



**CARIBBEAN NATURAL RESOURCES INSTITUTE
(CANARI)**

**PARTICIPATORY FOREST MANAGEMENT IN THE
INSULAR CARIBBEAN: CURRENT STATUS AND
PROGRESS TO DATE**

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Executive Summary

Introduction

Participatory forest management (PFM) can be defined as *structured collaboration between governments, commercial and non-commercial users, interested organizations and community groups, and other stakeholders, to achieve shared objectives related to the sustainable use of forest resources*. The approach has attracted increasing interest in the Caribbean, and in 1999 the Caribbean Natural Resources Institute (CANARI) began a three-year regional programme on building capacity for PFM. The programme, whose scope is the insular Caribbean, receives financial support from the European Commission. As part of the programme, CANARI conducted a survey in late 2001 and early 2002 to assess the use of PFM in the ten countries of the region¹ and the ecological, economic, social, institutional, and policy impacts it has had.

Literature reviews, focus groups, and questionnaires administered to the heads of forestry administrations in each country were used to assess the policy and institutional environment for PFM. To assess impact, the study identified and analysed seventeen cases of participatory forest management in eight countries. The preliminary findings of the study were presented for review at a regional conference on participatory forest management, organized by CANARI and held in Jamaica in early 2002, and comments received were incorporated into the final report.

The current place of participation in forest management

For at least the last decade, forest management has been changing throughout the world, in response to demands for greater equity in the allocation of forest resources and to the failure of traditional forestry approaches to achieve objectives of sustainable development. Increasingly, stakeholder participation has become an important element of forest management strategies. In the Caribbean, this trend has been supported by NGOs and regional and international organizations such as CANARI, the United Nations Food and Agriculture Organization (FAO), and the Organisation of Eastern Caribbean States. Information about PFM has also been spread from one country of the region to another through well-developed links between Caribbean forest managers.

The interest in participatory approaches has had a major impact on national forest policy over the past five years, with many countries revising forest legislation, policies, procedures, and management plans to include directives and strategies for stakeholder participation in decision-making and management. In many cases, however, these policy changes are taking place within a broader context of continuing centralized management, thus limiting their scope and potential effectiveness.

Government forestry agencies in the Caribbean often have broader mandates than the management of forest resources and may be responsible for resources such as wetlands, protected areas and wildlife as well. These agencies have increased their efforts to work with and through non-governmental partners, and have in some cases been pushed along this path by international assistance programmes. Considerable training for forestry administration staff has taken place over the past several years in fields related to PFM. This training has included

¹ Antigua and Barbuda, Cuba, Dominica, Dominican Republic, Grenada, Haiti, Jamaica, St. Lucia, St. Vincent and the Grenadines, and Trinidad and Tobago

regional and national workshops, many organized by CANARI and the FAO; in-house workshops and courses; and in a few cases, advanced university degrees for senior personnel. All countries surveyed had made use of these opportunities for at least some members of their staff. On the other hand, non-governmental stakeholders, including community-based organizations, NGOs, forest resource users, and private landowners, have received little training that would help equip them to be effective partners. This problem is widely recognized if not yet systematically addressed.

Although in many countries experience in the use of PFM is still quite limited, forest managers generally view it as useful in securing public support for forest resource protection and management. The costs, in terms of both staff time and money, of effectively engaging stakeholders in management arrangements are a widespread concern, especially since the budgets of most forestry agencies do not include any provision for such expenses. These costs include training and technical support for non-governmental partners, whose capacity is often overestimated initially. In many cases, support for PFM activities has come from donor agencies and is therefore short-term.

Non-governmental stakeholders tend to see PFM within a larger context of sustainable development with links to other sectors and issues. Their involvement in PFM arrangements often reflects an interest in increased income, improved livelihood security, or enhanced quality of life through the improved management of forest resources.

Analysis of cases

Both governmental and non-governmental stakeholders have initiated PFM activities, as the seventeen cases that were analysed demonstrate. While forest management agencies or NGOs initiated most activities, community groups, businesses, local resource users, and technical assistance organizations started others. Because the motivations of these stakeholders differ, negotiation on objectives is generally needed, resulting in projects that have both environmental and socio-economic dimensions and that require input from a range of non-traditional actors, such as water resource management agencies, development NGOs, ministries of community development, and tourism operators. The different stakeholders often play multiple roles, including mobilizer, partner, facilitator, regulator, and technical advisor. NGOs have been crucial in supporting the participation of weaker community and resource user groups.

The types of arrangements include strict contractor/contractee relationships, informal and formal management agreements between stakeholders, and multi-stakeholder decision-making bodies. Each of these types has different characteristics, advantages, and constraints. The more stakeholders are involved in the arrangement, the greater its potential management effectiveness, but also the greater its potential for conflicts between stakeholders.

Lasting PFM arrangements have a number of characteristics in common, including committed and sustained leadership; national forest policies that provide support and guidance for collaboration; respect for the objectives of all parties, even when they differ; clearly defined roles and responsibilities that fully address management needs; management agreements that define and protect the rights of all parties; benefits to each party that are commensurate with their responsibilities; and mechanisms for ongoing dialogue and negotiation.

Impacts of PFM

Much more research is needed to fully understand the impacts that PFM has had and potentially could have. However, the review of the cases uncovered significant positive impacts, as well as unanticipated negative ones that may disproportionately affect poor or otherwise marginalized stakeholders.

The impacts that were identified include:

- C *Ecological*: In several cases, participatory arrangements have stabilized use patterns and controlled overuse, improving the quality of the managed resources and in one case resulting in higher levels of productivity of tree species being harvested.
- C *Economic*: The livelihoods of a number of PFM partners who depend on forest resources are more secure as a result of better managed forests (whose products can be sold at a higher price), increased skills, and the exclusion of competitors. A few participatory arrangements have also generated local employment. But the livelihoods of those excluded from access to forest resources have become less secure, with fewer economic opportunities.
- C *Institutional*: The major impact of PFM has been on the culture and attitudes, and in some cases structures, of forest management agencies, which have become more focused on the role of forests in national and local development. There has also been an increased use of management agreements between governments and other forest stakeholders, but difficulties in moving away from traditional structures and relationships has been a limitation in fostering co-management. The involvement of external assistance agencies has had both positive and negative impacts, on the one hand supporting capacity-building, while on the other hand fostering dependency on outside financial and technical support.
- C *Policy*: While there is little direct evidence of the policy impacts of PFM, the use of successful cases as advocacy tools both nationally and regionally appears to have moved policies in directions more favourable to participation in some cases.

