Community forestry in the Caribbean

A regional synthesis

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The Caribbean Natural Resources Institute (CANARI)

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1 INTRODUCTION

1.1 Purpose and genesis of project and report

The Food and Agriculture Organisation of the United Nations (FAO) with funding from the National Forest Programme (NFP) Facility is supporting a regional knowledge-sharing initiative on community forestry practices in the Caribbean implemented by the Caribbean Subgroup of the Latin American and Caribbean Forestry Commission. The Caribbean Natural Resources Institute (CANARI) was contracted to facilitate this initiative. The main elements of the initiative are:

1. the mentoring of locally-based authors of case studies
2. the preparation of these case studies in fourteen countries, including English, French and Spanish speaking islands, as well as three continental countries,
3. the organisation of a regional knowledge-sharing workshop, held in Jamaica on 23-24 November 2011, and,
4. the publication of this regional synthesis on community forestry in the Caribbean.

Table 1 Brief description of the fourteen cases

Name of country and case study	Case study description
Trinidad and Tobago National Reforestation and Watershed Rehabilitation Programme: Grand Riviere Tourism Development Organization	Community-based organization conducts watershed rehabilitation (reforestation, protection and trails development) under nationally funded programme.
Dominica Dominica Essential Oils and Spice Cooperative	Founded 1964, Cooperative produces and exports bay oil, generating significant income and charitable support for its members.
Jamaica Buff Bay Local Forest Management Committee	Stakeholder group, set up by the Forestry Department under a national programme, plays critical role in forest management and education in local watershed.
Saint Vincent and the Grenadines Zion Hill Productive Incorporated	Forestry Department provides access to land, funds, training and supervision for marking and harvesting trees and preparation and sale of charcoal.
Grenada Clozier Youth Farmers Cooperative Society	Organisation develops capacity of young farmers for mutual aid and co-op management; provides training, inputs and marketing assistance for agriculture and agroforestry.
Saint Lucia *Latanyé* Broom Producers	*Latanyé* Task Force builds capacity of Producers in sustainable production of plantation-grown *Latanyé* palm through training, nursery establishment and sales.

Name of country and case study	Case study description
Antigua and Barbuda Body Ponds Watershed Rehabilitation Project	Donor and NGO support formed local group to take on watershed rehabilitation: trainings, proposed ecotourism development, tree-planting and fire protection.
St. Kitts and Nevis Peak Heaven resort	Private family based ecotourism venture provides jobs and supports community farm.
Cuba Integrated Forest Farms: The Case Of "La Aurora"	Farm manager operates on leased state lands, manages timber plantation. Government provides salary, house, equipment and seedlings along with right to sell fruit and crops and receive percentage of sale of timber.
Dominican Republic Federation of Producers of the Southern Dry Forest (FEPROBOSUR**)**	Producer association forms network of partnerships to facilitate direct marketing of the products of the dry forest, primarily charcoal
Haiti Reforestation at Chaudry (ALINA)	Local organisation protects and reforests indigenous pine; supports establishment of woodlots on family land.
Guyana Ituni Loggers Association	Local loggers association operated under Timber Sales Agreement, dissolved to form individual agreements now operating successfully and controlling illegal logging.
Belize 3 community-based timber operations	Community-based timber operations implement sustainable timber harvesting on state and indigenous lands under approved forest management plans.
Suriname Pokigron community	Community-based organisation has community timber concession, looking for operating finance and/or partner; local government operates communal wood cutting license; women marketing NTFPs.

1.2   Objectives and outline of report

The objectives of this report are to synthesize lessons learned from the fourteen cases and the workshop in order to determine how best to increase the beneficial impact of community forestry in part by scaling it up from a series of projects to the programmatic level. The context and frame for this effort are provided by the following general findings:

- Community forestry in the Caribbean is very diverse with respect to its key characteristics, the types of organisations and partnerships that are involved, and the forms of participation that occur within and among these proponents.
- Community forestry in the Caribbean is vital and produces a wide range of benefits to local communities and beyond.

- A number of common factors supporting the success of community forestry initiatives can be identified.
- Yet, these initiatives could achieve greater impact and produce greater social and environmental benefits were it not for an array of obstacles.
- Stakeholders and analysts involved in this knowledge exchange have been able to generate a series of recommendations on how to address these obstacles and enhance the benefits of community forestry in the region.

The report is organised in a manner that documents these findings successively: key characteristics, livelihood benefits, success factors, obstacles, and recommendations.

1.3   Methods, data, scope, limitations

The case study method was selected for this study for a number of reasons, the most important being twofold:

1) Efficient and robust data collection: This approach allowed for the close collaboration of fourteen in-country community forestry partners or expert consultants. They collected in-depth field data and contributed their grounded perspective to the comparative regional analysis.

2) Capacity-building: The mentoring of the authors in developing the case study and the interaction of authors, consultants, government officials and Jamaican community forestry practitioners at the regional workshop contributed to developing the capacities of all involved.

Particularly in the absence of an exhaustive regional survey of community forestry initiatives, the case study approach provides a rich empirical foundation for the report's conclusions. However, it must be kept in mind that the selection of the case studies is not representative. First of all there are just not enough similar cases of community forestry initiatives around to select a representative sample. Second, the nomination process started with the request to the national forest authorities to nominate suitable cases.

Each country was given the opportunity to present one case. The final selection of the case studies per country was the result of a discussion process among the national forest authorities, FAO – Sub Regional office for the Caribbean and CANARI. The aim was to capture a wide geographical range and a variety of different community forestry initiatives in the Caribbean. Hence, all the generalisations, and in particular the numerical results, apply in a strict sense only to this set of cases, not to community forestry as a whole across the Caribbean. Nonetheless, each case study author and workshop participant was able to comment on how their community forestry cases compare to others nationally and also to address how they relate to bureaucratic and policy issues that are national in scope. The following findings and recommendations can therefore be applied with confidence by policymakers and practitioners to support community forestry and enhance its benefits in the region.

Providing living colour and supporting evidence for this regional analysis, summaries of the original case studies are attached as appendices below.

2   KEY CHARACTERISTICS OF THE INITIATIVES

Table 2 below lays out the general features of the fourteen community forestry cases studied, displaying their chief aims and activities alongside key features of their environmental and institutional setting.

2.1   Goals and activities

All of the community forestry initiatives in the study aim to achieve multiple, complementary objectives. In descending order of prominence, their primary goals are: watershed rehabilitation, sustainable forest management for timber production, sustainable agriculture/agroforestry, ecotourism, non-timber forest product marketing, and plantation timber production. Most of the cases included one or more of the above as secondary or co-equal aims.

Livelihood improvement and capacity-building appear to be universal objectives of community forestry in the Caribbean based on their inclusion as secondary objectives in 100% of our sample.

2.2   Location

2.2.1   Forest types and settlement patterns

The ecological and demographic settings vary from remote rainforest communities in the three continental cases to relatively higher-density rural locales situated in the dry forest. In ten out of the fourteen cases the forest has been significantly disturbed by agriculture and settlement.

Table 2 Comparison of Caribbean CBF cases: key characteristics

	Bel	Sur	Guy	TT	Jam	Ant	Hai	Gre	Nev¹	St L	Dom	SVG	DR	Cub	TOT
Chief Goal/Activity: SFM-Timber	X	x	x												3
Watershed rehabilitation/protection				x	x	x	x					x	x	x	7
Sustainable Ag/AF + income								x	x						2
Ecotourism									x						1
Improved NTFP product/marketing										x	x	x	x		4
Plantation timber														x	1
Additional Goals/activities: Improved livelihoods	X	x	x	x	x	[x]	x	x	x	x	x	x	x	x	14
Capacity-building, training	X	x	x	x	x	x	x	x	x	x	x	x	x	x	14
Sustainable Ag/AF + income					x	x	x								3
Improved NTFP product/marketing	X	x	x		x										4
Ecotourism				x	(x)	x									3

¹ The Nevis case devolved into 2 initiatives: 1) private ecotourism, 2) community ginger farm.

	Bel	Sur	Guy	TT	Jam	Ant	Hai	Gre	Nev¹	St L	Dom	SVG	DR	Cub	TOT
Forest/Land-use: Extensive rainforest	X	x	x	(x)											3 (4)
Wet & low disturbance, or, Moderate rainfall or Dry forest degraded by ag + settlement				W	W	W	M	W	W	M	W	D	D	M	
Relative Pop Density (all rural)	Lo	Lo	Lo	M	M	M	M	M	M	M	M	M	Hi	Hi	9 M
Land ownership: Public	X	x	x	x	x	x	x	x	x	x	x	x	x	x	13
Private (no title, but claimed by families)				(x)	(x)	(x)	(x)	(x)	(x)	x	x	(x)	x		10
When was initiative begun: Old (1964), M '90-'05, New (post 06)	new	M	M	M	M	new	M	new	new	M	Old	new	M	M	8 M
Scale: Small: 1 farm/family or 1 cty, Med: multiple cty, Large (>2000 ha)	Lg	Lg	Lg	M	M	Lg	M	S	S	M	M	S	S/L	S/L	

2.2.2 Sociological setting: land tenure and livelihoods

In common with other community forestry initiatives in the Caribbean and much of the world, all of the projects in our study are located on public lands. In Belize and Suriname, indigenous and settler (Maroon) claims vie for a degree of autonomy or management control for portions of the forest estate. In Cuba, the farm managers of Integrated Forest Farms hold contracts with the state. In the Dominican Republic, St. Lucia and Dominica there are privately titled parcels within the project area. Everywhere else, community forestry activities are situated in public space, portions of which are also subject to informal, private claims, as with family gardens or homesteads in Haiti where the project is helping to establish woodlots. Access to public land can pose a challenge to community forestry endeavours. In St. Lucia, for example, despite a longstanding promise, the state has so far failed to identify a ten-acre plot for Latanyé palm cultivation.

Another important variable among the cases is the degree to which local communities are dependent on forest or land-based resources. At one end of the spectrum the livelihoods of the indigenous communities in Belize are almost entirely based on forest farming ('slash and burn') and the use of forest products. They would like the opportunity to diversify into timber production. By contrast, in the Antiguan example, the "majority of residents in the [project area] work in fields not directly connected to the watershed such as the service sector." In other cases, such as Haiti, Grenada, Cuba, St. Lucia and St. Vincent, project participants make their primary living from the land as farmers, but see agroforestry, timber, or non-timber products (e.g., charcoal, brooms) as opportunities to make supplementary income.

2.2.3 Scale

The land base of the community forestry initiatives also varies widely. Five operate at a very local scale, either exclusively or as part of a larger programme. Four operate on a very large scale, with projects occupying 2,000 to 50,000 hectares.

2.2.4 Maturity

Another key distinction among the case studies is the date of establishment and consequently the level of maturation of the initiatives. The cooperative in Dominica, established in 1964, stands out from a cluster of cases that began developing in the '90s and another set (4) of brand new ones that are only one to five years old.

2.3 Institutional arrangement: CBO and partnership

Table 3 depicts the creative variation in institutional arrangements among the community forestry initiatives studied. Notably, the chief proponent in nine cases is a community-based organisation that was formed specifically for the purpose of implementing this particular community forestry initiative. The Dominican Republic a federation of CBOs provides a tenth example of a purpose-built organisation as the lead. In Suriname, the community is represented by local government; the communities in Trinidad, Antigua, and Haiti are served by pre-established NGOs. In the case of Cuba and the Nevis ecotourism initiative[2], an individual family is the local proponent and, while the community benefits, it is not represented as a partner.

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[2] The Nevis case devolved into 2 initiatives: 1) a private ecotourism venture, 2) a community ginger farm. Where their characteristics diverge, they are tallied separately in the tables (making a total of 15 cases).

Table 3 Comparison of Caribbean CBF cases: organisation and participation

	Bel	Sur	Guy	TT	Jam	Ant	Hai	Gre	Nev	StL	Dom	SVG	DR	Cub	TOT
Community organisation: CBO started for initiative	x	x	x		x	x		x	x	x		x	(Fed)		10
Cty-based enterprise involved *(incl. producer association (x), coop, federation, 1 farm & 1 family-based)*	x		x					coop	2: 1 cty + 1 family	x	coop	x	x + Fed	farm	9
Partnership: CBO + 'NGO' + Govt agency/s	x	x				x		x	(ginger)	x			x		7
CBO-NGO/family+ Govt agency/s No intermediary organisation			x	x	x		X		(tourism)		x	x		x	8
Gov't-funded *(regional or)* national programme				x	x								*region*	x	3(4)
Participation: Bass Scale[3]	5-6	5-6	[5-6]	4-5	4-7	5-6	[4]	[4-5]	4-7	6	4-7	4-5	[4-6]	[4]	

[3] Bass, S. et al (1995). Participation in Strategies for Sustainable Development. Environmental Planning Issues No.7. IIED. Where case study author did not assign a value, this author has put an interpretation in [ ].

