

**CARIBBEAN NATURAL RESOURCES INSTITUTE  
(CANARI)**



**Forests and Livelihoods Action Learning Group (ALG)  
Report of the first meeting**

July 2007



**Prepared through the European Commission-funded project “Practices and policies that improve forest management and the livelihoods of the rural poor in the insular Caribbean”**

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# Forests and Livelihoods Action Learning Group (ALG)

First Meeting 20<sup>th</sup>-22<sup>nd</sup> June 2007

Normandie Hotel and Conference Centre, St Ann's, Port of Spain, Trinidad

## EXECUTIVE SUMMARY

### 1. Background

In 2007, CANARI launched a programme entitled **Forests and Livelihoods** as part of its strategy to fulfil the objectives of its Strategic Plan 2006-2010 (<http://www.canari.org/Strategic%20Plan%20final%202006-2010.pdf>). In addition to technical assistance work which CANARI is undertaking in this field, the programme includes two major regional research and capacity building projects:

- ***“Practices and policies that improve forest management and the livelihoods of the rural poor in the insular Caribbean”***, a three-year project funded under the European Commission's (EC's) Programme on Tropical Forests and other Forests in Developing Countries
- ***“Participatory Forest Management: Improving policy and institutional capacity for development”***, a three-to-four year project funded under the National Forest Programme Facility of the Food and Agriculture Organisation of the United Nations (FAO).

The broad objective of these projects is to contribute to the improvement of the socio-economic and environmental benefits that can be derived from forest management by:

- analysing, promoting and building capacity for participatory planning and management of forest resources at the regional, national and local levels;
- identifying, promoting, and building capacity for institutional arrangements that optimise the socio-economic contribution of forest resources to the rural poor.

The countries covered by these projects are Barbados; Commonwealth of Dominica; Grenada; Jamaica; Saint Christopher (Saint Kitts) & Nevis; Saint Lucia; Saint Vincent & the Grenadines; and Trinidad & Tobago. However, project findings will be disseminated throughout the islands of the Caribbean.

Building on a concept developed for a previous project on the potential of payments for watershed services and their impact on the poor (<http://www.canari.org/alg.htm>), CANARI has created a **Forests and Livelihoods Action Learning Group**. The group comprises individuals from key national and regional institutions with relevant skills, knowledge or experience to contribute to research and capacity building on forests and livelihoods. ALG members are also expected to disseminate and apply project findings within their countries, institutions and sectors. Representation on the group is multi-sectoral, with representation from key areas such as technical and financial support agencies, forest management agencies, forest users, and agencies involved in poverty reduction, social development and rural livelihoods.

This report documents the key discussions and conclusions of the first meeting of the ALG. A more detailed concept note on the Forests and Livelihoods ALG and a full report

of the meeting are available from CANARI and will shortly be posted on its website (<http://www.canari.org>).

## 2. Meeting objectives

The main objectives for the meeting were to:

- provide ALG members with an overview of the two main implementing projects and validate the proposed approach to project implementation, including the role of the ALG;
- identify any other relevant regional projects and mechanisms and lessons which could be learned from those;
- examine the current formal and informal policy and institutional arrangements for forest management in the project countries and the extent to which they a) make provision for participation of stakeholders and b) take account of the linkages between forest management and livelihoods;
- discuss and validate a conceptual framework for the selection of a range of case studies designed to analyse and produce recommendations regarding institutional arrangements for forest management that optimise socio-economic benefits for the rural poor;
- review and analyse a selection of forest management initiatives involving community-based organisations in Trinidad;
- discuss the focus and timing of the next ALG meeting.

## 3. Concepts and definitions

It was agreed that international definitions of key terms such as “forestry”, “poverty” and “livelihoods” provided a sound starting point but did not always reflect regional reality or culture. For the purposes of the research, it was agreed that the following concepts and definitions would be used as a basis for developing the research framework:

***Institutional arrangements*** comprise both ‘the rules of the game’ and ‘the players’. They can occur at all levels and can be formal, permanent or transitory. The arrangements can be between people, policies, legislation, practices, culture, structures, design and change processes.

***Livelihoods*** are the capabilities, assets (human, social, financial, natural, physical and political) and activities required for developing a living. The concept of livelihoods should incorporate people’s aspirations and not just focus on meeting subsistence levels.

***Livelihoods are sustained*** when they generate sufficient resources to support livelihoods indefinitely, that is, they are resilient to stress and shocks, do not compromise the productivity of the resource base and do not undermine the livelihoods of others.

***Trade-offs for resource use and livelihoods*** relate to livelihood security versus natural resource sustainability; maximising present income versus reducing vulnerability to future shocks; and enhancing individual livelihoods versus protecting the livelihoods of others.

**Forests** are areas with certain physical attributes (which still need to be defined more precisely for the Caribbean context) that provide forest goods and ecosystem services and have cultural acceptance as forests, that is, “forests are what people say they are”.

**Forest management** is the art and science of managing forests in a purposeful and objective driven manner. The objectives include provision of goods and services that provide benefits to people and sustaining the functions of the forest.

In relation to the definition of **rural poor**, it was agreed that the project team should review international definitions and then propose a definition (possibly disaggregating “rural” and “poor”), which would then be further refined with the participation of project stakeholders, and particularly those to whom the definition might be applied.

#### **4. Policy and institutional context in the project countries**

The analysis of the regional context for forests and livelihoods highlighted the widely differing policy and institutional environments between the project countries. Currently, only Jamaica and Grenada have recent, formal forest policies, with Trinidad and Tobago in the process of developing one. Saint Lucia and Saint Vincent & the Grenadines also have a coherent patchwork of relevant policies, and a new policy framework is emerging in Nevis. However, Dominica’s policy is outdated, and the policy framework in Barbados and Saint Kitts is weak.

With regard to livelihoods, the forest policy framework in Grenada, Jamaica, Saint Lucia and Saint Vincent & the Grenadines is broadly supportive and there are emerging spaces for livelihoods integration in Nevis and Trinidad & Tobago. Some good sectoral linkages are emerging in relation to heritage and ecotourism (for example, Saint Lucia, Dominica); rural development (for example, Saint Vincent & the Grenadines); and land policy (Nevis). However, in general linkages are weak, particularly in relation to land use, in part because many countries have an outdated or no land use policy in force. Linkages to broader economic development policies (for example, Vision 2020 in Trinidad & Tobago) and poverty reduction strategies varied but were still generally weak except in Saint Lucia. This lack of strong linkages both reflects and reinforces the lack of support for forest policy implementation at national level.

Current forest policy documents reflect a strong emphasis on stakeholder participation but in some cases the role of stakeholders is merely advisory. The implementation of the commitment to stakeholder participation varies widely, depending on the commitment of the relevant agencies and whether effective enabling mechanisms have been put in place. However, it was also noted that in some instances the absence of formal mechanisms appeared to be more enabling than a rigid one. Overall, it could be assumed that stakeholder participation would lead to increased livelihood linkages in policy and practice.

A number of other barriers to effective stakeholder participation in forest management were identified including:

- perceptions that poor people bear the main responsibility for forest degradation;
- under-valuing of the contribution of forests (and particularly the services they provide) to livelihoods and economic development;
- the prevalent culture of many forestry management agencies, which is resistant to power sharing, change and new approaches;

## 5. Improving linkages between forests and livelihoods

Small group work was used to address three questions:

- ***How can forests be used for livelihoods?***
- ***What are the positive and negative effects on the forest of poor people's livelihood activities?***
- ***How should the optimal use of forests be determined?***

Key points that emerged were:

- a) Forestry Departments have a critical role to play in raising public awareness of the value of and threats to forest resources. However, lack of resources for forest management is a major constraint.
- b) Many drivers for resource use by poor people can be identified and the particular combination of these drivers in any particular situation will determine whether the activities are having a negative or positive impact. Key drivers include government policies (which may be driven by international markets); co-management arrangements; availability of information, such as baseline data and information about the impacts of changes in use; the degree of responsiveness/adaptability of the institutional framework; access to land; research and training; and a changing culture with regard to how resources are exploited. Prevalent negative impacts include depletion of renewable resources (for example, timber extraction, hunting, non-timber forest products) and the destruction of wildlife habitat.
- c) Forests provide multiple uses and benefits so a guiding principle for optimal use should be that each individual use is sustainable as well as the cumulative impact of all uses. "Optimal" does not always mean maximum use and achieving "optimal" levels necessitates negotiation of a balance between uses.
- d) Key determinants of optimal use are:
  - the ability of the ecosystem to sustainably generate goods and services
  - issues of scale;
  - extractive versus non-extractive uses;
  - whether there is scientific and/or traditional understanding of the ecosystem and how to sustainably manage it.
- e) Some key components of an effective system of negotiation of optimal resource use are:
  - an overarching national-level planning framework;
  - an enabling institutional framework that allows for equitable participation of all stakeholders in the negotiations;
  - balancing national and local interests;
  - an understanding of ecological systems' ability to recuperate from stresses;
  - an understanding of livelihood needs;

- an understanding of how to manage for sustainable use;
- the development of approaches to facilitating equitable participation.

## 6. Analysis of forest management initiatives in Trinidad

ALG members took part in a field trip to and panel discussion of a number of forest management initiatives in Trinidad involving community-based organisations. These included:

- two projects in Bon Air North, a community comprising mainly informal settlers, both receiving small grant funding from the United National Development Programme (UNDP) Global Environment Facility (GEF) small grant:
  - **the Bon Air North Forest Nursery:** a collaboration between the Tropical Re-Leaf Foundation and members of the Bon Air North Community;
  - **the Bon Air North Community Development Project,** a project initiated by the Bon Air North Village Council, with support from the Cropper Foundation;



*Forest management initiatives at the community level*

- the **Fondes Amandes Community Reforestation Project (FACRP)**, a project initiated by the community of mainly Rastafarian informal settlers but now widely supported by a range of government agencies (including the Forestry Division and Water and Sewerage Authority), international agencies, and the private sector;
- the **National Reforestation and Watershed Rehabilitation Project (NRWRP)** a government-funded initiative to reforest some 33,000 acres over a period of ten years, using community-based contractors.

Key points which emerged from the discussions during and after the field trip were:

### **Institutional framework**

- Current forest policy and legislation in Trinidad does not make provision for co-management. However, this has not prevented some informal co-management arrangements being initiated;
- Legislation alone is not sufficient to facilitate participation and co-management; a commitment from decision-makers and the development of trust, mutual respect and equity and trust are also essential and a necessary pre-cursor to the negotiation of formal co-management arrangements;

- Formal contracts are valuable, not only as legally binding instruments for co-management but also because they clarify roles and responsibilities;
- A strong leader/personality is often the key driver of a community initiative, so there needs to be succession planning and a proper institutional framework to assure sustainability.

### **Project design, implementation and evaluation**

- Problem, needs and capacity assessments should precede the funding of projects;
- Donors should ensure that proper systems are in place and that the community is committed to achieving the project objectives before providing funding;
- Project leaders/drivers should come from within the community and develop a process to validate their approach and engage the support of the rest of the community and surrounding communities;
- Relationships between project partners need to be mutually beneficial;
- Community members must perceive that there are benefits from a project, though these may not necessarily be financial. This is critical for building sustainability, buy-in and to influence the formal institutional framework;
- There is a need to implement more systematic evaluation of project impacts on both the resource and livelihoods. Participatory self-evaluation could be used as well as external independent evaluators.

### **Other capacities, tools and methods**

- More capacity is needed to facilitate and engage in participatory management;
- There is a need to develop tools for conducting participatory livelihood assessments;
- Capacity needs to be developed at community level, including systems, structures, mechanisms and small business skills.

## **7. Developing a conceptual framework for case study analysis**

Under the EC-funded component of the programme, it is proposed that a range of case studies be selected and analysed, with a view to producing recommendations regarding institutional arrangements for forest management that optimise socio-economic benefits for the rural poor.

It was decided that CANARI and ALG members should jointly identify potential activities in the project countries, with the following being some of the key research questions:

- how are the activities being conducted (for example, extent of participation)?
- what are the socio-economic and ecological benefits of the activity?
- how are trade-offs negotiated?
- what are the linkages between institutional arrangements that support ecological services and those that provide socio-economic benefits?

With regard to the research approach, it was suggested that:

- the research should focus on examining change from an established baseline;
- a mix of ecosystems and stakeholder partnerships and approaches should be selected;
- a Participatory Action Research (PAR) methodology should be used (at least in some cases);
- the capacity of project leaders could be built to self monitor and evaluate the progress and success of their projects.

## **8. Identifying capacity needs for forest management that enhances livelihoods**

Both the EC and FAO-funded projects make provision for national and regional capacity building workshops. A capacity assessment at national and regional level had been produced during Year 1 of the FAO project<sup>1</sup> and was used to guide the discussion on how to prioritise needs and build on existing initiatives. It was suggested that the CANARI findings could be cross-referenced with the National Capacity Self-Assessments [and possibly other relevant capacity assessments such as those carried out by the Inter-American Institute for Cooperation on Agriculture (IICA) and the Organisation of Eastern Caribbean States (OECS) under the OECS Protected Areas and Associated Livelihoods project (OPAAL)].

There was consensus that CANARI should focus on the areas where it has unique or exceptional strengths, such as the facilitation of participatory and multi-stakeholder processes. Following some discussion, it was agreed that, for the first workshop in each country, CANARI should target the capacity needs of “grassroots” level stakeholders. These workshops might take the form of training or consultations or gatherings, with or without other stakeholders, depending on the individual country need. These workshops would be followed by a regional workshop and might also provide the basis for identifying the study or exchange visits between countries proposed under the EC project.

## **9. Role of the ALG**

ALG members will act as change agents and catalysts in their countries or sectors and bring relevant information to the ALG. ALG members will also assist in identifying community groups or grassroots organisations and projects that might be appropriate for the case study analysis and/or study or exchange visits. ALG members need to get benefits from being involved in the action learning process and the majority expressed satisfaction with the opportunities for interaction and reflection that the first meeting had provided.

It was suggested that national Action Learning Groups should be developed as they had been under CANARI's previous action learning project *Who Pays for Water* (<http://www.canari.org/alg.htm>). These could act as extensions of the ALG for deeper discussion of project approaches and findings at the national level. It was suggested that existing groups or fora should be used for this purpose. CANARI was also encouraged to make linkages with other relevant national or regional initiatives and organisations with a view to “mainstreaming” forests and livelihoods on the development agenda.

Some gaps were identified in the composition of the ALG which CANARI will seek to rectify before the next meeting.

## **10. Date and focus of the next ALG meeting**

It was agreed that the next meeting should focus on discussion of a Forests and Livelihoods communication strategy. This would help to link the work of the ALG to other projects and also help stakeholders in the human development and forest management

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<sup>1</sup> Included in the full report of the ALG and also available separately on request.



sectors to understand each other's perspectives and language and start to develop a common language of forests and livelihoods. It should also provide messages and materials that can be used by ALG members and CANARI when attending key national or sectoral meetings and discussions.

It was agreed that the second ALG meeting should be held in Jamaica, either early in December 2007 or at the beginning of 2008.