Conclusions and recommendations

The major conclusions of the survey are:

- C Forest policies in the Caribbean region are becoming more supportive of participatory approaches, but the overall policy framework still tends to favour centralized forms of management. Greater stakeholder involvement in policy formulation and systems for continuous and participatory policy review are needed to increase the pace of change.
- C There has been uneven progress in developing institutional capacity for PFM in different countries of the region, and non-governmental stakeholders in particular are in need of support for their capacity development.

- C Despite the limited number of functional PFM arrangements in the region, many cases appear to be providing environmental and socio-economic benefits, but the extent of these benefits has not been quantified and the negative impacts are not well understood.
- C Since the success of PFM arrangements appears to depend on the provision of acceptable benefits to stakeholders, greater attention is needed on optimizing returns.
- C National, regional and international organizations with an interest in forest management should take into account the following research needs in the development of future initiatives:
 - the forms of training and technical assistance that are most effective in increasing the capacity of the different partners to engage in PFM arrangements
 - the positive and negative ways in which PFM arrangements affect different stakeholders through changes in power relations, development of new rules regarding access to forest resources, the allocation of rights and benefits, and the imposition of new or changed responsibilities
 - the characteristics of effective and equitable processes of negotiation among PFM partners regarding objectives, actions, and allocation of rights, responsibilities, and rewards
 - the characteristics of efficient and cost-effective systems for monitoring the effectiveness of PFM arrangements in meeting ecological, economic, social, and institutional objectives
 - the costs and benefits of decentralized versus centralized management arrangements.

Introduction and Objectives

Over the past several years, there has been increased interest in the use of participatory approaches to forest management in the Caribbean region. Through the support of the region's governments and non-governmental organizations, international development agencies, and regional organizations, this interest has been translated into increasing action on the ground. Because future directions in forest management should be informed by the lessons from this experience, the Caribbean Natural Resources Institute (CANARI) carried out a survey, the first of its kind, in late 2001 and early 2002 to assess the extent of the use of participatory forms of forest management, and their ecological, economic, social, institutional, and policy impacts. For the purposes of the survey, participatory forest management (PFM) was defined as *structured collaboration between governments, commercial and non-commercial users, interested organizations and community groups, and other stakeholders, to achieve shared objectives related to the sustainable use of forest resources*. This paper reports the results of the study, which was part of a larger three-year programme entitled *Building Capacity for Participatory Forest Management in the Insular Caribbean*, funded by the European Commission through Financing Agreement B7-6201/98/11/VIII/FOR and implemented by CANARI.

The geographic scope of the study was the ACP countries of the insular Caribbean with active programmes in forest management: Antigua and Barbuda, Dominica, Dominican Republic, Grenada, Haiti, Jamaica, St. Lucia, St. Vincent and the Grenadines, and Trinidad and Tobago. Through the assistance of the FAO, it was also possible to include Cuba in the survey.

The survey's purpose was to provide a database of information on existing policies, institutional structures, approaches, and attitudes related to participatory forest management (PFM) in the region, in order to:

- C determine the extent of the use of participatory approaches to forest management and the types of approaches employed
- C assess the extent to which forest policies and the attitudes of forest managers support participatory approaches and how they have evolved in recent years
- C identify the factors that are important to the success of PFM arrangements and the requirements for putting these factors in place
- C provide a baseline against which future progress and trends in participatory forest management can be assessed.

Method

Data were collected for this project through a range of methods including questionnaires, surveys, literature reviews, and guided discussions in focus groups and meetings with a selected sample of stakeholders.

The major instrument used to determine the current policy and institutional environment for participatory forest management was a questionnaire prepared in English, French, and Spanish, and sent to the heads of forestry administrations in the countries surveyed. A summary of responses received from the questionnaire is included at Appendix A. Ninety percent of the questionnaires were completed, with only Antigua and Barbuda not submitted, due to the untimely resignation of its Chief Forest Officer. These questionnaires provided detailed information on:

- existing forest policies and legislation as they relate to PFM
- attitudes of forest management agencies regarding the value and usefulness of PFM
- institutional responses and support systems for PFM
- existing cases of PFM
- PFM capacity needs of forestry administrations and their non-governmental and private sector partners.

In order to develop a catalogue and typology of PFM in the region, several methods were used to identify cases, including consultation with CANARI staff, colleagues, and key informants in each country, and a review of the country reports prepared for the Tenth Caribbean Foresters Meeting, held in Guyana in June 2000, on the subject of community forestry. Only cases that met the survey's definition of PFM were included in the catalogue and subjected to further analysis. Information on these cases was collected for analysis through the use of survey forms (copy attached at Appendix B).

Other aspects of the EC-funded programme *Building capacity for participatory forest management in the insular Caribbean*, particularly the field research and two regional conferences, contributed additional information for the survey on the attitudes and perceptions of both governmental and non-governmental stakeholders.

A major regional forest policy study carried out by FAO, with support from the European Commission, in 1998 (FAO 1998) served as a baseline for assessing policy change over the course of the programme. The first regional conference on participatory forest management, held in Grenada in 1999 (CANARI 1999), collected baseline information on attitudes, perceptions, and practice, particularly within the region's forestry administrations.

Preliminary findings of the survey were presented for validation and feedback at the second regional conference on PFM, held in Jamaica in February 2002 (CANARI 2002); and comments received were incorporated into this report.

The Current Place of Participation in Forest Management

The most recent FAO assessment of the state of the world's forests notes a worldwide trend towards more participatory approaches to forest management, with a realignment of the roles and responsibilities of government, civil society and the private sector (FAO 2001). This shift is a response to a wide range of factors, including the downsizing of forestry agencies as a result of national budget cuts; demands from civil society organizations for greater participation in forest management decision-making; and an increased emphasis on objectives of poverty alleviation, economic development and social equity in the management of natural resources.

The Caribbean region is no exception to this global trend, and stakeholder participation has been an increasing component of strategies for the management of forests and other natural resources. Regional organizations have advocated increasingly for greater civil society participation in natural resource management; for example, the St. George's Declaration for Environmental Sustainability, agreed to by the countries of the Organisation of Eastern Caribbean States in 2000, requires the member states to ensure the meaningful participation of civil society and the private sector in natural resource decision-making. CANARI's own programme since 1996 has focused exclusively on creating avenues for effective and equitable participation of all stakeholders in managing the use of natural resources critical to development. In the dissemination of information on PFM, the region benefits from well-developed networks between national forestry administrations, which are supported and nurtured by international agencies such as the FAO, through the Caribbean Sub-Group of the Latin American and Caribbean Forestry Commission, and the International Institute for Tropical Forestry, through the organization of biannual Caribbean Foresters Meetings. Changes in policies and practices in one country, and the lessons learned from those changes, are therefore likely to be shared with and have an influence on other countries of the region within a fairly short period of time. In examining the status of and trends in participatory forest management, a regional scope is therefore logical and useful, and indeed the survey provides considerable evidence that the sharing of experience within the region has been a significant factor in the development of PFM approaches.