	Bel	Sur	Guy	TT	Jam	Ant	Hai	Gre	Nev	StL	Dom	SVG	DR	Cub	TOT
Gov't = ultimate decision-maker	x	x	x	x	x	x	(x)	x	(x)	x		x	x	x	11/ 13
NGO/CBO = advocate	x			x	x										3
CBO helps gov't w/ enforcement			x	x	x	x	X					x	x	(x)	8
Women's participation	low	hi	hi	hi	hi			low					hi		

Nine of the initiatives involved a community-based enterprise are engaged in (or are in the process of establishing) forest or agroforest-based commercial activity. The varied form of the enterprises comprises individual farm and family-based operations (2), producer associations (5), and cooperatives (2).

One hundred percent of our sample confirms that governmental partners are a consistent feature of community forestry in the Caribbean. That role may be in a dominant or defining position, as in the four cases which are part of national or regional governmental programmes and are largely or exclusively funded by them. Or, the initiative may also be supported by an NGO that acts as an intermediary with the government, as in a majority of the cases (8).

Donors also have a role to play in almost all the cases. The exceptions are enterprises almost exclusively supported by their own revenues (Dominica, Nevis ecotourism) or supported by state and supplemented by their own outputs (Cuba).

2.4   Participation

The Bass participation scale[4] provides one way of categorizing the level of participation that the community partner exercises in relationship with the governmental agency(s) involved. The subjective assessment of the case study authors (where provided) supplemented by this author (where not) placed four of the community forestry partnerships in the highest participation 'interactive' to self-mobilisation' levels; four others were assigned a split score (varying for different components) that ranged up to the same top two levels. None of the initiatives fell below the level of 'participation for material incentives'.

In Jamaica, Trinidad and Belize the NGO partner acts as an active advocate of the community. While in the latter two countries advocacy is needed to push a resistant or sluggish government, in Jamaica the Local Forest Management Committee (LFMC) is pushing the envelope by urging a quite responsive government to devolve higher levels of authority. Rather than merely implementing a government programme, these communities are demanding progressive changes in policies and practices. As a Jamaican official explained during the regional workshop,

> *It's not just the Forest Department pushing, but the LFMCs pulling along the Forest Department.*

In all cases, however, as the landowning party with a monopoly on the legitimate use of force, the state has the ultimate decision-making authority[5]. In most cases, that power may not come into play, and well-functioning community forestry initiatives may have little contact with government beyond routine requirements and occasional technical support. However, the case of the most long-standing community-based enterprise, the Dominica Essential Oils and Spices Cooperative Society, demonstrates how community partners may run up against the coercive power of the state. Although not mentioned in the

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[4] Bass, S. et al (1995). Participation in Strategies for Sustainable Development. Environmental Planning Issues No.7. IIED.

[5] A workshop participant from Suriname took issue with this analysis, arguing that "every decision we have to do together with the community." It was acknowledged, however, that the community required permission, such as a cutting license, in order to operate on their traditional lands. These lands still fall under national ownership and control. Thus far, Maroon and indigenous demands for local autonomy have not been realized.

case study, the forestry official representing Dominica at the regional workshop explained how the government is trying to evict coop members with bay trees that encroach on a national park. Yet, mindful of "politics," the Forest Department has yet to move on eviction. Participation may mask conflict.

While the government may retain formal legitimacy, in the case of some of the weaker island states, it may not be able, or willing, to exercise that authority in the face of community resistance. In the case of Nevis, the community forestry proponent is an individual family, lacking formal title for the land on which its ecotourism enterprise is located. The family has refused to provide documentation or cooperate with government officials in any way.

With respect to the internal level of participation within the community-based organisations (CBOs) themselves, information is less available. In the Nevis example, the lead family has fallen out with the original community partners, leading to the splitting off of the family-based ecotourism operation -- and a lawsuit. Other initiatives appear to be models of democracy, with CBOs run by elected boards or general memberships. For example, the case from the Dominican Republic:

> The social dynamics generated by the project have been highly participatory. The producers (who mostly belong to the poorest strata and socially marginalized) are organized in associations affiliated with a federal structure, directly managed by its members to facilitate their representation and channel the economic interests of its members.

In a number of cases participation tends to be uneven -- an observation common in the international literature on community forestry that. An illustration from Belize:

> Of note is that in all three communities, the membership in the forest enterprises comprises a few community members, not all. Others may lack interest or find the opportunity costs of participation to be too high... To date there are no women in any of the groups, which may be due primarily to their cultural roles in these communities.

On the specific issue of women's participation, only Grenada also found low levels, whereas five countries remarked on high levels. A Jamaican official at the workshop found women's role to be pivotal, remarking, "The organisation took off when the women got involved."

3   LIVELIHOOD BENEFITS AND IMPACT

Community-based forest management is seen as a mechanism to improve forest management while building the asset base of local communities as part of a strategy to promote sustainable livelihoods and reduce poverty (Jamaica).

Drawing on the *Livelihood Asset Framework*[6] as an analytical guide, the case study authors found that community forestry produced the gamut of livelihood benefits, as presented in Table 4.

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[6]Department for International Development (DFID). 1999. Sustainable livelihoods

guidance sheets. DFID, London. [online], available at: http://www.eldis.org/vfile/upload/1/document/0901/section2.pdf
[Accessed February 2012]

Table 4 Comparison of Caribbean CBF cases: livelihood benefits

	Bel	Sur	Guy	Tri	Jam	Ant	Hai	Gre	Nev	St L	Dom	St V	DR	Cub	Total
Human Skills, knowledge, capacity	x	x	x	x	x	x	x	x	x	x	x	x	x	x	14
Environmental awareness, educ.	x	x		x	x	x	x					x	x	x	9
Social: strengthened org. capacity; empowerment	[x]	[x]	x	x	x	x		[x]		x	x	[x]	x		7-11
Strengthened relations, networks	x			x	x	x							x		5
Social welfare/ disaster prep.				x	x						x		x		4
Conflict resolution			x		x										2
Financial: increased income	(x)		x	x		(x)	(x)	x	x	x	x	x	x	x	12
Multiplier effect (local shops+)	x		x	x				x	x	x					6
Jobs (indirect &/or direct) hire			x	x	x		x				x		x	x	7
CBO raises additional grant funds				x	x	(x)									3
Physical:			x	x	x				x	x	x	x	x		8

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	Bel	Sur	Guy	Tri	Jam	Ant	Hai	Gre	Nev	St L	Dom	St V	DR	Cub	Total
Natural: improved forest/land access, tenure	x	x		x	x	x		x				x	x		8
Forest protection (fires, unsustainable logging, squatting)	x	x	x	x	x	x	x					x		x	9
Watershed rehabilitation, reforestation				x	x	x	x						x	x	6
Political: organisation(s) represent cty interests	x			[x]	x	x	[x]				x		x		7
Improved gov't - cty relations/ communication	x		x		x							x			4
Change gov't policy/practice				x	x										2

3.1.1   Human

Every community forestry initiative studied was found to deliver benefits in increased skills and knowledge, i.e., in human capital. The majority (9) also specifically claimed improved environmental awareness and education as a positive outcome.

3.1.2   Social

Strengthened organizational capacity was also listed as an important benefit by the majority of the case study set. Strengthened social relations and networks extending beyond the community were noted as beneficial assets in several cases. For example, the Buff Bay LFMC (BBLFMC) has developed such a high level of capacity and taken on such an effective community organising role that it is now serving as the "main (*de facto*) umbrella organisation" for the whole valley in which it is situated.

Several authors described the community forestry initiatives as providing "social safety net" services that are typically the province of the state or cultural institutions. For example, Jamaican farmers see fruit and timber trees as part of a long term investment strategy; the Dominican cooperative runs an Education Fund and an Old Age and Disabilities Fund to spread risk and benefit across the community.

3.1.3   Physical

Most of the initiatives are also credited with building up infrastructural community assets, such as improved roads and trails, and in a few cases, capital equipment, e.g., a hybrid solar wind electric system in St. Lucia.

3.1.4   Financial

While twelve out of fourteen case studies pointed to "increased income" for some community members as an impact, 50% mentioned job creation, and 6 proposed a "multiplier effect" benefitting the local economy, none was able to provide a basis for quantifying these effects and comparing them with inputs to reach conclusions regarding their sustainability[7]. However, given its demonstrated social and ecological benefits, community forestry as a development strategy may justify an on-going subsidy from the state and/or through external loans or grants. Community forestry initiatives have demonstrated success in gaining access to resources by acting collectively and leveraging technical assistance and funding from NGOs and donors, including from sources not accessible by government agencies.

3.1.5   Natural

Many (8) of the cases cite forest protection – from fire, unsustainable or illegal logging, and 'squatting.' Several (6) point to successful reforestation and/or watershed rehabilitation efforts. In the D.R., the success of the charcoal marketing federation, supported by the issuance of provisional collective tenure, encouraged farmers to respect ecological measures (such as slope protection) and thereby enable "rural landscape-scale management."

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[7] This difficulty perplexes studies of community forestry internationally.

Natural resources become community assets only when community members have access to them. Eight of the initiatives have brought about improved forestland access and tenure. In some cases this entails improved physical access, e.g., roads and trails connecting isolated forest claims in Trinidad. Where land tenure and resource (timber) access are very much political issues (see next section), community forestry partnerships have helped bring about greater access and tenurial security, most significantly in all three continental countries (Belize, Guyana and Suriname).

3.1.6   Political

Key political benefits include improved relations and communication between communities and government agencies. Half the cases mention the advantage of having new organisations, located both within the community (CBOs) and within new and expanded networks (NGOs) that can represent and advocate for community interests. For example, the two NGOs working with the Mayan communities featured in the Belize case, have actively lobbied for the implementation of the communal land rights promised them in the Constitution as reinforced in recent Supreme Court rulings.

Only in Jamaica and Trinidad do state policies actually seem to have been modified by virtue of the efforts of community forestry initiatives. In Trinidad, a locally based NGO was able to negotiate with the National Reforestation and Watershed Rehabilitation Programme to be "allowed to deviate from the mandate of the programme" by allowing for the planting of native species, a reduced planting target and the introduction of a trails management (ecotourism) component.

In Jamaica, the BBLFMC is credited with successful "assertion of power to demand rights to services" across the government and "influence on Forest Department decision-making" to the extent that the close cooperation and consultation between the Department and community partners (LFMCs) is "no longer considered a new way of working, but rather a part of how the FD operates."

Nonetheless, even in Jamaica, there are limits to the degree to which power has been shared:

> although decision making has been broadened to include the perspectives of community members, it has not been decentralised as final decision making power is retained by the FD.

This case illustrates the situations in which,

> varying degrees of participation coexist… The predominant form … is functional participation... The LFMCs do not participate in management decision-making, which is retained by the FD, although they do inform it. Like other LFMCs, the Buff Bay group establishes its priorities and develops local plans of action, within the parameters set by the FD, which the LFMCs have played no part in developing. The management structure defined by the Forest Act (1996) is a centralised one, albeit one that allows for community input …There are also elements of interactive participation and self-mobilisation…where it sets its own agenda within the wider livelihoods framework.

3.1.7   Inclusion/exclusion

According to the case study authors, the community forestry initiatives featured do not exclude any sector of the community that chooses to participate from the benefits received from community forestry. Moreover, some indirect environmental and social benefits reach the wider community. In Trinidad, specific reference

was made to "empowered marginalized community members, e.g., women are employed in areas that were once traditionally dominated by men."

The *costs* to individuals of participation in community forestry are an understudied angle. Mentioned as a barrier to participation in Belize, the opportunity cost of engagement has to be weighed against benefits for those that do participate. This factor was mentioned only in the Trinidad case, with respect to the opportunity cost of foregoing illegal activities (e.g., ganga cultivation) and a reduction in forest farming due to the seasonal demands of tourism.

4   LESSONS LEARNED

The collective lessons learned regarding the factors that support the success of community forestry initiatives, the obstacles that impede success, and recommendations for successful community forestry practices and policies are listed in *Table 5*. Clearly, these categories are interrelated with factors for success corresponding both to the obstacles to be overcome and to recommendations for how to maximize chances of success in other community forestry efforts.