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# 1 Wednesday 20<sup>th</sup> June 2007- Day 1

## 1.1 Background

In March 2007, CANARI signed an agreement with the European Commission (EC) under its Programme on Tropical Forests and other Forests in Developing Countries to implement a three-year project entitled “**Practices and policies that improve forest management and the livelihoods of the rural poor in the insular Caribbean**”. The project is being implemented in the following countries: Barbados, Commonwealth of Dominica, Grenada, Jamaica, Saint Christopher (St. Kitts) & Nevis, Saint Lucia, Saint Vincent & the Grenadines, and Trinidad & Tobago.

This EC-funded project forms part of CANARI’s **Forests and Livelihoods Programme**, which comprises a number of other elements, including a complementary project entitled “**Participatory Forest Management: Improving policy and institutional capacity for development**” (2005-2008), which CANARI is implementing under the National Forest Programme Facility of the Food and Agriculture Organisation of the United Nations (FAO).

A key element of the EC-funded project is the creation of an Action Learning Group and this report documents the first meeting. The group comprises individuals from key national and regional institutions with relevant skills, knowledge or experience to contribute to research and capacity building on forests and livelihoods. ALG members are also expected to serve as “change agents” by sharing learning on project findings within their countries, institutions and sectors. Representation on the group is multi-sectoral with representation from key areas such as technical and financial support agencies, forest management agencies, forest users, and agencies involved in poverty reduction, social development and rural livelihoods. A more detailed concept note on the Forests and Livelihoods ALG is attached at Appendix 1.

## 1.2 Agenda and objectives for the meeting

The agenda for the meeting is attached at Appendix 2.

The main objectives for the meeting were to:

- provide ALG members with an overview of the project goals and objectives and to validate the proposed methodology;
- provide an overview of complementary Forests and Livelihoods projects currently being undertaken by CANARI, notably the “**Participatory Forest Management: Improving policy and institutional capacity for development**” project being implemented under the National Forest Programme Facility of the Food and Agriculture Organisation of the United Nations (FAO);
- identify any other relevant regional projects and mechanisms to include learning from those;
- to present, discuss and validate ‘snapshots’ of the current formal and informal policy and institutional arrangements for forest management in each project country, with an emphasis on the extent to which those arrangements:

- make provision for participation of stakeholders, including the rural poor, in forest management decisions; and
- take account of the linkages between forest management and livelihoods, particularly those of the rural poor;
- to discuss and validate a conceptual framework for the selection of a range of case studies designed to analyse and produce recommendations regarding institutional arrangements (policies, legislation, practices, structures, design and change processes) for forest management that optimise socio-economic benefits for the rural poor;
- to review and analyse a selection of forest management initiatives involving community-based organisations in Trinidad;
- to discuss the focus of future ALG meetings.

### **1.3 Brief Summary of Opening Session**

Sarah McIntosh, CANARI's Executive Director and Project Manager for the EC-funded project, welcomed participants to the meeting. She noted that each of the speakers for the opening session represented an agency that is making a significant contribution to the development of forest policy and institutions in the Caribbean at a time when, in the region in general, forest policy seems disappointingly low on the political agenda. This seemed surprising given that the global and regional development agenda is currently focusing mainly on poverty reduction and on climate change and the need for adaptation strategies. Concern has also been growing over access to water, and particularly drinking water, even in areas that have not previously suffered from drought. While forests clearly had a major role to play in meeting these challenges, recent assessments, such as that of the Northern Range in Trinidad, indicated that the region was continuing to lose forest cover. With a few notable exceptions - such as Jamaica, Grenada, and in the near future Trinidad and Tobago - formal forest policies were outdated, reflecting an era of forest management that was in practice long past.

Ms McIntosh noted that the linkages between forest goods and services and the quality of life of Caribbean people – both now and in the future - were at the core of the issues to be addressed during the meeting and throughout the project. Given the rich mix of sectors and individual experience represented on the Action Learning Group (ALG), she anticipated innovative thinking and analysis and outputs that would effectively influence policy making for forests and livelihoods in the islands of the Caribbean.



*Ms. McIntosh addressing participants at the opening session*

Mr Stelios Christopoulos, recently-appointed Chargé d'Affaires a.i. and Minister Counsellor, Delegation of the European Commission (EC) in Trinidad and Tobago, noted that one of his highest priorities for the Delegation was to support the development work financed by the EC. He emphasised the commitment of EU member states to eradicating world poverty and noted that environmental degradation disproportionately affects the poor, as well as threatening key Caribbean economic activities such as tourism.

Mr Christopoulos indicated that sustainable forest management is a key pillar of the EC's environmental strategy, as reflected in the EC's Communication on Forests and Development (1999), which highlights the importance of debating and reconciling conflicting demands on forest resources by different users. The tropical forestry budget line, under which CANARI's project was being funded, is one mechanism for putting the EC's policy into action. He congratulated CANARI on its proposal, noting that competition for funding under this budget line had been high, with only 15 out of 500 applicants receiving funding. Mr Christopolous also highlighted a shift in EC policy away from projects to more policy-based instruments of development such as general and sector budget support. It was hoped that this would create a favourable climate for collaboration between the relevant public sector agencies and activities such as this one.

The full text of Mr Christopoulos' speech is attached at Appendix 3.

Mr Eckelmann, Forestry Officer with FAO, outlined the main focus of the FAO's National Forest Programme Facility, under which CANARI was implementing a complementary project to the one supported by the EC. He explained that the Facility supports partnerships between governmental and non-governmental stakeholders, with a particular focus on identifying what a country wants to do with its forest resources and then building the institutions and other capacities needed to implement the vision. He noted that the FAO also had other funding mechanisms for technical assistance, although not all of them were available to medium-developed countries such as the project countries. Mr. Ecklemann expressed the central question for the ALG and the Forests and Livelihoods programme as being "how can we use forest resources to support sustainable livelihood opportunities?". He believed that key requirements included a civil society with the ability to negotiate and develop livelihood opportunities; a Forestry Department with the capacity to facilitate these opportunities; and an enabling legal framework to facilitate these partnerships.

Mr Irwin Joseph, Forestry Advisor to the Minister in the Ministry of Public Utilities and the Environment (MPUE) spoke on behalf of the Minister. He emphasised the importance of forest goods and services to the country and highlighted some of the initiatives that the Government had launched to support sustainable management of forest resources. These included:

- the National Reforestation and Watershed Rehabilitation Programme, under which community-based contractors undertake reforestation of state forests;
- the adoption of the Water Resources Management Policy in March 2005;
- a commitment to produce forest cover maps for Trinidad and Tobago;
- a National Action Programme to combat desertification/land degradation;
- the declaration of Environmentally Sensitive Areas and Environmentally Sensitive Species;
- the designation of Ramsar sites (wetlands of international importance designated under the Ramsar Convention);
- a review and revision of outdated policies such as the 1942 Forest Policy;
- a review of the policies and legislation governing national parks/protected areas;
- the development of the Vision 2020 statement and strategic plan;
- development of a recreation management strategy for rural communities.

The MPUE had demonstrated a commitment to stakeholder participation in the development of its new policies and strategies. This approach had served to strengthen linkages between environmental management and poverty alleviation strategies. Mr Joseph closed by noting that sustainable development and improvements in quality of life could only be achieved through effective management of environmental systems.

## **1.4 Context and Concepts**

### **1.4.1 Participant introductions, expectations and discussion of role of the ALG**

Participants were invited to introduce themselves and state what they hoped to contribute or gain from being a member of the ALG (list of participants is attached at Appendix 4). Most participants were interested in exploring how forests can be effectively protected and managed while providing alternative livelihoods for poor people. Several participants noted relevant community forestry initiatives in their own countries, with the representative from the Inter-American Institute for Cooperation on Agriculture (IICA) noting major opportunities for regional partnership since IICA was also involved in project implementation in the same countries. Several participants felt that consideration needed to be given to the economic valuation of forest resources as a prerequisite for creating markets for environmental services from forests. Most participants saw their involvement on the ALG as an opportunity to network with their peers and to share their experiences. They were interested in the application of participatory methodologies and also hoped that a major outcome from the ALG would be a more participatory approach to forest management by the forest management agencies in their respective countries.

Sarah McIntosh then made a brief presentation on the proposed role of the ALG (attached at Appendix 5). This was followed by a plenary discussion which sought to

refine the ALG's role and priority areas of focus and assess what could realistically be achieved within the project timeframe. It was felt that priorities included:

- identifying additional research and capacity needs;
- communicating learning through individual application of learning by ALG members;
- providing a forum to engage decision-makers and facilitating linkages between technocrats and policy-makers;
- ALG members acting as change agents and advocates to systematically influence institutional structures and policies at all levels;
- linking with other initiatives (including those in the private sector);
- learning from case studies.

#### **1.4.2 Overview of projects within CANARI's Forests and Livelihoods Programme**

Sarah McIntosh made a presentation outlining the components of and proposed approach to implementing the EC-funded "***Practices and policies that improve forest management and the livelihoods of the rural poor in the insular Caribbean***" project. (attached at Appendix 6).

Nicole Leotaud, CANARI Senior Technical Officer and Project Manager for the FAO-funded project on "***Participatory Forest Management: Improving policy and institutional capacity for development***", delivered a short presentation outlining the progress of the project to date and the work to be undertaken during the remainder of Year 2 and in Year 3 (attached at Appendix 7). A suggestion was made that it is important to look at how and whether forest policy is integrated into wider policies other than those related to natural resources as it was a good indication of the focus of forestry in larger national and regional development plans.

#### **1.4.3 Forests and Livelihoods in a Caribbean Small Island Context: definitions and conceptual frameworks**

The following were some ideas discussed in developing working definitions for the group:

##### **1.4.3.1 Definitions**

It was noted that the internationally-accepted FAO definition for **forests** is based on criteria such as vegetation height, canopy cover, and its use for forestry activities. Some definitions also specify a certain minimum area. However, it was felt that the definition should be culturally and ecologically appropriate for the Caribbean, thereby including cultural interpretations of forests (used by communities living near forests) as well as various ecological systems that may not meet these strict criteria (for example, littoral woodland). Therefore, it was agreed that the simple guideline that "a forest is what people say it is" should be used.



**Forestry** was defined as the science and art of managing the forests, trees and actions in the forest.

The consensus was that a **forest ecosystem** is an area with trees (or should have trees) and including other biological diversity from which goods and ecosystem services can be derived .

### **1.4.3.2 Frameworks**

#### ***Sustainable Livelihoods Framework***

Darran Newman, an independent Social Development Analyst presented a brief overview of the key elements of a widely-used sustainable development framework and the value that such a framework can have in the planning and analysis stages of a project (attached at Appendix 8).

It was agreed that the framework could be a useful tool for planning and assessing efforts to reduce poverty. However, the ALG needed to bear in mind that livelihoods are based on a pool of assets and more analysis is needed to determine whether people are deriving a viable livelihood from these assets. Further analysis of the policy and power structures that influence or constrain access of resources by the rural poor is also required.

Participants emphasised that people can also derive non-economic benefits and livelihoods from forest resources. It was noted that livelihoods are sustainable when they can cope with and are resistant and resilient to shocks. However, although livelihoods that are dependent on forest resources appear to be sustainable at a community level, this may not be the case within the wider national context. In addition, natural resources need to be managed in such a way that people can access other resources if there is a “shock” to their traditional form of livelihood (for example, the collapse of the banana or sugar industries in several of the project countries).

Noel Bennett, Rural Sociologist with the Jamaica Forestry Department, led a discussion on defining the term ‘livelihood’. He described a livelihood as a person’s “survival strategy” and noted that poor people usually have complex and multiple ways of meeting their basic needs. A sustainable livelihood was defined as one which was adaptable and which could provide a buffer from shocks to the person’s traditional or main method(s) of making a living. Participants related personal experiences and referred to cases in their countries to support this concept. Most participants agreed that sustainable use of forests and forest resources come under threat when people change, or are forced by external circumstances to change, their livelihood strategies. There was general consensus that if a decision is taken to protect a forest (or other natural resource) in a way that affects traditional livelihoods, then an economically viable alternative should be provided for those who have been dependent on it. Participants advocated that all community-based projects should include a focus on building livelihood assets

Based on the above discussion, it was suggested that the list of possible case studies for the next phase of the project should include those being implemented in Cockpit Country, Jamaica, especially the one focusing on adding value for yam producers in Trelawney.

## 1.5 Small group work on the linkages between forests and livelihoods

Participants were divided into three groups to answer the following questions:

### 1.5.1 Group 1

*How can forests be used for livelihoods?*

The group identified a typical cycle of events:

- demand for resources for livelihood purposes exists or is created, but is not managed, *which leads to*
- over-exploitation *which creates*
- an incipient crisis and then a more acute crisis, *which leads to*
- recognition that the existing regime cannot work so the management regime moves towards prohibition or exclusion, *which in turn leads to*
- the livelihood activities shifting to other lands, not necessarily more sustainably.

Since exclusion has generally not proven to be an effective solution, there is a need for forest managers, and particularly the state agencies responsible for forest management, to identify and provide technical assistance for strategies for sustainable use and management of the resources.



*Example of the groups' presentation – Michael Andrew of the St. Lucia Forestry Department*

The group identified the following as the main extractive and non-extractive uses of forest resources by the rural poor in the project countries:

- mauby harvesting
- latanyé (for brooms)
- medicinal plants
- ornamentals
- raw materials for craft
- water (for bottling)
- hunting

- caged birds
- recreation and tourism
- squatting

Although many of the resources were currently being over-exploited, the group recommended that forest managers seek innovative approaches that combine conservation of the resources with development of sustainable livelihoods. One example cited was the investment in private lands in Saint Lucia to cultivate latanyé, with research being conducted into the most effective and sustainable way to manage and harvest the resource. Other suggestions included:

- conducting market research into demand for and desired potency of mauby products;
- data collection with regard to actual and potential recreational use of forests;
- developing forest-based festivals;
- agouti farming.

It was noted that Forestry Departments had a critical role to play in raising public awareness of the value of and threats to forest resources. However, lack of resources for forest management remained a major constraint.

### **1.5.2 Group 2**

*What are the positive and negative effects on the forest of poor people's livelihood activities?*

The group identified the following as the main drivers for resource use by poor people:

- government policies
- international markets
- institutions for sustainable management (including co-management arrangements)
- inadequate information, for example, baseline data and information about the impacts of changes in use
- responsive/adaptive institutional environment (for example, management, key organisations)
- access to land
- research and training
- changing culture with regard to how resources are exploited

The particular combination of these drivers in any particular situation would determine whether the activities were having a negative or positive impact. It was also noted that government policies in the region are often driven by international markets.

Some prevalent negative impacts were identified including depletion of renewable resources (for example, timber extraction, hunting, non-timber forest products) and the destruction of wildlife habitat.

### **1.5.3 Group 3**

*How should the optimal use of forests be determined?*

Group 3 noted that forests provide multiple uses and benefits. It recommended that a guiding principle for optimal use should be that each individual use as well as the cumulative impact of all uses is sustainable. It also stressed that “optimal” does not always mean maximum use. To achieve “optimal” levels would therefore require negotiation of a balance between uses.

