

**HANDLING THE STICK:  
PRACTICES AND IMPACTS OF  
PARTICIPATION IN FOREST MANAGEMENT**

Case study analyses of  
Finnish forestry assistance in  
Tanzania, Mozambique, Laos and Vietnam

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### **Dedication**

To two friends who coached me to this point.

MUNGU AILAZE PEMA ROHO YAKE. AMINA.

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### **This thesis consists of the following articles:**

I) Mustalahti, I. 2006. How to handle the stick: Positive processes and crucial barriers of Participatory Forest Management. *Forest, Trees and Livelihoods* 16(2):151-165

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IV) Mustalahti, I. and Lund, J.F. Institutionalisation of Participatory Forest Management: Contradictions in Tanzania, Mozambique and Laos. Submitted. *Journal of Society and Natural Resources*.

V) Mustalahti, I. and White, P. 2007. Are the Sector-Wide Approaches Effective? Observations on the forestry sector in Tanzania, Mozambique and Vietnam. *International Forestry Review* 9(3):786-796.

### **APPENDIX: Abstracts in Swahili, Portuguese, Lao, Vietnamese, Danish and Finnish**

## **SUMMARY**

The purpose of this dissertation is to further the understanding of practices and impacts of participation in forest management as well as to contribute to efforts to analyse the contradictions and sustainability of participatory forest management (PFM). Once the new forest managers - local people - get a hold of the 'stick' - the management rights over the resources - they are required to 'handle the stick'. This research examines four PFM interventions in Tanzania, Mozambique, Laos and Vietnam. The research is a qualitative and context-specific impact assessment which emphasises the participatory analysis of the processes accompanying the implementation of PFM through donor-supported participatory interventions.

In all four cases the research shows that the interventions had relatively limited tangible impacts as regards secure access to information about and benefits from PFM. Long-term extension services, market access and marketing information were the most difficult elements to influence during and after the donor supported projects. The key lessons from the case study countries are: (a) local people, through the forest projects, experienced and came to understand that forests can provide monetary and non-monetary benefits, and this has resulted in an attitude change towards forest resources, and (b) the sustainability of PFM rests on local people's attitude towards natural resources and their secured access to information and benefits. Attitude change towards forest protection was most recognisable in those cases where local people's access to forest resources was legally secured by laws and allocation of land even though the resources available and benefits from PFM were still limited.

The lessons from the case study countries are that short project periods do not ensure capacity of local institutions and resulting failures of rapidly terminated donor projects give recipient governments more reasons to look for other solutions in forest management, such as large scale concession management under private enterprises or government entities. In all four case study countries, due to the impact of PFM interventions, the government has decided to implement the decentralised management model of forest resources, but this has not yet been implemented on a national scale in any of the four case study countries, and the sustainability and scaling-up of PFM to nationwide practices is still debated.

Sustainability and the institutionalisation of PFM may succeed if there are: (a) enabling policies and regulations to secure local decision-making over resources use, and (b) a holistic extension system that covers long-term capacity building to support the new forest managers in managing and conserving the resources and benefits from forestry under the PFM. The lack of political and institutional support for PFM springs from a conflict of interest between the public responsibilities and private interests of civil servants. When supportive institutions and extension services are not in place, or are underdeveloped, local people are used as a simple labour force in the exploitation or conservation of natural resources without secured access to the needed information about and benefits from natural resources. Institutionalisation of PFM requires long-term donor commitment to assist local people and their local advocacy organisations in building civil society and national policy coalitions that can assert local people's rights over resources use and good governance principles to be implemented in the forestry sector.

# 1. INTRODUCTION

## 1.1 General research focus

One of the paradoxes surrounding people's participation in forest management is that the practices for implementing participatory forest management (PFM) are well promoted, but the nature of possible impacts of PFM and reasons for resistance to handing over forest authority to local people are still not generally debated in public. PFM has many possibilities and clear positive impacts, for example, on forest conservation, as well as on poverty reduction: the physical closeness to and better information about the resource suggest that local communities are likely to be better and more efficient managers than financially strained centralised agencies in terms of achieving resources conservation, and in addition participation in natural resource management may improve access to economic benefits from harvesting and trading of forest products and thus promote improved local livelihoods (Agrawal and Yadama 1997; Ribot 1998; Ostrom 1999; Larson 2003; Durst et al. 2005). However, it also has many challenges: once the 'new manager', the local people, obtain the 'stick' - management rights over the resources - they are required to 'handle the stick'. Several researchers suggest that participatory initiatives in forest management have not always produced immediate economic benefits for the poorest households nor improved local people's decision making over resources use, and might even affect the poor households and lead to resource over-exploitation (Campbell et al. 2001; Kumar 2002; Lovett 2002; Moss et al. 2005; Meshack et al. 2006; Blaikie 2006).

The purpose of this dissertation is to further the understanding of practices and impacts of PFM as well as to contribute to efforts to analyse the multifarious contradictions related to PFM and the sustainability of donor-supported PFM initiatives. This is necessary because the funds allocated to development co-operation are increasing: there is considerable pressure on donor countries to increase development aid disbursements to the OECD target of 0.7% of GDP. This has generated more integrated rural development programmes including forest management issues, and a gradual shift towards sector support programmes (SWAPs) and direct budget support (DBS, targeted and general) - two aid modalities that are expected to achieve more coordinated and effective support for national development frameworks than earlier modalities aid such as bilateral projects (Shepherd et al 1999; Brown et al. 1999; EC 2003; OECD 2006; Mustalahti et al. 2006). The donor countries have become interested in supporting the decentralised and participatory management of natural resources such as forests because it has central relevance to the question of poverty reduction; it can contribute to conservation and sustainable use of resources, and to income-generating practices (FAO 2001; Grimble and Laidlaw 2002; CIFOR 2005; Sunderlin 2005).

Campbell and Vainio-Mattila (2003) conclude that a more explicit and deliberate dialogue between community-based conservation and participatory development may change from the goal of 'getting people on-side' towards including local people in a meaningful discussion of what conservation should look like in their particular context. This dissertation looks at the experiences of Finnish development assistance in supporting participatory

development in forest management and conservation in four countries: Tanzania, Mozambique, Laos and Vietnam. The research emphasises the context-specific analysis of the contingent socio-economic and political processes accompanying the implementation of the PFM interventions. The context-specific approach argues that impacts of interventions cannot be studied separately from the political and social setting (Koponen 2004). The case studies represent Finnish supported interventions and are part of a research programme, entitled 'Does Finnish Aid Matter,' assessing the impact of Finnish aid. The research programme coordinated by Institute of Development Studies at the University of Helsinki, Finland aims to contribute towards the international discussion on aid impacts in general and the context-specific methodologies for researching them.

In the first phase of the research, broader stakeholder involvement and multidisciplinary methods showed that certain elements of PFM have to be in place to ensure the participation of local people in PFM. This led to a specific model, the 'house model', which guided the second round of field work to answer the following specific research questions: What are the impacts of participatory practices in forest management? How can participation of local people in forest management be sustained? The first three articles in this dissertation try to answer these questions, and the last two articles go beyond the original research questions and analyse contradictions and political processes accompanying the implementation of forestry sector development, including PFM. Specifically, the fourth article presents the context of decentralised forest management and discusses its contradictions in terms of legislation and implementation, whilst the fifth article analyses the possibilities for allocation of donor support within the partner countries' development frameworks, and barriers to forestry sector development. The dissertation begins with a conceptual overview defining the central concepts and the conceptual framework, choice of cases and methods. Thereafter, the central findings with take-home points of the dissertation are presented. The introduction concludes with some recommendations for organisations and donors working with PFM.

## 1.2 Conceptual overview: defining the central concepts

Various terms are used to describe decentralised natural resource management in the sense that a genuine shift of management over natural resources has taken place from government authority to local people. In the literature used in this dissertation, the terms ‘community forestry’ and ‘participatory forestry’ seem to be the most common for referring to decentralised forest management. In this dissertation, the term ‘community forestry’ is not used because the concept of community is difficult to define when the case studies represent various forms of cultural and historical contexts. Instead PFM is considered as an overall term for decentralised forest management models, irrespective of tenure. The central issue is that in PFM areas, local people participate in developing objectives, plans and rules for the use and management of their village or community forests, household forest areas or co-management forests. Co-management refers to joint forest management (JFM) in which local people manage forest areas on behalf of, or together with, the central government or local government authorities or with a concession holder (White and Mustalahti 2005).

In this dissertation, the term ‘local people’ refers the members of a rural community, village or household. It is recognised that local people often do have a substantial amount of knowledge of the local environment, and they may conserve and manage natural resources (Hobley 1996; Arnold 1998; Ylhäisi 2006; Miah and Rahman 2006). However, Harres (2006) recognises that the term ‘local knowledge’ often assumes that people are automatically experts on their surroundings. It is commonly recognised that local people may not immediately become conservation minded or economically oriented forest managers when their legal rights over natural resources have been legitimised (Matakala and Kwesinga 2001; Ferguson and Chardasekharan 2004; Blomley and Ramadhani 2006). It is also important to keep in mind that local people are not a homogeneous group - different groups often have conflicting interests and local elite is vulnerable to temptation to use their power in order to increase their own benefits (Mustalahti 2006). Also, the political powers, external advisers, state laws and regulations, and elite group at different levels of society do not always promote local people’s efforts and knowledge to manage, conserve and benefit from forest resources: powerful actors may aim - instead of decentralisation – to allocate rights and powers to local elite and local branches of central government (Uttling 1993; Sivaramakrishnan 2000; Larson 2003; Shackleton et al. 2002; Ribot et al. 2006; Ylhäisi 2006).