4.1   Success factors

- **Capacity-building; organizational and technical assistance** to CBOs by state and NGOs

This 'success factor,' topping the list, was emphasized in 100% of the case studies. "Effective local organisations are needed for robust community forestry" (Jamaica) and these require sustained, external support. This support is not a substitute for local action, but builds up the capacity for the community partner to take increasing responsibility, as illustrated by the efforts of the Suriname Forestry Service to

> provide the community with the capacity to *maintain control over the forest resource…* by assisting with the preparation of a forest management plan for commercial exploitation and an investment plan to establish a small scale logging and wood processing unit (*emphasis added).*

- **Committed leaders, existing social capital**

A majority of the cases credited leadership and community capacity that may have preceded the initiation of community forestry actions, but has also been further developed by it.

> Even, or perhaps particularly, where existing community capacity may be weak, as in the case of Antigua, "the determination and interest of individual community members and a strong sense of family / historical *connection to the area* were some of the most important motivating factors for stakeholders who became actively involved in project activities (*emphasis added).*

Table 5 Comparison of Caribbean CBF cases: lessons and recommendations

	Bel	Sur	Guy	TT	Jam	Ant	Hai	Gre	Nev	St L	Dom	SVG	DR	Cub	TOT
Success factors: Cty participation-multiple stakeholders/sectors					x	x	x			x	x	x	x		6
Committed leaders, cty (social capital)	x	x	x	x	x			x		x	x	x			9
Org & tech assistance by state/NGO	x	x	x	x	x	x	x	x	x	x		x	x	x	14
Involvement of youth			x		x	x	x	x							5
Communication by gov't agencies		x	x		x				x						4
Generating income generates support		x	x		x						x		x		5
Supportive policies; flexible implementation	x				x								x		3
Obstacles: Lack of sufficient funding; sustainability	x			x	x	x		x							5
Lack of capital for enterprises	x		x		x	x		x	x		x				7
Limited capacity of CBO	x		x				x	x			x	x	x		7
Limited gov't capacity; delays	x			x		x	x				x		x		6
Inadequate market demand, access								x			x				2
Internal dissension &/or illegal activity			x			x				x					3

	Bel	Sur	Guy	TT	Jam	Ant	Hai	Gre	Nev	St L	Dom	SVG	DR	Cub	TOT
Lack access to land, security of tenure	x							x		x	(x)		x		5
Problematic policies/laws, gaps	x			x			x						x		4
Recommendations:															
More resources: financing, staff	x			x		x								x	4
Organisational/social capacity-building			x			x		x				x			4
Plan & train for alternative revenue & independence after project			x	x											2
Advertise as example/ expand pilot	x			x								x			3
Legis. reform to (fully) authorise CBF, resolve conflict w/other mgt categories	x			x	x		x						x		5
Gov't agencies: improve efficiency & communication				x			[x]	x		x					4
Adaptive management						x					x				2
Target poor for participation & benefits								x				x			2

- **Community participation**

Community participation was the next most frequently mentioned factor for success. One strategy to achieve effective participation is an industry-focused multiple stakeholder task force, as in the case of St. Lucia's Latanyé Task Force, whose

> operation contributed to the current success of the Latanyé broom industry by getting direct input of the needs and challenges of the Latanyé broom producers and farmers. These responses and the *dialogue amongst all stakeholders* informed the type and nature of support necessary for the Latanyé broom producers and planters and the Latanyé industry. *Participation therefore ensured that strategies and actions were always relevant* and significant to the development of the industr*y* (emphasis added).

Community-forest department partnership in forest resource *protection* was another participation modality cited, e.g., for Trinidad and for Jamaica, where the LFMCs "are widely regarded as the 'eyes and ears of the FD.'"

- **Communication with government partners**

Participation works when there is open communication and two-way dialogue. This means that, as in Jamaica,

> Decision-making is informed by community interests and not only by forest management considerations. Before taking decisions, foresters engage community members and farmers in discussions about what to plant and where.

What is needed, according to one LFMC member, is an approach that is both "top-down and bottom up… that provides both direction and assurance that community voices are heard."

Open and frequent communication is necessary for there to be **transparency** and **accountability**, which generate **trust** of government and a "**sense of belonging**" on the part of communities (DR, St Vincent).

Another factor that was discussed as both contributing to and resulting from participation in community forestry is a **change in mindset** on the part both of the community and of government agents. This changed viewpoint and relationship yields social and environmental dividends. In addition to the Jamaican case mentioned above, the example of the DR is instructive, where the following outcomes were observed:

- A change in the mentality of the producers who have seen the forest as a friend and an ally rather than enemy.
- Recognition by the forest authorities that they can market charcoal without difficulty if they allow the locals to participate and benefit... "Now we work with people not with sticks".

This mindset shift can also lead to improved public relations for Forest Departments.

- **Adequate financing**

Stable and sufficient financing is required not only for community-forestry projects, but also for community participants and government agencies.

- Youth involvement

Five of the case studies specifically mentioned the involvement of youth as "key to promoting long term support for the project and developing long term supporters and volunteers" (Antigua)

- Generating "tangible benefits" generates support

Five of the cases also demonstrated how once a community-based enterprise starts generating revenue or other material benefits it attracts interest and participation. It becomes relevant to community members focused on earning a livelihood. The Jamaican experience illustrates how even the expectation or vision of *future* revenue-earning opportunities can be sufficient to inspire this kind of effect.   However, benefits must be *shared* at the local level to inspire ownership of the project, the forest and the community. Furthermore, communities should decide how benefits will be re-invested and distributed.

- Supportive policies; flexible implementation

Jamaica provides the strongest example of forest policy that explicitly supports community forestry (and expected reforms are likely to strengthen it further). Specifically, the case study listed policy conditions that support success:

  o "**Legislative and policy environment**: Jamaica's forest policy and legislative framework are supportive of community participation …An enabling policy framework and appropriate technical assistance have created conditions under which the BBLFMC has been able to contribute to forest management and support gains in the health and integrity of the forest resources. … The success of the BBLFMC has validated the FD's participatory forestry approach and provided further support and justification for the chosen policy direction.
  o **Institutionalisation** of Forestry Department involvement …the institutionalisation of many of the elements of the [internationally funded] Project that initiated the LFMC process has ensured that the LFMCs [were not left] as project orphans when the project closed in 2006... This commitment has translated into a significant investment of time, human and financial resources by the Forestry Department and partner organisations."
  o In Belize the provision of community **land tenure**, although still incomplete, was also identified as a critical factor of success, since "secure 'ownership' fosters a desire to protect."
  o The content of the policy is not all that matters – how it is implemented can make all the difference. **Flexible implementation** can partially correct for unfavourable policies, as was observed in the Dominican Republic. Various political-bureaucratic obstacles have prevented the renewal of the 2001-2006 special agreement between the Ministry of Forests and the federation of charcoal cooperatives that permitted the latter to extract downed and dry wood. Without this permission, and without an approved management plan (which the coops still lack the capacity to produce), charcoal production would have had to cease if not for the flexibility of the Forest Authority in letting a sustainable (but not formally legal) practice fly under their radar, so to speak.

Additional success factors that were mentioned only one or two times (not therefore listed in Table 5) include:

- o An **adaptive management** approach is essential (Dominica), especially to make up for the late (post-planning) start to stakeholder involvement common among donor-funded projects (Antigua).
- o State agents are needed to **oversee business deals** between communities and external parties, e.g., timber corporations, to make sure the former are not exploited by the latter (Suriname).
- o "Having a full-time **sociologist** on staff within the Department has allowed for a greater prominence of social and cultural issues in forestry and the building of 'bridges of understanding' between foresters and communities adjacent to forests" (Jamaica).
- o Having an **organisational structure** (e.g., constitution and by-laws) for community groups in place from the beginning facilitates their effective collective action.
- o CBOs should develop a **leadership succession** plan from the get-go.
- o Bank accounts should be established in the name of the CBO rather than an individual leader.
- o **Participation must be open and inclusive**, allowing members to join, leave and re-join as they work out their differences.
- o Community participation should be subsidised, e.g. by providing **"food and fare"** for the many meetings that collaboration requires. (Jamaica)
- o Having "**champions** in high places [in government] can be a significant factor in success for local initiatives"(Trinidad).
- o A "**sense of belonging**" to the land and to the community inspires participation and stewardship (Cuba, DR, and Dominica).
- o In Jamaica members of LFMCs cited other empowering emotional benefits that inspire commitments to stewardship: "a sense of **ownership and of authority**… now people have to listen to us;" "the opportunity to make decisions;" "the privilege of being responsible for our endemic species;" "I am proud of my LFMC."
- o **Group sanctions** for individual infractions (e.g., logging outside of allotted areas) activate social pressure as a powerful disincentive to environmental misbehaviour and free-riding (Guyana).
- o **Networking** with other community-based forestry groups both domestically and internationally provides inspiration, **peer-to-peer learning** opportunities, and sharing of best practices.
- o "Strengthening of **linkages amongst producers**" helped develop opportunities for NTFP processors to extend their market reach (St. Lucia).

4.2   Obstacles and strategies to address them

The most frequently mentioned obstacles that faced the community forestry initiatives in the study can be grouped in three categories: those primarily internal to communities, those associated with economic factors, and those that are primarily the responsibility of governments. Strategies employed by the case study initiatives to overcome these specific obstacles are briefly listed; other strategies, with wider applicability are pitched as 'Recommendations' below.

4.2.1   Community-level obstacles

- • Limited capacity of community and CBO

Strategies for countering this obstacle to community forestry initiatives naturally correspond to the capacity-building efforts listed as the top success factor. We are warned that this process requires continual re-

investment on the part of external agents, which can be very expensive as well as uncertain in outcome (Belize).

- **Internal dissension and/or illegal activity**

Community disunity and internal dissension due to political rivalries, economic inequality and ethnic divisions are not uncommon roots of low community and organisational capacity. Weak internal enforcement against resource overexploitation makes free-riding rampant and undermines community efforts at conservation. External partners can assist by mediating conflicts and providing training and supported opportunities for communities to meet, air grievances, and problem-solve. For example, the Guyana Forestry Commission, provided

> training sessions and forestry extension programmes [that] have made one unique contribution to ISLA: *they forced members-whatever their gender or socio-economic status* to speak with each other *in a cordial and constructive manner (emphasis added).*

4.2.2 Economic obstacles

- **Limited resources; challenge of sustainability**

Overcoming the low-capacity obstacle is seen as a key strategy for overcoming obstacles to sustainability.

> Overall capacity (both human and financial)... is particularly important for the long term sustainability of the initiative as local government agencies continue to be resource-strapped (Antigua).

Other strategies for addressing obstacles to economic sustainability can be found below under 'Recommendations.'

- **Lack of capital for enterprises**

The lack of capital for community-based enterprises was listed as a constraint in more case studies than was overall lack of funding. This finding has significant implications that should be explored further by policymakers and donors.

- **Inadequate market demand and access**

The enterprise-based strategy can be hindered by lack of access to markets due to transportation challenges, insufficient market information and inadequate connection to market networks. Market volatility and inadequate demand are also significant constraints on forest and agroforest product enterprises. For example, the price for bay oil from Dominica suddenly dropped when the North American press came out with stories about suspected carcinogenic properties.

The Dominican Cooperative and St. Lucian Task Force have pursued diversification into new products as a strategy for responding to the softness in demand for its chief product. While funding as market research and marketing campaigns is scarce, collective action by trade cooperatives and associations holds the greatest promise. The international market networks operated by the Dominican Republic's regional charcoal federation (FEPROBOSUR) are an impressive example of the power of market collectives.

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4.2.3   Governmental obstacles

- **Bureaucratic delays, lack of capacity on the part of government**

These factors were cited almost as frequently as community shortcomings. There is a wide range of variation in how much support the initiatives received from state agencies and how open they are to community-based approaches. Haiti exemplifies the low engagement end of the spectrum, as the case study testifies:

> However, [the NGO] has received no support from the central state. One could say that it does not even know that such an initiative exists

For a co-management approach to work the state partner must have adequate human and financial resources and an open mindset. Deficiencies in these factors have proven obstacles in several cases, as illustrated by Antigua:

> Despite previous government commitments to increase the human and financial capacity of the Forestry Unit, these commitments have not been met and the present capacity of the Forestry Unit still does not allow it to take a leading role in many key activities. This limited capacity of the Forestry Unit to participate in management severely undermines efforts to move ahead with a formal co-management approach.