Some of the determinants of optimal use identified were:

- the ability of the ecosystem to sustainably generate goods and services (thresholds, resistance, and resilience);
- issues of scale;
- extractive versus non-extractive uses;
- whether there is a (scientific and/or traditional) understanding of the ecosystem and how to sustainably manage it (knowledge, tools and methods);
- ability of different users to negotiate.

Some key components of an effective system of negotiation of optimal resource use were identified, such as:

- the need for an overarching national-level planning framework;
- the need for an enabling institutional framework (policies, capacities and linkages) that allows for equitable participation of all stakeholders in the negotiations (both within and between local and national levels);
- the need to balance national and local interests;
- an understanding of ecological systems’ ability to recuperate from stresses;
- an understanding of livelihood needs;
- an understanding of how to manage for sustainable use; and
- the development of approaches to facilitating equitable participation.

## 2 Thursday 21<sup>st</sup> June 2007- Day 2

### 2.1 Field trip

The second day revolved around a field trip to two communities, Bon Air North and Fondes Amandes, both in Trinidad's Northern Range. Both communities comprise mainly informal settlers, although the government is developing a new housing development in Bon Air North and Fondes Amandes is adjacent to the affluent Port of Spain suburb, St Ann's.



*Mr Shand illustrating a map of the project site to participants. To his right, is Mr Claus Ecklemann of FAO*

#### 2.1.1 Bon Air North

The Bon Air North visit encompassed a review of two separate but complementary projects, the Bon Air North Forest Nursery and the Bon Air North Community Development Project. It is estimated that Bon Air North comprises an estimated 400 households.

##### 2.1.1.1 Bon Air Forest Nursery

Eden Shand of the Tropical Re-Leaf Foundation (TRF) introduced this project, with assistance from Mary Schorse, TRF Board member; Cynthia Pantin, a member of the local community and the local Re-Leaf Block Board; and Basdeo Roopnarine, a retired Forester and full-time staff member of TRF.

Mr Shand explained that the Bon Air Forest Nursery is part of a wider TRF initiative to create "Re-Leaf Blocks" (community-based reforestation initiatives) in the foothills of the Northern Range, based to a large extent on the Fondes Amandes model. The Re-Leaf Blocks are affiliated with TRF by Constitution, with two Trustees on the local Board being appointed by TRF. Other Blocks are situated in Carenage and Mount Hope. The Bon Aire site, which is on State Land, has been designated for use as a nursery to supply all TRF sites.



*Mr Shand with some of the participants. To his immediate right is Dr Christopher Cox*

TRF had received a United Nations Development Programme (UNDP) Global Environment Facility (GEF) small grant of TT \$300,000 (approximately US\$50,000) to build and outfit a 15 acre nursery. The project was at the initial stage of earthworks and drainage but TRF had recently been advised that it could no longer use the site as it was required by the Housing Development Corporation (HDC), which intends to use it as a recreational space for an adjacent housing development currently under construction. HDC had offered a comparable piece of land in another part of the community. The nursery is intended to employ a permanent staff of 10 persons, who had already been selected and trained. However, some had already lost interest because of delay in start-up. Also, the proposed salary was TT \$2,000 per month, which was not comparable with remuneration in government programmes such as the Community-based Environmental Protection Enhancement Programme (CEPEP) or the National Reforestation and Watershed Rehabilitation Project (NRWRP).

Mr Shand indicated that TRF was prepared to buy seedlings from the nursery at above current market price from the Forestry Division. He estimated that TRF's demand for seedlings would sustain the project as a result of the various reforestation projects it was managing on behalf of oil companies which have been required to undertake reforestation projects under their Certificates of Environmental Clearance. He projected a net surplus in the first year of operation of TT \$147,000 (US\$24,500) and \$200,000 (US\$33,300) in the third and fourth year. This surplus will be made available for community development projects.

### **2.1.1.2 Bon Air North Community Development Project (BANCDP)**

Mr Junior Barrack, President of the Bon Air Village Council, introduced this project, which had been initiated with technical assistance and seed funding from the Cropper Foundation (Cropper) following the Northern Range Assessment which Cropper conducted as part of the Millennium Ecosystem Assessment. An application had

recently been made to the UNDP GEF small grants programme for TT\$450,000 (US\$75,000) to further expand the project.



*Participants listening attentively to Mr Barrack*

Mr Barrack explained that community members had been trained in and had completed an environmental and socioeconomic community assessment, on the basis of which they had developed a comprehensive development plan for the community. The plan included:

- an environmental component focusing on reforestation of burnt and degraded areas;
- a tourism project with a cable car and trails (with Forestry Division support but no private sector involvement yet)
- a socio-economic component focusing on providing technical assistance for small business development, to rebuild houses, and to conduct social programmes.

As a first step in building capacity, community members had received training in project management, with nine persons having attained certificate level and a further nine currently in their final year at technical level at Cipriani Labour College.

ALG members were able to view from a distance the proposed areas for reforestation and business development although no initiatives were yet underway.

### **2.1.2 Fondes Amandes**

The visit to Fondes Amandes focused on a field visit to and lunch at the Fondes Amandes Community Reforestation Project (FACRP) and its associated nursery and organic agro-forestry initiatives. This is a well-established project, which has been documented by CANARI in Lum Lock, A. and T. Geoghegan. 2006. Rewarding community efforts to protect watersheds: Case study of Fondes Amandes, St. Ann's, Trinidad and Tobago (<http://www.canari.org/Fondes%20Amandes%20final.pdf>) which was circulated to ALG members in advance.



*Part of the nursery at Fondes Amandes – Photos courtesy the Forestry Department of Jamaica*

During the panel discussion, it emerged that no formal evaluation of the project had been conducted and livelihood impacts have not been specifically documented, but the FACRP project co-ordinator advanced the following as evidence of the project's positive impacts:

- no fires since 1997;
- improved watershed services (e.g. no flooding or siltation) to downstream community;
- forest goods provided to support craft business;
- employment of community members;
- improved social networks;
- decreased vulnerability;
- increased income.

## **2.2 Panel discussion**

Members of the panel were Eden Shand, TRF; Akilah Jaramogi, FACRP; Junior Barrack, BACDP and Reynaldo Phillips, National Reforestation and Watershed Rehabilitation Project (NRWRP) with Sarah McIntosh acting as moderator. Mr Phillips introduced NRWRP, the government's initiative to reforest some 33,000 acres over a period of 10 years, using community-based contractors. Panellists were then asked to respond to questions from ALG members, with the following issues being raised and discussed:

- the enabling institutional framework for co-management. While co-management is facilitated by policy and legislation in Jamaica, this is not the case in Trinidad and Tobago. However, even when policies and laws don't specifically address co-management, management agencies still often have power to make decisions under existing legislation. The lack of formal enabling laws and policies may be used as an excuse for lack of political will or reluctance to share power;
- legislation alone is not sufficient to facilitate participation and co-management; a commitment from decision-makers and the development of mutual respect and trust are also essential;
- formal contracts are valuable not only as legally binding instruments for co-management but also because they clarify roles and responsibilities;
- the importance of capacity to facilitate and engage in participatory management;
- how to assess the impact on livelihoods (including capacity);



- the influence of partisan politics, particularly on the selection of stakeholders and locations for involvement in government programmes;
- whether financial incentives are a valid approach to encouraging participation in reforestation;
- the importance of community groups having tenacity, commitment, access to knowledge and linkages to those with power;
- the need to develop tools on how to do participatory livelihood assessments.



*Panel discussion – Photo courtesy the Forestry Department of Jamaica*

### **3 Friday 22<sup>nd</sup> June 2007- Day 3**

#### **3.1 Analysis of field trip learning on linkages between forests and livelihoods**

There was consensus that the four projects reviewed in the panel discussion had differing goals and projected outcomes and were at different stages of evolution but nevertheless shared the common objective of seeking to improve the quality of life of community members.

It was noted that the BANCDP project was in the early stages of development but had a strong focus on empowering members of the community to achieve a better quality of life through the stimulation of business opportunities and provision of other economic and social benefits.

Some participants felt that there was a disconnect between the Bon Air North TRF nursery project and the site community. They also expressed concern about the sustainability of the nursery because its viability appeared dependent on getting higher-than-market prices. It was also suggested that it might have been better to start on a smaller scale initially and expand once any teething problems had been overcome.

Concerns about the NRWRP revolved around the apparent politicisation of some aspects of the project and the lack of connection to the land where groups are being 'imported' to reforest an area. It was also noted that the hiring and retention of technical support staff seemed dependent on the fluctuating salary differentials between Forestry Department (FD) and NRWRP. And in spite of the fact that NRWRP was not managed by FD, most of the senior staff had been recruited from FD so there had been a transfer of FD culture.

Some participants characterised the FACRP as a project being driven and led by a strong personality and Rastafarian spiritual philosophy which encouraged people to have a close connection to the land. The Fondes Amandes project was addressing the need for forest conservation (trees, soil quality) and livelihoods seemed to have been improved as a result of benefits from this project. The project was well established and encouraged community involvement to sustain positive impacts (ecological, social and economic). It had attracted support from government and international agencies, as well as powerful national stakeholders, in spite of the lack of formal land tenure or co-management agreement.

The following were some of the key lessons which participants derived from the four field trip case studies in relation to the design and implementation of sustainable forests and livelihoods projects:

- a strong leader/personality is often the key driver of a project, so there needs to be succession planning and a proper institutional framework to assure sustainability;
- drivers need to come from within the community and develop a process to engage the support of the rest of the community and surrounding communities;

- relationships between project partners need to be mutually beneficial;
- trust, mutual respect and equity are critical to project success and a necessary precursor to the negotiation of formal co-management arrangements;
- a formal document may be valuable in terms of specifying roles and relationships but this may be less important where a good relationship has been established between parties. A formal document also ensures that the relationship is not just dependent on certain individuals;
- community members (and supporters at local and national level) must perceive that there are benefits from a project, though these may not necessarily be financial. This is critical for building sustainability, buy-in, and to influence the formal institutional framework;
- problem, needs and capacity assessments should precede the funding of projects;
- before donors fund a project there should be evidence that proper systems are in place and that the community is committed to achieving the project objectives. It may be better to develop an MOU for a year initially during which capacity is built and the project is closely monitored rather than investing large sums of money from the outset;
- there needs to be a greater focus by donors on evaluating short and long-term impacts on both forest resources and livelihoods, including the gathering of baseline data, and on improving the long-term sustainability of projects. However, this needs to be done in a manner that does not impose a world view or culture that is alien to the community and project. Participatory self-evaluation could be used as well as external independent evaluators;
- capacity needs to be developed at community level, including systems, structures, mechanisms and small business skills.

### ***3.2 Policies and institutions for forest management that enhance livelihoods: developing an approach to case study research***

#### **3.2.1 Defining the baseline: overview of existing policies and arrangements in project countries**

Tighe Geoghegan, GPC Consultant and CANARI Associate, presented an overview of the status of forest policies and institutions in the eight project countries, based on 'snapshots' that had been produced for each country (presentation attached at Appendix 9).

The presentation outlined the widely differing policy and institutional environments within the region, with the following being some of the key points made:

- only Jamaica and Grenada currently have recent active formal forest policies although Saint Lucia, St Vincent & the Grenadines and Trinidad & Tobago have a coherent patchwork of relevant policies;
- Dominica's policy is outdated;
- a new policy framework is emerging in Nevis;
- the policy framework in Barbados and St Kitts is weak.

The forest policy framework in Grenada, Jamaica, Saint Lucia and St Vincent & the Grenadines is broadly supportive of livelihoods and there are emerging spaces for livelihoods integration in Nevis and Trinidad & Tobago.

Some good sectoral linkages were emerging: to heritage and ecotourism (for example, Saint Lucia, Dominica); to rural development (for example, Saint Vincent & the Grenadines); and to land policy (Nevis). However, in general linkages are weak, particularly in relation to land use, in part because many countries have outdated or no land use policy in force. Linkages to broader economic development policies (for example, Vision 2020 in Trinidad & Tobago) and poverty reduction strategies varied, but were still generally weak except in Saint Lucia. The lack of strong linkages both reflects and reinforces the lack of support for forest policy implementation at national level.

It was felt that the mainstreaming approach could be strategically used to catalyse the formation of linkages, for example through focusing on issues such as land, water, poverty reduction, integrated development, climate change, and gender.

Current policy documents reflect a strong emphasis on stakeholder participation but in some instances the role of stakeholders is merely advisory. However, the implementation of the commitment to stakeholder participation varied widely, depending on the commitment of the relevant agencies and whether effective enabling mechanisms had been put in place. However, it was noted that in some instances the absence of formal mechanisms appeared to be more enabling than a rigid one.

Overall, it was agreed that stakeholder participation in policy led to increased understanding of and focus on the livelihood linkages.

A number of other barriers to effective stakeholder participation in forest management were identified including:

- perceptions that poor people bear the main responsibility for forest degradation;
- under-valuing of the contribution of forests (and particularly the services they provide) to livelihoods and economic development;
- the prevalent culture of many forestry management agencies, which is resistant to power sharing, change and new approaches.

Noel Bennett, Rural Sociologist with Jamaica Forestry Department, stated that attitudinal transformation was needed in institutions to bridge the gap between policy and implementation. This should include both a shift in government agencies' thinking from traditional centralised focus to being supportive of devolution of authority, as well as a cultural shift in communities and the rest of civil society to accept management power.

### **3.3 Developing a framework for case study analysis**

Tighe Geoghegan then presented a brief overview of the objectives and proposed approach to the case study analysis (attached at Appendix 10).

The goal was to learn, through the analysis of at least eight case studies, about the relationship between institutional arrangements for forest management and livelihood benefits for the rural poor. In order to construct the framework for these analyses, further consensus on the definition of key terms was needed. The presentation therefore synthesised the earlier discussions on definitions which led to a consensus on the following elements (with areas of debate highlighted in italics):

***Institutional arrangements:*** comprise both ‘the rules of the game’ and ‘the players’. They can occur at all levels and can be formal, permanent or transitory. The arrangements can be between people, policies, legislation, practices, culture, structures, design and change processes.

***Livelihoods:*** the capabilities, assets (including both material and social resources) and activities required for developing a living. *It was suggested that people’s aspirations in relation to livelihoods should be factored into the definition and that livelihoods should not be seen merely as reaching subsistence level.*

***Livelihoods are sustained*** when they generate sufficient resources to support livelihoods indefinitely, i.e. they are resilient to stress and shocks, do not compromise the productivity of the resource base and do not undermine the livelihoods of others. *The unresolved area of debate was whether sustainable livelihoods must also eliminate dependence on external support.*

***Tradeoffs for resource use and livelihoods*** include: livelihood security versus natural resource sustainability; maximising present income versus reducing vulnerability to future shocks; enhancing individual livelihoods versus protecting the livelihoods of others.

***Forests*** are areas with certain physical attributes (*which still need to be defined more precisely for the Caribbean context*) that provide forest goods and ecosystem services and have cultural acceptance as forests, i.e. “forests are what people say they are”.