Policy environment

In the island countries of the Caribbean, forest resources tend to be limited in extent, largely accessible to the human population, and under constant pressure for conversion to other uses. In the absence of a strong surveillance and enforcement capacity, which none of the countries of the region can financially or politically afford, stakeholder participation provides the only avenue for effective management. While the FAO regional forest policy studies carried out in 1997-1998 produced no evidence of specific policy guidance on participatory forest management in any country of the region (FAO 1998), since that time three countries (Grenada, Jamaica, and Trinidad and Tobago) have prepared new forest policies, all of which place emphasis and provide guidance, to varying degrees, on stakeholder participation. In addition, Cuba, the Dominican Republic, and Haiti have added components related to stakeholder participation to their policy frameworks. Dominica, St. Lucia and St. Vincent and the Grenadines have no written forest policy document or recent forestry legislation; however St. Lucia does have a national forest management plan that guides state action in the sector, and St. Vincent and the Grenadines is now using participatory planning approaches and methods in the design of a major forest management and development programme.

Formal policy may not fully reflect the actual situation for various reasons. For example:

- C Jamaica's 2001 Forest Policy places considerable emphasis on collaborative management, but the 1996 Forest Act centralizes management authority in the person of the Conservator of Forests, and national policy generally supports centralized management. In order to bring the legislation in line with policy, the Forestry Department is looking into revising the Forest Act to permit the delegation of management authority under certain conditions.
- C The 1998 Forest Policy of Trinidad and Tobago, which guides the actions of the Forestry Division but has not yet been ratified by Cabinet, refers to "involvement of local communities as well as other civic interests in a participatory approach to management" but stakeholder participation is not mentioned in the policy's Guiding Principles, and the policy clearly places authority for forest management with the government and action on its strategies largely with the Forestry Division.
- C On the other hand, St. Lucia, although like some of the other smaller countries lacking a formal policy, is guided by a ten-year national forest management plan that includes community participation as one of its strategies. It also has a longstanding history of integrating collaborative approaches to management in its work, and a community forestry component has been included in the annual corporate plans and budgets of the Forestry Department since 1998.

Policies such as those for Grenada and Jamaica, which were developed through participatory processes, are most likely to recognize the possibility of shared responsibility and to define strategies on the basis of collaboration. Technocratic policy processes, which limit the input of stakeholders outside of ministries and departments responsible for forestry, tend to perpetuate models of centralized management.

Institutional environment for PFM

Because of small size and because timber harvesting is generally not a major use of forest resources in most countries, the term forestry tends to have a broader definition in the insular Caribbean than in other parts of the world. Forest management agencies are often given responsibility for resources that are not traditionally viewed as "forests", including mangroves and other wetlands, as well as wildlife and national parks, whether these are found in forests or not. Sometimes, a country's earliest experiences in participatory management involve these non-traditional aspects of forestry. For example, there has been stakeholder participation for decades in the management of wetlands in Trinidad, which fall within the mandate of the Forestry Division.

In all countries examined, government forestry administrations are increasing their efforts to work with non-governmental partners. International agencies, notably the United Kingdom Department for International Development (in Grenada), the Canadian International Development Agency (in Jamaica), and the World Bank (in Haiti) have supported, and even pushed for, this change. Without such a push, change has been slow, as traditional attitudes towards forest management are deeply entrenched in most of the region's forestry

administrations, whose hierarchical, bureaucratic structures are largely unchanged since colonial times.

Of the various stakeholders, forestry administrations have made the most progress in developing their capacity for PFM. All governments have recognized the need for staff training in methods and skills related to PFM and have secured training opportunities for at least some staff. The small size of many of the region's forestry departments has necessitated the sharing of resources for capacity-building, either across disciplines in the same country, or through regional or sub-regional approaches.

CANARI has conducted a series of workshops over the past three years on aspects of PFM that have attracted participants from all the English-speaking countries surveyed. Most of these workshops have brought together forestry personnel from several countries of the region, permitting the exchange of experience and ideas. Through the programme "Building capacity for participatory forest management in the Caribbean", CANARI has been able to provide financial support for many participants. The FAO, through its office in Barbados, has provided consistent technical and financial support for these workshops and generally has made capacity-building for PFM an important component of its work in the region.

In the forestry departments of Jamaica and Grenada, where there has been support from international assistance agencies, other training opportunities have been provided, including in-house short courses involving all staff and some of their partners in both countries, and training at the Master's level in fields related to PFM for selected senior staff in Grenada.

The capacity needs of non-governmental actors, particularly on the technical aspects of forest management, are widely recognized, but little progress has been made in this area to date. The level of management responsibility that these partners can assume therefore remains limited in many cases.

Attitudes and perceptions regarding PFM

The survey of heads of forestry administrations determined that all forestry agencies in the region consider their experience in participatory management to be generally positive. The benefits that they see, which are nearly all directly related to their own mandates of forest management and conservation, include the following:

- C PFM builds a sense of community ownership in forest management
- C it contributes to more effective protection and management
- C it increases stakeholder understanding of forest management issues and needs
- C it provides the potential for "shared benefits"

Those surveyed noted negative aspects of PFM also, as well as constraints to its implementation. The most commonly noted negative was the cost of developing and managing partnerships, in terms of both staff time and money. These costs are generally not included in the budgets available to forestry administrations, and must be covered through other sources, which usually come from externally funded projects. Where external support has been provided, there are concerns about maintaining activities and momentum once the project funding ends. Forest

managers note the need to make government and political decision-makers more aware of the advantages and benefits of participatory approaches, and thus more willing to support the costs.

While heads of forestry administrations are generally supportive of PFM, they have rarely been active promoters of the changes required to adopt PFM approaches. The impetus has come from external agencies, as noted above, and sometimes from staff in the field, who more directly see the advantages of working with resource users and other stakeholders and of more decentralized forms of management.

When forestry administrations begin working with non-governmental and community organizations, they tend to overestimate these groups' capacity to become partners in forest management. This may explain why little effort has yet been placed on enhancing the forest management skills and knowledge of civil society partners, although those countries that have gained most experience in PFM are beginning to place emphasis on these needs. Another reason for the low emphasis placed on building the capacity for partners is undoubtedly that the training budgets of most forestry administrations are too small to even meet the needs within their own staffs.

Another constraint that is noted by forest managers is the lack of well-established mechanisms for collaboration. For example, most forestry administrations do not have precedents or procedures for the development of memorandums of understanding or collaborative agreements with civil society partners. Developing new mechanisms or adapting existing ones is a difficult and time consuming process, and one for which most forestry administrations lack necessary skills and other resources.