Strategies for dealing with this challenge include relying on NGO support (e.g. Antigua, Haiti, Belize, Trinidad) and the transformative impact on the agencies of engaging in the community forestry process (e.g., Jamaica).

- **Problems and gaps in policies and law**

Design flaws in policies needed to support community forestry, compounded by delay in undertaking reforms, have proven problematic for initiatives in several countries, including Trinidad, Haiti, Belize and the Dominican Republic. For example, in Trinidad, the institutional structure of the National Reforestation and Watershed Protection Programme, which is run by an agency separate from the Forestry Division, has proven an obstacle to participation and efficiency.

In Haiti, the ability of the community to defend its protected areas is hamstrung by "the lack of a law assigning the community authority to establish restrictions in community-managed areas and to issue appropriate penalties."

- **Lack of tenurial security and access**

Lack of access to land and security of tenure are frequently cited as specific policy constraints. In Belize, uncertainty about how to implement a Supreme Court decision mandating indigenous tenure has nearly paralysed the Forest Department with respect to issuing licenses and other steps necessary for community timber operations to commence. Conflicts between community resource management and protected area boundaries and policies are challenging the livelihoods of community members in the Dominican Republic and Dominica.

5   RECOMMENDATIONS

The final objective of the project and this report is to draw out recommendations from the experience of the case studies and discussions at the regional workshop.

The case studies generated numerous recommendations on how to support and improve the outcomes of similar community forestry initiatives. The workshop and this analysis were tasked with taking it to the next level to "identify strategies to move community based forestry from project-based initiatives to programmes that are integral parts of forest management in the Caribbean."

5.1   Recommendations concerning initiatives

The cases studies and workshop interactions reflect a great deal of optimism that community-based forestry initiatives can flourish, generating multiple social and environmental benefits, when provided with a supportive environment. Specific forms of support called for at the regional workshop and in the case studies (see Table 5) include an increase in:

- **Organisational and social capacity-building**
- **Investment of resources: financing, staff**; including:
    - "financial inputs for investment in *commercial operations*" are needed "to sustain successful community forestry in the sense of community controlled management and optimal benefits for communities." (Suriname, *emphasis added*)
- **Lobbying and advocacy**: when CBOs join together, forming networks (and potentially federations), and when they join with NGOs, even donors, in exerting pressure both behind the scenes and in the political arena, their voices are amplified. The policy changes and bureaucratic reorientation required (see below) for community forestry to take off will require this kind of concerted effort.
- **Training to empower groups to sustain themselves** "after the life of the project, e.g., for project proposal writing, small business development and conflict resolution." (Trinidad)

Most recommendations emphasize the need for more external inputs. In terms of what initiatives can do internally in order to succeed, the advice offered in the case study on Dominica is germane (*emphasis added*):

Those wanting to develop similar initiatives should:

- Be realistic about the potential of the project
    - Be clear with participants about the *benefits* that the project can produce and *how they will be shared*
- Ensure *roles and responsibilities are defined* for all participants
    - Be clear about what is expected from participants in order for the project to succeed
- Ensure participants have a say in how revenue will be used
- Ensure there is *accountability* for the use of assets and revenue
- Know where to find expertise to support the project and use it
- Stay alert to the changing environment and revise the project to reflect such changes [i.e., practise *adaptive management*.]

Note that recommendations about accountability and the need to define clear roles apply to state and NGO actors in the initiative as well as community partners.

Strategies that the initiatives employ and propose for dealing with limited resources now and meeting the challenge of sustainability over the longer term include:

- "A sustainability structure must be put in place and employed" (Belize).
- Community based organisations, often with the assistance of NGO partners, can be successful in raising external domestic and international funding to which government agencies do not have access. The initiatives in Belize, Suriname, Saint Lucia and Jamaica have had some success with this approach.
- Several of the community forestry initiatives profiled are partially or fully self-financing through the operation of forestry enterprises (Dominica, Nevis ecotourism, DR, Cuba, and Guyana). Most of the rest are planning to launch income-generating activities in the future.
- In the meantime, "The group relies on external funding through projects and in-kind support from the FD and will likely continue to do so *until the planned community enterprises generate profits*. The group is attempting to offset some of the costs associated with these ventures by entering to *partnerships with stakeholders who have land or a pre-existing facility* that could be used. (Jamaica, *emphasis added*).
- Institutionalisation of government procedures and support, mentioned as a success factor, bears repeating as a strategy for ensuring sustainability in the face of limited resources.

Finally, community forestry initiatives that aim to ensure equity and maximize the potential for community development, must

- **Target the poor and marginalised for participation and benefits.**

The BBFFLMC in Jamaica found that special efforts, including

- **direct payment and supervision for "getting the work done,"**

are required to involve local members outside of the core, active group and increase participation by that "wider membership."

5.2   Recommendations concerning partnerships and participation

Community participation, or framed in certain cases as co-management, must be planned for, encouraged, supported and propagated for community forestry to scale up.

Planning advice from Antigua:

- An important element of the project design was the amount of time and resources invested in *assessing the existing capacity* of the communities for participation and determining the appropriate and *desired level of participation* in the project.
- Establishing *co-management* arrangements can be difficult, so it may be important to test the feasibility of "informal" management arrangements to determine the best way forward (*emphasis added*).

Incentives from Jamaica:

- "Participation at the community level increases when benefits become tangible."
- However, while "income benefits are important to community groups, they are not the only kind of benefits that matter ... The capacity-building and other social and political benefits of the BBLFMC at the individual and community levels are highly valued. Community and individual empowerment have proven to be an important outcome…"
- Reward good outcomes with additional funding."

- The Cuban case study also pointed to returning a greater proportion of the economic benefits of community forestry outputs to the producer, which in that context is the farm manager.
- However, when communities engage in business deals with external partners, e.g., timber corporations, state agents must take on an *oversight role* to make sure the former are not exploited by the latter (Suriname, *emphasis added*).

The need for external *support* for CBOs has been raised numerous times in this discussion. If it is not forthcoming from line agencies, communities may find more accessible partners by, e.g.,

- working with local government. In Haiti, whereas the national state was absent, the local government authority provided some regulatory support in resolving local conflicts.

Steps to *scale up* community forestry include:

- o "National educational and awareness programmes targeting CBO's to understand the process of development and implementation of community based initiatives…
- o [A] suitable NGO should be identified on the national level, to facilitate the development of community initiatives in collaboration with community based organisations. A suitable process should be identified from inception involving the key stakeholders." (Grenada)
- o National efforts to highlight success stories in community forestry.
- o (See below for recommendations pertaining to governmental policy)

Succinct overall advice to external partners on fostering participation in community forestry comes from Belize:

- o A bottom-up approach can also be employed to encourage more participation at the grassroots level... The NGO community and even the government institutions such as the FD can play a supportive, facilitating role in this regard, as opposed to the normal top-down, imposing law-enforcement system. Advocacy from communities and their partners should not be seen as a threat, but instead as an opportunity for partnership in the achievement of the sustainable management of the country's forests.

5.3   Recommendations concerning the role of government

Many of the case studies recommended that state agencies improve:

- **Efficiency**, e.g., timely payment of workers (Trinidad), approval of applications and processing of documentation (Grenada)

- **Communication with communities**, open dialogue (Jamaica, Guyana, Saint Lucia); increased level of feedback (Grenada)

The former would be furthered by more resources and training; the latter can be enhanced by training, but requires primarily time and also a:

- o **Change in mindset** from a "we know best" attitude to one that treats local communities as essential, knowledgeable and capable partners in a joint endeavour (Jamaica, DR).

Better communication is called for not only between the state and communities, but within and among state agencies themselves:

- o **Improve communication and coordination among the different line agencies.**

Community forestry in the Caribbean embraces not only sustainable forest management, which typically falls squarely in the province of forest departments, but also agroforestry, watershed rehabilitation, forest product processing and marketing, and community development. These activities require the integrated support of agencies charged with overseeing agriculture, environment, cooperatives, tourism, trade, small business, development and the like. The necessary foundation for all of these endeavours is secure access to land, which requires the involvement of land titling and legal departments. The challenge of coordination among these multiple agencies, each with a different agenda, training and bureaucratic culture can be met, but only effectively if there is an:

> The **challenge of coordination among multiple agencies can be effective if there is:** Overarching policy mandate to promote community-based resource management across the board. This resolution must be issued high in the legal hierarchy, such that it is not overruled by other legal instruments, e.g., for protected area establishment.

- **Formalisation** of the roles of multiple agencies may be required to motivate and enable their full participation. In some cases, agencies require a legal mandate in order to have a role at the local level and to engage with partner agencies. Some participants called for formal arrangements among all stakeholders, i.e., co-management.
- **Institutionalisation** of such arrangements, along with other pro-community forestry policies, programmes and procedures not only ensures buy-in by state agents, it provides for the survival of these interventions when administrations change with the party in power. In some circumstances, it may be better to allow co-management arrangements to evolve organically over time, rather than impose a blueprint from the beginning. Moreover, the proviso about flexible implementation must be kept in mind.

> The **challenge of coordination among multiple agencies can be effective if they can:** Create or improve **legislation providing local communities authority** to establish and enforce community-based forest management.

- Creating and maintain a **"space for negotiation,"** for state agents and community members to get to know each other and hash out issues, may be as important as formalisation. Rigid rule-following hinders successful bottom-up, community-based management. Yet, **standardised procedures** across agencies, e.g. for obtaining permits, are more accessible to communities. The key is finding the right balance.

This legislative gap is a key constraint in Haiti. Legal reforms were the most frequently named recommendation over all. Even progressive national legislation can be made more supportive of community forestry. For example, in Jamaica,

> The Forest Act (1996) is currently under review. The revised Act is expected to allow for a more comprehensive partnership between the FD and communities, with the LFMCs functioning as full management partners, rather than only playing monitoring and advisory roles as they now do. While these functions are important, the current arrangements and legislative context fail to make the most of the full community forestry potential of the LFMCs.

The tension that exists in some countries between the means and aims of community forestry and national policies is captured by an assessment from Belize:

> At present, the reality is that they are trying to fit a square peg into a round hole, since the policy and legislation are not very conducive to community participation at the management level, nor do they accommodate ready access (in a sustainable manner) to the forests by communities.

- Resolve legal and policy issues concerning **indigenous land tenure**; clarify implementation with respect to the administration of forest regulation, licensing and other forest line agency functions. (Belize, Suriname)
- Review and revise legislation establishing the basis for **land classification** and associated management restrictions to identify and resolve conflicts between community resource management and other categories, including private lands (reforestation in Trinidad) and protected areas. (DR, Dominica)
- Protected areas and forest reserves can be zoned for different **intensities of extraction**, taking into account local ecological knowledge and community needs and proposals. (DR)
- Explore different **forms of tenure** that enable community forest management:
    - pilot land titling system for collective land tenure (DR)
    - provide land leases for farm managers operating on state-owned property, linking men and women to the land they live on and manage (Cuba has issued a resolution to this effect).

6   CONCLUSION

A strong finding of this study is that realizing the full benefits of community forestry and enabling its expansion from a series of projects to a programmatic level will require the development of a supportive legal and institutional framework and an overarching policy mandate. This means not only must appropriate policies be put in place, but effective procedures must be institutionalized in forestry and other land management agencies. Necessarily underpinning this institutionalization is a cultural shift among top bureaucrats and field officers alike from one that supports a self-perception as experts and enforcers to one that re-imagines their roles as facilitating partners. Community forestry is a grassroots movement, but it requires an enabling environment and external inputs to flourish.

APPENDIX 1: CASE STUDY SUMMARIES

Grand Riviere Tourism Development Organisation (GRTDO), Trinidad and Tobago: a closer look at a community based forestry initiative

Author: Kathleen Belcon

A. CBF arrangement

- The community group, Grand Riviere Tourism Development Organization (GRTDO) is located in Grand Riviere, Toco, a small rural village in the north - eastern part of Trinidad.
- GRTDO joined the government initiative, the National Reforestation and Watershed Rehabilitation Programme (NRWRP), in 2005.
- The community-based forestry initiative undertaken by the GRTDO is funded by the Government of the Republic of Trinidad and Tobago; no external donor funds support this initiative
- Partner organizations: NRWRP; Forestry Division (National Parks and Wildlife Sections); Grand Riviere Nature Tour Guides Association and Trinidad and Tobago Red Cross Society The GRDTO, a community-based group, was formed in 1998 under a government initiative to establish a Tourism Action Committee (TAC).
- The main goals of GRTDO under the community-based forestry initiative are watershed rehabilitation and protection, because community members realized if the forests on the hills were to be removed the risk and damage from hurricanes would increase. The forest needs to be protected to serve as a windbreak and also to protect the water supply to the village.
- The key activities of GRTDO under the community based initiative are: 1) reforestation that is undertaken only where necessary, since there is no large scale removal of forest cover in Grand Riviere. As such, whilst other community groups under NRWRP replant 50 acres annually the GRTDO group only replants 25 acres annually; and 2) trail development and maintenance which serve as access routes from Grand Riviere to the protected site, the Matura Environmentally Sensitive Area (ESA), which includes the Matura National Park. The trails are used to conduct tours into the forest by the Grand Riviere Tour Guides Association.