***Forest management*** is the art and science of managing forests in a purposeful and objective driven manner. The objectives include provision of goods and services that provide benefits to people and sustaining the functions of the forest.

***Rural Poor:*** *There was limited agreement on how to define rural poor. Participants felt that the terms “rural” and “poor” should be looked at separately, particularly since there is a strong cultural perception in the Caribbean about who is considered urban, rural and poor regardless of physical location and income levels. It was suggested that examination was needed of the external forces that could put someone at risk of being poor. Also that consideration should be given to levels of nutrition and health when developing the definition of “poor”. It was suggested that the definition should not be confined just to the characteristics of rural poverty but also to the processes and changes that affect poverty and the ability to earn an income.* It was agreed that the project team should review international definitions and then develop a broad conceptual

framework for the project, which would then be further refined with the participation of project stakeholders.

In discussing the next steps for case study selection and analysis, it was agreed that ALG members would assist by identifying possible case studies in their countries. It was also suggested that the following research questions should guide the process:

- how are the activities being conducted (e.g. extent of participation)?
- what are the socio-economic and ecological benefits of the activity?
- how are trade-offs are negotiated?
- what are the linkages between institutional arrangements that support ecological services and those that provide socio-economic benefits?

With regard to the research approach, it was suggested that:

- the research should focus on examining change from an established pre-project baseline;
- a mix of ecosystems and stakeholder partnerships and approaches should be selected;
- a Participatory Action Research (PAR) methodology could be used where the evolution over time and the resulting impacts could be assessed by stakeholders;
- a post-doctoral researcher might be used to help with the research;
- the capacity of project leaders could be built to self monitor and evaluate the progress and success of their projects.

### ***3.4 Identifying capacity needs for forest management that enhances livelihoods***

Nicole Leotaud circulated the country and regional capacity strategies developed under the project funded by the FAO National Forest Programme Facility) (attached at Appendices 10-17). She stated that both the FAO project and the EC-funded project envisaged both national and regional workshops, so CANARI was seeking guidance from ALG members in terms of the focus that these should take.

The discussion focused initially on how to prioritise needs and build in existing initiatives. It was suggested the CANARI findings could be cross-referenced with the National Capacity Self-Assessments (and possibly other relevant capacity assessments such as those carried out by IICA and the Organisation of Eastern Caribbean States (OECS) under the OECS Protected Areas and Associated Livelihoods project (OPAAL).

There was consensus that CANARI should focus on the areas where it has unique or exceptional strengths, such as the facilitation of participatory and multi-stakeholder processes. Following some discussion, it was agreed that, for the first workshop in each country, CANARI should target the capacity needs of “grassroots” level stakeholders. These workshops might take the form of training or consultations/ gatherings, with or without other stakeholders, depending on the individual country need. All workshops should facilitate grassroots stakeholders in highlighting their issues and provide a forum for open exchange of ideas. These workshops would be followed by a regional workshop and might also provide the basis for identifying the study or exchange visits between countries proposed under the EC project.

### **3.5 Date and focus of next ALG meeting**

#### **3.5.1 Refining the terms of reference and modus operandi for the ALG**

By this stage, most ALG members stated that they were clearer about their role and the process of action learning. It was agreed that it was important for the ALG to meet on a regular basis, with the intention being that it should meet at six-monthly intervals until the end of the project. ALG members were expected to contribute by identifying key change agents and catalysts in their countries or sectors and to bring relevant information to the ALG. ALG members would assist in identifying community groups/grassroots organisations and projects that might be appropriate for the case study analysis and/or study/exchange visits. However, ALG members also need to get benefits from being involved in the process and the majority expressed satisfaction with the opportunities for interaction and reflection that the first meeting had provided.

It was suggested that, as under CANARI's previous action learning project *Who Pays for Water* (<http://www.canari.org/alg.htm>), to develop national Action Learning Groups, which would act as extensions of the ALG for deeper discussion of project approaches and findings at the national level, it was suggested that existing groups or fora should be used for this purpose. CANARI was also encouraged to make linkages with other relevant national or regional initiatives and organisations with a view to “mainstreaming” forests and livelihoods on the development agenda.

Some gaps were identified in the composition of the ALG, some of which related to unavailability of invitees but which CANARI will seek to rectify before the next meeting, for example, representatives from:

- tourism
- local government
- Barbados
- Ministry of Finance
- senior decision-makers from relevant sectors
- Trinidad and Tobago Forestry Division/forestry management agencies

#### **3.5.2 Focus and date of next meeting**

It was agreed that a critical next step was to develop a communication strategy that would identify the key messages and target audiences. This would help to link work of the ALG to other projects and also help stakeholders in the human development and forest management sectors to understand each other's perspectives and language and start to develop a common language of forests and livelihoods. It should also provide messages and materials that could be used by ALG members and CANARI when attending key national or sectoral meetings and discussions.

The communication strategy should also include mechanisms for more regular communication between CANARI and ALG members between ALG meetings, with a

particular focus on the project website as a means of providing project updates for both ALG members and the wider target audience.

The communication strategy would be the main focus of discussion at the ALG meeting. It was agreed that the next meeting should be held in Jamaica early in December 2007 (funding permitting) or otherwise early in 2008.

### **3.5.3 Next Steps:**

CANARI to:

- circulate report and executive summary of meeting, together with supporting documents;
- confirm the date and location for the 2<sup>nd</sup> ALG meeting. It was suggested that it be held in Jamaica in December 2007 or early 2008;
- provide a preliminary list of possible case studies for feedback from the ALG;
- develop the project website.

ALG members to:

- provide CANARI with details of possible case studies in their countries or sectors;
- notify CANARI of any group or institutional mechanism that might provide the basis for an Action Learning Group at national level.



# APPENDIX 1: FORESTS AND LIVELIHOODS ALG CONCEPT NOTE



## Forests & Livelihoods Action Learning Group Concept Note

*Caribbean Natural Resources Institute (CANARI)*

### 1. Context

The focus of the development community in Caribbean Small Island Developing States (SIDS) currently revolves primarily around the Millennium Development Goals (MDGs) and the need for adaptation to climate change, yet paradoxically little attention is being paid to the critical role of forests in contributing to these objectives. National Poverty Reduction Strategy Papers (PRSPs) rarely reflect the contribution of forests to human well-being, either in terms of environmental services or the goods on which many people depend for food, medicine and revenue generation. Similarly, while practice on the ground is changing, formal forest policy in most countries has not been reviewed or revised to reflect the actual or potential role of forests in ensuring environmental sustainability (MDG7) or contributing to livelihoods.

However, the need to explore and optimise the linkages between forests and livelihoods is evident. Rural poverty has increased in many Caribbean SIDS as a result of the decline of the banana and sugar industries. While tourism is being advanced as the main economic alternative, it also contributes to an increased demand for the services provided by forests, notably water. Predicted climate change trends in the region, such as sea level rise and, in the Greater Antilles, drier rainy seasons, make it all the more pressing to develop interlinked sustainable forest management and rural livelihood strategies.

Implementation of strategies to manage forest goods and services for development of sustainable rural livelihoods must take place in an institutional context that facilitates integrated and cross-sectoral policy making, planning and management. However, forest management institutions in Caribbean SIDS remain for the most part both highly centralised and isolated. Links to policy and decision-makers in cross-cutting areas such as rural development, entrepreneurial development and poverty alleviation remain weak and there are few examples of integrated planning to address the increasing and competing demands on the forest resources, for example for tourism and residential development.

There is also a need for more systematic evaluation and documentation of the socio-economic impacts of various forest management strategies. For example, most participatory forest management schemes are premised on the assumption that this will provide benefits for the communities and community members involved, yet few quantify their socio-economic objectives so there is little other than anecdotal evidence to support this.

### 2. Forests and Livelihoods Programme

CANARI's *Forests and Livelihoods* programme focuses on research and capacity building activities designed to maximise the contribution of forests to improving the quality of life of poor people in rural

communities in Caribbean islands. The programme looks at the contribution of forests in terms of both 'forest goods' (e.g. timber, craft materials, medicinal plants) and 'ecological services' (e.g. preventing soil erosion, contributing to improved water quantity and quality, providing landscape beauty). The programme's definition of livelihoods also goes beyond just the ability for people to earn money from forest resources (although this is important) to include other aspects of quality of life including individual's and community's access to a range of other important assets – natural, social, human and physical (for example a clean environment, basic social services and infrastructure, opportunities for recreation and relaxation).

There are currently two main projects under this programme to which others may be added as research gaps or opportunities are identified:

- A regional project on ***“Practices and policies that improve forest management and the livelihoods of the rural poor in the insular Caribbean”*** funded by the European Commission's Programme on Tropical Forests and other Forests in Developing Countries [2007-2009]. The project is being conducted in the following countries: Barbados, Commonwealth of Dominica, Grenada, Jamaica, Saint Christopher (St. Kitts) & Nevis, Saint Lucia, Saint Vincent & the Grenadines, and Trinidad & Tobago.
- A regional project entitled ***“Participatory Forest Management: Improving policy and institutional capacity for development”*** [2006-2008]. This project is being implemented in partnership with the forestry departments of the project countries, with funding support from the Food and Agriculture Organization of the United Nations (FAO) through its National Forest Programme Facility (NFPF). The project is being conducted in the following countries: Barbados, Commonwealth of Dominica, Grenada, Saint Christopher (St. Kitts) & Nevis, Saint Lucia, Saint Vincent & the Grenadines, and Trinidad & Tobago. Jamaica, which has its own NFPF project, is participating in and contributing to regional activities.

### 3. Role of the Action Learning Group

The Regional Action Learning Group on Forests and Livelihoods is a mechanism established under the EC-funded project on ***“Practices and policies that improve forest management and the livelihoods of the rural poor in the insular Caribbean”*** for analysing and disseminating learning over the three-year project period. It will also consider the findings of the FAO project and any other relevant projects in the region, whether implemented by CANARI or other members of the ALG.

The multi-sectoral Action Learning Group, which will meet twice per year over the life of the project, will comprise individuals from key national and regional institutions who can contribute skills, knowledge or experience to research and capacity building on forests and livelihoods and who are in a position to serve as “change agents” by sharing learning on project findings within their countries, institutions and sectors. It is intended that the group should contain representation from technical and financial support agencies, forest management agencies, forest users, and agencies involved in poverty reduction and rural livelihoods.

The terms of reference for the Action Learning Group and the way in which it should operate will be validated and finalised at the first Action Learning Group meeting in June 2007. However, it is anticipated that the strength of the group will lie in its independence, range of experience, non-bureaucratic and participatory approach, and the participation of motivated people who can disseminate learning and shape opinion. Action Learning Group members are therefore invited primarily in their individual capacity and are expected to make themselves available for all meetings.

Action Learning Group meetings will take place twice a year until the end of the December 2009. Meeting arrangements and communication between meetings will be co-ordinated by CANARI, with the format (e.g. emails, dedicated web page, discussion forums) to be determined by members at the first ALG meeting.

## APPENDIX 2: MEETING AGENDA



### FORESTS AND LIVELIHOODS ACTION LEARNING GROUP MEETING

Normandie Hotel, St. Ann's, Port Of Spain, Trinidad  
June 20-22 2007

#### DRAFT AGENDA

#### **Wednesday 20 June**

##### Context and Concepts

10.00 – 11.00 Welcome and opening remarks

- o Sarah McIntosh, Executive Director, CANARI
- o Claus Eckelmann, Forestry Officer for the Caribbean, UN Food and Agriculture Organisation
- o Mr. Stelios Christopoulos, Chargé d'Affaires and Minister Councillor, Delegation of the European Union in Trinidad and Tobago
- o Hon. Pernelle Beckles, Minister in the Ministry of Public Utilities and the Environment

11.00-11.30 Break

11.30- 12.15 Participant expectations and discussion of role of the Action Learning Group (ALG)

12.15-1.00 Overview of projects within CANARI's Forests and Livelihoods Programme

1:00 – 2:00 Lunch

2.00 – 3.00 Forests and livelihoods in a Caribbean Small Island context: definitions and conceptual frameworks

3.00-3.45 Small group work on the linkages between forests and livelihoods

3.45 – 4:30 Presentation of small group work

4.30-5.00 Overview of next day - field trip sites and projects

6.00 Cocktail and finger food (at Hotel Normandie)

#### **Thursday 21 June**

Field trip, panel discussion and analysis of case study sites

8:00 Departure for field trip

#### **Provisional itinerary and approximate timings**

8:00-12:00 Field visit, Bon Air North and Fondes Amandes and vicinity, meetings with local stakeholders

12:00-2.30 Lunch at Fondes Amandes and panel discussion with key stakeholders:  
Tropical Relief Foundation (Bon Air North, Fondes Amandes, other sites)

Bon Air North Reforestation Group  
Cropper Foundation  
National Reforestation and Watershed Rehabilitation Programme  
Fondes Amandes Reforestation Projects

3.00 – 4.30 Group analysis of field trip learning on linkages between forests and livelihoods

### **Friday 22 June**

Policies and institutions for forest management that enhances livelihoods: developing an approach to case study research

8:30 – 9:15: Defining the baseline: overview of existing policies and arrangements in project countries and discussion

9:15-9:45: Developing a framework for case study analysis: presentation of typology and discussion

9:45-10:00: Next steps for case study selection and analysis

10.00-10.30 Break

### **Identifying capacity needs for forest management that enhances livelihoods**

10.30-11.00 Presentation of NFPF regional capacity needs assessment

11.00-11.45 Small group work

refine and prioritise capacity needs – local (ALP and potential case study sites), national, regional

identify complementary or overlapping initiatives

identify national or regional events to which capacity building might be tied

11.45-12.30 Small group presentations

12.30-1.00 Date and focus of next ALG

1.00-2.00 Lunch then depart for airport/free time

Some individual meetings with key national stakeholders will be scheduled on Friday afternoon (or earlier in the meeting if participants are travelling on Friday afternoon) in relation to national next steps on CANARI's two Forests and Livelihoods projects

## **APPENDIX 3: SPEECH FROM CHARGÉ D’AFFAIRES, DELEGATION OF THE EUROPEAN COMMISSION TO TRINIDAD AND TOBAGO**

**Draft Speech for the first Forest and Livelihood Action Learning Group Meeting  
at the Normandie Hotel and Conference Centre on 20-22 June 2007**

HONOURABLE PENELOPE BECKLES, MINISTER OF PUBLIC UTILITIES AND THE ENVIRONMENT  
DISTINGUISHED EXECUTIVE DIRECTOR OF THE CARIBBEAN NATURAL RESOURCES  
INSTITUTE, SARAH MCINTOSH  
DISTINGUISHED REPRESENTATIVE FROM THE FOOD AND AGRICULTURE ORGANISATION  
DISTINGUISHED PARTICIPANTS OF THIS FIRST FOREST AND LIVELIHOOD ACTION LEARNING  
GROUP MEETING  
*DISTINGUISHED MEMBERS OF THE MEDIA (IF PRESENT)*  
*LADIES AND GENTLEMEN (IF ANY MORE PEOPLE PRESENT)*

To begin with, I would like to thank you for the invitation. I am pleased that I can be here today. To support the development work financed by the European Commission is one of my highest priorities for the Delegation of the EC in T&T. Being here also gives me an opportunity to briefly explain the role and position of the European Commission regarding the environment and in particular forestry.