Over the last twenty years a variety of institutional and legal frameworks have been developed in order to involve local people and ensure their rights to participate in natural resources management (Fortmann 1984; Chambers and Leach 1987; Arnold 1992; Agrawal and Gibson 1999; Ostrom et al. 1999; Wily 2001; Brown et al. 2002; Adhikari et al. 2007). It has also been recognised how difficult it is to implement these frameworks which call for local people’s access, rights and participation (Arnold 1998; Kellert et al. 2000; Ballabh et al. 2002; Andersson 2003; Ferguson and Chadasekharan 2004), and upscale and sustain these frameworks nation-wide after phasing out external funds from donors (Brown et al. 1999; Persson 2003; Mayers and Bass 2004; Blomley and Ramadhani 2006). It is argued that ‘participation’ is a politically desirable and ambiguous development idea and often even

unimplemented because the idea calls for contestation (Mosse 2001). Swantz (1990) suggests that instead of analysing the degree of people's participation, the concept 'resistance' should be looked at more closely – oppositional forces in specific situation.

Quaghebeur et al. (2004 p. 163) argues that real participation can generate contestations, discussions, struggle and negotiation about the framework offered by participatory approach: "In this sense we are able to re-consider the success and failure of participatory approaches not so much in terms of the effectiveness of their application, but rather in terms of the possibility to refuse their government". A key question related to the PFM initiatives is whether the government and political leaders are ready to allow this type of critical political statement to be articulated by local people. More importantly, are the political leaders ready to establish a formal system according to which local people, for example through their advocacy organisations, can effectively hold their governments accountable to agreements on rights and responsibilities to forest resources, and their use, management and conservation? According to Chambers (1989), a first step for people to claim their rights is information and then encouragement through the advocacy organisations and the judicial systems.

The title of this dissertation refers to Chambers' idea of 'handing over the stick' - meaning that participation is about building partnership and ownership from the bottom up (Chambers et al. 1989; Chambers 1983). The central concept of the dissertation is 'participation'. Although the implementation of PFM varies from country to country and even between different areas of the same country, PFM in this conceptual understanding should aim to include, as a minimum condition, the main principles of participation. According to Chambers (2005 p. 104), the three cross-cutting principles of rights can be presented as participation: (a) values of equality and non-discrimination, (b) obligations, and (c) strengthening accountability of institutions to protect and to promote rights. In the framework of this dissertation, the values of equality and non-discrimination means local people's equal access to land and natural resources, obligations means local people's responsibilities over the forest management and conservation, not only as labour but also as decision-makers over resource use, and strengthening accountability of institutions to protect and to promote rights refers to secured access to information and benefits by local people.

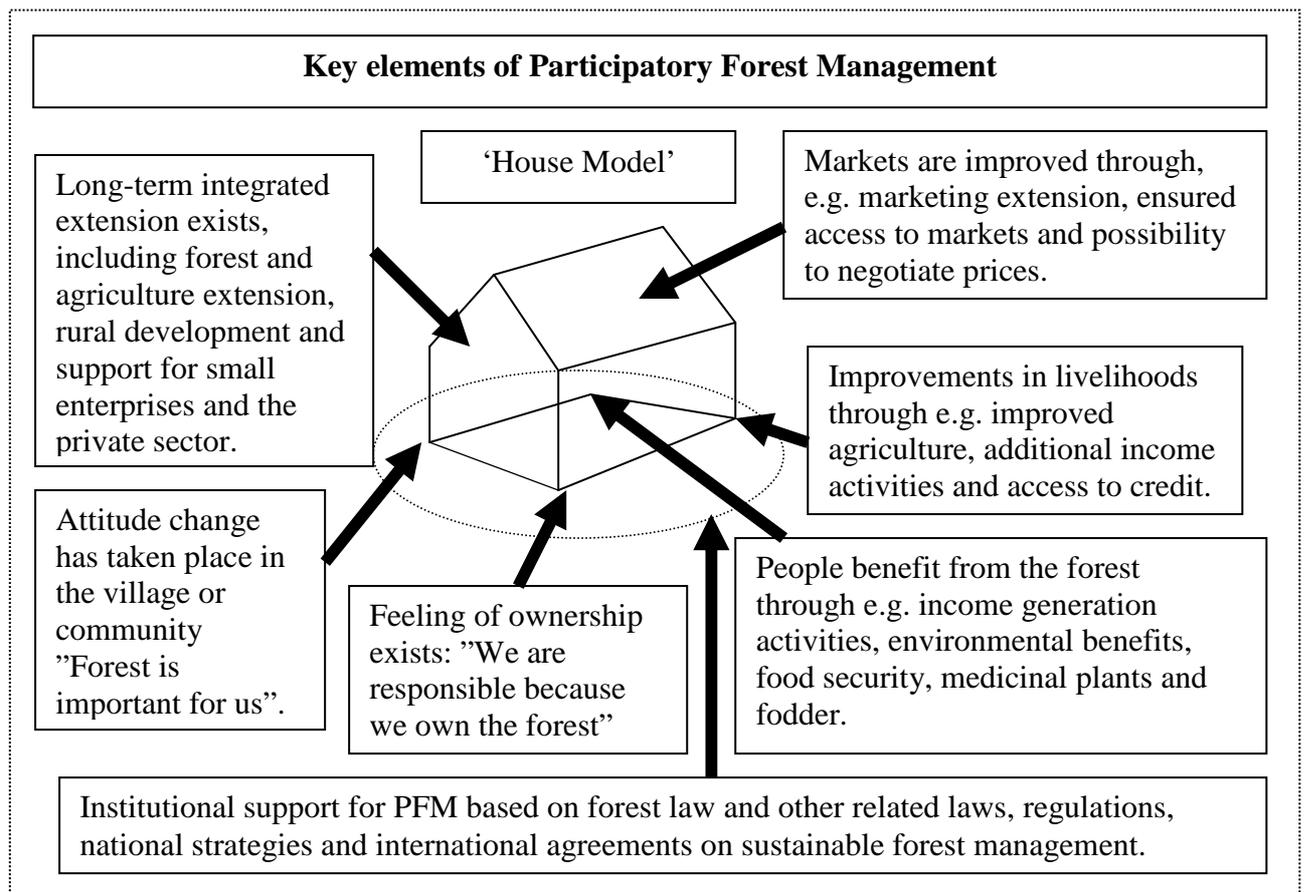
PFM seems to have difficulties to fulfil the cross-cutting principles of rights and sustain local people's participation: several obstacles still exist at local and national levels that make it difficult for the local people all over the world to participate in natural resource management, secure their rights in decision making, gain access to land tenure and valuable natural resources, and ensure markets and investment opportunities related to natural resources (Brown et al. 2002; Larson 2003; Walker 2004; Taylor 2005; Hyakumura and Inoue 2006). Mayers and Bass (2004) argue that, through the decentralisation of forest management, the central-level problems are merely displaced to local level, and bureaucracy is transferred from central level to sub-national level. Participatory and decentralised forest management cannot guarantee rights of the local people without developing various aspects of governance: even if devolution occurs the transfer of powers is often meaningless, as it: (a) only encompasses marginal policy areas, (b) does not include financial provisions necessary for

local government to actually fulfil its obligations, or (c) after a short period is followed by deliberate attempts at re-centralisation of rights to resources and revenues (Nhantumbo 2000; Schackleton et al. 2002; Larson 2003; Ribot 2003; Ribot et al. 2006).

Dietz et al. (2002) argue that the common-pool resources that do not have institutions for governing their use are called open-access resources, and in order to avoid overuse - the tragedy of commons - it is important to develop a coherent theory of how institutions cope or do not cope effectively with the problems of overuse, free riding and the distribution of resources. Hardin's tragedy of the commons (Hardin 1968) can be a risk when the management of resources is a joint effort between government and local people, especially in the areas with limited access where overuse of resources destroys the sustainability of common property (Kajembe and Kessy 2000; Ballabh et al. 2002; Adhikari et al. 2007).

In the case of natural resources management it is also important to recognise that holding a title to land does not automatically mean that local people are 'owners' and 'decision-makers': according to Schlager and Ostrom (1992) the owners hold rights of access, withdrawal, management, exclusion and alienation. For example, in the case study countries of this dissertation this type of ownership of forest land is not possible: communities, villages and households can hold the tenure to common-property forest land, but they cannot, for example, sell the forest land. Also the decision-making rights are questionable because the regulations on use and trade in forest products and forest management planning requirements often limit the scope for local input in decision making. Ribot and Peluso (2003) present an access theory related to natural resources that focuses on ability rather than rights as in property theory. They emphasise a wider range of social relationships that can constrain or enable people to benefit from resources without focusing on property relations alone.