B. Brief background
- The site affords lush montane and evergreen seasonal forests with high annual rainfall.
- The state owns the land on which the CBF imitative operates. In order to increase changes of success, the GRDTO not only employs persons from GR village but also from the three surrounding communities. **Eco-tourism** is the main source of income in GR, The seasonality of these jobs has lead to out migration. The level of poverty is relatively high due to limited employment and cash flow opportunities.

II.   Decision-making and participation
- The level of participation of the GRTDO in the NRWRP by design and policy can be described as 'participation by material incentives' (Bass *et al.*, 1985). However, whilst decisions about resource management are generally made by NRWRP officials, GRTDO has maintained its autonomy. As a result, it has been able to exert some influence over resource management and modify the standard NRWRP plan to suit local needs and conditions: witness the reduced planting target.

III.   The successes of the CBF initiative

1) replanted and rehabilitated 125 acres of forests and critical watersheds; 2) improved and expanded trails, together with facilitating guided tours within the forests, has improved the visitor experience; and 3) empowered marginalized community members, e.g., women are employed in areas that were once traditionally dominated by men.

- **Key livelihood benefits of the CBF initiative are**; 1) **social** - GRTDO has helped stabilize the economic conditions of group members, relationships have been formed within and between communities, and community members have availed of training opportunities; and 2) **natural** - improved the access by landowners to agricultural lands previously isolated within the Matura ESA; hence the value of those lands has gone up. The group's environmental advocacy and the employment of members from the surrounding communities have lead to greater respect for the environment and to changes in behaviour, such as the mitigation of forest fires.
- **Costs are**: 1) loggers and farmers experience opportunity costs when they forgo their traditional jobs for seasonal employment; and 2) the community forestry based initiative undermines the livelihoods of persons who were/are involved in illegal forest-based activities.

IV. Major **obstacles are**; 1) limited human resources within NRWRP for technical assistance and keeping the lines of communication and information flow open with NRWRP; and 2) financial problems within NRWRP: not enough money budgeted to the programme overall and this constrains the group.

V. Recommendations
- Participants should be made aware that the project will eventually come to an end and should be prepared for life after the project.
- Ensure that there is adequate staffing (technical, administrative, etc.) for the implementation and the life of the project
- Provide training outside project-specific areas to further empower groups so that groups can be self sustained after the life of the project, e.g., project proposal writing, small business development and conflict resolution.

CBF case study: Dominica Essential Oils and Spices Cooperative

Author: Betty Perry-Fingal

I.   Introduction

A. CBF arrangement
- The Dominica Essential Oils and Spices Cooperative is headquartered in Roseau, Dominica. Most of its 560 members are located in about a dozen villages along the southeast coast of the country.
- The Cooperative was first founded in 1964 as the Petite Savanne Bay Oil Cooperative and became the Dominica Essential Oils and Spices Cooperative in 1983.
- The Cooperative provides critical income to its many members and their families, a high percentage of whom depend on bay oil production as their main source of income.
- The farmers harvest bay leaves and bark. Using one central distillery and approximately a hundred individually-owned distilleries, they produce bay oil that is then transported to and stored at a central location from where most of it is exported. The Cooperative produces other plant-based exports.

B. Background
- The bay trees are primarily found along the southeast coast of Dominica on steep hills on land that is not suitable for other types of agriculture.
- Bay oil production has been done by farmers in Dominica for the last hundred years.
- To become a member of the Cooperative, a person must have access to a plot of bay trees that can be harvested. Most, but not all of the members, own their plots, many of which are less than an acre in size. The members are nearly equally divided between men and women, and the business of bay oil production has continued to pass from one generation to the next.

VI.   Decision-making and participation
- The Cooperative has effective relations with several government agencies and works with the Cooperative Development Division for assistance with administrative matters, the Division of Agriculture for assistance with disease prevention, and the Bureau of Standards for assistance with evaluating the quality of the bay oil for export.

As a large cooperative, the participation of members varies across the spectrum from participation for material incentive to self-mobilisation. Attendance at meetings is high, and new members are regularly brought onto the Board of Directors. Some members are highly active, participating in all aspects of the management of the Cooperative, while others prefer to limit their participation to bay oil production.

VII.   Success of initiative

- The Cooperative has continued over several decades to produce and export bay oil, meeting approximately 65% of the world demand and accounting for significant income for its members.
- In addition to providing critical income for its members through the sale of bay oil and other products, the Cooperative has established several funds, including an Education Fund to assist school children in meeting expenses and an Old Age and Disabilities Fund, as most members are not covered by the Social Security System. It also makes a funeral grant upon the death of a member.
- The benefits of the Cooperative to its many members and their families have been manifold, including assisting with sending children to school and providing an opportunity for community members to work together in the harvesting and processing of bay leaves. The activities will remain sustainable as long as there is a world demand for bay oil. The Cooperative, recognizing this limitation, has sought to expand production into other essential oils and spices. Substantial financing is needed to realize the goal of effective diversification, and obtaining that finance is the biggest obstacle now facing the Cooperative. Bay oil production is generally environmentally friendly except for the use of wood to operate distilleries, a factor that has led the Cooperative to look for other types of fuel. The distilling process produces considerable waste material, and efforts are underway to find a way to use the waste as organic fertilizer.

VIII. Lessons learned

- Collective action was necessary in order for the bay oil industry in Dominica to succeed. Only by coming together and supporting each other have the many farmer-members of the Cooperative been able to continue to benefit substantially over the years from bay oil production.
- The Cooperative has had to balance the desire to help the farmers meet their basic needs with its own limitations of financing and storage. Diversifying its product line is seen as the solution to the limited demand for bay oil.

  Those wanting to develop similar initiatives should:

  - Be realistic about the potential of the project
    - Be clear with participants about the benefits that the project can produce and how they will be shared
  - Ensure roles and responsibilities are defined for all participants
    - Be clear about what is expected from participants in order for the project to succeed
  - Ensure participants have a say in how revenue will be used
  - Ensure there is accountability for the use of assets and revenue
  - Know where to find expertise to support the project and use it
  - Stay alert to the changing environment and revise the project to reflect such changes

The Buff Bay Local Forest Management Committee, Jamaica: changing lives, changing the community

Author: Nicole A. Brown

Local Forest Management Committees (LFMCs) are the main mechanism for formal community participation in forest management in Jamaica. These stakeholder groups are set up by the Forestry Department (FD) under the Forest Act (1996) in critical watersheds to play monitoring, advisory, and management roles in their local area. The Buff Bay Local Forest Management Committee (BBLFMC) is one of the two oldest such groups and is the most mature in governance and operational terms. Since 2000, it has been promoting environmental stewardship and forest protection; its activities include community and school education and outreach, reforestation and tree-planting, agro-forestry, and training for farmers, most of whom cultivate the world-famous Blue Mountain coffee on small shared-use "family land" plots or acreage leased from the Crown. The LFMC arrangement has allowed residents of the 18 communities in the 24.2 km-long Buff Bay Valley in north-eastern Jamaica formal collective access to forest reserves and resources in the area under mutually agreed sustainable use conditions. In return, the BBLFMC is expected to contribute to the local forest management plan, act as forest stewards, and support management of the forest reserves in the area. However, legal management and enforcement authority rest with the FD, so although the group helps implement specific activities, none of the FD's official management functions are delegated to it.

As the BBLFMC has matured, the nature of the participatory arrangement has evolved. Group members feel that they have gone from participation by information-giving and consultation to the current situation where *functional participation* predominates. The group does not participate in management decision-making, although they do inform it. Like other LFMCs, the Buff Bay group establishes its priorities and develops local plans of action, within the parameters set by the FD, which the LFMCs have played no part in developing. The management structure defined by the Forest Act (1996) is a centralised one, albeit one that allows for community input.

The BBLFMC experience has shown that *forms of participation evolve with group maturity*, and beyond that, *varying degrees of participation can coexist with each other, even if a particular form of participation prevails.* Notwithstanding the predominance of functional participation, there are elements of interactive participation and self-mobilisation, particularly in the BBLFMC's broader community development role, where it sets its own agenda within a wider livelihoods framework and supports community development aspirations, some of which go beyond the direct scope of forest management.

The BBLFMC experience has also demonstrated that *community-based forestry arrangements can support all six livelihood assets (human, social, political, natural, financial, and physical)*. Livelihoods assets have a multiplier effect on household and community well-being. The BBLFMC has facilitated training and other personal development activities for members, supported organisational development and networking, lobbied for improvements to services in the valley, and played the role of mediator in disputes over forest lands. The group has supported improved conditions of forest resources, not only by reducing illegal activity, helping with plot maintenance, and providing labour to the FD for its own initiatives, but also by securing external funding to rehabilitate forested areas damaged by hurricanes. The BBLFMC has raised

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approximately J$26.7 million/US$315,000 from local and international donors for its activities and has received considerable in-kind assistance from the FD, as well as some financial resources.

Where community forestry in the Buff Bay Valley is yet to deliver significant benefits is in the area of incomes. Impact on incomes has primarily been through occasional casual labour on FD or BBLFMC projects; only project staff have been able to earn from the initiative on an ongoing basis. The income potential of the agro-forestry activities is yet to be realised as that will only happen when the fruit and timber trees mature. But a**nother of the lessons of the BBLFMC's experience is that _although_ income benefits are important to community groups, they are not the only kind of benefits that matter.** The livelihoods asset-building that the LFMC arrangement has supported is valued by members and has sustained commitment to the group, even in the face of limited income benefits. But _benefits do matter_. And as the benefits of LFMC membership have become increasingly visible and its activities more tangible, participation has become a more appealing prospect and more valley residents have joined the group.

Income benefits from forestry remain an important objective for the group, and even though the BBLFMC's executive and the FD have been able to manage expectations through a deliberate and incremental pace of institutional growth, commitment to the ideal of income generation from sustainable forest use persists. Plans to establish local enterprises ranging from an ecotourism venture to a fruit processing plant and a community saw mill are a promise of new possibilities in communities where the prevalence of poverty can be as high as 51.6 per cent.

There is the perception that men and women have benefitted differently from the causal labour opportunities offered through the BBLFMC and the FD. Men have traditionally benefitted more than women from these opportunities as much of the work needed is heavy "man work." According to the FD, women have been involved in carrying and planting seedlings, but from some women's perspective, there is scope for more work to be allocated to females. BBLFMC members report, however, that more women than men have taken advantage of the group's training opportunities, due to their higher literacy levels.

Jamaica's policy and legislative framework have facilitated the LFMC initiative, and indeed the revised Forest Act is expected to allow for forms of devolved management.   Additional external enabling factors include strong support for community forestry and the LFMC by the FD's senior management, the institutionalisation of this approach, the presence of a full-time sociologist on the FD's staff, and the availability of local funding for community groups for conservation and livelihoods. Enabling factors internal to the BBLFMC include its strong sense of mission and purpose, the emergence of strong, entrepreneurial leadership within the group, and pre-existing capacity and social capital among members. As a result, the group has emerged as a stable and maturing community organisation. Strong personal relations between LFMC members and FD personnel and the accessibility of the latter have also been a contributing factor. Importantly too, the group has been working to a strategic development plan and in the context of the local forest management plan; this has been important to sustaining the vision and purpose, and tracking progress.

Zion Hill Productive Incorporated, Barrouallie, St. Vincent and the Grenadines

Author: Yoland J. London

Introduction

Location: Zion Hill, Barrouallie, St. Vincent and the Grenadines.

Date Initiated: November, 2010

The Zion Hill Productive Incorporated is a legally registered, community -based organization with all of its members from within the Barrouallie community.