As reflected in the recently adopted “European Consensus” which represents the common strategy platform for development of the European Union Member States and the European Institutions, the European Union is determined to make a decisive contribution to the eradication of poverty in the world by assisting to meet the Millennium Development Goals and to help build a more peaceful and stable world. Environmental degradation is a serious threat to the entire world. It is hindering and undermining development and environmental disasters and pollution affect poor people disproportionately more, especially people in rural areas who depend heavily on natural resources. There is sometimes a misconception that environmental protection undermines economic growth but the truth is the opposite: It is environmental degradation that undermines prospects of both short and long-term development. Only when the environmental dimension is fully taken into account can we obtain the ultimate goal of lasting poverty reduction and sustainable development.

Moreover, environment related activities are relevant to several primary interests in the Caribbean such as tourism. As the Caribbean region has started to feel the need to move away from traditional agricultural commodities and re-position its economy, there are perhaps now more and wider opportunities for environment-related niche market economic activities to explore.

One element of the European Commission environmental strategy and a central area of concern for growth, development and poverty alleviation is the sustainable management of forest resources and their contribution to livelihoods of poor people living in and of them.

In many developing countries, forests are an important source of state revenue and they even sustain local economies. Forests are also a vital asset, with an estimated 1.6 billion poor people relying on them at least partly for a living. Forests are moreover necessary for a healthy global environment, and serve to regulate water quality, provide habitat for wildlife, store carbon and guard against climate change.

In 1999 the European Commission adopted a Communication on Forests and Development. The Communication highlights the importance of reconciling the various and often conflicting demands on forests of local communities, timber-logging companies and informal wood working sectors, fuelwood markets, conservationists, local and national governments.

The Communication highlights the importance of national, regional and international forest programmes. Forest programmes are processes which bring together different government departments, civil society to debate and formulate comprehensive forest policies, and address key forest sector issues. The Commission is strengthening support to these programmes in collaboration with the FAO National Forest Programme Facility.

The Communication also emphasises the need for good governance as a prerequisite to ensure sustainable management of forests, and notes that a participatory approach is of particular importance given the number of stakeholder groups with an active interest in the sector.

One way of putting words into practice is the tropical forest budget line from which this project receives the majority of its funding. The European Commission has funded projects in the forest sector since the year 2000. There are currently 91 projects on-going covering themes ranging from support to community forestry, civil society strengthening, national forest management planning, forest conservation, mitigating impacts of climate change, strengthening forest governance.

In this respect it is important to know the European Commission has already started moving away from the traditional project approach in favour of more policy based instruments of development such as general and sector budget support. This new approach should contribute more in creating favourable sector wide conditions for better and more effective coordination between activities such as yours and the relevant Public Agencies and Ministries involved. By doing so, we believe we can contribute to significantly improve environmental governance.

Out of more than 500 organisations, which applied from all over the world, at the last call for proposals for European Commission funding less than 15 were actually retained. CANARI is one of them. I would therefore like to take the opportunity to congratulate CANARI for this achievement. Especially, on behalf of the European Commission Delegation in T&T, I am happy that we are funding this project.

However, obtaining funding is only the first achievement in what I hope will be a long row of achievements for the almost three years to come.

I wish all of you all good luck and a productive seminar.

Thank you very much.

## APPENDIX 4 LIST OF PARTICIPANTS

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Forests and Livelihoods Action Learning Group  
Normandie Hotel, St Ann's  
20-22 June 2007

### Participants List

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## APPENDIX 5 THE ROLE OF THE ALG



**THE ROLE OF THE  
ACTION LEARNING GROUP**




### Forests and Livelihoods Action Learning Group



- Multi-sectoral
- Representation from the 8 project countries and regional organisations
- Individuals selected for their capacity to act as opinion shapers change agents



### Role and responsibilities of ALG members

- Attend twice-yearly ALG meetings
- Review and contribute to the analysis of the findings of projects under CANARI's Forests and Livelihood Programme
- Assist with the identification of other research or capacity building needs in relation to forests and livelihoods
- Disseminate, shape opinion and apply project learning within and across sectors, nationally and regionally



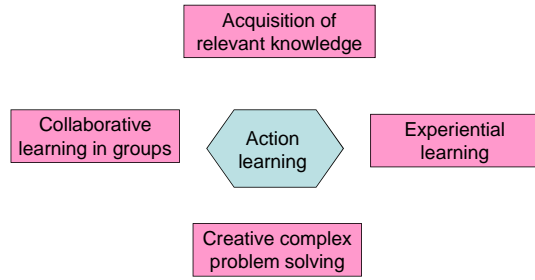
### Why action learning

- To address problems and issues that are complex and cannot easily be resolved
- To find solutions to underlying root causes of problems
- To determine new policy and strategic directions or to maximise new opportunities
- To generate creative ideas



Adapted from Revans



## Characteristics of action learning



Adapted from Revans

# APPENDIX 6 EU PROJECT DETAILS

**Practices and policies that improve forest management and the livelihoods of the rural poor in the insular Caribbean**

European Commission: Programme on Tropical Forests and other Forests in Developing Countries

**Geographic focus**

Barbados	Antigua & Barbuda
Dominica	Bahamas
Grenada	Barbados
Jamaica	Dominican Republic
St. Kitts & Nevis	Haiti
Saint Lucia	Cuba
St. Vincent & the Grenadines	
Trinidad & Tobago	

**Budget**

- EC = €449,980
- Co-financing = €154,000 (NFPF)

**Objectives**

Overall:

- To maximise the contribution of forests to the rural poor in the ACP countries of the insular Caribbean

Specific:

- To identify, promote, and build capacity for institutional arrangements which optimise the socio-economic contribution of forest resources to the rural poor of the insular Caribbean.

**Sub-objectives**

- quantification and analysis of the direct benefits derived by the rural poor from non-timber forest products (NTFPs), timber and tourism in selected case study sites
- quantification and analysis of the indirect benefits derived by the rural poor from landscape beauty, biodiversity, soil conservation, water production, and carbon sequestration values in selected case study sites

**Sub-objectives**

- identification and promotion of institutional arrangements that optimise the socio-economic benefits to the rural poor
- publication and dissemination to the main target audiences of methods, approaches and tools for forest management that optimise the socio-economic benefits to the rural poor
- a series of capacity building interventions to build skills and knowledge in forest management methods, tools and approaches to optimise the socio-economic benefits to the rural poor

## Formal Partners

- Food & Agricultural Organisation (FAO) – Sub-Regional Office for the Caribbean
- Forestry Departments of Dominica, Jamaica, Saint Lucia, and St. Vincent & the Grenadines

## Activities

1. Facilitate sustainable stakeholder ownership and building a community of change agents:
  - Action Learning Group
  - 8 core countries & regional organisations
  - Forestry, poverty alleviation and other sectors

## Activities

2. Identify institutional arrangements which optimise socio-economic contribution of forests:
  - action learning projects and small grants facility for civil society (NFPF)
  - survey to identify case studies for in-depth analysis of socioeconomic benefits to rural poor from different types of forest management arrangements
  - analysis of socioeconomic impacts of different types of institutional arrangements for forest management from case studies – direct and indirect benefits
  - development of recommendations for institutional arrangements for forest management

## Activities

3. Produce promotional/capacity building materials to disseminate project learning:
  - develop project communication strategy
  - develop appropriate products, including materials for training workshops

## Activities

4. Facilitate a multi-sectoral regional workshop on institutional arrangements for forest management that optimise socio-economic benefits to the rural poor to
  - present findings of case studies
  - promote dialogue between sectors
  - identify effective institutions for integrated planning at local, national and regional levels

## Activities

5. Facilitate 8 national capacity building workshops to build awareness about and skills and knowledge in applying institutional for forest management that optimise socio-economic benefits to the rural poor:
  - development of 'toolbox' that can be customised to meet specific national needs

## Activities

6. Facilitate 8 exchange visits to another country
  - Visit to case study site
  - 2-3 days, including field trip, facilitated discussion and exchange of experiences with local stakeholders, discussion of application to home country
  - Multi-sectoral teams of 5 persons
  - Hosted by local partner/stakeholder
  - Visit report (CANARI)

# APPENDIX 7 FAO PROJECT DETAILS

**Participatory Forest Management:  
Improving policy and institutional  
capacity for development**



THE NATIONAL  
FOREST PROGRAMME  
FACILITY



**Overall goal**

- to support the improvement of the socioeconomic and environmental benefits that can be derived from forest management by analysing, promoting and building capacity for participatory planning and management of forest resources at the regional, national and local levels

**Project countries**


1. Barbados
2. Commonwealth of Dominica
3. Grenada
4. Saint Christopher (St. Kitts) & Nevis
5. Saint Lucia
6. Saint Vincent & the Grenadines
7. Trinidad & Tobago
8. [Jamaica]

**Objectives**

- build the capacity of forest stakeholders for participatory policy analysis, policy formulation and forest management through effective training, technical assistance, and regional and cross-sectoral dialogue
- improve the institutional frameworks for participatory forest policy analysis, policy formulation and forest management, and the integration of forest policy in national sustainable development strategies, through the promotion and dissemination of lessons learned and best practices, technical assistance and training
- develop and transfer methods for sustainable management of forest resources

**Year 1 activities**

- review of the status of forest policy in countries - production of seven country reports
- formulation of national strategies to build capacity for participatory forest management
- conduct of a regional training course on participatory forest management (Dominica, July 2006)
- formulation of regional strategy, with the identification of case studies and other activities for Years 2 and 3



**Regional capacity strategy**

1. Supporting policy development
2. Testing and documenting new approaches and lessons
3. Providing training while building local training capacity
4. Documenting, sharing and disseminating lessons learned and directions for the future

## Review of Grenada forest policy process

- Goal: To catalyse and support the review, development and implementation of national policies in the seven project countries that support forest management and livelihoods based on forest resources
- Process: Participatory review of the policy process used in Grenada, its impacts, and the factors that have constrained or facilitated its implementation (with the participation of other forestry departments)
- Status: Workshop held February 2007 in Grenada
- Outputs:
  - Report reviewing forest policy process in Grenada
  - Workshop report
  - Policy brief on forest policy (in preparation)

## Technical assistance in designing national policy processes

- Goal: To catalyse and support development of national approaches to forest policy review or the integration of forest issues into natural resource management policies in 6 project countries
- Process: Provision of technical assistance to participating countries in the development of concept notes outlining the design of national policy processes, which may be used to communicate with development partners and funding agencies and national stakeholders
- Status: Currently ongoing, deadline mid-July
- Outputs:
  - Concept notes for national policy processes

## Action Learning Projects in PFM

- Goal: to strengthen the role of NGOs and CBOs in forest management in the Caribbean.
- Process: Participatory action research – 4 small grants of US\$4,000 – technical assistance and participatory; invited 12 applications, independent selection committee
- Project areas:
  1. strengthening civil society organisations
  2. designing participatory institutional arrangements, selecting suitable management regimes, and developing and implementing management agreements
  3. developing and sustaining forest-based businesses
  4. community management of tourism resources
- Status: Applications due, ALPs to be issued July 2007
- Outputs: Documentation of process and lessons

## Training of Trainers workshop

- Goal: to build the capacity of facilitators who have the potential to provide training and facilitation in various aspects of participatory forest management
- Process: Facilitate Training of Trainers workshop to:
  1. Identify and discuss the principles, values and benefits of participatory forest management;
  2. Introduce key tools and methods for facilitating participatory forest management – such as stakeholder identification and analysis, participatory planning, and conflict management;
  3. Build skills in facilitation and training techniques.
- Status: Invitations sent, applications due end June, workshop scheduled for August in Trinidad
- Outputs:
  - Manual for trainers

## National training activities

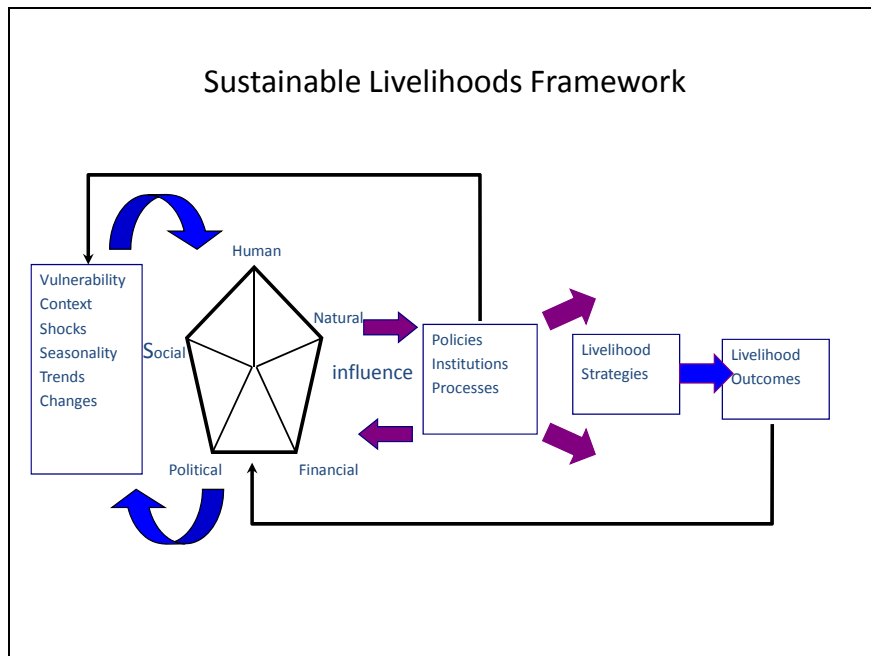
- Goal: Build national capacity to implement participatory forest management
- Process: Design and conduct national workshops in Barbados, Dominica and St. Kitts and Nevis
- Status: Scheduled for September 2007
- Outputs: National workshop reports

## Year 3 activities

- Action Learning Projects implementation & assessment
- Small grants for civil society
- National training activities in T&T, SVG, GDA
- Final regional conference



## APPENDIX 8 SUSTAINABLE LIVELIHOODS FRAMEWORK



### What is the added value of the Sustainable Livelihoods Framework?

- A useful framework to guide analysis, encourage discussion and probe into broader issues
- A simple but well-developed way of thinking about a complex issue
- It helps to draw attention to the variety of assets that contribute to making a sustainable livelihood and to ways in which they are interdependent
- Helps understand entry points based on gaps, endowment levels etc.
- Useful for planning and assessing efforts to reduce poverty

## APPENDIX 9 SNAPSHOTS OF POLICY AND INSTITUTIONS

### Forests, Livelihoods and Policy

#### Formal policy instruments

- Recent, active forest policies: Grenada and Jamaica
- Coherent policy patchworks: St. Lucia, SVG, Trinidad and Tobago
- Outdated policy: Dominica
- Emerging policy: Nevis
- Weak policy framework: Barbados and St. Kitts