Consideration of the theories mentioned above, and the results from the first round of field work, led to the following assumption: In order to sustain participation in forest management and have long-term tangible impact on rural livelihoods, it is necessary to build a 'house' consisting of the elements illustrated in Figure 1. PFM includes 'a building site', 'four corner stones', 'walls' and 'roof'. The supportive institutions, laws and policy environment form the building site, and the corner stones are: (a) attitude change towards forests, (b) feelings of ownership of forest resources, (c) benefits from forest, and (d) general improvement in livelihoods. The walls stand for long-term extension service provision which includes different areas of rural development and provides needed information. The roof represents markets for forest products and other products and services from the area, for example environment services which are paid by government or foreign funds.



**Figure 1.** A model of Participatory Forest Management and its key elements.

## 1.2 Case studies: Tanzania, Mozambique, Laos and Vietnam

The case study countries are very different in terms of political and historical context, as well as in legal support for PFM. Tanzania and Mozambique represent two different forms of socio-economic transition from socialist countries towards open market economics and decentralised government structures. In both countries the main parties try to retain power although multi-party systems are in place; however, these reforms were initiated as a strategy to fulfil the conditions for aid from western countries (Gould et al. 1998; Hossain et al. 2003; Virtanen 2004). Vietnam and Laos are the single-party systems led by communist party and party cells in different levels of society. In Vietnam, the economic growth and the doubling of gross domestic production between 1991 and 2000 was largely made possible by the public sector called Doi Moi which included the allocation of means - especially land - of production to individual households and the opening the external markets (Castella and Dang Dinh 2002). Laos is still one of the poorest and least developed countries in South-East Asia and about 13 per cent of country is under shifting cultivation, which is practiced by 42 per cent of the rural population (Phothisane 2006). In both Vietnam and Laos, natural forest land is by law owned by the national community, and the government authorities represent the national community, for example in the management of timber resources.

In Tanzania, the economic and political spheres, together with a review of forest policy and legislation in the late 1990's, contributed to a favourable legal environment for PFM (Blomley 2006). According to the 2002 Forest Act, with regard to village land forest reserves (VLFR), village councils enjoy a large degree of freedom in forest management in their locality and can, for example, decide on harvesting levels and collect and retain fees for forest utilisation (URT 2002). The management must, however, proceed in accordance with a management plan and by-laws (URT 2006). In Mozambique, despite policy statements on community participation in natural resources management, the Forestry and Wildlife Law (2002) reflects a main trend in Mozambican government policies, namely that the private sector is to play the leading role in economic development: the communities may extract forest resources for consumption purposes without tax but, for example in case of timber concessions, the requirements are that the concession area is delimited and that the operator has timber processing capacity (RoM 2002). It is questionable whether communities can utilise these opportunities, as they require substantial technical skills and financial capital.

In Laos, the involvement and specific roles of local people in sustainable forest management are defined by the Forest Law (LPDR 1996), Decree No. 59 (LPDR 2002) and Regulation No. 0204 (LPDR 2003). Villages are allowed to participate in management activities and share benefits but cannot hold tenure of natural production forests: only regenerated areas and degraded forest can be allocated to individuals, households and communities. In Vietnam, local people can have more extensive management rights over the forest resources. Domestic households, individual and communities can lease forest, can be assigned for forest development and protection by the State or have their forest use rights and ownership of planted production forests recognised by the State (Vu 2001; SRV 2004; SRV 2006).

In the case study countries, Finland has supported various forms of PFM based on the legal and political conditions in the recipient countries. The case study projects of this dissertation thus reflect different forms of PFM: (a) village forest management carried out by an individual village or group of villages (a case from Tanzania), (b) joint forest management in central government forest areas where local people participate in forest management and protection activities (cases from Mozambique and Laos), and (c) individual farmers' and household's participation in farm forestry and in forest management in natural and planted forest areas (a case from Vietnam). Based on Yin (2003), the aim of the case study design was a critical explanatory multiple-case study research. The selection of the case study areas was based on field visits, documentation and discussions with project staff. In each country, the research was conducted in three villages – one deemed 'successful', one 'average', and one 'problematic', from the point of view of project implementation, evaluations or local people's willingness to participate in forest management activities. A similar approach was also employed in an impact study by the Danish Centre for Development Research in Western Tanzania (Kaare et al. 1999). In this dissertation, the aim was to critically analyse and compare the practices and impacts of PFM interventions implemented in Asia and Africa, although each individual intervention provided context-specific finding.

**Tanzania:** The objective of East Usambara Conservation Area Management Programme (EUCAMP 1999-2002) in Tanga Region was to contribute to Tanzanian efforts to conserve biodiversity in harmony with the needs of local people (EUCAMP 1999). As a part of its project activities, EUCAMP operated under the Tanga Regional Catchment Forest Office with financial support from the Government of Finland and the European Union. One of the programme's activities was to develop and test joint forest management systems for catchment forest reserves, and the establishment and management planning of village land forest reserves (VLFRs) done in collaboration with District Councils. In 2001, the EUCAMP Steering Committee and Supervisory Board recommended additional personnel inputs in community participation and participatory forestry in the form of a short-term consultancy (Mustalahti 2002). As a result, the EUCAMP hired a community-based participation consultant, the author of this dissertation, for three months in 2002. The main target for the consultancy was to facilitate the PFM activities, particularly in the two new VLFRs, Mfundia and Kizee, and to build up capacity and practices under the local governments in Muheza and Korogwe District Councils. This was done in order to allow District Council authorities to facilitate villagers in VLFRs when the central government based structure of EUCAMP and its donor funding phases out.

The Mfundia VLFR, in Korogwe district, was selected also as a case study area for this dissertation. The research aim there was to implement an action oriented approach and obtain insights into whether the results of donor-supported PFM systems can be regarded as sustainable after the cessation of donor funding. The action research approach aimed to facilitate and observe the following processes: (a) planning: in 2002 villagers together with district and regional forest officers carried out a boundary and forest management planning process in five villages surrounding the Mfundia forest; (b) action: implementation of forest management plans and by-laws developed by the elected village forest committees that started

in 2003, (c) observations: transect walks with villagers in the village forest areas, household interviews and open-ended group interviews in 2003 and in 2005 in three villages, Makangara, Kijango and Makumba; (d) reflections: during 2002-2005, individual and group discussions with various stakeholders from national level to village level, including their reflections to observations but also their reflections related to implementation of PFM in other forest areas of Tanzania, especially establishment of Angai VLFR in Liwale District, Lindi Region.

**Mozambique:** The Government of Finland supported provincial forest services and forest inventories in Mozambique (Projecto de Maneio Sustentavel Recursos, PMSR) from 1999 until the end of 2004. During the process of developing sustainable PFM in Derre Forest Reserve, ACODEMADE (Associação Comunitária de Defesa e Saneamento do Meio Ambiente do Derre) was identified by the PMSR project to act as the principal coordinator and promoter of local activities. In the 1950's Derre Forest Reserve was established by the Central Government when Mozambique was still under the colonial regime. The area covers about 160 000 hectares. The original objective was to maintain it as a reserve of *Pterocapus angolensis*, known locally as umbila, which is still one of the most important and precious commercial timber species in Mozambique. The forest area has been declining due to agricultural activities, illegal timber harvesting and population growth in the area after the civil war, and also because recent road infrastructure development facilitates access and utilisation of the area. Forest fires are a common tool for clearing agriculture land but also for hunting bush rodents. The main objective of ACODEMADE was to ensure protection and conservation of Derre Forest Reserve, and the additional intention was to set aside a 30 000-hectare forest area on the eastern side of the reserve for community concession management.

The key components of the PMSR project was capacity-building of ACODEMADE members and developing the institutional dynamics of ACODEMADE, but PMSR also provided field training in fire management, beekeeping and fish pond management, as well as intensive training programmes for carpenters in six communities. The members of the association come from nine 'núcleos'- communities with traditional leaders - which are located inside or close to Derre Forest Reserve. The aim was to study a forest management model that includes the participation of the association, local communities, the private sector and provincial government authorities in joint forest management and conservation of a state-owned forest reserve. During the study, ACODEMADE members such beekeepers, carpenters, fish producers, forest patrol team members and six households were interviewed during group interviews, transect walks and participatory mapping exercises. Three communities, Derre Sede, Chilo and Golombe in Morrumbala District were selected as case study communities for this dissertation.

**Laos:** The five-year Forest Management and Conservation Programme (FOMACOP) and Village Forestry Sustaining Phase were implemented between 1995-2001 with financial support from the World Bank and technical assistance via the development assistance from the Government of Finland. The ongoing project is called Sustainable Forestry for Rural Development Project (SUFORD 2003-2008). At present, forest management units (FMUs), representing collaboration between local villages and the district technical staff, are

responsible for carrying out production forest management on behalf of the central government. The dissertation aimed to compare the PFM models of FOMACOP and SUFORD implemented in three villages, Som, Kok Tong and Tham Lay located in Xe Bang Fai District in Dong Phousoi Production Forest in Khammouane Province.