Non-governmental forest management actors tend to see PFM within a larger context of local or national development. They see the links to other sectors and issues, and expect input from other branches of government in order to make those links. They often see PFM activities as a way to increase compliance with conservation measures by enhancing the environmental awareness of forest users, and therefore look for the involvement of schools and education ministries.

Non-governmental partners are aware of their lack of forest management skills, and rely on government to provide technical leadership, but also want to build their own management capacity through training and practice. While direct economic rewards are not generally expected from participation in management, many partners, particularly local ones, also expect benefits in terms of preferential access to forest resources, training, and information; improvements in the quality of the water and soil they use; or regularization of land tenure. This reflects an interest in returns related to increased income, improved livelihood security or enhanced quality of life.

Summary of changes and trends

Since the FAO policy study of 1998, the overall policy environment has clearly become more supportive of participatory approaches, and this trend appears to be continuing. Forest management agencies are universally placing more emphasis on working with stakeholders, and have increased their capacity to do so through sometimes extensive staff training and field exposure to PFM methods and skills. These changes can be attributed to a number of factors, including:

- C shrinking budgets for forest management coupled with more challenging management issues due to increasing demands on the forest resource
- C broad national policies favouring the devolution of management responsibilities
- C the importance placed by external assistance agencies on participatory approaches
- C the effective advocacy of the region's non-governmental organizations for greater civil society participation in management decision-making.

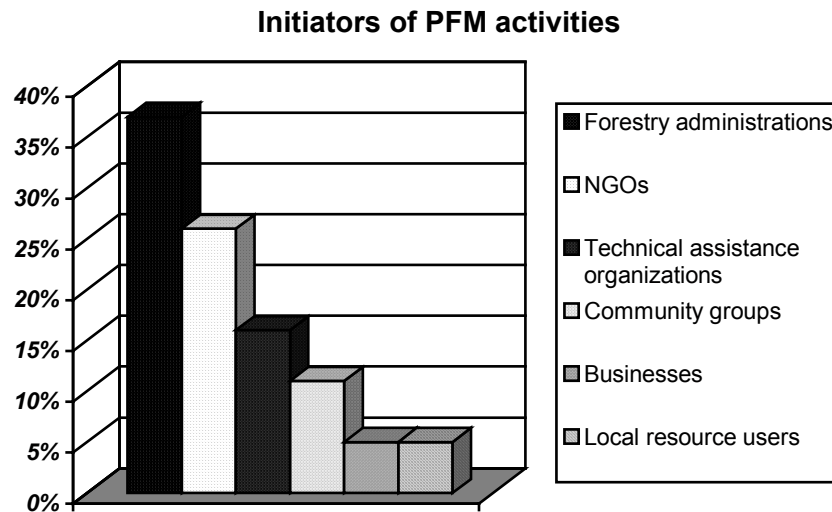
Both the costs and the benefits of PFM, as well as the requirements for its effective implementation, appear to be more clearly understood by leaders of forestry administrations. This improved understanding has not yet, however, widely resulted in concrete actions to overcome constraints including entrenched traditional attitudes, and inadequate staffing, funding, management capacity of non-governmental partners, and political support.

Analysis of Cases

The seventeen cases of participatory forest management that were identified and analysed are summarized in Table 1.

Initiators and objectives

The participatory forest management activities that were reviewed in this study have been initiated by forestry administrations, NGOs, technical assistance agencies, community groups, businesses, and interested individuals, with forestry administrations and NGOs being the most common initiators (see chart below).



The different actors appear to enter into these activities with differing objectives. When the initiator is a forestry administration, the motivation tends to be to improve capacity for management through the involvement of additional management actors. When other stakeholders are the initiators, the motives are often related to improving livelihoods, income, or quality of life. Some PFM advocates from the non-governmental side are interested in objectives relating to social justice through a more equitable allocation of resources, as well as cultural revitalization through a regained connection between local people and the resource base.

When both forestry administrations and non-governmental stakeholders are interested in the management of the same resource, they therefore can have quite different objectives that must be reconciled in order for all parties to benefit. Successful negotiations between the parties are likely to result in initiatives that have both environmental and socio-economic dimensions. However, when multiple and diverse social, economic, and environmental objectives are being pursued, input from a range of non-traditional actors is required. In the cases studied, these have included:

- C water resource management agencies, for input in watershed management issues
- C development NGOs, who tend to act as “brokers” between governments and local interest groups
- C ministries of community development, to address social issues arising from the activity
- C tourism entrepreneurs, for input on management of visitor sites and attractions in forest areas

Table 1

**Selected cases of participatory forest management
ACP insular Caribbean countries**

Country and Project/Initiative	Status	Purpose	Stakeholders (initiators in italics)	Arrangements	Issues/Comments
Antigua and Barbuda Wallings Forest site management	Dormant	To upgrade and maintain forest site for enhanced touristic use	<i>Private tour operators</i> Forestry Dept (FD) Local small tourism enterprises Local environmental organization	FD maintains site in return for stipend from participating tour operators.	Arrangement worked until additional tour groups, not part of the arrangement, were attracted to site. FD lacked capacity to broker their involvement. Stipends received went into general government fund and thus not used for site management. (Cooper pers. comm.)
Dominica Waitukubuli National Trail	Inception	To establish a major tourism attraction, reorient the national tourism product, provide local social and economic benefits through the establishment of a long-distance hiking trail	<i>Waitukubuli Ecological Foundation</i> Tour operators Local communities and small businesses along trail Private landowners along trail Hikers and visitors Forestry Division Ministry of Tourism	National Trail Steering Committee established, final arrangements not yet determined. (Renard pers. comm.)	

Country and Project/Initiative	Status	Purpose	Stakeholders (initiators in <i>italics</i>)	Arrangements	Issues/Comments
Dominica Portsmouth Indian River Tour Guide Association	Active since 1994	To create economic opportunities for local communities through ecotourism	<i>ENCORE (regional project funded by USAID)</i> Local tour guides Tour operators Other local tourism enterprises Forestry Division (FD)	Guides in Association trained and certified by FD; tour operators contract Association to provide guide services.	Has improved management of area and reduced conflicts with tourists (Williams and Gallion 2001).
Dominican Republic Salto de Limón	Active since 1996	To improve management of tourism site, increase local economic returns, build local management capacity	<i>CEBSE (national environmental NGO)</i> Small entrepreneurs Outside tour operators Ministry of Tourism National Parks Directorate	Management plan, developed through consultation, guides co-management arrangement involving community ecotourism association and tour operators (day-to-day management), Ministry of Tourism (regulation), and CEBSE (capacity-building).	Community empowerment objectives met, site management improved, tourism income increased, product quality enhanced. But negative economic impacts for some, and changes in power balance. (Lamelas 2000)
Dominican Republic Bosque Seco	Active since 1975	To assure the protection and sustainable use of forest resources for local economic development	<i>Local users of forest resources</i> Outside charcoal producers Government agencies, including forestry	Co-management agreement between government and umbrella organization of community associations, guided by an Action Plan.	Government incursion created crisis in 1975 that caused local response. Income has been used for community improvement work. (Pérez Canario 2002)
Grenada Forest policy process	Policy prepared in 1998; follow-up ongoing	To develop a forest policy focusing on sustainable use for local livelihoods	<i>Forestry Dept (FD), with support from a DFID-funded project</i> Forest users General public	Policy guidance calls for partnerships, and capacity now being developed to implement these.	Project had significant impact on local awareness and interest; resulted in cultural change for FD. Idea of developing a permanent stakeholder advisory body being explored. (Bass 2001, Joseph 2001)