#### Reflection of livelihood issues in policy

- Supportive policy: Grenada, Jamaica, St Lucia, SVG
- Emerging spaces for livelihoods integration: Nevis, Trinidad and Tobago
- Narrow focus on timber: Dominica (but because policy is outdated)

#### Forest policy and other sector policies

Some good linkages:

- to ecotourism (e.g., St Lucia, Dominica)
- to rural development (e.g., SVG)
- to land policy (Nevis)

#### But weak linkages are widespread

- poor linkages with land policy, and weak/non-existent land policy in several countries
- linkages to broad economic development policies (e.g., Vision 2020) and poverty reduction strategies vary but generally weak (St Lucia an exception)
- result is lack of support for forest policy implementation at national level

#### Reflection of stakeholder participation in policy

- Stakeholder participation prominent in current policy documents
- Effectiveness depends on mechanisms for and commitment to implementation
  - high commitment, enabling mechanisms (Jamaica, St. Lucia)
  - low policy support, emerging enabling mechanisms (Trinidad and Tobago)
  - low commitment, constraining mechanisms (Dominica)

### **Reflection of stakeholder participation in policy (con't)**

- Forest policy on participation not always in synch with overall policy (e.g., Grenada)
- Lack of mechanisms can sometimes be more enabling than rigid ones
- Stakeholder role often merely advisory

### **Policy issues affecting a livelihoods perspective**

- Heritage/eco tourism driving more integration with livelihoods (but not for very poor)
- Level of support for local action in broader national policy (e.g., St. Lucia)
- Perception that the poor use forests unsustainably or illegally
- Perception that forests are of little value (Barbados)
- Stakeholder participation in policy inevitably increases livelihood linkages

## APPENDIX 10 CASE STUDY LEARNING

### Case Study Learning

**Aim:** To learn, through the analysis of a range of case studies, about the relationship between **institutional arrangements** for **forest management** and **livelihood benefits** for the **rural poor**

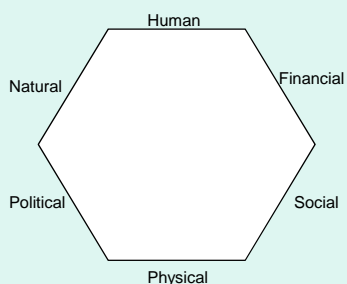
### Institutional arrangements

- Policies, legislation, practices, structures, design and change processes
- Can be formal or informal, permanent or transitory
- Can exist at any level from international to household

### Defining “livelihoods”

“..the capabilities, assets (including both material and social resources) and activities required for a means of living.”

### Capital assets for sustainable livelihoods



### Livelihoods are sustainable when they...

- are resilient to stresses and shocks
- do not depend on external support
- do not compromise the productivity of the resource base
- do not undermine the livelihoods of others

## Some trade-offs

- Livelihood security vs. natural resource sustainability
- Maximizing present income vs. reducing vulnerability to future shocks
- Enhancing individual livelihoods vs. protecting the livelihoods of others

## Forest Management

Forests are:

- areas with [certain physical attributes] that provide
- forest ecosystem services and
- that have cultural acceptance (“forests are what people say they are”)

Forest management is ???

## Rural Poor

- Measuring poverty: a quick overview
- Choosing an approach for this research project

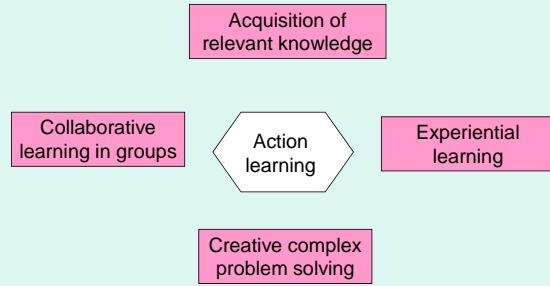
## What do we want to learn from case studies?

## Some possible questions

- What factors (political, social, economic, historical, etc) determine a particular institutional arrangement and how do those factors influence the generation and allocation of socio-economic benefits from forest resources?
- What are the socio-economic impacts of a given institutional arrangement on the rural poor?
- How does the level of stakeholder participation in an institutional arrangement affect the generation and allocation of socio-economic benefits for the rural poor?

## How can we learn from case studies?

## Characteristics of action learning



Adapted from Revans

## APPENDIX 11 BARBADOS – CAPACITY BUILDING STRATEGY UNDER THE NFPF PROJECT

Target Groups	Strategic Objectives	Activities
<b>All stakeholders</b>	To include PFM at the policy and legislative levels, reflected in the formulation of a national forest policy as a strategic objective	<ul style="list-style-type: none"> <li>Comprehensive review by experts of existing plans, policies, international agreements and legislation with relevance to forest management</li> <li>Public consultation to mobilize interest and obtain input into the content of the policy</li> <li>An advisory board to help with improved communication</li> <li>Improved the public/stakeholders' ability to lobby through education and advocacy</li> </ul> <u>Produce and disseminate policy and finalized EMA</u>
<b>Public Service</b>		
<b>MARD - SCU</b> <b>MEE - NCC</b> <b>Enforcement Agencies</b> <ul style="list-style-type: none"> <li>Public Health</li> <li>EPD</li> <li>SCU rangers</li> <li>NCC rangers</li> <li>Police/Island constables</li> </ul>	To develop a cadre of forestry professionals trained in PFM	<u>Workshop to provide training in approaches to:</u> <ul style="list-style-type: none"> <li>Stakeholder identification</li> <li>Stakeholder analysis</li> <li>Stakeholder mobilisation</li> <li>Conflict management</li> <li>Co-management</li> </ul> <u>Use of regional case studies to develop best practices in PFM techniques</u> <u>Develop mechanism geared towards monitoring and enforcement</u> <u>Implement exchange programmes to share expertise</u>
<b>Target Groups</b>	<b>Strategic Objectives</b>	<b>Activities</b>
<b>Civil Society</b>	To enhance capability of local NGOs to manage forest resources in partnership with other stakeholders	Workshop on organizational development to address skill gaps in the following: <ul style="list-style-type: none"> <li>Organizational management</li> <li>Co-management</li> <li>Finance management</li> <li>Project management skills</li> <li>Project proposal writing</li> <li>Communication and outreach</li> <li>Stakeholder identification</li> <li>Stakeholder analysis</li> <li>Stakeholder mobilisation</li> <li>Conflict management</li> </ul>
<b>Private Sector</b>		
<b>All stakeholders</b>	To encourage participation of the	<ul style="list-style-type: none"> <li>A comprehensive inventory of all forest in Barbados (types of forest, species found,</li> </ul>

	private sector and stimulate development of forest products and services	locality, proximity to, identify forest products that can be obtained, etc). <ul style="list-style-type: none"><li>• Audit of existing activities to determine their effects on forest resources</li><li>• Promotion of the utilization of non-timber forest resources including eco-tourism</li></ul>
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## APPENDIX 12 DOMINICA – CAPACITY BUILDING STRATEGY UNDER THE NFPF PROJECT

Target Groups	Strategic Objectives	Activities
All stakeholders	To develop a national forest policy statement based on a shared strategic vision for forest management	A national forest policy process, with the following steps: <ul style="list-style-type: none"> <li>• Development of terms of reference and recruitment of facilitators</li> <li>• Design of participatory process by DFW&amp;NP, Ministry of Agriculture, Fisheries and the Environment and facilitators</li> <li>• Implementation of the process</li> <li>• Production and dissemination of the policy statement</li> <li>• Implementation of the policy and development of an action plan.</li> </ul>
<b>Public Service</b>		
Ministry of Agriculture, Fisheries & the Environment	To establish an appropriate mechanism for Forestry to work with other Ministries, communities and the private sector to derive economic benefit from forest products and services	Establishment by MAFE of a broad-based working group with clear TORs to develop strategies on economic development through sustainable forest management
Division of Forestry, Wildlife and National Parks	To develop an organisational structure based on community liaison	Development of TORs for and recruitment by MAFE of consultant to identify optimum structure and resources needed to implement
Division of Forestry, Wildlife and National Parks	Set up a fully functional National Park Service	Study exchange of Superintendent of Parks with NPS of Guadeloupe Development by DFW&NP implementation plan Cabinet approval sought by MAFE
Division of Forestry, Wildlife and National Parks	To equip forest officers with adequate skills in participatory forest management approaches	A series of national workshops in participatory forest management skills such as: <ul style="list-style-type: none"> <li>• facilitation</li> <li>• stakeholder identification &amp; analysis</li> <li>• communication skills and stakeholder mobilisation</li> <li>• negotiation and conflict management</li> <li>• collaborative management and partnerships</li> </ul>
Division of	To increase the revenue to	Development by DFW&NP of TOR and

Forestry, Wildlife and National Parks	support Forestry & NPS	recruitment of consultant to analyse commercial value of its products & services and to develop its marketing plan  Workshop on proposal writing and fund raising
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## APPENDIX 13 GRENADA – CAPACITY BUILDING STRATEGY UNDER THE NFPF PROJECT

Target Groups	Strategic Objectives	Activities
<b>All stakeholders</b>	<p>To review and update the national forest policy, and ensure that it is synchronised with other policy statements and instruments</p> <p>To mainstream forest management and development in national development processes</p> <p>To engage the media in debates and activities focusing on issues of forest management and development</p>	<p>A national forest policy review process, leading to a review of forestry legislation and other statements and instruments</p> <p>Review of the main national development policy instruments to integrate the dimension of forest management and development</p> <p>Field visits and meetings with media personnel to highlight and discuss forestry issues</p>
<b>Public sector</b>		
Forestry Department	<p>To enhance the conceptual understanding as well as the practice of participatory forest management</p> <p>To further enhance the skills of FNPD staff and to build the commitment and capacity of new staff</p> <p>To develop a framework and a capacity for the design and establishment of collaborative management arrangements</p>	<p>A facilitated two-day seminar to extract and document lessons and methods learned from Grenada's experience in the formulation and implementation of its national forest policy</p> <p>The provision of documents, training materials and other learning resources to FNPD to ensure that its staff have access to current debates and up-to-date materials on participatory forest management</p> <p>A series of national workshops (senior forestry personnel and their main partners in government, civil society and the private sector), covering such topics as:</p> <ul style="list-style-type: none"> <li>○ conflict management and negotiation</li> <li>○ communication</li> <li>○ facilitation</li> <li>○ advocacy and policy influencing</li> <li>○ participatory resource mapping</li> </ul> <p>A series of training events for field officers of the FNPD and some of their colleagues in NAWASA and other Departments of the Ministry of Agriculture, covering such topics as:</p> <ul style="list-style-type: none"> <li>○ reporting and basic management skills</li> <li>○ problem analysis</li> </ul>

Target Groups	Strategic Objectives	Activities
		<ul style="list-style-type: none"> <li>○ mitigation and immediate response</li> <li>○ health and safety</li> <li>○ communications</li> </ul> Participation of staff members of the Department in regional training events focusing on relevant aspects of participatory forest management Participation of at least one senior officer in a regional or international training course on participatory and collaborative resource management Design and testing of a template for collaborative management agreements
Ministry of Agriculture	To sensitise the Ministry on the importance and relevance of forestry issues and on the need for adequate resources to support participatory forest management	Involvement of the Ministry, at all levels, in the forest policy review process described above Participation of selected Ministry staff in the series of training workshops mentioned above and below
Community Development	To involve development workers in forest management, and to provide them with the basic skills required to support such involvement	A one-day seminar for community development officers, extension personnel from the Ministry of Agriculture and representatives from civil society organisations to illustrate their potential roles in forest management and development
NAWASA and other governmental agencies involved, directly or indirectly, in forest management	To involve these agencies and companies in forest management, and to provide them with the basic skills required to support such involvement	Participation of selected representatives from these agencies in the seminars and series of workshops mentioned above
<b>Civil society</b>		
Community organisations currently or potentially involved in forest management	To sensitise these organisations to the importance of forestry issues and to the potential benefits they and their communities could gain from being more directly involved in the sector	Collaboration with ART, GRENCODA, G-REP and other partners to explore opportunities for increased involvement of community-based organisations in forestry issues, and to continue processes of organisational strengthening at the local level Provision of information and technical assistance to organisations to link them with possible sources of support Design and conduct of a training-of-trainers programme
National non-	To strengthen the	

Target Groups	Strategic Objectives	Activities
governmental development agencies	<p>organisations and make them viable over the medium and long term</p> <p>To enable these agencies to design and implement training and capacity-building programmes in participatory forest management for community-based organisations</p>	
<b>Private sector</b>		
<p>All stakeholders</p> <p>Main water users in industry</p> <p>Farmers and farming communities</p> <p>Craft producers</p>	<p>To develop a locally-relevant set of examples and to build the capacity of private owners and entrepreneurs to realize the market potential of forest based resources and services</p> <p>To enhance the environmental sustainability of existing and prospective business ventures</p> <p>To build their awareness of the value of watershed services</p> <p>To build their awareness of the importance of the forest sector and of the opportunities for community participation</p> <p>To increase collaboration among craft producers and increase their ability to commercialise their products</p>	<p>Conduct of case studies to extract lessons from past experience in forest-based business development, private forestry, and public – private sector partnerships in forest management</p> <p>Communication activities (flyers, seminars, etc.) to disseminate key messages on the relationship between forests, water supply and sustainable economic activity</p> <p>Expansion of on-going environmental education and awareness programmes of the FNPD</p> <p>Consultation with agencies to define a strategy to support craft producers</p>

## APPENDIX 14 ST KITTS AND NEVIS – CAPACITY BUILDING STRATEGY UNDER THE NFPF PROJECT

Target Groups	Strategic Objectives	Activities
<p><b>All stakeholders</b></p>	<p>To develop a national forest policy statement</p> <p>To use the process of policy formulation as one of the mechanisms for awareness raising, mobilisation, community empowerment and networking</p> <p>To mainstream forest management and development in national development processes</p> <p>To develop a public awareness programme demonstrating linkages between forest resources and livelihoods</p> <p>To engage the media in debates and activities focusing on issues of forest management and development</p> <p>To develop locally relevant experience in and an improved understanding of concepts, approaches and methods of participatory forest management</p> <p>To equip key forest stakeholders with adequate skills in participatory forest management</p>	<p>A national forest policy process, with the following steps:</p> <ul style="list-style-type: none"> <li>• Development of terms of reference and recruitment of facilitator(s)</li> <li>• Design of participatory process by the Departments of Planning and facilitator(s)</li> <li>• Implementation of the process</li> <li>• Production and dissemination of the policy statement</li> <li>• Implementation of the policy</li> </ul> <p>Review of the main national development policy instruments, including the PRSP and the Social Policy, to integrate the dimension of forest management and development</p> <p>Public awareness campaign involving (but not limited to):</p> <ul style="list-style-type: none"> <li>• Development of terms of reference and recruitment of communications consultant;;</li> <li>• Development of a range of media targeted to the different stakeholder interests;</li> <li>• Dissemination of case studies of existing PFM projects (national or regional) and field testing and documentation of approaches and methods suited to specific local conditions</li> <li>• Field visits with media personnel to highlight and discuss forestry issues</li> </ul> <p>A series of national workshops to provide training in:</p> <ul style="list-style-type: none"> <li>• stakeholder identification and analysis</li> <li>• communication skills and stakeholder mobilisation</li> <li>• community profiling and rapid social assessment</li> <li>• conflict management</li> <li>• collaborative management and partnerships</li> </ul>
<b>Public sector</b>		
<p>Department of Physical Planning &amp; Environment (St. Kitts)</p> <p>Department of Physical</p>	<p>To establish a Forestry Division</p>	<p>Establishment of a Forestry Division:</p> <ul style="list-style-type: none"> <li>• develop terms of reference and hire consultants.</li> <li>• Planning Depts on each Island meet with facilitators to develop organizational framework, and identify resources needed for</li> </ul>