Compared with the FOMACOP model of participatory forestry, the current SUFORD model is quite different. The FOMACOP participatory forestry model was based on 50-year land allocation contracts with village organisations, village forest associations, and the provincial governments, which authorised villagers to manage state production forests in accordance with government-approved forest management plans. The current Forest Sector Strategy (LPDR 2005) has adopted an objective of timber production from production forest areas under sustainable management in cooperation with local villages. However, it does not support the FOMACOP model of allocating production forest land under village management in the village locality. In the current forest management model implemented by SUFORD, the FMUs - under the district administration - are authorised for implementation of forest management plans. The Provincial Agriculture and Forest Office (PAFO) coordinates with the District Agriculture and Forestry Extension Office (DAFEO) and with village level forest committees and organisations to prepare long-term (10-year), medium-term (5-year) and annual operational plans for each forest production area.

**Vietnam:** The Vietnam-Finland Forestry Sector Co-operation Programme (VinFinFor 1999-2003) focused on allocation of forest land to households and microcredit for farm forestry and rural development initiatives in the communes of Bac Kan Province. The overall development objective of VinFinFor was to contribute to sustainable rural development in Vietnam's mountainous regions through the integration of forestry activities in rural land-use and economic development. The VinFinFor assisted local authorities in the forest land allocation process, which was considered a precondition for the success of the programme, particularly in the areas of environmental protection, forest management and poverty reduction: given the forest sector's long-term horizon, investment in forestry requires security of land tenure at household level. The programme was not only concerned with the management of allocated forest lands, but also with broader rural development and farm forestry issues in two districts in Bac Kan Province. The programme offered good possibilities to research the implementation of PFM at the household level and the wider aspects of livelihood resource management.

Three villages in Cho Don District - Ban Cuen I, Ban Cuen II and Phieng Lieng I - were selected for the case study. In addition to interviews, six households from the case study villages had a so-called household diary and recorded their agriculture and forestry activities during over a complete year. This exercise helped to gather information on forest use, management and conservation activities, and incomes and costs of forest management and conservation for this dissertation. And it gave small cash income for the case study households as they got a small compensation of their time used for collecting the information. This exercise was appreciated by the case study households, not only because of the additional cash income but also because they obtained recordkeeping skills and information about their monthly income and became more aware of their day-to-day costs.

#### **1.4 Methodology overview: participatory context-specific impact analysis**

The research was a qualitative impact study whose methodological and theoretical background was influenced by the idea of the importance of context-specificity: context-specific impact studies are fundamentally different from the classical positivist before-after or with-without approaches (Koponen 2004). In this dissertation, although the cases present a rather narrow slice of PFM interventions - PFM projects supported by development assistance from Finland - the aim was to understand the changes in rural livelihoods, and the relationship between these changes and PFM practices, as well as the contingent socio-economic and political processes accompanying the implementation of the PFM interventions. The impact assessments which look beyond the project level at organisational processes aim to understand the insights gained from case studies, rather than attempt to cover the abundant literature on the subject (Roche 1999). Folke (2001) argues that in each case of context-specific research, the methods need to be developed in order to reveal the relationship between the intervention, context, process and impacts. The important starting point for this dissertation research was the idea that the context could be understood through actual experience, and the practices and impact of participatory forest management could be investigated through participatory learning process. Participatory learning through action research and participatory methods in the field was the central way to understand the local context and relationships between the context and PFM practices (article I). The context also had two other meanings in this dissertation: (a) the context was the socio-economic and political conditions related to implementation of PFM in the case study countries (articles II, III, IV), and (b) the broader institutional context of forestry sector development in the case study countries (articles IV, V).

The relationship of people to nature and the socio-economic and political values accompanying the implementation of the PFM interventions were also central issues during the interviews and PRA exercises. The social values become particularly strong, and therefore important, in areas where human society meets natural resources management and conservation, as in the cases emerging through rural development efforts in developing countries (Dalal-Clayton et al. 2003). In developing countries, a broad stakeholder involvement is necessary to identify issues of concern, and multidisciplinary methods are needed to stimulate improvement and learning (Chambers 2005). The elements as presented in Figure 1 were identified through multidisciplinary methods in Tanzania, Mozambique, Laos and Vietnam. The key elements for constructing and sustaining participation in forest management were identified by stakeholders in the case study countries during the first round of field work in 2003-2004. During the final study in 2005-2006, these central elements and the 'house model' became a tool to analyse the different forms of PFM associated with the selected case study projects. Methodological approaches are presented in Table 1.

In Tanzania particularly, action research methods were used in order to self-critically analyse the PFM implementation through participant observations: participating the process to facilitate PFM planning in village level and observing day-to-day activities of PFM intervention gave context-specific internal information. Action research originally emerged

from the conviction that science should benefit human society and not separate its research from issues of relevance (Reason and Bradbury 2006). In Tanzania, the action oriented research approach originated from the forest management planning process. The idea was that during the process, through which villages obtain legal management right to the forest areas and develop their own forest management plans, long-term research in the same area can observe the impact of PFM and sustainability of the forest management activities.

In Mozambique, Vietnam and Laos the main method was open-ended individual, household and group interviews of PFM project stakeholders. Participatory research methods - so-called Participatory Rural Appraisal (PRA) methods such as mapping exercises, village histories, household diaries, transect walks in villages and forests - were combined with interviews in order to make interviews more analytical, truthful and straightforward. Participatory research uses many methods associated with participant observation methods, such as observation, semi-structured interviews and focus group discussions (Wright and Nelson 1997), and physical involvement through participation of everyday life is considered essential for learning process (Nygren 2004). The participant observation methods in the case of anthropology aims to understand people's life through these methods, in contrast the 'participant' in the participatory research refers to people's involvement in the research process. In this dissertation, participatory research and participant observation methods aimed at both: for example, PRA methods aimed to involve local people in the research process while the methods provided essential means of leaning for the researcher. Additionally, the interviews of central government forestry authorities, NGO representatives, sub-national government authorities, and international and national PFM project team members gave important information related to institutional support of PFM, rural development, extension services and forest law enforcement.

**Table 1.** Methodological approaches during the study.

<b>Methodological approaches</b>	<b>Tanzania</b>	<b>Mozambique</b>	<b>Laos</b>	<b>Vietnam</b>	<b>Data collected</b>
Open-ended interviews with central government forestry authorities, NGO representatives, regional and local government authorities in case study regions and districts, and international and national PFM project team members (repeated two times per key informant)	Seven key informants	Seven key informants	Seven key informants	Seven key informants	Information related to institutional support of PFM, rural development and extension services and law enforcement
Open-ended group interviews in community groups/committees (repeated two times per village/community) and villages mapping etc. PRA exercises with community group/committees	Three villages during action research process	Three communities	Three villages	Three villages	Implementation of PFM: villages histories, attitude change towards forest, land use issues, income generating activities
Transect walks (in 2003-2006 the walks were repeated two times per village/community and forest area )	Three transect walks in villages and forest areas	Three transect walks in communities and forest areas	Three transect walks in villages and forest areas	Six transect walks in households' forest areas	To cross-check information related to implementation of PFM
Semi-structured household interviews/observation/discussions	Six households	Six households	Six households	Six households	Households' livelihood and use of forest products
Household diaries (one-year period)	No	No	No	Six households	Forest management and utilisation, income generating activities
Literature reviews	2003 and 2006-2007	2003 and 2006-2007	2004 and 2006-2007	2004 and 2006-2007	Project documents and review reports, legal documents and articles
Stakeholder reflections through discussions, interviews, letters and emails. Some of them also commented on draft research papers and conference presentations.	Village chairman, two local foresters, two international consultants, a local senior researcher	Local carpentry expert, sawmill owner, two international consultants	Project team members, two international consultants, a government office	Case study households, local PhD student, two international consultants	To understand the context of PFM, rural development, extension services, law enforcement in the case study countries
Participant observation methods and personal experiences in the case study areas and projects (2000-2006)	Through the action research approach and consulting	A volunteer, a consultant and a researcher	A consultant and a researcher	A researcher and a volunteer	To develop practical knowledge related to PFM and development assistance

## **1.5 Scientific inquiry, action, observations, participation: my perspectives**

I, the author of this dissertation, therefore consider that there is a need to study the questions regarding natural resources management in a more trans-disciplinary academic structure and discovery process that fuses natural sciences, social sciences, and personal learning of the researcher. I write this also as a participant observer who has worked with development assistance as a consultant. The methodology of this dissertation is influenced by participant observation methods, participatory learning and action research approaches. The aim was to spend time with informants and observe day-to-day activities in order to obtain context-specific information from the countries in question. The methods were explained in section 1.4 but I would also like to discuss my personal reflection on scientific inquiry through action, observations and participation.