Partner organisations: Forestry Department. A working relationship existed among the current members of the Zion Hill Productive Inc and the Forestry Department. Most of these group members are daily paid workers of the Forestry Department

Goals: Conservation of Zion Hill Forest and to provide/gain a livelihood through community forestry initiative.

Key activities: Identifying and harvesting trees, transportation of logs, preparation of logs and pit, Monitoring of pit and harvesting, marketing and sale of charcoal.

Background

Located in a dry eco-zone, the Zion Hill forest is semi-deciduous. . The land is state-owned. Fishing and farming are the main livelihood activities. The population is 5,459. The high level of unemployment is the main issue of concern. In Barrouallie, the poverty level is 26% below the national level.

The main role of the Forestry Department is to provide funding. Although the group has some input, the Department makes the major decisions, including on how the financial, technical, and material support they provide for the CBF initiative is to be used. The level of participation identified is active and functional (Bass et al, 1985).

Accomplishments

The initiative has made progress towards its goals. The key activities are: identifying and harvesting trees, preparation and monitoring of logging and charcoal pits, and the marketing and sale of charcoal.

Some of the benefits of the arrangement are;

Human – Members of the group were beneficiaries of technical support and mentorship from the Forestry Department.

Social – Members off the community recognize the group and its work to conserve and utilize the resource. Awareness has been created on the importance of the forest.

Physical- Improvement to the path leading to Zion Hill Forest has made it more easily accessible to all.

Financial- Members of the group were able to use income generated from the initiative to support their families and other existing small businesses. Local employment was created.

Natural – The initiative has increased access to wood material for charcoal burning, while protecting the forests. It also increased knowledge of the forest and its potential.

After the group was formally registered, the major remaining obstacle is the limited capacity of the group members in areas including; communication, financial management (record -keeping) and marketing.

The main contributing factors to the success of this initiative include: the work of the Forestry Department in identifying and documenting the potential of the resource, the participation and commitment of both the members of the group and the Forestry Department, and the buy-in from the wider community.

<u>Recommendations</u>

1. Capacity-building workshops for group members.

2. The level of participation by the poor and marginalized initiatives can be by including more community residents, such as youth groups and other CBOs, in charcoal production.

3. This initiative should be used as a pilot as it has immense potential.

Clozier Youth Farmers Cooperative Society: a case study on community based forestry in Grenada

Author: Gordon "Dread" Paterson

Clozier Youth Farmers Cooperative Society Ltd. launched its CBF initiative in 2009.

The goal of the organisation is to develop the capacity of young farmers within the community in different avenues of farming, through strategic co-operative planning and action, geared towards developing sustainable livelihood opportunities.

There are no partner organisations with this initiative.

The objectives include:

1. To arrange for members their requirements of seeds, fertilizer, agro-chemical, agricultural tools and equipment.
2. To arrange for the processing and marketing of members agricultural produce.
3. To encourage among members the spirit and practice of thrift self help and mutual help
4. To build capacity of members and employees in co-operative principles, practice and management
5. To carry out market research and develop market plan for sale of produce

The young farmers and community members of Clozier, with national/sub national NGO's, state, regional and international agencies are among the key stakeholders.

The major activities are farming, agro-forestry, horticulture and training.

Rain forests, secondary regrowth and high rainfall characterize the area. Approximately 400 people reside in the primarily agricultural community. The cooperative owns the land on which the initiative operates.

Participation

There are twelve members including one woman in the cooperative, majority of which participated in the trainings. Responsibilities within the group are shared based on the function of members, which is done through executive and general meetings.

Participation is by "Involvement" (Bass et al 1995) and the degree and type of participation varies with roles and responsibilities.

 Stakeholders perceive that the current type and degree of participation reflects positively on the group and that it has improved since inception.

Stakeholders' roles varied, from technical support, funding, training and facilitation.

Livelihood benefits and costs

This initiative started in 2009, therefore some expected livelihood benefits and costs have not yet been realized. However, through training some members have acquired skills.

Some members have increased their income. Local shops within the community are receiving increased support. Local livelihoods are not sustainable, still dependent on external support.

Lessons learned

The arrangement will be effective in achieving the stated objectives, but it will take time.

The major obstacles to the success of the arrangement are lack of capacity among members.

The commitment and interest of members and the support given by stakeholders were all very significant.

Recommendations

The level of participation can be increased in various ways:

- Identify suitable national NGO to facilitate the development of community initiatives in collaboration with community based organisations.
- Conduct community based training workshops on collaborative/participatory resource management with community based organizations aimed at increasing capacities to implement initiatives
- CBO's should be trained to conduct stakeholder identification and analysis exercises.
- Regular focussed stakeholder group meetings to discuss community development, existing initiatives, their progress, problems/issues, solutions, recommendations for further action etc.
- Develop and implement incentive packages for meaningful participation and CBF initiatives with good success stories
- Government processes for approval of applications and processing of documentation should be more efficient.
- The level of feedback from government ministries/departments is very poor and therefore should consider review and improvement.
- Any benefits to be derived should accrue by the poor and marginalised.

Saint Lucia's case study on experiences with community forestry with Latanye Broom Producers

Author: Donatian Gustave

Introduction

Latanyé is a palm species whose fronds have long been utilised by the people of St. Lucia to make brooms for home use and commercial sale. In Saint Lucia, Latanyé is found in the dry tropical forests.

There is concern that this level of use may not be sustainable due to a high demand for Latanyé brooms locally and regionally.

Community-based Forestry Initiative (CBF) arrangement

There are two groups of interests: individual Latanyé broom producers and farmers, located island-wide, and the Superior Broom Producers in La Pointe Micoud.

A Latanyé task force was formed in 2001 with the goal of building capacity to increase revenue for Latanyé Broom producers and planters, and ensuring sustainability of the Latanyé broom industry. The partners in the arrangement are the Latanyé farmers, Latanyé broom producers, the Superior Broom Producers, one Latanyé Broom Exporter, the Ministry of Agriculture Lands Forestry and Fisheries (*the Forestry Department, Marketing, Corporate Planning and Extension Service*), Ministry of Social Transformation, Ministry of Commerce, the Saint Lucia Bureau of Standards and the Inter American Institute for Cooperation on Agriculture (IICA).   A registered association, the Superior Broom Producers was formed in 2005.

The key activities for the community based Latanyé initiative are production and marketing of Latanyé plants and brooms.

One challenge for Latanyé broom producers and farmers is communal tenure of land. Consequently, farming has been concentrated on short term crops rather than the longer term crops such as Latanyé, which takes 2 to 3 years to establish.

Decision-making and participation

The participation in the Latanye task force is *interactive*. The Forestry Department has been the main agency providing technical advice and overseeing the operations of the task force with the Latanye broom and plant producers. The task force is guided by a written terms of reference and objectives.

As a result, Latanyé broom producers and farmers have greater control and independence in planning and management of the Latanyé Broom Industry.

Lessons learnt:

1. Organized approaches with multiple stakeholders in the Latanye Task Force contributed to the current achievements in the Latanyé Broom Industry.
2. The research done was useful to validate and promote traditional methods of operations used by Latanye Broom producers and farmers.
3. The inability to acquire land to establish larger acreages of Latanye is still a limiting factor of production for the Latanyé Industry.
4. Finance was a major obstacle resolved through project writing and submission of proposals.

Success/ impact of initiative

1. *Human* - The older Latanyé broom producers are very knowledgeable regarding agronomic practices for Latanye leaf and broom production.
2. *Social* - Latanye broom producers and planters benefited from the livelihoods created associated with the Latanye Broom Industry. The acquisition of the nursery has increased and diversified the responsibilities of the members of the Superior Broom Association to manage their livelihoods.
3. *Financial* - Latanyé broom making continues to be an attractive business with the price increases and improved quality of Latanye brooms.
4. *Natural* – Land continues to be a major constraint for Latanyé production given the nature of multiple owners of family land.
5. *Political* - The greater numbers of persons in the Latanyé group and the organization of members resulted in strengthening their lobbying position with the government.

Recommendations for development of similar initiatives

- A high level of participation can be achieved if there is open dialogue about the problems and interests of the persons whose livelihood may be affected. In this way technical support, collaboration amongst agencies, and the development and implementation of projects will address the challenges of users.
- Institutional support is important to success.

The Body Ponds Watershed Rehabilitation Project, Antigua

Author: Mykl Clovis

The Body Ponds Watershed Rehabilitation Project is focused on the Body Ponds Watershed (BPW) in northwest Antigua. Launched in 2007, the project is primarily funded through the Global Environment Facility (GEF) and executed by the Environment Division of Antigua and Barbuda within the Ministry of Agriculture, Lands, Housing and the Environment in close collaboration with the Forestry Unit. The Friends of Body Ponds community group has recently been established under the Friendly Societies Act and collaborates with the executing agency as the main representative of stakeholders from several communities within the BPW. The goals of the project are to improve the management of the largest watershed on the island of Antigua, to ensure the survival of remaining biodiversity, to control the invasive species, and to promote sustainable farming practices and restore healthy watershed function. The project is designed to promote the active participation of stakeholders in watershed management activities and comes to a close in December 2011.

Some of Antigua's most diverse ecosystems are found within the BPW including moist upland evergreen and mixed evergreen deciduous forests, grasslands, and woodlands. It is the island's largest watershed (4,200 hectares) and an important agricultural region. However, unsustainable land management has caused severe erosion of the watershed in recent years, inundation by bush fires, and proliferation of invasive grass in previously forested zones.

Participation

A Steering Group made up of volunteer representatives from the major communities within the watershed was set up early in the project to provide community oversight to the project and mobilise wider community involvement in and awareness of the project. A well-established rural development NGO, the Gilberts Agricultural and Rural Development (GARD) Centre was contracted in 2008 to stimulate local interest in watershed issues and facilitate the formation of a steering group. Registered as the Friends of Body Ponds (FBP) in 2011, the FPB has undertaken local capacity-building activities and is now in a position to access funding and take on specific roles in management of the BPW.

In the early stages, the project took a "functional participation" approach (Bass et. al, 1995), where the Environment Division facilitated the development of a community stakeholder group and built their capacity to engage in project activities. As community capacity evolves, the approach is clearly moving towards more "interactive" participation

Successes and challenges

One of the initial objectives of the project was the establishment of a legal entity for co-management of the BPW. However, it was quickly recognized that a co-management arrangement would not be feasible based on existing capacities at both the government and community level. The strengthening of the FBP to take on active roles in resource management then became the focus of community outreach activities.

As of April 2011, the FBP produced its first funding proposal for trail development in the BPW that would enhance local access to the watershed area and create ecotourism enterprise opportunities for residents. The group is also seeking funding to develop and manage interpretive facilities and run eco-tours, with the revenue generated to be reinvested in site maintenance activities.

The FBP, other stakeholders and agencies have been involved in various trainings, educational tours, tree planting activities, watershed mapping exercises, and watershed management consultations. Listed are some benefits of the community participation approach:

a. Human

- a sense of pride and accomplishment for FBP member and other participants.

b. Social

- increased community awareness of watershed management issues, and opportunities for participation in management
- strengthened organizational capacity of the FBP and other community groups
- strengthened relationships and networks between the various BPW communities
- community access to enjoy the recreational areas in the BPW

d. Financial

- opportunities for local businesses to sponsor activities such as tree planting
- local livelihood opportunities in ecotourism and related enterprises through better watershed management and trail access

e. Natural

- several acres of degraded land replanted with native tree species
- drop in occurrence of forest fires within the BPW

f. Political Benefits

- stakeholders sensitized to important resource management issues
- access to organizations that can represent stakeholder interests

Challenges of the project:

- At the inception of the project many stakeholders were splintered among politically affiliated groups and community/issue-specific groups. Through continued facilitation and motivation, the project was able to secure the participation of individual group members interested in land management issues – they became involved in the steering group and later mobilised interest in their respective communities and organizations.
- Development of the FBP has required significant financial investment and continued facilitation. Funding for the continuation of this and other activities in the BPW is an outstanding concern.

- Communities around Antigua have a weak history of volunteerism, civic pride, and CBO involvement, so continued growth and "motivation" is a concern.
- Despite previous government commitments to increase the human and financial capacity of the Forestry Unit, these commitments have not been met and the present capacity of the Forestry Unit does not allow it to take on key roles in project activities. This limited capacity severely undermines efforts to move ahead with formal management / co-management arrangements.