<b>Target Groups</b>	<b>Strategic Objectives</b>	<b>Activities</b>
Planning Natural Resources & Environment (Nevis)	To equip forest officers with appropriate attitudes and adequate skills in participatory forest management To develop a framework for the establishment of collaborative management arrangements	a functional Forestry Division. <ul style="list-style-type: none"> <li>Facilitators produce organizational framework and needed resources analysis.</li> </ul> Participation of staff members of the Department in regional training events focusing on relevant aspects of participatory forest management Participation of staff members of the Department in regional training events focusing on relevant aspects of participatory forest management Design and testing of a template for collaborative management arrangements
Other government Ministries and agencies directly or indirectly involved (or potentially involved) in forest management	To sensitise the Ministries and agencies to the importance and relevance of forestry issues to their respective agendas and objectives	Involvement of the agencies in the forest policy process described above Participation of selected Ministry staff in the series of training workshops mentioned above
<b>Civil society</b>		
Nevis Historical and Conservation Society (NHCS) St. Christopher Heritage Society (SCHS) Other civil society organisations directly or indirectly involved in forest management	To equip key civil society organisations with skills in participatory forest management. To develop the capacity of civil society organisations to develop project proposals and raise funding	Involvement of the agencies in the forest policy process described above Participation of selected Ministry staff in the series of training workshops mentioned above A series of workshops with interested organisations, focusing on priority aspects of organisational development, such as: <ul style="list-style-type: none"> <li>proposal writing</li> <li>project management</li> <li>fundraising and financial management</li> <li>communication, advocacy and networking</li> <li>identification and implementation of income-generating projects</li> </ul>
<b>Private sector</b>		
All stakeholders	To develop a locally-relevant set of 'best practice' examples and case studies and to build the capacity of potential entrepreneurs to realize the market potential of forest based resources	Dissemination and/or conduct of case studies to extract lessons from past experience in forest-based business development (regionally or nationally): <ul style="list-style-type: none"> <li>establishment of terms of reference and recruitment of consultant(s) in conjunction with many agency charged with business</li> </ul>

Target Groups	Strategic Objectives	Activities
	<p>and services</p> <p>To enhance the environmental sustainability of existing and prospective business ventures</p>	<p>development;</p> <ul style="list-style-type: none"> <li>• identify actual or potential forest resource-based entrepreneurs</li> <li>• conduct workshop for target groups on key issues relating to sustainable use of forest resources and entrepreneurial development.</li> <li>• document workshop in audiovisual and print media for future educational programmes.</li> </ul>



## APPENDIX 15 SAINT LUCIA – CAPACITY BUILDING STRATEGY UNDER THE NFPF PROJECT

Target Groups	Strategic Objectives	Activities
<b>All stakeholders</b>	<p>To formulate a national forest policy and a new forest management plan, in the broader context of environmental, social, agricultural and tourism development policy</p> <p>To mainstream forest management and development in national development processes</p> <p>To engage the media in debates and activities focusing on issues of forest management and development</p> <p>To integrate issues of forest management and participatory approaches into the school system and curricula</p>	<p>A national forest policy process, leading to the formulation of a national forest policy statement and a forest management plan, as well as a review of forestry legislation and other statements and instruments</p> <p>Review of the main national development policy instruments to integrate the dimension of forest management and development</p> <p>Field visits and meetings with media personnel to highlight and discuss forestry issues</p> <p>Dialogue with the Ministry of Education to develop collaboration programme</p>
<b>Public sector</b>		
Forestry Department	<p>To enhance the conceptual understanding as well as the practice of participatory forest management</p> <p>To further enhance the skills of Forestry Department staff and to build the commitment and capacity of new staff</p> <p>To develop a framework and a capacity for the design and establishment of collaborative management arrangements</p>	<p>A facilitated two-day seminar to extract and document lessons and methods learned from Saint Lucia's experience in participatory forest management at the community level, with a focus on policy implications and requirements, and on the pros and cons of various management regimes and partnership arrangements</p> <p>The provision of documents, training materials and other learning resources to the Forestry Department to ensure that its staff have access to current debates and up-to-date materials on participatory forest management</p> <p>A series of national workshops (senior forestry personnel and their main partners in government, civil society and the private sector), covering such topics as:</p> <ul style="list-style-type: none"> <li>o stakeholder identification and analysis</li> <li>o conflict management and negotiation</li> </ul>

Target Groups	Strategic Objectives	Activities
		<ul style="list-style-type: none"> <li>○ communication and stakeholder mobilisation</li> <li>○ facilitation</li> <li>○ advocacy and policy influencing</li> <li>○ participatory resource mapping</li> <li>○ community tourism and community management of tourism assets in forest areas</li> </ul> <p>Participation of staff members of the Department in regional training events focusing on relevant aspects of participatory forest management</p> <p>Participation of at least one senior officer in a regional or international training course on participatory and collaborative resource management</p> <p>Design and testing of a template for collaborative management agreements, and of a standard process for the negotiation of partnership and co-management agreements</p>
Ministry of Agriculture	To sensitise the Ministry on the importance and relevance of forestry issues and on the need for adequate resources to support participatory forest management	Involvement of the Ministry, at all levels, in the forest policy and management planning process described above Participation of selected Ministry staff in the series of training workshops mentioned above and below
Ministry of Social Transformation	To involve community development officers in forest management, and to provide them with the basic skills required to support such involvement	A one-day seminar for community development officers, extension personnel from the Ministry of Agriculture and representatives from national and local civil society organisations to illustrate their potential roles in forest management and development
<b>Civil society</b>		
Community organisations currently or potentially involved in forest management	<p>To sensitise these organisations to the importance of forestry issues and to the potential benefits they and their communities could gain from being more directly involved in the sector</p> <p>To strengthen the organisations and make them viable over the medium and long term</p>	<p>Provision of information and technical assistance to organisations to link them with possible sources of support</p> <p>Design and conduct of a training and capacity-building programme (including the provision of small grants) covering topics such as organisational management; nursery management and basic forestry skills; fundraising and proposal writing; advocacy, communication and networking; and organisational management</p>

Target Groups	Strategic Objectives	Activities
<b>Private sector</b>		
<p>All stakeholders</p> <p>Main water users in industry</p> <p>Farmers and farming communities</p> <p>Craft producers</p>	<p>To develop a locally-relevant set of examples and to build the capacity of private owners and entrepreneurs to realize the market potential of forest based resources and services</p> <p>To enhance the environmental sustainability of existing and prospective business ventures</p> <p>To build their awareness of the value of watershed services</p> <p>To build their awareness of the importance of the forest sector and of the opportunities for community participation</p> <p>To increase collaboration among craft producers and increase their ability to commercialise their products</p>	<p>Conduct of case studies to extract lessons from past experience in forest-based business development, private forestry, and public – private sector partnerships in forest management</p> <p>Communication activities (flyers, seminars, etc.) to disseminate key messages on the relationship between forests, water supply, costs of watershed services and sustainable economic activity</p> <p>Expansion of on-going environmental education and awareness programmes of the Forestry Department and the Ministry’s extension services</p> <p>Consultation with agencies to define a strategy to support craft producers</p>

## APPENDIX 16 ST VINCENT AND THE GRENADINES – CAPACITY BUILDING STRATEGY UNDER THE NFPF PROJECT

Target Groups	Strategic Objectives	Activities
<b>All stakeholders</b>	<p>To develop a national forest policy statement</p> <p>To use the process of policy formulation as a mechanism for awareness raising, mobilisation, community empowerment and networking</p> <p>To mainstream forest management and development in national development processes</p> <p>To engage the media in debates and activities focusing on issues of forest management and development</p> <p>To develop locally relevant experience in and an improved understanding of concepts, approaches and methods of participatory forest management</p>	<p>A national forest policy process, with the following steps:</p> <ul style="list-style-type: none"> <li>○ Development of terms of reference and recruitment of facilitator(s)</li> <li>○ Design of participatory process by Forestry Department, Ministry of Agriculture and facilitator(s)</li> <li>○ Implementation of the process</li> <li>○ Production and dissemination of the policy statement</li> <li>○ Implementation of the policy</li> </ul> <p>Review of the main national development policy instruments, including the PRSP and the Social Policy, to integrate the dimension of forest management and development</p> <p>Involvement of the media in the policy process mentioned above</p> <p>Field visits with media personnel to highlight and discuss forestry issues</p> <p>Conduct of case studies of selected experiences in participatory forest management</p> <p>Conduct of a series of short (2 hours maximum) seminars on key issues and lessons learned</p>
<b>Public sector</b>		
Forestry Department	<p>To equip forest officers with appropriate attitudes and adequate skills in participatory forest management</p> <p>To develop a framework and a capacity for the design and establishment of collaborative management arrangements</p>	<p>A series of national workshops to provide training in:</p> <ul style="list-style-type: none"> <li>● stakeholder identification and analysis</li> <li>● communication skills and stakeholder mobilisation</li> <li>● community profiling and rapid social assessment</li> <li>● conflict management</li> <li>● collaborative management and partnerships</li> </ul>

Target Groups	Strategic Objectives	Activities
		<p>Participation of staff members of the Department in regional training events focusing on relevant aspects of participatory forest management</p> <p>Participation of at least one senior officer in a regional or international training course on participatory and collaborative resource management</p> <p>Design and testing of a template for collaborative management agreements</p>
Ministry of Agriculture	To sensitise the Ministry on the importance and relevance of forestry issues and on the need for adequate resources to support participatory forest management	<p>Involvement of the Ministry, at all levels, in the forest policy process described above</p> <p>Participation of selected Ministry staff in the series of training workshops mentioned above</p>
Community Development Division	To involve development workers in forest management, and to provide them with the basic skills required to support such involvement	<p>A one-day seminar for all community development officers and representatives from civil society organisations (see below) to illustrate their potential roles in forest management and development</p> <p>Participation of selected community development officers and representatives from civil society organisations (see below) in the series of workshops mentioned above</p>
Public utility companies and other governmental agencies involved, directly or indirectly, in forest management	To involve these agencies and companies in forest management, and to provide them with the basic skills required to support such involvement	Participation of selected representatives from these agencies in the seminars and series of workshops mentioned above
<b>Civil society</b>		
Community organisations currently or potentially involved in forest management	<p>To develop collaboration and enhance networking among community-based organisations currently or potentially involved in forest management</p> <p>To strengthen the organisations and make them viable over the medium and long term</p>	<p>Design and implementation of a process aimed at developing an informal network among these organisations</p> <p>A series of workshops with interested organisations, focusing on priority aspects of</p>

Target Groups	Strategic Objectives	Activities
National non-governmental organisations with the potential to support local initiatives and involvement in forest management	To involve national non-governmental organisations in forest management, and to provide them with the basic skills required to support such involvement	<p>organisational development, including:</p> <ul style="list-style-type: none"> <li>○ organisational management</li> <li>○ proposal writing</li> <li>○ project management</li> <li>○ financial management</li> <li>○ communication, advocacy and networking</li> <li>○ nursery and watershed management</li> <li>○ identification and implementation of income-generating projects</li> </ul> <p>Provision of information and technical assistance to organisations to link them with possible sources of support</p> <p>A one-day seminar for representatives from civil society organisations and community development officers (see above) to illustrate their potential roles in forest management and development</p>
<b>Private sector</b>		
All stakeholders	<p>To develop a locally-relevant set of examples and to build the capacity of potential entrepreneurs to realize the market potential of forest based resources and services</p> <p>To enhance the environmental sustainability of existing and prospective business ventures</p>	<p>Conduct of case studies to extract lessons from past experience in forest-based business development</p> <p>Participatory formulation of a set of voluntary standards and guidelines for business operations in the two main industries, namely water bottling and ecotourism</p>

## APPENDIX 17 ST TRINIDAD AND TOBAGO – CAPACITY BUILDING STRATEGY UNDER THE NFPF PROJECT

Target Groups	Strategic Objectives	Activities
<b>All stakeholders</b>	<p>Identify and evaluate case studies of existing projects in PFM to assess impacts on forest management and on socio-economic development</p> <p>Raise awareness on initiatives in, models for, and benefits of PFM</p>	<p>Adapt/refine criteria to evaluate the impacts of participatory approaches on forest management and on socio-economic development</p> <p>Identify PFM case studies in T&amp;T</p> <p>Evaluate impacts of participatory approaches in case studies on forest management and on socio-economic development to identify policy and institutional lessons</p> <p>Disseminate results on models and lessons for PFM in T&amp;T</p> <p>Facilitate workshop on initiatives in PFM in T&amp;T</p> <p>Develop awareness materials on PFM and distribute to media and other key stakeholders</p>
<b>Decision-makers and senior technical staff in government, civil society and the private sector</b>	<p>Build shared vision and conceptual understanding of PFM</p> <p>Develop skills in facilitation of participatory management</p>	<p>Conduct a series of national workshops, covering such topics as:</p> <ul style="list-style-type: none"> <li>• stakeholder identification and analysis</li> <li>• conflict management and negotiation</li> <li>• communication and stakeholder mobilisation</li> <li>• facilitation</li> <li>• participatory resource mapping</li> <li>• community based tourism</li> <li>• participatory planning, monitoring and evaluation</li> <li>• PFM</li> </ul>
<b>Decision-makers and technical staff in forest and social development sectors</b>	<p>Facilitate communication and collaboration between the forest sector and the business development sector to identify, test and promote sustainable business opportunities</p> <p>Facilitate networking and development of joint programmes and projects with agencies involved in poverty reduction and social development and forest</p>	<p>Hold national seminar on opportunities in the forest sector for small business development to facilitate organisations sharing information on forest products (including NTFPs), potential market opportunities, technical assistance and financial support available, and existing initiatives</p> <p>Facilitate joint field visits of forest sector and agencies involved in poverty</p>

Target Groups	Strategic Objectives	Activities
	sector	alleviation and social development to cast studies of PFM projects and facilitate joint analysis of impacts to forest resources and livelihoods (using criteria suggested by CANARI and additional criteria recommended by participants)
<b>Forestry Division and DNRE</b>	Build a shared vision and conceptual understanding of PFM  Build skills and knowledge for the implementation of PFM	Facilitate a 4 day workshop for the Forestry Division and DNRE to: <ul style="list-style-type: none"> <li>• develop a shared vision and conceptual understanding of PFM</li> <li>• share results on models and lessons learnt from the evaluation of the impact of participatory approaches in T&amp;T case studies on forest management and on socio-economic development</li> <li>• develop strategic plans and mechanisms for implementation of PFM</li> </ul>
<b>Cabinet of Ministers, Secretaries in the Tobago House of Assembly (THA) and other senior policy makers</b>	Build recognition by decision-makers that forest resources are important in national socio-economic development	Develop awareness materials (policy briefs and audiovisual) on the principles and benefits of PFM Identify and use “champions” in Cabinet and Assembly to raise awareness of other policy-makers about PFM Facilitate field visits (with media invited) to case studies of PFM in T&T
<b>NGOs and CBOs</b>	Provide training and technical assistance in organisational development, proposal writing and fundraising and project management, and PFM	Conduct series of workshops in organisational development for NGOs and CBOs Provide technical assistance in organisational development and PFM Facilitate small grants assistance to NGOs and CBOs for PFM projects



# APPENDIX 18 REGIONAL NFPF STRATEGY

Caribbean Natural Resources Institute  
FAO – National Forest Programme Facility

Participatory Forest Management:  
Improving policy and institutional capacity for development

## Regional Capacity-Building Strategy and Work Programme (2006 – 2008)

### 1. Background and introduction

The Caribbean Natural Resources Institute (CANARI) is currently implementing a three-year regional project entitled “**Participatory Forest Management; Improving policy and institutional capacity for development**”. The project is being implemented in partnership with the forestry departments of the participating countries, with financial and technical support from the Food and Agriculture Organization of the United Nations (FAO) through its National Forest Programme Facility (NFPF). The project involves regional activities as well as national activities in Barbados, Commonwealth of Dominica, Grenada, Saint Christopher (St. Kitts) & Nevis, Saint Lucia, Saint Vincent & the Grenadines, and Trinidad & Tobago. Jamaica, which has its own NFPF project, will be invited to participate in and contribute to regional activities.