The participant observation can be seen as a group of ethnographical methods (Nygren 2004; Stubbs 2004), however, I aimed to use participant observations and participatory research methods, in order to create living knowledge – “knowledge which is valid for the people with whom I work and for myself” as stated by Marja-Liisa Swantz (in Reason and Brandbury 2006 p. 1). The consulting assignments before and during this dissertation research offered me a possibility to analyse the implementation of PFM through participant observation methods during the implementation process and to understand PFM interventions as seen from the internal point of view. Additionally, in the case of Mfundia - the case study area in Tanzania - the research included a process of change as a result of participatory action research and personal learning by doing process. Participatory research aims to carry within itself the process of change and in order to do participatory research for development, personal attitude of the researcher needs to be changed towards learning (Reason 1994; Chambers 1998; Greenwood and Levin 1998; Swantz et al. 2006). Action research requires that personal history of researcher and knowledge emergence from the interaction among diverse stakeholders, and collective actions in the particular environment where change is desired: action researchers can only create knowledge in co-operation with social actors based on trust and free agreement to participate (Aagaard and Svensson 2006 p. 4).

Although the dissertation aims to contribute to the general discussion about the impacts of PFM and the factors that are decisive for sustaining PFM, I also aimed to create an example of how the combination of different methods could be used to analyse impacts of aid, in this case the Finnish forestry assistance. I started to plan this research while I was still working as a consultant with PFM issues in a forest area called Angai in Liwale District, Southern Tanzania. The final starting point for the research was when I facilitated a participatory forest boundary and management planning process in Mfundia forest and five villages surrounding it. This practical knowledge, and participant observation methods during my consultancy assignments with development assistance in forestry sector, gave me a baseline ability to analyse the three other case studies in Mozambique, Laos and Vietnam. Stubbs (2004) raises the problematic fact that it might be unethical to utilise material gathered during a consultancy for research purposes, however, he also argues that reflective ethnography is based on the importance of internally-generated knowledge. Reason and

Bradbury (2006) state that action research seeks to bring together action and reflection, theory and practice, and find practical solutions to issues of pressing concern to people, individual persons and their communities. Indeed, this process of participatory action research in Tanzania helped me to understand the participatory development stages in forest management as a social process in which local knowledge, attitudes, beliefs and values play a crucial role.

With participant observations and participatory action research, beyond methodological differences, there are ethical, legal and practical issues which made me present myself as an action oriented researcher in Tanzania, as a participant observer in Mozambique and Laos, and in Vietnam just as a researcher who uses participatory methods.

In order to understand the local context in Mozambique, Laos and Vietnam, I aimed to include various ways to collect the information and experience of the local conditions. In Mozambique, this was relatively achievable because I lived for two years in my case study province and had the possibility to voluntarily work in the area. I also had the possibility to voluntarily participate in the forest fire campaign and forest inventory activities in the case study communities. Similarly in Laos, through a short-term consulting assignment with the case study project, I had the possibility to experience the local context, not only as a researcher but also as a consultant. In Vietnam, during my first field work period, I was recognised as a student volunteer for the Forestry Sector Support Programme and through the programme I got access to the field work areas and documents. In article II related to Laos and Vietnam, I call my methods aid ethnographies; my experiences as a consultant and a researcher were interacting with the experience of other consults, researchers, government officers and local communities. In Vietnam, however, because of difficulties with research permits, I could not live with my case study households and the field work periods were very limited.

Acquiring knowledge through action research and participant observation methods can be problematic. I am aware that my roles as a researcher, a consultant, an observer and sometimes even as an activist, overlapped. I aimed to be objective and neutral as I am trained to be as a researcher, and critical. Chambers (1983) discusses negative academics and positive practitioners: while academics seek problems and criticise, practitioners seek opportunities and act. I felt that it is to a large extent easier to criticise than, for example, generate practical knowledge and report it so that local people, practitioners, policy makers can utilise it. I also recognise that it is easier to come as an activist - than stay as a critical and objective observer - if you cannot separate your scientific inquiry from your life, personal history and experiences in the local context of the research. For example, I have my personal history of working with participatory methods in rural Tanzania, and I still believe that through the participatory research I can give at least a little back to busy farmers who spend their valuable time with me, an outsider. However, through this research process I recognised how important is to remain an outsider once you are a researcher. Participatory and action oriented methods might create expectations among the participants and they might expect that a facilitator - a researcher - continues and implements the process of change. In case of these methods, it is important to continuously monitor the role of researcher in the process in order to avoid that participants expect a researcher to behave as a practitioner, donor or promoter.

## 1.6 Main findings and take-home points

The research argues that traditional knowledge is not enough to sustain participation in forest management activities that has at its goal environmentally and socially sustainable forest management and income generation through forestry. Enabling communities to manage forest resources sustainably and effectively is a process of negotiation between utilisation of resources and conservation. In order to do so, participating communities need to have access to required technical information related to forest management and conservation, as well as market information and possibilities. Long-term extension services, improved market access, and marketing information have been the most difficult elements to influence both during and after the project period in all four cases. It was also recognised that the implementation of PFM in Tanzania, Mozambique, Laos and Vietnam is riddled with contradictions on multiple levels, and that these contradictions impose barriers to the potential to fulfil the objectives of development assistance related to PFM. An analysis of the contradiction and impacts of PFM is summarised here in ‘take-home’ points related to implementation of PFM and forestry assistance based on the articles of the dissertation.

### **Take-home points for implementation of PFM:**

- In order to implement PFM, the first step is to decide on who is the ‘specified manager’ of forest areas. Next, the manager needs to be empowered with three essential tools: (a) decision-making power, (b) financial independence, and (c) access to forest extension services. The institutionalisation of PFM may be completed if there is a sustainable extension system to support the ‘new forest managers’ to carry out PFM activities (article I and II).
- The research argues that neither property rights nor ability, local knowledge and skills based on short-term extension by donor supported projects are sufficient to ensure that PFM will continue to be implemented in the long run: PFM is driven by people’s attitude to natural resources, and long-term access to information and benefits (articles I, II and III).
- Joint forest management between central government or sub-national governance and local communities still has a risk that local people will see themselves merely as a labour force for forest management and conservation activities, and their attitude towards the resources is different compared to the cases where local people can have legal management authority with decision-making rights over the local resources (article I, II, III and IV).
- The research recognises that in remote rural areas, local people’s livelihood strategies depend on several activities on their farms and on non-timber forest products collected from the nearest forests. They will not be able to use their time for forest management and conservation activities unless the benefits are equal to, or greater than, their opportunity costs. The farmers in all four case study areas focus their attention on primary agronomic processes, whereas nature and particularly forest conservation is

prioritised only if these activities provide concrete livelihood services (articles I and II).

- Attitude change towards forest protection was most recognisable in those cases where local people's access to forest resources was legally secured by laws and allocation of land even though the resources available and benefits of PFM were still limited. Even in these cases, the implementation of PFM activities will be sustainable only if central governments institutionalise participation in forest management.
- It was recognised that a central issue was the attitude change of the local elite. The local elite is vulnerable to temptation to use their power in order to increase their own benefits. They are also role models for the community members. Where the local leaders were actively promoting tree planting, forest protection and forest fire management, the villagers were most motivated to participate in forest management activities (articles I and III).
- In all four case study countries the sustainability and scaling-up of PFM practices nation-wide is still questionable. Supportive institutions and implementation of several reforms are needed in order to ensure the implementation of PFM practices at national scales. This is especially so with regard to ensuring long-term extension services in rural areas through local institutions and national budget allocations (articles I, II, III and V).
- Forestry and rural development sectors, and developing countries in general, are many-headed creatures with actors on many levels, each with potentially widely differing reasons, for example resisting decentralised and participatory forest management. Under these conditions, participatory ideology which emphasises local people's rights comes unfavourable and is extremely hard to implement. Especially, concerning management of valuable timber resources, participatory practices seem to face resistance (articles II and III).
- Put simply, it seems that forestry as an economically profitable sector is what is driving forest conservation and forest management planning activities. A lot remains to be done in order to integrate forestry in a more holistic way in rural development, landscape and people's livelihoods. This requires a new type of training at forest colleges and university as well as more action oriented learning and research (articles I, II and III).
- The research recognises that foresters and central governments often refuse to believe that people without forestry training can and should participate in forest management and conservation. The reality behind this fear seems to be that foresters are afraid to lose their employment whilst central governments are afraid of losing decision-making power over the natural resources and the possibility to use the resources based on short-term economic interest (articles II, III and IV).
- The contradictions in legislation and implementation of PFM reflect insufficient understanding of the three real problems related to sustainable forest management: (a) a lack of incentives for local people to participate in control and management of natural resources, (b) a conservative attitude among the foresters and political

decision-makers – the forest needs to be ‘protected’ from the people, and (c) a lack of incentives, motivation and demand for sub-national administrations to promote local people’s rights and ability. These problem calls for continued efforts to unravel the motives for such contradictions (articles I, II and IV).