Country and Project/Initiative	Status	Purpose	Stakeholders (initiators in <i>italics</i>)	Arrangements	Issues/Comments
Grenada Water for Life community environmental health project	Inception	To improve management of local river resource through community involvement	<i>ART (national NGO)</i> Community residents Forestry Dept (FD) Ministries responsible for health and community development	Management measures being developed; FD providing technical assistance. (Ferguson pers. comm.)	
Haiti Management of terrestrial parks and forest reserves	Suspended	To improve management of critical forested areas (forest reserves and parks)	<i>Government, through World Bank project</i> Government agencies Communities in or around areas Resource users Downstream communities Conservation groups	Local consultative committees established to advise Government on management and make it more locally relevant. National committee set up for monitoring and advocacy.	Project was suspended for political reasons, status of activities uncertain. (Pierre 2001, Renard pers. comm.)
Jamaica Buff Bay/Pencar Local Forest Management Committees (LFMCs)	Active since 2000	To enable the participation of communities in the management of forest reserves	<i>Forestry Dept (FD)</i> Local farmers and land owners Forest resource users Community organizations and NGOs and their members Other government agencies (National Environment and Planning Agency, Rural Agricultural Development Agency, National Water Commission, etc.)	Committees with membership open to all stakeholders provide guidance to FD on local forest management and input to Local Forest Management Plan, and collaborate with FD on specific management projects.	Buff Bay/Pencar were pilot LFMCs; work now underway to replicate in two other watershed units. Role of LFMC, management arrangements still evolving. (Headley and Bennett, pers. comm.)

Country and Project/Initiative	Status	Purpose	Stakeholders (initiators in <i>italics</i>)	Arrangements	Issues/Comments
Jamaica Enfield/Fort Stewart plant nursery and community forestry project	Inception	To create local economic opportunities, increase local involvement in watershed management, combat hillside degradation	<i>Pencar LFMC</i> <i>Forestry Dept</i> Local citizens' and farmers' associations Watershed residents Rural Agricultural Development Agency Other government agencies	Sub-committee of LFMC to develop and manage a nursery within Forest Reserve to provide seedlings for reforestation of leased area (pilot 12 acre plot) and sale to local residents and FD.	Focus is particularly on local women currently engaged in backyard horticulture. (Bennett pers. comm.)
Jamaica Blue and John Crow Mountain National Park	Formal collaborative agreement signed in 2001	To develop a co-management arrangement for a national park and forest reserve	<i>Forestry Dept (FD)</i> National Environment and Planning Agency (NEPA) Jamaica Conservation and Development Trust (JCDDT) Local residents and farmers General public Visitors	Formal collaborative arrangement between FD, NEPA, and JCDDT for management of the Park and overlapping Forest Reserve. Includes provision for input of local stakeholders through Local Advisory Committees, which are not however signatories to the agreement.	Original arrangement, delegating management from NEPA to JCDDT, was inadequate because it did not address issues of management of the Forest Reserve, which was the responsibility of the FD. While the new arrangement better addresses management needs, local stakeholders still not represented. (Headley 2001, Scott Dunkley and Barrett 2000)
St. Lucia Mankôtè mangrove management	Active since 1983	To minimize negative ecological impacts of charcoal production while increasing economic returns to producers	<i>St. Lucia National Trust (SLNT)</i> <i>CANARI (locally-based regional organization)</i> Charcoal producers Forestry and Fisheries Depts Charcoal users	De facto co-management arrangement based on draft management plan involving association of charcoal producers, government, and SLNT. CANARI has provided technical assistance, mainly to producers.	Mangrove has been conserved through arrangement; multiple benefits to participating charcoal producers; case has been documented and used for training nationally and regionally. (Geoghegan and Smith 1998, Hudson 1998)

Country and Project/Initiative	Status	Purpose	Stakeholders (initiators in italics)	Arrangements	Issues/Comments
St. Lucia Talvern riverbank rehabilitation	Active since 1998	To improve water quality from Talvern watershed	<i>Forestry Dept (FD)</i> Local farmers and landowners Water and sewerage authority Downstream communities	Talvern Water Catchment Group established to carry out watershed improvement measures with technical assistance from FD.	Water quality improvement has been detected since inception of project. (Raymond and Andrew 2001; James pers. comm.)
Trinidad and Tobago Asa Wright Nature Centre	Active since 1969	To conserve the forests of the Arima/ Blanchisseuse Valley and of the Northern Range in general for nature tourism	<i>Local organization (Asa Wright Nature Centre and Lodge)</i> Forestry Division (FD) Local residents and farmers Cocoa, coffee and citrus estate owners Tourists Squatters Small entrepreneurs	Private resources used to manage a significant portion of state forest reserve as well as private forest under formal arrangement between the AWNC and FD.	AWNC manages 1000 acres of forest lands acquired in various parcels, including 250 acres of forest reserve through a land swap leasing arrangement with Government and other acreage through direct purchase, resulting in successful watershed and wildlife protection, reduction in squatting, and steadily increasing revenues from eco-tourism which are ploughed back into land acquisition for conservation. (James pers. comm.)

Country and Project/Initiative	Status	Purpose	Stakeholders (initiators in <i>italics</i>)	Arrangements	Issues/Comments
Trinidad and Tobago Western Northern Range forest fire prevention and remediation	Active since 1987	To protect the forest of the Lopinot Valley, particularly from fire damage	<i>Local organizations (Protectors of the Environment and Surrey Village Action Committee)</i> Forestry Division (FD) Local residents and farmers Citrus estate owners Tourists Squatters Small entrepreneurs	Independent community initiative led by local groups; informal dialogue with and input from FD and some technical support from a national environmental NGO.	Government lacks resources to deal effectively with dry season fires in the Western Northern Range, which affect farmers and tourism industry in area. The local initiating groups have branched out to address other environmental issues. (John and Deyal 2001, Singh pers. comm.)
Trinidad and Tobago Aripo Savannahs ecotours	Inception; formal arrangement negotiated in 2001	To conserve biodiversity of a Scientific Reserve while developing its economic potential through controlled nature tourism	<i>Forestry Division (FD)</i> Sun Dew Eco-Tours Tourists Squatters Global scientific community	Formal arrangement between the FD and Sun Dew Eco-Tours to manage visitor use of the Savannahs. Stakeholder consultations undertaken in 2001 and 2002.	
Trinidad and Tobago Caura Recreation Site facilities management	Planning stage	To provide cost-effective visitor facility services at recreation site	<i>Forestry Division (FD)</i> Tourists Local community organizations	FD seeks to establish management agreement with community organizations to manage facilities.	FD lacks its own resources to manage facilities, which are demanded by visitors. (McVorrán pers. comm.)