The overall goal of the project is to support the improvement of the socioeconomic and environmental benefits that can be derived from forest management by analysing, promoting and building capacity for participatory planning and management of forest resources at the regional, national and local levels.

The main project objectives, as defined in the original project document, are to:

- build the capacity of forest stakeholders for participatory policy analysis, policy formulation and forest management through effective training, technical assistance, and regional and cross-sectoral dialogue;
- improve the institutional frameworks for participatory forest policy analysis, policy formulation and forest management, and the integration of forest policy in national sustainable development strategies, through the promotion and dissemination of lessons learned and best practices, technical assistance and training;
- develop and transfer methods for sustainable management of forest resources.

Activities over the first year have focused primarily on four sets of activities:

- a review of the status of forest policy in all participating countries, which resulted in the production of seven country reports focusing on policy and institutional issues, with a focus on participation and linkages between forest management and rural livelihoods;
- the formulation of national strategies to build capacity for participatory forest management;
- the conduct of a regional training course on participatory forest management (Dominica, July 2006);
- the formulation of this regional strategy, with the identification of case studies and other activities for Years 2 and 3 relating to linkages between participation, improved livelihoods and improved management.

The present document describes the proposed approach for the implementation of a capacity-building strategy at the regional and national levels, and it outlines the activities to be conducted under the NFPF project over the next two years.

## **2. Summary of capacity needs**

General observations:

- while local situations differ between countries, the needs that have emerged from the national policy reviews and the national capacity-building strategies are strikingly similar;
- there is extensive experience in participatory forest management in the countries involved in this project, but that experience is diverse, and some countries have developed unique skills and lessons;
- this project therefore provides an opportunity to help all countries reach the same “level” by sharing their respective strengths and skills.

Main capacity needs:

- in all countries, there is a clear need for an improved policy environment and framework that would be characterised by:
  - an explicit statement of forest policy (vision, objectives, programmes and actions);
  - strong and functional linkages between forest policy and the other components of the national development policy framework, especially in relation to social development, poverty reduction, water management, rural development, and tourism;
  - the translation of forest policy statements into effective and efficient policy instruments (laws, regulations, guidelines, codes of conduct, standards, etc.);
  - an explicit inclusion of the principles, goals and tools of participation and devolution within policy statements and instruments;
- even where there is an explicit statement of forest policy (Grenada), there is a recognised need for an improved policy environment, and there is a feeling among forest stakeholders that the policy framework remains weak and incomplete;
- while the need for standards in forest-based business operations has been mentioned in only one instance (St. Vincent and the Grenadines), it is likely that this need exists in most countries, depending on the type of forest-based enterprises (e.g. ecotourism, water bottling, craft production);
- all country assessments have identified the need for improved skills in a number of areas, particularly:
  - stakeholder identification and analysis
  - communications (including facilitation, advocacy and policy influencing) and stakeholder mobilisation
  - community profiling and rapid social assessment
  - conflict management and negotiation
  - collaborative management and partnerships
  - participatory resource mapping
  - community-based tourism
- these skills are needed by senior forest managers, but also by other members of the staff of forest management and other public sector agencies, and by their partners in civil society and the private sector

- in addition to these skills, the organisations involved in forest management also need improved internal management structures, and additional human, financial and technical resources
- community-based organisations involved in forest management have specific training needs in organisational development, networking, fundraising, nursery and watershed management, and identification and implementation of income-generating projects
- a number of interesting themes have emerged in the design of these national strategies, which offer opportunities for further exploration as part of this NFPF project. These themes include:
  - criteria for the selection of suitable regimes for participatory management
  - criteria for the assessment of the impacts of participatory approaches
  - methods for the design of effective participatory research
  - design and negotiation of co-management arrangements
  - strategies and opportunities for community tourism based on the use of forest resources
  - identification and promotion of forest-based business opportunities
  - the role of public awareness in building effective forest management for environmental sustainability, poverty reduction and socio-economic development

### **3. Strategy**

The strategy recognises that the FAO-CANARI NFPF project does not have the mandate or the resources to meet all the needs that have been identified. The implementation of the strategy will therefore require action at four levels:

- activities and processes to be supported directly through the NFPF (as proposed in this document);
- sharing of information and recommendations with other training institutions, especially ECIAF and UWI;
- communication and collaboration with participating countries to advocate for the implementation of complementary activities (as described in the individual country strategies);
- communication and collaboration with development partners and other regional entities to advocate for the design and implementation of regional support programmes and for the provision of funding towards the complementary activities to be implemented by the countries.

Within the limit of time and resources available over the next two years, the NFPF project will employ the following strategies:

- focus activities on a limited number of interventions or types of interventions;
- use the experience of individual countries, whenever possible, as the basis for documentation, learning and dissemination of that learning;
- use case studies and small grants to build on existing experience, test new approaches and methods, and disseminate learning.

### **4. Recommendations for the NFPF**

In light of the strategy outlined above, it is proposed that the NFPF project be implemented in the following manner.

### Supporting policy development:

- Start with a review (case study) of the policy process used in Grenada, its impacts, benefits and weaknesses, and the lessons learned from implementation to date
- Involve senior policy makers and forest managers of other countries in selected stages of the Grenada review process, and give them the opportunity to observe and learn from other policy processes that may be initiated during the course of the year (Saint Lucia and Trinidad and Tobago)
- Using the Grenada and Jamaica processes as examples, provide technical assistance to other countries (particularly Dominica, Saint Lucia, St. Vincent and the Grenadines and Trinidad and Tobago) in the design of national policy processes tailored to local needs and conditions (with attention given to fundraising, as this NFPF project does not have the financial resources that would be required to support the implementation of these processes)
- Provide technical assistance to Barbados and St. Kitts and Nevis towards the recognition and integration of forestry issues in national land and land use policies
- Liaise and communicate with development partners to encourage them to support national forest policy initiatives

### Testing and documenting new approaches and lessons

- Design and implement local action learning projects (years 2 and 3) focusing on priority themes of interest to all countries, but implemented in participating countries where there is specific experience and expertise (and in response to explicit expressions of interest within the countries involved):
  - strengthening civil society organisations (including community-based organisations and national non-governmental organisations), with possible locations including St. Vincent and the Grenadines and Trinidad and Tobago
  - designing participatory institutional arrangements, selecting suitable management regimes, and developing and implementing management agreements involving state agencies, the private sector and community organisations (with the possibility of undertaking this in Saint Lucia)
  - developing and sustaining forest-based businesses (all Windward islands, especially Dominica, appear suitable for such work)
  - community management of tourism resources (possible locations include Dominica, Saint Lucia and Trinidad and Tobago)
- Provide small grant support to new initiatives that are consistent with the themes and priorities identified in this strategy (year 3)

### Providing training while building local training capacity

- Identify a cadre of people who have the potential to play a lead role in providing training in various aspects of participatory forest management at national and regional levels (year 2, months 1 – 3)
- Design and conduct a regional training-of-trainers workshop, focusing on stakeholder analysis, communication skills, and conflict management (year 2, month 4 or 5, with counterpart funding and self-financed participants)
- Design and conduct national training programmes (to be refined and completed at Dominica workshop), with a small number of selected participants from other countries. Activities could include:
  - introductory course in participatory forest management and organisational strengthening for foresters and main partners in Barbados, Dominica, and St. Kitts and Nevis

- workshop on participatory planning, monitoring and evaluation in Trinidad and Tobago
- Design and conduct a regional training workshop focusing on the relationship between forest management and sustainable livelihoods, building on the results of the local action learning projects
- Disseminate further the learning from the local action learning projects through:
  - written case studies
  - short national seminars

Documenting, sharing and disseminating lessons learned and directions for the future

- Prepare an end-of-project update on: (a) the contribution of forests to sustainable livelihoods, and (b) the status of participatory forest management in the seven participating countries
- Convene a regional conference to present and discuss learning from research and evaluate the impact of the programme

5. Work plan

<b>Activity</b>	<b>Timing</b>	<b>Lead roles</b>	<b>Partners</b>	<b>Roles and responsibilities</b>
Activity 1 – Review of the policy process used in Grenada, its impacts, and the factors that have constrained or facilitated its implementation (with the participation of other forestry departments)	Year 2	CANARI	Grenada Forestry and National Parks Department (GFNPD) Governmental, civil society and private sector partners in Grenada Forestry departments from other participating countries	<p>CANARI:</p> <ul style="list-style-type: none"> <li>○ conduct background study of the policy process</li> <li>○ convene two-day seminar to review process and identify lessons learned</li> <li>○ invite forestry departments from the region to attend seminar</li> <li>○ publish and disseminate results</li> </ul> <p>GFNPD:</p> <ul style="list-style-type: none"> <li>○ provide information and mobilise local partners to assist in background study</li> <li>○ organise seminar</li> </ul> <p>Other forestry departments</p> <ul style="list-style-type: none"> <li>○ participate in seminar and identify implications for their own national policy processes</li> </ul>
Activity 2 – Provision of technical assistance to participating countries in the design of national policy processes, including communication with development partners and funding agencies	Year 2	CANARI	Forestry Departments FAO Regional Office in Barbados	<p>CANARI:</p> <ul style="list-style-type: none"> <li>○ provide consulting services and information on the design of policy process</li> <li>○ convene and co-host a meeting of development partners</li> </ul> <p>FAO:</p> <ul style="list-style-type: none"> <li>○ convene and co-host a meeting of development partners</li> <li>○ provide information and guidance to forestry departments in their search for technical and financial support</li> </ul>
Activity 3 – Local action learning	Years 2 and	CANARI	Forestry Departments,	<p>CANARI:</p> <ul style="list-style-type: none"> <li>○ identify suitable local action learning projects</li> </ul>

<b>Activity</b>	<b>Timing</b>	<b>Lead roles</b>	<b>Partners</b>	<b>Roles and responsibilities</b>
projects (x4)	3		civil society organisations and private sector in sites and countries where projects will be implemented	<ul style="list-style-type: none"> <li>○ collaborate with local partners in designing projects</li> <li>○ seek and assess proposals for the conduct of the projects</li> <li>○ supervise and assist project implementation</li> <li>○ document learning</li> </ul> Local project partners <ul style="list-style-type: none"> <li>○ design and implementation of projects</li> </ul>
Activity 4 – Conduct of training-of-trainers workshop	Year 2	CANARI	Selected resource people in forestry departments, civil society organisations and training institutions, including ECIAF and the University of Guyana	CANARI: <ul style="list-style-type: none"> <li>○ identify cadre of people with potential to become trainers and facilitators at national and regional levels</li> <li>○ design and conduct regional training-of-trainers workshop</li> <li>○ produce manual for trainers and disseminate via regional training organisations (e.g. ECIAF, University of Guyana) and through future CANARI training workshop.s</li> </ul> Other partners: <ul style="list-style-type: none"> <li>○ assist in the identification of people with potential to become trainers and facilitators at national and regional levels</li> <li>○ assist in the dissemination and use of the manual for trainers that will be developed in this activity</li> </ul>
Activity 5 – First round of national training activities (x3)	Year 2	CANARI	Forestry departments in Barbados, Dominica and St. Kitts and Nevis	CANARI: <ul style="list-style-type: none"> <li>○ design and conduct national introductory courses on participatory forest management in Barbados, Dominica and St. Kitts and Nevis</li> </ul> Forestry departments: <ul style="list-style-type: none"> <li>○ co-host and organise courses, and recruit and mobilise participants</li> </ul>
Activity 6 – Second round of national training	Year 3	CANARI	Forestry departments and other local	CANARI: <ul style="list-style-type: none"> <li>○ collaborate with forestry departments in final selection of topics and design of national training courses</li> </ul>

<b>Activity</b>	<b>Timing</b>	<b>Lead roles</b>	<b>Partners</b>	<b>Roles and responsibilities</b>
activities (x4)			partners	<ul style="list-style-type: none"> <li>○ seek proposals from local agencies to conduct training, and supervise delivery of training activities</li> </ul> Forestry departments: <ul style="list-style-type: none"> <li>○ select topics and assist with design of courses</li> <li>○ recruit and mobilise participants</li> </ul>
Activity 7 – Small grants scheme for civil society partners aimed at sustaining programme impacts (x7)	Year 3	CANARI	Civil society organisations	CANARI: <ul style="list-style-type: none"> <li>○ administer and manage small grants scheme</li> <li>○ selection of suitable candidates</li> <li>○ documentation of projects, analysis of lessons learned, and integration of this learning into final analysis and documentation of the overall project</li> </ul> Civil society partners: <ul style="list-style-type: none"> <li>○ develop and submit project proposals to small grant scheme</li> <li>○ implement projects funded under small grants</li> </ul>
Activity 8 – Final regional conference to present learning from research and evaluate the impact of the programme	Year 3	CANARI	Forestry Civil society Organisations	CANARI: <ul style="list-style-type: none"> <li>○ coordinate and execute conference</li> <li>○ compile and present overall regional research results and evaluation, regional policy implications, identify regional needs</li> </ul> Forestry departments, civil society and private sector partners: <ul style="list-style-type: none"> <li>○ assist in analysis of research results</li> <li>○ participate in conference</li> <li>○ make commitment to assist in dissemination of findings and lessons learned</li> </ul>