**Take-home points for forestry assistance:**

- The lesson from the case study countries was that local people through the forest projects, experienced and came to understand that forests can provide monetary and non-monetary benefits, and this has resulted in an attitude change towards forest resources (articles I, II and III)
- PFM is contingent on the willingness of each country to invest financial and human resources in capacity building. The donors cannot drive the activities if there is no political commitment from recipient governments and their leaders. In principle, the recipient government and their political decision-makers should politically and financially support the ideology of decentralised natural resources management, and be ready to ensure the long-term financial sustainability of extension services focused on facilitating local people to carry out the related activities. If this political commitment is not there at the early stage of a donor-supported project, there is a risk that the initiatives introduced in pilot projects will not be continued after external funding has been exhausted (articles I, II, III and V).
- Donor aid can facilitate the development of different forms of PFM through which recipient governments and macro-level decision-makers are able to observe that participatory and sustainable forest management can be economically attractive and viable for the country. However, short project periods do not support the institutionalisation of PFM in local communities and into national development frameworks: the failures and shortly terminated donor projects give recipient governments more reasons to look for other solutions in forest management, such as privatised concession under the management of private enterprises or government entities (articles III and IV).
- Accordingly, it is important to make clear political analyses before the donor funding is released. The political environment and government structures need time to develop. If donors are serious in their desire to be development partners with countries like Tanzania, Mozambique, Laos and Vietnam and assist them in creating a model of PFM that fits local conditions, they must be ready to enter into long-term partnerships in the specific areas where the interventions have been started. And in this way create long-term experiential context-specific knowledge about the possibilities and contradiction related to decentralised natural resources management (articles II, IV and V)
- PFM does not always fit overall culture or political circumstances: it might not be necessary to target the latest handbook techniques of participation and decentralisation, but rather to emphasise a common understanding of local politics and recipient government interests, so as to take a more committed approach to

participation in forest management. However, the donor-supported projects should aim to ensure that villagers would be expected to play a more significant role than that of hired forestry labourers, and to receive more than wages alone in relation to their physical input (articles II, III and V).

- If the donors aim to create an interest, so-called national ownership, to support PFM, long-term donor commitment is needed to assist communities and their lobbying and advocacy organisations in building local civil society organisations and national policy coalitions that can assert the rights and ability of local communities (articles I, II and IV).
- The process of shifting from fragmented donor support for projects towards SWAps and DBS, and mobilisation of domestic revenue from the forestry sector, needs time and is related to other reforms and policy changes. These processes are expected to influence development in general, and the process to develop SWAps is a long-term commitment of learning together with different partners (article V).
- It is more likely that the development of a SWAp will succeed in countries with (a) clear sector policies and development strategies, (b) long-term commitment by government and donors to support the forestry sector, (c) a cooperative private sector and NGOs, and (d) willingness to harmonise donor support (article V)
- Support to central governments should not divert funding from the ultimate intended beneficiaries, nor from the intended objectives of the development cooperation such as poverty reduction. Although the importance of supporting policy development and building central government structures should not be underestimated, the significant question is how much support for macro level development and administrative structures is needed before the implementation of the SWAps and DBS yield results for the poor and benefits in less prioritised sectors such as forestry (article V).
- The establishment and the implementation of a SWAp require strong commitment of all stakeholders to the process, and this presupposes that they have actively participated in planning. Commercial forestry businesses, local communities and district forest officials may have widely divergent interests, and success at the local level depends on good consultation and commitments from all. Due to the complexity of PFM, and forestry and rural development in general, the dissertation argues that a range of support modalities are needed and, in all likelihood, projects in the forestry sector will remain important instruments for implementing sector strategies and national development frameworks (article V).
- The trade issues are often more influential than aid: timber, legal and illegal, has growing markets and if the buyers have no interest in participatory and sustainable forest management, it is most likely that the decision-makers will not be ready to invest tax money in PFM. It should be recognised that governments and their decision-makers, in both developed and developing countries, base their decisions mainly on economic interests, international policies, investors' behaviour and trade issues. Opening and developing markets for certified forest products, environmental services and carbon dioxide sinks could increase interests in PFM (articles II, IV and V).

## 1.7 Conclusions

The most significant impacts of PFM interventions were recorded in Tanzania and Vietnam. The condition of the forest had improved significantly since the local people took over the authority to manage. In Laos and Mozambique, the form of joint forest management still has a risk that local people will see themselves merely as a labour force for forest management and conservation activities, and their attitude towards the resources is different compared to the cases where local people can have legal management authority with decision-making rights over the local resources. The dissertation argues that once the ‘new manager’ - the local people - gets hold of the ‘stick’ - management rights over the resources - , two central elements are required to sustain participation, referred in the title ‘handling the stick’: (a) *attitude*: local people in the specific context see themselves as participants in forest management and their relationship towards forest resources as conservers and as consumers and, (b) *access*: how local people gain access to information and benefits, regardless of land tenure or forest management model. Enabling local people to manage forest resources sustainably and effectively is a process of balancing between utilisation of resources and conservation. In order to act in this way, participating communities need to have access to required technical information on forest management and conservation, as well as market information and market access. Therefore long-term capacity building and extension services are needed to ensure the best possible outcome of local people’s participation in forest management.

In public works such as forest protection and management, the principle of ‘participation and decentralisation’ is still often applied in terms of obligatory labour contributions. If the donors aim to create an interest in national ownership to address the contradictions, it is important to support local initiatives at the community level even though local level initiatives in forest management might not always produce immediate and visible economic development. The local communities’ participation in decision-making and management of natural resources gives more equitable opportunities to the rural poor to benefit from resources in developing countries. It is important that donors commit themselves to long-term support for decentralisation of natural resources management and control, and allow local communities time to develop local institutions and capacity. The lessons from the case study countries are that short project periods do not ensure capacity of local institutions and resulting failures of rapidly terminated donor projects give recipient governments more reasons to look for other solutions in forest management, such as large scale concession management under private enterprises or government entities. In all four case study countries, due to the impact of PFM interventions, the government has decided to implement the decentralised management model of forest resources, but this has not yet been implemented on a national scale in any of the four case study countries, and the sustainability and scaling-up of PFM to nationwide practices is still debated.

The four case study projects, because of limited time period, high expectations, inflexible and unfavourable conditions in both donor and recipient organisations, did not manage to impact on all the key elements of PFM, as indicated in the ‘house model’. During

the limited implementation periods, the projects were expected to influence institutional development of PFM at macro level and at the same time have concrete long-term impacts on local livelihoods. The implementation of PFM in case study countries is still ridden with contradictions on multiple levels, and these contradictions impose barriers to potential of tangible impacts from PFM and to the fulfilment of objectives of development assistance related to PFM. While donor support clearly has a useful role to play in promoting and supporting new approaches, the critical question is what happens to PFM initiatives after the end of external funding.

The title of 'handling the stick' refers to the key finding: long-term capacity building and extension services are needed when local people are required to 'handle' their obligations in forest management, conservation and even generate income through the forestry. The key question is how institutions, at the micro and macro level as well as donors, can support and facilitate local people to carry their obligations as well as protect and promote their rights over the local resources. When Chambers' (2005) and Ribot and Peluso's (2003) theories are applied to the four cases of this dissertation, it is recognised that the case study projects did not have long-term tangible impacts in protection and promotion of local people's rights and ability to benefit from forest resources. When supportive local institutions are not in place or are undeveloped, participation in PFM does not always promote local people's ability and rights over the information and benefits from natural resources. Instead, under unsupportive institutional and political conditions, there is a tendency to employ local people merely as labour force in natural resources management.

There is a need for national governments and external funding agencies to increase the debate about the barriers of PFM implementation: it cannot be denied that pilot projects on PFM are experiencing difficulties with up-scaling from externally funded donor schemes. It is obvious that participatory processes are time-consuming and need piloting and external funding. However, this does not diminish the fact that reasons for low up-scaling of PFM can be political and it can be argued that lack of political and institutional support for decentralised forest management is not because of technical capacity or resources among the forest authorities. A large part of the difficulties in institutionalisation of PFM is due to the tendency to dissect the conflict of interest between the public responsibilities and private interests of civil servants and then address only parts of the contradictions without subsequent attempts at reassembling the system again and thereafter seeking holistic solutions. Decentralised forest management cannot be implemented without developing various areas of governance. For example, exit strategy out of donor dependency, trade issues, enhanced law enforcement and collection of domestic revenue in forestry sector, organisational reforms in government authorities, and improved salaries for civil servants such as extension officers, could have more positive influence on sustainability of PFM than specific policy and legislation in forestry, or donor aid.

The dissertation concludes that PFM is contingent on the willingness of each country to invest financial and human resources in forestry. The governments must be ready to invest reasonable amount of the funds generated through forest management and protection back into the forestry sector and maintain participatory practices that rely on long-term extensive

extension service input. External funding such as donor aid or non-governmental organisations (NGOs) cannot be the only way to finance long-term forestry extension services, nor can it be expected to financially sustain the participation of the local people in forest management. Nevertheless, institutionalisation of PFM requires long-term donor commitment to assist communities and the countervailing organisations in building local civil society organisations and national policy coalitions that can assert the rights of local communities and good governance principles to be implemented in the forestry sector. Donor aid and NGOs can facilitate the development of different forms of PFM through which recipient government and macro-level decision-makers are able to experience that participatory and sustainable forest management can be economically attractive and viable for the country. However, this is only possible if the recipient governments secure rural communities access to monetary and non-monetary benefits from forest under the PFM, and generates and collects the tax revenue through the monetary benefit in the forestry sector.