Main actors

The main PFM actors identified in the cases include forestry administrations, other government agencies, environmental and development NGOs, community groups, private landowners and farmers, both commercial and non-commercial resource users, and international assistance agencies. The major roles played by these actors, in addition to that of initiator/mobilizer as described above, are as partners in PFM arrangements, facilitators of PFM processes, regulators of forest management activities, and technical advisors and supporters. The roles played by these actors in the cases analysed are indicated in Table 2.

Table 2
Major Actors in PFM Arrangements and Their Roles

	Mobilizer	Partner	Facilitator	Regulator	Technical advisor
Forestry administrations	X	X	X	X	X
Other government agencies		X		X	X
NGOs	X	X	X		X
Community groups	X	X			
Private landowners and farmers		X			
Resource users (subsistence and commercial)	X	X			
Regional organizations	X		X		X
International assistance agencies	X		X		X

There is a widely held perception among forestry administrations that their ability to enter into PFM arrangements is constrained by the weakness of many community organizations and the disorganized nature of resource user groups. Given the limited resources of most government agencies, NGOs often take on the role of mobilizing and building the capacity of local groups. They also sometimes act as the spokespersons for local stakeholders while capacity is being developed.

Institutional arrangements

The institutional arrangements found in the cases examined can be ordered along a spectrum, ranging from strict contractual relationships between two parties to multi-stakeholder arrangements that may or may not involve an actual sharing of responsibility (see Table 3).

Table 3
Typology of PFM institutional arrangements

Type of arrangement	Characteristics	Examples
Contractor/contractee	Objectives and outputs defined by the contractor Only defines the rights and responsibilities of parties to contract, not others who may affect or be affected by management	Caura recreational site facilities maintenance, Trinidad

Type of arrangement	Characteristics	Examples
Loose collaboration	Objectives generally defined by initiating party; entry open to others based on interest Parties not bound by a formal agreement	Waitukubuli National Trail, Dominica Water for Life project, Grenada Western Northern Range forest fire prevention and remediation, Trinidad Portsmouth Indian River Tour Guide Association, Dominica
Formal collaboration	Objectives defined jointly by parties to agreement Roles, responsibilities, rights and returns clearly spelled out and to some extent binding Important stakeholders may be left out, affecting the potential for achieving management objectives	Wallings Forest, Antigua Salto de Limón, Dominican Republic Blue and John Crow Mountains National Park, Jamaica Enfield/Fort Stewart plant nursery and community forestry project, Jamaica Mankòtè management, St. Lucia (<i>de facto</i> agreement) Talvern Water Catchment Group, St. Lucia Asa Wright Nature Centre, Trinidad and Tobago Aripo Savannahs Ecotours, Trinidad and Tobago
Multi-level formal collaboration	Similar to above, but permits involvement of greater number and range of stakeholders through nested formal agreements from grassroots to central government level	Bosque Seco, Dominican Republic
Multi-stakeholder bodies	Objectives defined by multiple stakeholders May not result in actual reallocation of responsibility but function only at an advisory level May influence or define policy Benefits to participants least direct; maintaining interest can be a challenge	Buff Bay/Pencar LFMC, Jamaica Management of terrestrial parks and forest reserves, Haiti Forest policy process, Grenada (advisory body planned) Talvern Water Catchment Group (wider advisory body)

Involving a wide range of actors, including both direct and indirect stakeholders, can result in complex arrangements as well as conflicts and tensions (for example, when some actors are perceived as not fulfilling their responsibilities). Formal agreements are important because they confirm the roles and responsibilities, as well as rights and returns, of all parties and can, if properly monitored and enforced, mitigate such conflict.

Characteristics of “successful” cases

An analysis of those cases that have stood the test of time and appear to have met forest management objectives while providing a range of benefits to stakeholders tend to have many of the following characteristics:

- C at least one technically competent actor, whether a government agency, NGO, or international assistance agency, takes the lead to get the process started and maintains support until the arrangement is functioning effectively
- C national forest policy is generally favourable to stakeholder participation and provides some level of guidance for the development of collaborative arrangements
- C the objectives of all parties are respected, even when they differ, and are compatible with overall management objectives
- C the roles and responsibilities of all parties are clearly spelled out and fully meet management requirements
- C the rights of all parties in the arrangement are secured through a formal agreement or other equally effective means, such as a policy directive or a management plan accepted by all
- C the benefits to all parties are perceived by the parties to be commensurate with their investments
- C mechanisms for ongoing dialogue and negotiation among the parties are effective and their rules are based on principles of mutual respect and equal rights.

Impacts of PFM

Despite the fact that participatory forms of forest management are still limited in number and scope in the region, and that few experiments are longstanding, the study identified a wide range of ecological, social, institutional, and economic impacts, many of them positive. Most of the impacts identified, however, are based on the assessments of individuals involved rather than more rigorous systems of monitoring or external evaluations.

Ecological impacts

Only one of the cases studied, the Mankòtè mangrove in St. Lucia, had systems in place to monitor the status of the resource, albeit indirectly through data on levels of charcoal production. In this case, data collected over a period of seven years show that production levels were sustained and increased where they had previously been falling (Hudson 1998). In four other cases, Talvern watershed in St. Lucia, Asa Wright Nature Centre in Trinidad, and Bosque Seco and Salto de Limón in the Dominican Republic, there is substantial empirical evidence that ecological objectives are being met and that there has been an improvement in the quality of the resources being managed. In all these cases, the collaborative management regimes have stabilized use patterns and controlled overuse through the exclusion of those resource users who are not part of the arrangement.

In the other cases examined, ecological impacts are not known.

