy processes</b>	Throughout 2008	Install this opportunistically through involvement in key processes e.g. on illegal logging, discussions on REDD, processes of developing a new approach to global forest partnership	James Mayers (IIED)

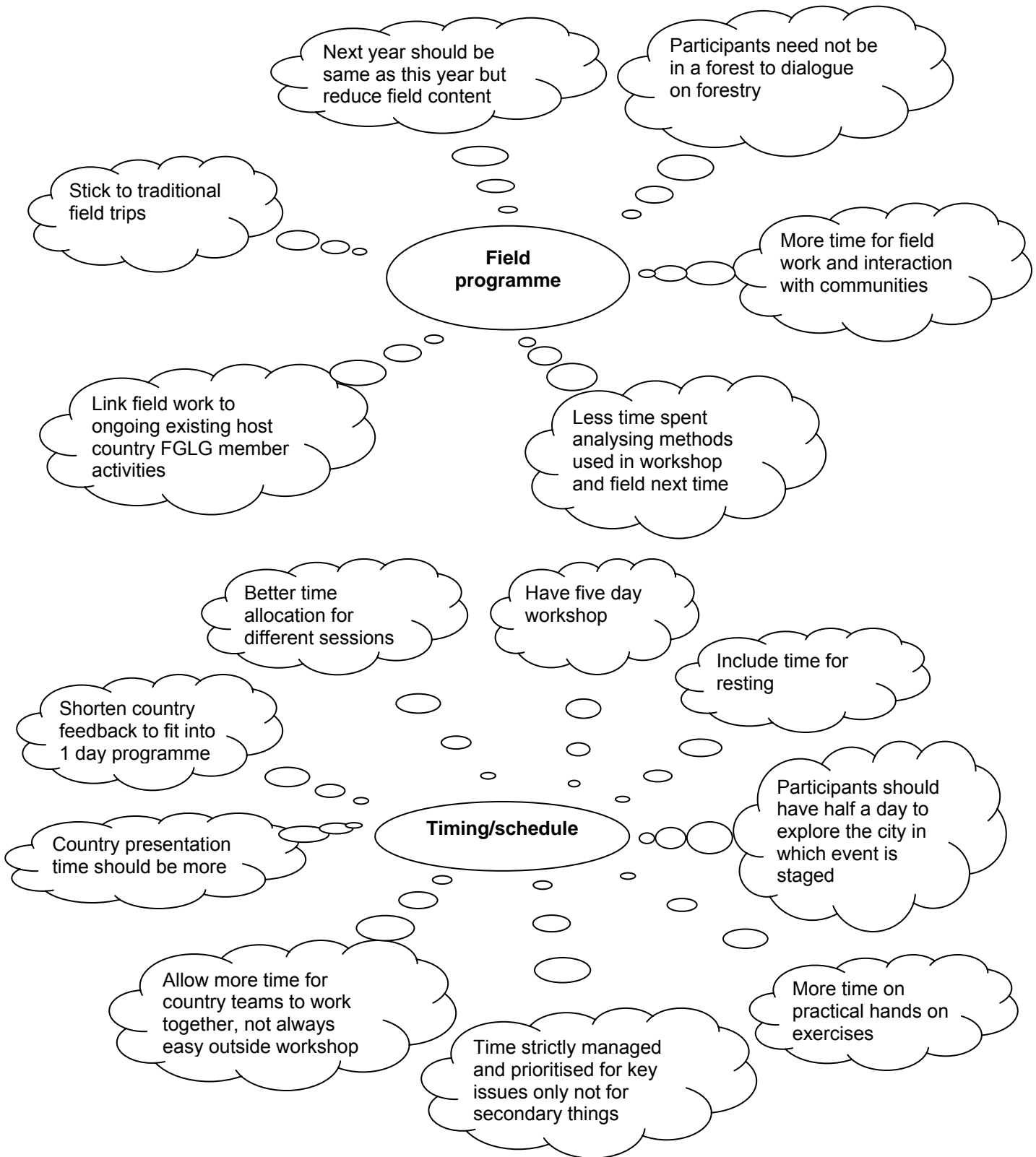
## 6. Quantitative and qualitative evaluation of the learning event