Lessons and factors for success

- Adaptive management approach with stakeholder involvement from the planning stages was essential.
- The time and resources invested in assessing the existing capacity of the communities and determining the appropriate level of participation was an important element of the project design.
- Involvement of youth in educational and watershed rehabilitation activities was key to promoting long-term project support
- The determination and interest of individual community members and a strong sense of family / historical connection to the area were some of the critical motivating factors for key stakeholders.
- Addressing issues such as the large number of private lands within the watershed, forest fires, land clearing, roaming livestock and destructive farming practices would be extremely challenging without the engagement of community members.
- Involvement of stakeholders has increased the overall capacity for watershed improvement; this is important for the long term sustainability of the initiative as local government agencies continue to be resource-strapped.

Peak Heaven: Nevis' community based forestry experience

Author: John Guilbert

Introduction – Peak Heaven

A. CBF arrangement
- Peak Heaven is located in southeast Nevis at the village of Rawlins in Nevis.
- Initiated in 2007
- Private funding
- This project was initially called Peak Haven. Its members were from the Herbert and Liburd families; the Maroon Community Group (NGO) and the Nevis Island Administration. Conflicts and roadblocks occurred and the alliance fell apart.
- The original goal of the initiative was to establish a nature park and campground as an ecotourism initiative on land claimed by the Herbert family. This area falls within a conservation area and project activities require planning approval. The Planning Unit was not successful in getting the Herbert family to comply with or produce the proper documents for the project.
    o The Herbert Family is the primary benefactor.
- Project activities include – walking tours, hikes, children's gym structures, play yard, restaurant, bush medicine, and maintenance of a camp site.

B. Background
- The native vegetation of this area is rain forest.
- The population is 200 people. Mr. Herbert owns 5 acres and family members own smaller portions.
- There are few jobs for locals, and the poverty level is high.

I. Decision-making and participation

- The government is mostly an observer in the process. However, it has intervened by giving the Herbert family permission to continue the project. There are no shared responsibilities for the area. This is a family oriented business.
- Mr. Herbert holds the title of Managing Director.

II. Success/impact of initiative

- The initiative creates some jobs and has revitalized a farming industry. It provides an eco-destination for tourists.
- The primary benefactors are the Herbert family. Tourism enterprises benefit as well.
- Local village folks are also benefitting. Tourists spend at the local stores. Farmers sell vegetables to the tourists.
- The creation of Peak Heaven has enabled the Maroon Community Group to initiate a ginger farm. The creation of Peak Heaven has enabled the Maroon Community Group (a tenant) to initiate a ginger farm, which has provided employment and income to local people. The Maroon Group is giving back to the community profits derived from their project.
- The government continues to stay at 'arm's length' from the project.

III.   Lessons learned and recommendations

- The government and the Herbert family need to resolve their differences. The Herbert family have demonstrated this is a profitable venture. The government should feel satisfied that this rainforest area is being protected and maintained. Yet, working the land over several generations does not justify ownership. Civil Society is governed by laws established by governments. Challenges to the government's authority should be done in a respectful way. The Herbert family should comply with the requirements as stipulated by the government, or risk losing the use of land that is very dear to them and their ancestors.
- Recommendations
  - The government should insist on compliance.
  - The Herbert family should produce the documents required or accept assistance from the private sector to meet the government requirements.

The Cuban experience with Integrated Forest Farms: the case of "La Aurora", Municipality of San Cristobal, Artemisa Province, Cuba.

Author: Efraín A. Calzadilla Zaldívar

Established under a national programme in 1998, the Integrated Forest Farm (IFF) is the smallest sustainable forest management unit within the system of Forest Enterprises in the country. These state-owned estates constitute forests or deforested areas, which are assigned to the live-in "farm manager" through a legal contract. He or she receives a salary for forestry production and is also entitled to 50% of the revenues from additional production of subsistence crops, livestock and fruit.

The case study farm "La Aurora" farm is located in a marginal area that was dedicated to sugar cane and livestock production, close to the peri-urban fringe of the city of San Cristobal. The area was initially nearly devoid of forest vegetation until a 17.4 hectare forest was planted behind the estate with mahogany and other plantation species.

The partners of La Aurora include the state-owned Integrated Forest Enterprise "Costa Sur" and its subordinate Forestry Business Unit (UEB) San Cristobal within which the IFF belongs.

Goals and beneficiaries

One of the main priorities of the National Forestry Estates has been the establishment of integrated forests and farms on the outskirts of cities, with the goals of rehabilitation of degraded areas, conservation of natural vegetation, promotion of protection forests and production forestry, and enhancement of the beauty of the landscape and environmental sanitation. "La Aurora" has as a specific objective the reforestation of the banks of the national highway.

The direct beneficiaries of the creation of the IFF are members of the nuclear family of the farm manager and six workers of the Forestry Business Unit.

The indirect beneficiaries are:

- The residents of the People's Council "Rio Hondo" with 1983 inhabitants.
- 40 students from 2 primary schools nearby, which participate in a nationally funded Environmental Education Project.
- Travellers and tourists who pass through the highway.

The key activities that take place on the estate are:

- Reforestation of marginal areas.
- Maintenance of plantations; silvicultural treatments: pruning and thinning.
- Fire-fighting measures: fire walking trails, mineral belts, etc.
- Production of roundwood.
- Production of agricultural crops, livestock and aquaculture
- Environmental education.

Participation and decision-making

In order to gain approval, the IFF must have a Project Management document, developed by specialists from the Forestry Enterprise with input from the farm manager, which states the objectives of the IFF, the technical-economic plan, the plan of activities for the farm manager, and the corresponding budget.

Costs and benefits

a) Human.

The estate manager benefits from additional responsibility and technical advice and training in silvicultural treatments, agroforestry, and other specialties.

b) Social

The farm manager has maintained a stable family and been recognised for his good work. His wife is the teacher for the environmental education project for schoolchildren of the community.

c) Physical

The farm manager's family lives in a house of wood and cement that has electricity and drinking water. However, the dirt floor and the furniture should be improved.

d) Finance

The constitution of the forest estate has helped to generate employment and income for the farm manager's family, the workers and the forestry UEB. The farm manager's household has earned additional income as a percentage from the sale of sawn timber, sales from a farm produce stall and the wife's monthly salary from an Environmental Education project.

e) Natural

The Environmental Education Project created an educational "Ecological Garden" comprised of orchards and additional forest area, as well as training and outreach activities, aimed at promoting the protection and care of forests and wildlife among young people and the community. This project has led to increased local knowledge and awareness of the importance of forests and environmental protection to human survival.

Currently almost all non-cultivated area (17.4 ha) is covered with forest. However, the most important achievement has been the contribution to the environmental sustainability of the town. The forest resources protect soil erosion, beautify the landscape, encourage wildlife proliferation and diversify production with fruit trees.

Lessons learned:

- In order to 'scale up' the program, it is necessary to address the lack of resources that limits the efficiency of farms. In addition, the factor that limits the creation of new farms is the availability of resources for the construction of housing for farmers.

- Give greater participation to the farm manager in the economic benefits generated by the additional production.
- Increase agricultural yields through the introduction of new agro-ecological practices and promotion of fruit species.
- Increase the number and the frequency of technical training opportunities for the farm manager to improve his performance.

Recovering the Southern Dry Forest: a case study of sustainable forest management with emphasis on community participation in the Dominican Republic

Author: Carlos M. García Cartagena

In the late 80's, the governments of the Dominican Republic and Federal Republic of Germany signed a cooperation agreement to implement the project "Rational management of the dry forest" in order to recover the dry forest area of the southwest of the country. This initiative was a pilot phase, which led to the implementation of an ambitious project during the 90's.

This project was implemented in all the dry forest of the southwest of the country in an area of 550,000 ha, where more than 18,000 families live. It delivered technical production criteria and guidelines for the proper management of forests that enabled the integration of ecological, social and economic factors, resulting in a model of sustainable management. The areas of intervention were: legal consulting, organizational consulting, provision of basic services, improving income, technology transfer and financial support for the establishment of agroforestry systems and silvicultural management according to needs.

This project gave birth to the Federation of Producers of the Southern Dry Forest (*Federación de Productores de Bosque seco del Sur,* FEPROBOSUR) promoting a highly participatory social dynamic prevalent today within the communities. The beneficiaries, who come from the poorest and most socially marginalized strata, are organized into associations affiliated to the Federation which is directly managed by its members to provide representation, coordination of marketing, and, general support for the economic interests of its members.

The systematic support given to these communities means that they have developed a sense of belonging, and further created a favourable situation by ensuring access to resources. It also ensured the adoption of management techniques and models for sustainable use by the community.

The changes that have occurred in the communities studied include:

- The recovery of forest cover
- More control in resource management
- Better understanding of the potential land use
- The elimination of intermediaries through direct sales and collective marketing
- Increased participation of women in the production dynamics and processes of decision-making of the communities
- Centralized processes resulting in a greater ability to offer products

The multisectoral approach taken by state policies, consistent lines of action, and the continued support of cooperation for development are among the key factors in the success of this process. However, the main element is the empowerment of beneficiaries to assume a proactive role and become actors in their own development.

Since the project ended in 1997, several elements have played a key role to ensure the sustainability of the initiative in the long-term:

1. Training users in management techniques and models of sustainable use of the dry forest. This knowledge has been applied to:
    *   maintain vital ecological functions such as regeneration and genetic diversity of species;
    *   protect water sources and courses;
    *   establish protected and conservation areas.
2. Compliance with existing forestry regulations has enabled rural landscape-scale management.
3. The empowerment of grassroots organizations to become agents of their own local development.
4. The increase in revenue due to the elimination of intermediaries has created a better distribution of income, which has allowed the acquisition of products that provide a better standard of living in most houses.
5. The diversity of primary products generated and the indisputable quality of them (posts, poles, beams, charcoal, etc.).

Among the challenges and threats identified is the inability of associations to update and submit the management plans for their respective groups to the competent authority. This limits them to the use of dry wood only and not green wood as it is used by other private projects in the area.

The biggest obstacle to overcome is the impasse generated by the change of management category of the Forest Reserve "Cabeza de Toro" due to the creation of Anacaona National Park, established by the Decree 571-09 of the Executive Power. This decision has caused many conflicts and may override the key, exceptional criteria for which this initiative is noted, including:

Technical:
The boundaries of the Anacaona National Park created by the Decree 571-09, overlap the limits of the Cabeza de Toro Forest Reserve, which was established by the Law 202-04, resulting in two protected areas with two management categories for the same geographical area.

Legal:

The Decree 571-09 implies the modification of the Law 202-04 in regard to the boundaries and management category of Cabeza de Toro Forest Reserve. Since in the Dominican legislation, a decree is an instrument of lower hierarchical power than a law; this decree is legally invalid and can be challenged or disputed.

Socio-economic:

The communities were not consulted in this process, violating the customary law with respect to land use and utilization of forest resources, which have been sustainably managed for nearly two decades.

In this regard, the recommendations of this study are:

1. Stop the negotiations and terminate the agreements relating to the Anacaona National Park that may have been signed under the Decree 571-09;
2. Review existing legislation to detect other possible inconsistencies; since other protected areas created by the same decree are also affecting other communities

3. Clearly define the objectives of conservation for the protected area to make sense of the management category chosen.
4. Develop a participatory management plan that will:
   - Find a balance between protective actions and local needs;
   - Contrast the effectiveness of the strategies set for conservation objectives in terms of balancing conservation vs. production
   - Identify and take advantage of the training offered by international NGOs;
   - Zone the protected area for different intensities of extraction on the basis of the technical and practical experience of the community;
   - Identify sources of funding for its implementation;
   - Set the basis for a new agreement between the Ministry of Environment and FEPROBOSUR.

Case study of community-based forest management: reforestation at Chaudry, South-eastern Haiti

Author: Emmanuel Benoit Dextra

The future of Chaudry – as is the case for the entire country – is in jeopardy. This is due to various problems that have developed over successive decades, including: the unfavourable distribution of rainfall, the acceleration of the population growth rate, shifting cultivation, erosion and deforestation.

In order to offset these problems, a group of people, decided to begin voluntary community management of the wooded part of the Chaudry locality in the 2ND Section of Mare Briole in the southeast of Haiti. This group has come together under the rubric of a voluntary association known as ALINA, or the Liberal National Association,

The community is at an altitude 1700 meters. In the project area, there are pine forests with an understory of ferns and broad-leaved forests composed of native species.

To carry out community management of wooded areas, ALINA implements two principal activities: protection and conservation of forested areas and production of small family groves in the vicinity of their homes. This initiative has proceeded without the support of central authorities. Local authorities have provided regulatory backing on occasions when local volunteers have acted to restrict forest destroyers. It has received material support from an international and a national NGO.