Economic impacts

Over half the cases analysed aim to provide direct economic benefits to specific target groups, including partners in the management arrangement, or the local population generally; most of the remaining cases seek to generate indirect economic benefits of various kinds. Only one of the arrangements studied (Bosque Seco) is directly generating revenue. Other economic impacts stem largely from changes in the availability of resources and in stakeholders' capacity to exploit them. Although there are no hard data, it appears that the following economic impacts have occurred:

- C Livelihood security has improved for resource users involved in PFM arrangements in the cases of Mankòtè, Portsmouth Indian River Tour Guide Association, Bosque Seco, and Salto de Limón. This change is the result of three factors: a better managed and thus more sustainable resource base, more skilled and better organized resource users, and rights of exclusive or preferential access. However, in these cases, the livelihood security of resource users who have been excluded through these arrangements may have diminished.
- C A limited number of local employment opportunities have been generated, for example, through the employment of casual fire fighters in the Western Northern Range in Trinidad and forest wardens in the case of Bosque Seco. The Enfield/Fort Stewart plant nursery, though still in its inception phase, also aims to generate employment and income for community members.
- C The quality of resources being exploited or appearance of attractions being marketed has improved in some cases, permitting them to be sold at a higher price. Examples include the

visitor attractions at Asa Wright Nature Centre, Wallings Forest and Salto de Limón and charcoal produced in Bosque Seco.

- C In the case of Bosque Seco, community organizations that have been given management responsibility have earned income for community projects through the appropriation and sale of illegally harvested lumber and the levying of fees for the transport of forest products.

Social impacts

Some of the social impacts that have been noted regarding the cases under review include the following:

- C empowerment of stakeholder groups who have become active partners in PFM arrangements, resulting in improved self-esteem, especially for poor resource users, and in an enhanced capacity to advocate through the development of stakeholder organizations
- C alienation of resource users, often including the poor and powerless, that have been excluded through new management arrangements
- C opportunities for learning and information sharing, increasing stakeholders' management skills and capacity
- C shifts in local power dynamics due to changes in management regimes and use patterns, resulting in new conflicts and negative impacts on some sectors of the community
- C increased local awareness of forest management issues, needs, and resource potentials. When cases are documented or used for demonstration and training, the impact can be widespread.

Institutional impacts

The major institutional impact noted was the change in perceptions of forestry professionals of the role of forestry administrations, and indeed in what it means to be a forester. Experience in working with stakeholders has made forestry administrations more aware of the links between forests and development. It has also resulted in some cases in a shift in the perceived purpose of forest management agencies, from being the technical controllers and guardians of forest resources, to being the facilitators of their sustainable use, at the service of national and local development (Bass 2000).

In a few countries, this shift in perceptions is being translated into structural changes in forestry agencies, with the establishment of new positions and staffing structures, changes in job descriptions, and the development of formal partnerships and of mechanisms for stakeholder input (see Appendix A).

Management agreements between stakeholders clarify the objectives of management activities and assure their relevance to the parties involved. Given the past slow pace of change in forestry institutions and policies in the region, this is a positive outcome, which has helped bring forest management more in line with national conservation and development needs and priorities. However, all parties have had difficulty in moving away from traditional structures, and have sometimes sought to incorporate existing, but inappropriate or dysfunctional, institutional structures within new participatory arrangements. This is reflected in cases as diverse as that of the Caura Recreation Site, in which the Forestry Division intends to maintain its traditional

regulatory role within a partnership arrangement with a community group, and that of the Buff Bay-Pencar Local Forest Management Committee, in which the design of the Committee was partially determined by an unimplemented policy decision of another branch of government to establish local watershed committees.

The involvement of external agencies in advancing the uptake of PFM in the region has substantially contributed to building the capacity of forest management agencies, but has also in some cases resulted in excessive dependency on external financial and technical assistance and facilitation, with potentially painful transitions once the support comes to an end.

Networking between stakeholders across countries has resulted in cross-fertilization of ideas and exchanges of experiences. Contacts through regional workshops have in some cases resulted in ongoing collaboration between forestry personnel in different countries and between NGO and community stakeholders. Site visits during workshops have been particularly enriching, and methods to assess impacts need to be developed.

Policy impacts

Policy impacts of PFM experiences have not been examined in detail, although a study of the policy impact of the Mankòtè mangrove case is planned. It is however believed that use of local, national, and regional advocacy processes that draw on successful PFM experiences (e.g., Mankòtè, Bosque Seco, and the Grenada policy process) have resulted in shifts to policies more favourable to stakeholder participation. More concretely, early experience with the development of Local Forest Management Committees influenced the content of Jamaica's 2001 Forest Policy. It appears generally that experience with stakeholder participation, even if not fully successful, moves policy in a direction more favourable to participation. It is likely that international assistance agencies, which often have stakeholder participation high on their agendas and which have a significant influence on policy processes in the region, could be a factor in this trend.

It also seems likely that advocacy by regional actors such as the Organisation of Eastern Caribbean States' Natural Resource Management Unit and CANARI has resulted in greater awareness of the value of PFM at the ministerial level. Formal OECS decision-making fora now include agenda items on participation in natural resource management, including PFM. Thus, high-level decision-makers are more likely to understand their roles in addressing the policy issues highlighted in this report.

Conclusions and Recommendations

The major conclusions of the survey can be summarized as follows:

- C Forest policies in the Caribbean region are becoming more supportive of participatory approaches, but the overall policy framework is still not a fully enabling one. Broad national policies continue to favour centralized forms of management, and forest policies often continue to largely reflect the perspectives and objectives of the governmental sector. For policy to become more supportive of PFM, improved mechanisms for stakeholder involvement in policy formulation are needed, along with systems for continuous and participatory policy review.
- C There has been uneven progress in developing institutional capacity for PFM. Government forestry departments in some countries have made major strides, but others lag well behind. And the capacity of non-governmental stakeholders remains low almost everywhere.
- C The number of examples of functional PFM arrangements in the region is quite limited, but nonetheless reflects an interesting range of approaches, and many cases appear to be providing environmental and socio-economic benefits. However, because of the lack of systems for monitoring impacts, the extent of these benefits, as well as associated costs, is not known.
- C Since the success of PFM arrangements appears to be closely linked to the provision of acceptable benefits to stakeholders, greater attention is needed to optimizing returns, including through the development of entrepreneurial and technical skills. Building the case for PFM with decision-makers will also require systems for assessing its economic and social benefits and other impacts.

The survey uncovered the need for further research in a number of areas, including the following:

- C the forms of training and technical assistance that are most effective in increasing the capacity of the different partners to engage in PFM arrangements
- C the positive and negative ways in which PFM arrangements affect different stakeholders through changes in power relations, development of new rules regarding access to forest resources, the allocation of rights and benefits, and the imposition of new or changed responsibilities
- C the characteristics of effective and equitable processes of negotiation among PFM partners regarding objectives, actions, and allocation of rights, responsibilities, and rewards
- C the characteristics of efficient and cost-effective systems for monitoring the effectiveness of PFM arrangements in meeting ecological, economic, social, and institutional objectives
- C the costs and benefits of decentralized versus centralized management arrangements.

National, regional and international organizations with an interest in forest management should be guided by this research agenda in the development of future initiatives in the field of participatory forest management.