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## **APPENDIX: Abstracts in Swahili, Portuguese, Lao, Vietnamese, Danish and Finnish**

### **SWAHILI ABSTRACT: MUHTASARI**

Madhumuni ya rasmu hii ni kuimarisha uelewa wa mikakati na matokeo ya ushirikishi wa jamii kwenye kuhifadhi na kuendeleza misitu pia kuchangia juhudi za kuchanganua vipingamizi vilivyopo na jinsi ya kuwa na mikakati endelevu ya Usimamizi Shirikishi wa Misitu (USM). Utafiti umeonyesha ya kuwa jamii itafanikiwa kuhifadhi na kuendeleza misitu yao mara wapatapo nguvu ya kisheria na kushika hatamu ya kuhifadhi na kuendeleza rasilimali za misitu yao. Utafiti umechunguza miradi minne ya USM kwenye nchi za Tanzania, Mozambique, Laos na Vietnam. Utafiti unaonyesha kwa ujumla na kwa vipengele maalum, matokeo na kipau mbele kwenye mikakati inayoambatana na utekelezaji wa USM kwa kupitia mbinu shirikishi za wahisani kutoka nje.

Kwenye nchi zote nne, utafiti umeonyesha ya kuwa mikakati na mbinu zilizotumiwa zilikuwa na mafanikio kidogo kuhusu upatikanaji wa hakika wa habari na faida za USM. Mikakati ya muda mrefu ya uenezi shirikishi, upatikanaji wa masoko na taarifa za masoko ni baadhi ya vitu vilivyokuwa na ugumu wa kuendeleza wakati wa utekelezaji na baada ya kumalizika kwa miradi iliyofadhiliwa na wahisani wa nje. Uzoefu uliopatikana kwenye nchi zilizofanyiwa utafiti ni a) jamii kwa kupitia miradi ya misitu endelevu ilipata uzoefu na kubaini kuelewa ya kuwa misitu inaweza kutoa faida za kujipatia kipato na zisizo na kipato na hii imefanya jamii kubadilisha mtazamo wao wa kuthamini rasilimali za misitu, (b) Uendelevu wa USM unategemea mtazamo wa jamii kuhusu faida za mali asili na upatikanaji wa hakika wa habari na faida za misitu. Mabadiliko ya mtazamo kuhusu hifadhi ya misitu yalionekana kuwa makubwa kwenye maeneo ambayo jamii wamepata haki za kisheria za kumiliki misitu na ardhi zao ingawa rasilimali za misitu zilizopo kwenye maeneo wanayomiliki ni chache.

Hata kwenye hali hiyo, utekelezaji endelevu wa USM utategemea juhudi za serikali kuu kuthamini na kuchukulia mkakati wa misitu shirikishi jamii kama njia moja wapo ya kuendeleza misitu. Uthamini huo utafanikiwa kama kutakuwepo na: sera, sheria na kanuni za kuwezesha jamii kuwa na nguvu na uwezo wa kufanya maamuzi kuhusu matumizi ya rasilimali zao na (b) juhudi za pamoja za uenezi zinazojenga uwezo wa muda mrefu wa jamii kuendeleza na kuhifadhi misitu pia kufaidika na misitu na mazao yatokanayo na USM. Baadhi ya sababu zinazofanya wanasiasa na baadhi ya taasisi kutounga mkono juhudi za USM zinatokana na kutofautiana kuhusu umiliki wa rasilimali za misitu kati ya jamii na maslahi binafsi ya baadhi ya watumishi wa umma. Taasisi zinazounga mkono pia mfumu mzuri wa uenezi unapokosekana au kuwa kwenye kiwango cha chini, jamii inatumika kama njia rahisi ya kupata vibarua wa kuendeleza hifadhi ya maliasili bila kuwa na haki ya kisheria ya ardhi na kufaidika na rasilimali zitokanazo na maliasili. Mafanikio ya mfumo wa USM yanahitaji dhamira ya muda mrefu ya wafadhili ya kusaidia jamii kuanzisha asasi zao na mtambuka (muungano) wa sera za serikali ambazo zitatoa nafasi na kulinda haki za jamii kumiliki rasilimali za mali asili chini ya utawala bora kwenye utekelezaji wa sekta ya misitu.

## PORTUGUESE ABSTRACT: RESUMO

O propósito desta dissertação é promover a compreensão de práticas e impactos da participação na gestão florestal, bem como contribuir significativamente para analisar as contradições entre a sustentabilidade e o manejo florestal participativo (MFP). Uma vez que os “novos gestores da floresta” - a população local - seguem o princípio - os direitos de gestão para além dos recursos - espera-se que a conservação e gestão dos recursos seja assegurada. Este estudo investiga quatro projectos locais MFP na Tanzânia, em Moçambique, em Laos e no Vietname. A investigação é qualitativa e contextualizada pela avaliação de impactos que enfatiza a análise participativa do processo, acompanhada da implementação da MFP através de intervenções participativas do agente financiador.

Em todos os quatro estudos de caso a investigação demonstra que as intervenções tiveram impactos tangíveis relativamente limitados no que se refere ao acesso seguro à informação e aos benefícios da MFP. Os serviços de extensão integrados e a longo prazo, o acesso ao mercado e à informação de marketing foram os aspectos mais difíceis de influenciar antes e depois da ajuda financeira aos projectos. Os principais resultados obtidos a partir do conjunto dos países foram: (a) a população local, através dos projectos florestais, experiencia e inicia a compreensão de que a floresta pode proporcionar benefícios monetários e não monetários, o que resultou numa atitude de mudança em relação aos recursos florestais, e (b) a sustentabilidade da MFP depende da atitude da população local a longo prazo face aos recursos naturais e acesso à informação e aos benefícios que esses recursos possam proporcionar. A mudança de atitude no que se refere à protecção florestal é mais evidente nos casos em que o acesso da população local é legalmente assegurada por leis e arrendamento de terra, mesmo que os recursos disponíveis sejam limitados. Mesmo nestes casos, a implementação das actividades de MFP será sustentável apenas se os governos centrais institucionalizarem a participação como gestão florestal.

O processo de institucionalização pode ter sucesso se existirem políticas e regulamentos viáveis que assegurem a decisão ao nível local para além da utilização dos recursos, e (b) um sistema de extensão holística que assegure a construção de capacidade a longo prazo para apoiar os novos gestores florestais na conservação e gestão dos recursos e dos benefícios da gestão florestal de acordo com o MFP. A falta de apoio político e institucional para a MFP amortece o conflito de interesses entre as responsabilidades públicas e os interesses privados dos cidadãos.

Quando instituições financiadoras e serviços de extensão não existem, ou estão subdesenvolvidos, a população local é usada como simples mão de obra na exploração e na conservação dos recursos naturais sem acesso a uma informação segura acerca dos benefícios desses mesmos recursos. A institucionalização da MFP requer um compromisso de longo prazo por parte da entidade financiadora, por forma a ajudar a população local e as suas organizações locais na construção de uma sociedade civil e no estabelecimento de coligações políticas que respeitem os direitos da população local para além do uso dos recursos e os princípios de uma boa governança têm que ser aplicados ao sector florestal.

LAO ABSTRACT: ສະຫຼຸບຫຍໍ້

ຈຸດປະສົງຂອງບົດນິພົນປະລິນຍາເອກເຫຼົ່ານີ້ແມ່ນມີຈຸດປະສົງເພື່ອສົ່ງເສີມຄວາມເຂົ້າໃຈຂອງການກະທົບຕົວຈິງແລະຜົນກະທົບຂອງການມີສ່ວນຮ່ວມໃນການຈັດສັນບ່າໄມ້ ກໍຄື ເປັນການປະກອບສ່ວນ, ຄວາມພະຍາຍາມເພື່ອໃຈຂໍ້ ຂັດແຍ້ງ ແລະ ຄວາມເໝາະສົມຂອງການຈັດສັນບ່າໄມ້ ແບບມີສ່ວນຮ່ວມ. ຄັ້ງນີ້ ງົບ ມີ ຜູ້ ຈັດການບ່າໄມ້ ຄົນໃໝ່ - ຄົນທ້ອງຖິ່ນ - ໄດ້ ຖື ໄມ້ ຄ້ອນ-ສົດທົ່ວໃນການຈັດສັນຊັບພະຍາກອນ-ພວກເຂົາ ມີ ຄວາມຕ້ອງການນຳໃຊ້ ໄມ້ ຄ້ອນຢ່າງຖືກຕ້ອງ. ການຄົ້ນຄວ້າ ນີ້ ໄດ້ ທຳການສຶກສາໃນສິ່ງ ໂຄງການຈັດສັນແບບມີສ່ວນຮ່ວມໃນລະດັບທ້ອງຖິ່ນ ໃນປະເທດ ຕັງຊານີ, ໄມຊຳບຶກ, ລາວ ແລະ ຫວຽດນາມ. ການຄົ້ນຄວ້າ ແມ່ນການປະເມີນຜົນກະທົບດ້ານຄຸນນະພາບ ແລະ ສາຍພົວພັນທີ່ ມີ ລັກສະນະພິເສດເຊິ່ງເນັ້ນເຖິງການວິໃຈທີ່ ມີສ່ວນຮ່ວມຂອງຂະບວນການທີ່ ມີການປະຕິບັດງານ ຂອງ ໂຄງການການຈັດສັນທີ່ ມີສ່ວນຮ່ວມ ໂດຍການເຂົ້າຮ່ວມ ສະ ໜັບສະໜູນຈາກຜູ້ ອຸ ປະຖຳ.