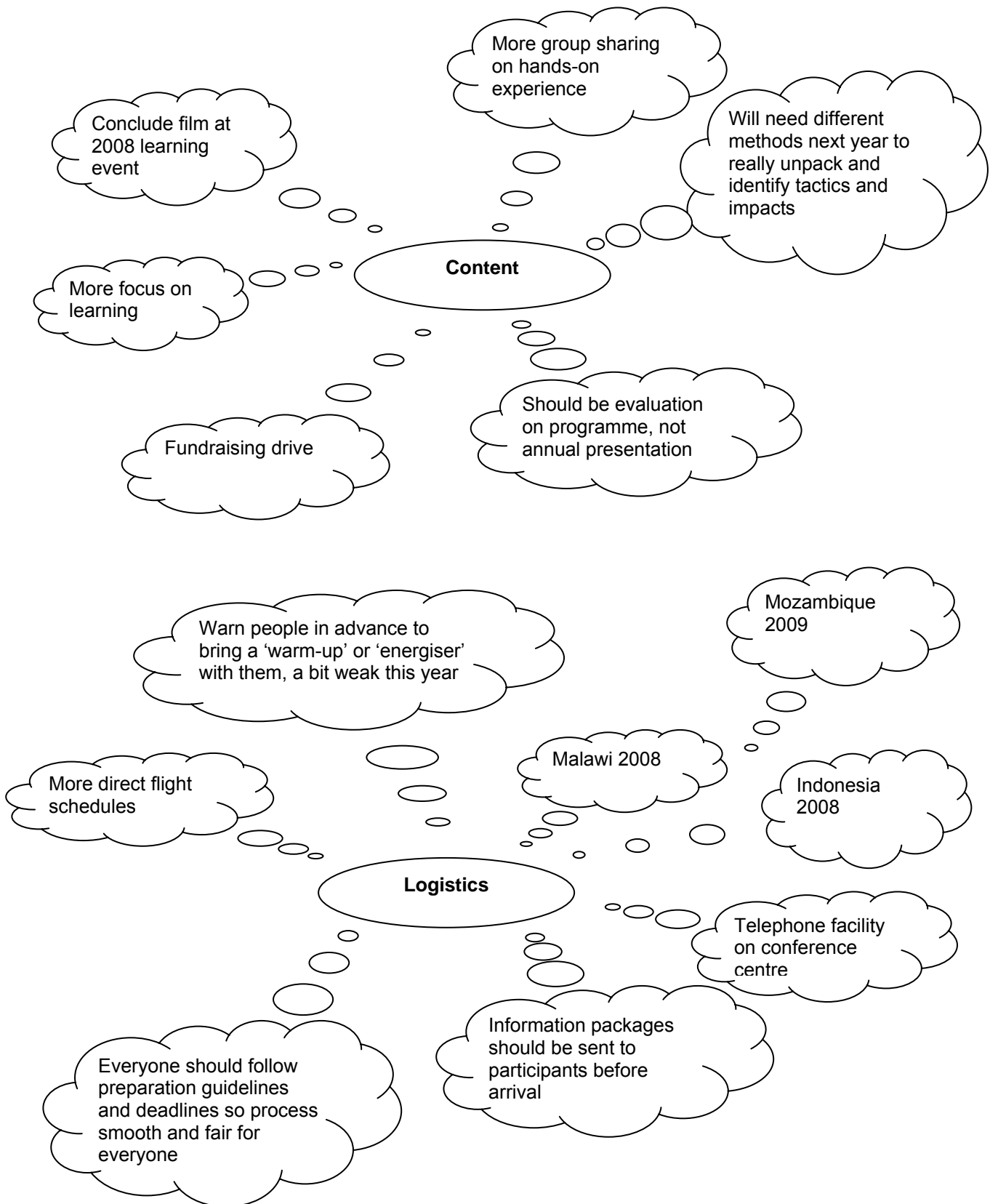






## 7. Suggestions for 2008 learning event





## Annex 1. Participants' contacts

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