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Appendix A: Summary of results of survey of forestry administrations

1	Country	Cuba, Dominica, Dominican Republic (DR), Grenada, Haiti, Jamaica, St. Lucia, St. Vincent and the Grenadines (SVG), Trinidad and Tobago (TT)
2	Name of agency with lead responsibility for forest management	All countries have an agency dedicated to forest management Most report to ministries responsible for agriculture and/or environment
3	Number of staff, broken down by broad category if possible (e.g., management, technical, administrative)	Very wide range, from 26 (Dominica) to 2,500 (DR)
4	Have there been any changes in the national forest policy framework since the FAO policy review of 1999? If so, please describe.	New policies or laws in 4 countries (DR, Grenada, Jamaica, TT) Less comprehensive changes in 2 countries (Cuba, Haiti) No changes in other countries
5	Does the national forest policy include any specific guidance or directions related to public participation in forest management? If so, please describe.	Cuba: decentralized commissions for reforestation projects DR: general guidance incorporated in legislative and management instruments Grenada: general guidance in policy Jamaica: general guidance in policy, specific guidance in Forest Plan St. Lucia: no formal policy, but guidance provided in national forest management plan SVG: policy developed in 1990's but not endorsed by government; informal department policy includes PFM as key strategy TT: stakeholder participation mentioned in policy Dominica and Haiti: no formal policy framework
6	Does your agency carry out any forest management projects or activities in collaboration with non-governmental organizations, community-based groups, commercial operators, or resource users (e.g., charcoal harvesters)? If so, please describe these briefly.	All have some collaborative projects, but many are merely provision of advice to others' projects

7	Does your agency have staff specifically dedicated to working with non-governmental, private sector, or community partners?	DR and Jamaica have professional staff (rural anthropologists, small enterprise coordinator) and units Haiti establishing one post TT developing new section on participation and liaison with civil society Grenada incorporates into all professional position descriptions Others do not have dedicated staff
8	Have members of your staff received any training in methods and approaches for participatory forest management? If so, please indicate agencies that provided the training, types of training, and numbers trained.	Extensive systematic training: Grenada, Jamaica, TT Some training: Cuba, Haiti, St. Lucia, SVG Little training: Dominica No training: DR Types of training: C Dominica, Grenada, Jamaica, St. Lucia, SVG, TT: CANARI workshops C Grenada: MSc training for two senior staff and in-house collaborative forest management course for all staff and some collaborators (with DFID support) C Jamaica: in-house workshops and training (with CIDA support)
9	Have you received any assistance from other agencies or organizations in the field of participatory forest management? If so, please describe and if possible give an indication of the quality or usefulness of that assistance.	Major international technical assistance projects for Haiti (World Bank) and Jamaica (CIDA and UNDP) Assistance with social assessments and participatory appraisals for Dominica (Fauna and Flora International) Assistance from Organisation of Eastern Caribbean States –Natural Resources Management Unit on watershed management project for SVG
10	What do you see as the major benefits and advantages of participatory forest management approaches?	PFM marshals additional resources for forest management and increases local commitment to conservation objectives, helps build consensus, makes forestry agencies' jobs easier and facilitates organizational change within forestry administrations. Secondary mention of potential for increased local benefits from forest resources and opportunities for technology transfer.
11	What do you see as the major weaknesses, costs, and disadvantages of these approaches?	Cost (personnel, skills, time) prohibitive without external financial assistance Requires inter-institutional coordination mechanisms that may not exist Local input needs to be based on sound understanding of environmental issues that often does not exist Local partners often lack motivation, are organizationally weak, need strengthening and support Where government technical capacity is seen to be adequate, concerns regarding "loss of control of management"

12	Has your agency's experience with participatory forest management been generally positive or negative?	<p>Positive – but:</p> <ul style="list-style-type: none"> C Need to be more systematic, comprehensive C Need ways to measure impact C Need additional technical support C Need more committed political support
13	Is your agency increasing its emphasis on participatory approaches? If so, what are its major capacity needs in this regard and what actions is it taking to address these?	<p>Need for more field staff, additional training, some restructuring including formal collaborative arrangements, greater integration of participatory approaches in forest management generally</p> <p>Jamaica taking phased approach in order to work within constraints while building capacity</p>
14	What do you see as the major capacity needs on the part of the non-governmental and private sector partners with which you are working?	<p>Forest or natural resource management methods and skills</p> <p>Resources to be partners in management (human, financial, technical)</p> <p>Institutional structures for collaboration</p> <p>Sensitization for politicians, communities, and donors</p> <p>Exposure to successful examples of PFM</p>

Appendix B: PFM activity data survey form



Caribbean Natural Resources Institute
with financial support from the European Commission



Building Capacity for Participatory Forest Management in the Caribbean

Participatory Forest Management Data Survey Form

Please note: For the purposes of this survey, participatory forest management (PFM) is defined as structured collaboration between governments, commercial and non-commercial users, interested organizations and community groups, and other stakeholders, to achieve shared objectives related to the sustainable use of forest resources.

Basic information		
1	Country	
2	Name of PFM activity	
3	Year activity began	
4	Brief description of activity	
5	Objectives	
6	Who are the main partners (that is, who have formal roles in the activity)?	
Legal status		
7	What legal instruments or policies, if any, sanction the activity?	
8	What formal agreements, if any, exist among the partners?	
9	What is the legal mandate or organizational status of each partner?	
Process		
10	Who initiated the activity?	

11	How or by whom has it been organized?	
12	Has it received any technical or financial assistance? From whom?	
For planning or policy development activities, skip questions 13 to 26 and answer only question 27. For collaborative management activities, answer all questions.		
Management arrangements		
13	What is the resource or geographic area being managed?	
14	What are the rights and responsibilities of each partner?	
15	In what ways are partners compensated for their participation?	
16	Through what mechanism(s) do the partners collaborate?	
Management actions		
17	What are the management issues or problems that the arrangement seeks to address?	
18	What are the management activities and by whom are they carried out?	
19	Is there a management plan or other document that guides management? If so, by whom was it prepared, and who uses it?	
20	Are there systems for monitoring the impacts of the management activities?	
Stakeholders		
21	Who are the main stakeholders, i.e., who affect or are affected by the management of the resource?	
22	Which stakeholders are represented in the management arrangement and how?	

23	If stakeholder groups are not part of the management arrangement, are there ways in which their interests are communicated?	
Impacts		
24	What have been the effects of the management arrangement (both positive and negative) on the resource being managed? Have these effects been documented? (If so, please include citation.)	
25	What have been the impacts (social, economic, and institutional; positive and negative) on the parties in the management agreement?	
26	What have been the impacts on other stakeholders?	
27	Has the activity had any clear impact on policy at the national or local level; if so, what?	