More than roughly ten hectares have already been planted through the establishment of woodlots and roughly twenty hectares protected. With respect to human assets, the initiative there has brought about a significant shift the mentality and behaviour of the community with respect to natural resources.

From the social point of view, some households have benefitted from a chicken raising project as alternative income. Those whose income was most depended on forest protection destruction were prioritised for participation. Others have benefitted from the distribution of certified seeds, which guarantees them a better harvest.

These social achievements have furnished the people with the economic means improve their livelihoods. In terms of natural assets, an increase in the forested area has been observed, allowing for better protection of native and endemic species of flora and fauna in the area. There has been reduced soil erosion during the rainy season, which has protected gardens, livestock, and human life.

Lessons learned:

- In order for community management of forests to succeed, it is necessary to:
- educate people on the problems of environmental degradation,
- make them aware of their responsibility to participate in change,
- include all sectors of rural life,
- educate children and encourage them to participate in decision-making,

- take measures for enforcement, and
- take actions to protect and rehabilitate forests (e.g., reforestation, soil conservation)

Recommendations

- There should be a law providing local communities with the authority to establish and enforce community-based forest management in Haiti;
- This model should be encouraged and reproduced in other parts of the country;
- The central government should encourage rural development;
- Rural organizations should be formed to work for environmental protection and sustainable development.

A case study on the Ituni Small Loggers Association, Guyana

Author: Godfrey Marshall

The services of some 1,200 mining operatives, resident in Ituni Village, Upper Berbice River, Guyana, were terminated in 1983 due to the closure of bauxite operations in the vicinity. In the absence of any immediate and feasible economic alternatives, a large number of the ex-miners adopted chainsaw milling technology and turned to State forests to meet their livelihoods.

The Guyana Forestry Commission (GFC), grants small scale loggers access to State forests via State Forest Permissions (SFPs), which are subject to a number of conditions in line with national sustainable forest management practices and standards. It emerged that only twelve ex-miners were able to meet the criteria to obtain a SFP respectively within the area of State forests available for allocation in the vicinity of Ituni, leaving the livelihoods of many residents *still* in jeopardy. Some of the residents managed to find work with the holders of SFPs while others, out of frustration, engaged in illegal logging, attracting the ire of the GFC and of the residents who were lawful holders of the SFPs.   In 2001, in an attempt to resolve the tension in the community, 56 local 'loggers' (including 11 women) formed the Ituni Small Loggers Association (ISLA) with technical and legal assistance from the GFC.

The core objectives of ISLA included:

a)   acquiring sufficient State forest resources to meet the requirements of its members;
b)   sourcing technical assistance from agencies and NGOs, who were more disposed to helping *groups* rather than *individuals*; and
c)   ensuring logging practices meet the national standards.

The residents who were holders of concessions agreed to cede them to ISLA and the GFC committed itself to sourcing additional forest resources for ISLA. In July 2003, GFC granted ISLA a Timber Sales Agreement (TSA), for 35,617 hectares for a renewable period of five years. The security of tenure associated with the TSA facilitated wide-ranging donor support. TSAs however carry onerous financial and administrative obligations-including the preparation and implementation of a forest management plans and annual plans of operations.

Unfortunately, members struggled with collective ownership and administration of the forest resources allocated, choosing to work individually rather than *collectively*. Naturally, those residents with relatively better assets and business practices thrived, leading to disproportional income levels between members and frustration and tension at the community level. For nearly six years, and in spite of significant material interventions by various donors, ISLA struggled to achieve viability as an organisation and eventually was unable to meet its timber harvesting targets and its overhead costs linked to the TSA. In effect, ISLA defaulted on its obligations to the GFC. On February 12, 2008, ISLA wrote the GFC seeking the dissolution of the TSA, and at the same time proposing the division of the concession area into seven discrete units and that these units be issued as (seven) SFPs to ISLA. GFC accepted the proposals.

Ten years later on, ISLA has achieved its core objectives. Maturing as an organization, it has virtually eliminated the debilitating illegal activities by its own members, it has hired two full time

administrative employees, the executive committee meets monthly and audited statements for 2010 are already in preparation.

It is apparent now that about ninety-percent of the residents of Ituni depend on timber resources for their livelihoods. It follows therefore that any major reduction in the quotas of merchantable timber, whether through national forest policies, local forest management practices or forest degradation, could see ISLA (and Ituni Village) revert to a similar situation as in 1983. Clearly, there is the need for more diversity in income streams for the strategic conservation or enhancement of residents' livelihoods.

Fortunately, ISLA is sitting on top of considerable wealth-ISLA has ten SFPs totalling 52,227 hectares at July 31, 2011- and stakeholders are still very supportive. For example, the GFC has established an office within the community to improve its extension efforts. In addition, an EU-Tropenbos' *Chainsaw Milling Project*, implemented locally by Forestry Training Centre Incorporated and Iwokrama International Centre for Rain Forest Conservation and Development chose Ituni as a pilot community in 2007 and since then has provided major material support for ISLA; a major project output to date has been the formation of an *Ituni Women in Action Group* that is engaged in enterprise based on NTFPS.

Lessons learnt

For ISLA, diversity of economic activity is the key to sustainable livelihoods now and in the long term.

For group dynamics within Small Loggers Associations (SLAs) to evolve to a stage where there is unity of purpose and a shared vision about the future, there is the need for continuous nurturing from external stakeholders. Ideally, interventions should first focus on governance issues that foster cohesion and a shared vision, followed by material support.

Community based sustainable forest management initiatives in Belize: a case study of three villages in Toledo District

Author: Tanya Santos

This case study discusses three community based sustainable forest management initiatives in the Toledo District of southern Belize, located in the villages of Conejo, Santa Teresa and Boom Creek.

In each of these communities, community based forest enterprises have been established to undertake and implement sustainable timber harvesting under forest management plans (Rax Mu Q'Iche in Conejo, Q'Iche Ha in Santa Teresa and Boom Creek Lumber Production Association in Boom Creek). Conejo and Santa Teresa have both worked with the guidance of the Sarstoon-Temash Institute of Indigenous Management (SATIIM). The Ya'Axche Conservation Trust was pivotal in assisting the village of Boom Creek in their management and operational plans. Financing for the development of forest management annual operations plans, as well as training sessions was acquired through grants from USAID and the FAO.

All three communities have listed sustainable forest management as the overarching goal with socio-economic needs as a specific objective. The key activities of all three community-based sustainable forest management initiatives are identified under specific objectives: i) identify floristic composition of the forest, ii) determine its sustainable productive potential, iii) establish technical guidelines for sustainable management, and iv) define the environmental impact mitigation measures.

All three sites are located in lowland broad-leaved forest, with scattered agricultural parcels within the community lands. In 2002 it was estimated that 79% of the population of Toledo District was living in poverty and 56% of these in indigent poverty (the largest percentages across the country). Conejo and Santa Teresa villages are both Q'eqchi Maya communities practicing subsistence farming. At the 2000 census, the population of Conejo Village was estimated at 131 people and Santa Teresa at 352. Boom Creek Village is a majority Mestizo community with a population of 100 in 2000. Communal land ownership was awarded to Conejo and Santa Teresa by the Supreme Court of Belize in 2007 and 2010 respectively. The community land in Boom Creek is still the property of the state.

Decision-making and participation:

The Forest Department (Ministry of Natural Resources and the Environment) role includes the approval of forest management plans, issuance of long term forest license, technical guidance, and the monitoring of management plan implementation. However, very little technical support was given during the development of the management and operational plans, nor with their implementation. It has only approved the plans and granted the licenses to operate. There is no decision making authority vested in the communities and also very little participation apart from lobbying for approval, with NGO support.

Livelihood benefits:

Human: Members of the community forestry enterprises have received capacity building in technical aspects of sustainable forest management and business managements.

Social: The initiatives have seen an increase bridging of networks among the key players, general buy-in by wider community, and plans to establish trust funds for community development. Some families opt not to participate because they lack time or interest, or because they have other options available to them.

Financial: It may be safe to assume that income sources have been diversified for those families involved in the forestry enterprise. The profit-shares these men bring home not only benefit their families, but will have a multiplier effect when spent in the community.

Natural: Access to forest resource for timber harvesting, shown to be viable under sustainable management regimes, has been secured as communal property for Conejo and Santa Teresa by the Supreme Court rulings of 2007 and 2010. The approved long term forest license and sustainable management plan promises Boom Creek a more secure and sustained access to the forest resources.

Factors of success and recommendations:

The community based forest management initiative has arrived at this point today, primarily because of the efforts of the communities and enterprise members and the support of NGOs.

Significant energies and resources need to be invested in strengthening the human and social capital of the enterprises. Apart from the resources of the NGOs, the community groups can establish and formalize long term partnerships with local institutions which have the expertise to fill in some of the gaps in capacity, such as the Forest Department. However, thus far limited involvement and participation by the Forest Department has hindered progress, especially in the approval process. With more involvement the FD could provide technical assistance to the groups, and improve the networking relationship

Financing is required for continued capacity building and to develop infrastructure for the enterprises.

The judgement of the Supreme Court granting indigenous land rights to Conejo and Santa Teresa should be implemented.

Finally, forest policy and legislation should be updated to accommodate community-based sustainable forest management as a tool in sustainable forest management.

Preserving the forest for Community development in Pokigron: a community forestry case in Suriname

Authors: Maureen Playfair and Mayra Esseboom

The indigenous and maroon (slave-descended) communities in the far interior of Suriname have only limited access to timber markets. Their forest use consists of subsistence production of timber and NTFP's, and the practice of shifting cultivation. Traditional management under leadership of the local authorities has up to now preserved the forest. The situation of the communities in close vicinity to access roads is completely different. Under the stipulation of the Timber Act of 1947 these communities were granted community forests, which could be used by the villagers for subsistence. Since they lack the financial means to invest in capital intensive timber production activities, communities have leased out their resources to timber companies. These companies have logged the forests of the communities without concern for sustainable management. Many forests are therefore depleted. Furthermore, certain members of the villages had not received any benefit from the forests and were even hindered by these companies from using the forest they traditionally used for subsistence.

An exception to this sad story is what happened in Pokigron. The village Pokigron is situated about 200 km from Paramaribo and today has approximately 300 inhabitants. In 1979, the construction of the Pokigron road opened up access to land. The national government had set a moratorium on the issuing of concessions for this newly opened up forest in order to introduce sustainable forestry. The local organization STIWEPO was founded in January 1991 to help re-establish the previously abandoned maroon village and assist the inhabitants to resettle. STIWEPO, in consensus with the traditional authorities, proceeded in 1994 with efforts to obtain formal rights over the forest. In 1998, STIWEPO obtained a ten-year, renewable timber concession of 12,000 ha for commercial exploitation of the forest, while the local government obtained the rights over a 'communal forest' for subsistence activities. The difference from other requests for forestry licenses, however, was that along with the processing, actions were undertaken to provide the community with the capacity to maintain control over the forest resource.

Despite delays in the fulfillment of promises by the state authorities, as a result of the strong leadership within the community, the efforts of the foresters and the help of NGOs, the forest remained under the control of the community, protected from both national and international logging companies with destructive track records. The secret for success was that people through various information sessions financed by NGOs, such as WWF and Tropenbos International and executed by state and NGO foresters, became aware of the need to practice sustainable forestry, in which both the subsistence needs as well as the need for commercial production are met. With the financial assistance of an international NGO and technical assistance of the professional foresters, management plans have been prepared. The traditional leadership agreed to solve the most pressing need for income by giving local entrepreneurs the opportunity to be engaged in small scale timber production in a part of the area. The Center for Agricultural Research in Suriname (CELOS) contributed to the promotion of new income opportunities for women through research on processing of palm fruits and marketing of the special oil products. Training has improved their skills in marketing and processing. A number of young men have been trained in forestry skills. Pokigron as a community has reached a common understanding on how to set the path for further development of the village. STIWEPO is exploring opportunities for establishing

partnerships with timber companies and/or obtaining the investments to finance its own logging and processing company.

The strong social capital base of the village, good governance by the traditional local authorities, and politically conscious leaders in the local organizations contributed to success in Pokigron. Their second asset was the availability of committed external assistance from professional foresters in government and NGO's.

However, external support should go further than capacity-building. To sustain community controlled management and optimal benefits for communities, financial inputs for investment in commercial operations are needed. In addition to investments in technical capabilities, actions for building strong leadership and awareness on environmental issues in the communities are crucial.