ທັງໝົດ ສີ່ ກໍລະນີ ນີ້, ການຄົ້ນຄວ້າໄດ້ ສະແດງໃຫ້ເຫັນວ່າ ການເຂົ້າໄປຈັດການ ໄດ້ ສົ່ງຜົນ ກະທົບແບບທົບທຽມທີ່ ມີ ຂໍ້ ຈຳກັດຢ່າງຈະແຈ້ງຄື ການເຂົ້າເຖິງຂໍ້ ມູນຂ່າວສານ ທີ່ ຮັບປະກັນ ແລະ ຜົນປະໂຫຍດຂອງການຈັດສັນບ່າໄມ້ ແບບມີສ່ວນຮ່ວມ. ໃນຊ່ວງໄລຍະຍາວນານ, ການປະສົມປະ ສານ ວົດກງານສົ່ງເສີມ, ການເຂົ້າເຖິງຕະຫຼາດແລະຂ່າວສານການຕະຫຼາດແມ່ນອົງປະກອບທີ່ ມີ ຄວາມຫຼັກຖານ ຫຼາຍ ປະການທັງໃນໄລຍະແລະຫຼັງການດຳເນີນງານຂອງໂຄງການທີ່ ມີການສະໜັບສະໜູນຂອງຜູ້ ອຸ ປະຖຳ. ຈາກກໍລະນີ ການສຶກສາຢູ່ ໃນບັນດາປະເທດບົດຮົບທີ່ ເປັນຂັ້ນຕອນ ຄື: (ກ) ປະຊາຊົນທ້ອງຖິ່ນ, ໂດຍຜ່ານໂຄງການບ່າໄມ້, ປະສົບການທັງໝົດນີ້, ໄດ້ ເຮັດໃຫ້ເກີດມີ ຄວາມເຂົ້າໃຈວ່າບ່າໄມ້ ສາມາດຕອບສະໜອງຜົນປະໂຫຍດທາງດ້ານການເງິນ ແລະ ບຸນຄ່າແມ່ນທາງ ດ້ານການເງິນເຊິ່ງມີຜົນຕໍ່ ການປ່ຽນແປງທາງດ້ານທັດສະນະຕໍ່ ຊັບພະຍາກອນບ່າໄມ້, ແລະ (ຂ) ຄວາມເໝາະສົມຂອງການຈັດສັນບ່າໄມ້ ແບບມີສ່ວນຮ່ວມ ໄດ້ ຊ່ວຍເຮັດໃຫ້ທັດສະນະຂອງປະຊາຊົນທ້ອງຖິ່ນຕໍ່ ຊັບພະຍາກອນທຳຊາດ ແລະ ການເຂົ້າເຖິງຂ່າວສານທີ່ ຮັບປະກັນແລະຜົນປະໂຫຍດຂອງພວກເຂົາ. ການປ່ຽນແປງທັດສະນະຕໍ່ ການປ້ອງກັນບ່າໄມ້ ແມ່ນການທີ່ ຮັບຮູ້ ກັນເປັນສ່ວນໃຫຍ່ ໃນກໍລະນີ ດັ່ງກ່າວ, ແມ່ນບ່ອນທີ່ ປະຊາຊົນທ້ອງຖິ່ນເຂົ້າເຖິງຊັບພະຍາກອນບ່າໄມ້ ທີ່ ຖືກ ຮັບປະກັນດ້ວຍດ້ານກົດໝາຍ ແລະ ໂຄງການແບ່ງປັນດິນແບ່ງປ່າຢ່າງຖືກຕ້ອງເຖິງແມ່ນວ່າຊັບພະຍາກອນທີ່ ຢັ້ງຢືນ ຢ່າງຈຳກັດກໍຕາມ.

ເຖິງແມ່ນວ່າໃນກໍລະນີ ນີ້, ກິດຈະກຳຂອງການປະຕິບັດໂຄງການຈັດສັນບ່າໄມ້ ແບບມີສ່ວນຮ່ວມຈະມີ ຄວາມເໝາະສົມພົງສົ່ງຜົນຕໍ່ ຕາມແຕ່ ຖ້າວ່າ ລັດຖະບານສູນກາງເຮັດໃຫ້ກາຍເປັນສະຖາບັນທີ່ ມີສ່ວນຮ່ວມໃນການຈັດສັນບ່າໄມ້. ຂະບວນການ ທີ່ ເຮັດໃຫ້ກາຍເປັນ ສະຖາບັນອາດສາມາດປະສົບຄວາມສຳເລັດໄດ້ ຖ້າວ່າມີ (ກ) ຮັບປະກັນຕໍ່

ສາມາດທາງດ້ານການເມືອງ ແລະ ລະບົບກົດໝາຍເພື່ອຮັບປະກັນ ການ  
ຕັດສິນໃຈໃນລະດັບທ້ອງຖິ່ນຕໍ່ ການນຳໃຊ້ ຊັບພະຍາກອນ, ແລະ (ຂ)  
ລະບົບການສົ່ງເສີມທີ່ເປັນສ່ວນສຳຄັນທີ່ ລວມເອົາຄວາມອາດສາມາດ  
ໃນໄລຍະຍາວເພື່ອສະໜັບສະໜູນນັກຈັດການປ່າໄມ້ຄົນໄໝ້ໃນ  
ການບໍລິຫານແລະອານຸລັກຊັບພະຍາກອນ ແລະຜົນປະໂຫຍດຈາກປ່າໄມ້ ພາຍ  
ໃຕ້ການຈັດສັນປ່າໄມ້ ແບບມີສ່ວນຮ່ວມ. ຄວາມຂາດຕົກບົກຜ່ອງຈາກ  
ການສະໜັບສະໜູນທາງດ້ານການເມືອງ ແລະ ສະຖາບັນຂອງການຈັດສັນປ່າ  
ໄມ້ ແບບມີສ່ວນຮ່ວມ ເຊິ່ງ ພາໃຫ້ເກີດມີຂໍ້ຂັດແຍ້ງທາງດ້ານ  
ສິດຜົນປະໂຫຍດລະຫວ່າງຄວາມຮັບຜິດຊອບຂອງລັດແລະສິດຜົນປະໂຫຍ  
ດຂອງເອກະຊົນ. ໃນເວລາສະຖາບັນແລະກອງສົ່ງເສີມບໍ່ໃຫ້ການສະ  
ໜັບສະໜູນ ຫຼື ວ່າໃຫ້ການສະໜັບສະໜູນນັບ ພ້ອມ, ປະຊາຊົນ  
ທ້ອງຖິ່ນຖືກນຳໃຫ້ເປັນແຮງ ງານທຳມະດາໃນການຈັດສັນ ແລະ ອານຸລັກ  
ຊັບພະຍາກອນທຳມະຊາດປາສະຈາກການເຂົ້າເຖິງຂ່າວສານທີ່ ຮັບປະກັນ  
ທີ່ມີຄວາມຕ້ອງການ ແລະ ຜົນປະໂຫຍດຈາກຊັບພະຍາກອນທຳມະຊາດ. ການ  
ສ້າງໃຫ້ມີສະຖາບັນຂອງການຈັດສັນປ່າໄມ້ ແບບມີສ່ວນຮ່ວມຕ້ອງການ  
ຜູ້ສະໜັບສະໜູນທີ່ ຍາວນານເພື່ອຊ່ວຍປະຊາຊົນ ແລະອົງການ  
ຈັດຕັ້ງທ້ອງຖິ່ນໃນການກໍ່ສ້າງສັງຄົມພົນລະເຮືອນແລະການປະສານ  
ທາງດ້ານນະໂຍບາຍແຫ່ງຊາດ ເຊິ່ງຢືນຢັນເຖິງສິດທິຂອງປະຊາຊົນທ້ອງ  
ຖິ່ນກ່ຽວກັບການນຳໃຊ້ ຊັບພະຍາກອນ ແລະ ຫຼັກການການປົກຄອງທີ່ ດີ  
ຄວນຈະຖືກປະຕິບັດໃນຂະແໜງການປ່າໄມ້.

## VIETNAMESE ABSTRACT: TÓM TẮT

Mục đích của luận án này nhằm tăng cường sự hiểu biết về các thông lệ và các tác động của việc tham gia quản lý rừng cũng như nhằm đóng góp vào nỗ lực phân tích các thách thức và tính bền vững trong quản lý rừng có sự tham gia (PFM). Một khi ‘người quản lý mới của rừng’ - tức người dân địa phương - nắm được ‘cái gậy’ - tức quyền quản lý tài nguyên rừng - họ phải biết ‘sử dụng cái gậy’ đó. Nghiên cứu này tìm hiểu về bốn dự án quản lý rừng có sự tham gia ở cấp địa phương tại Tan-za-nia, Môđambích, Lào và Việt Nam. Nghiên cứu mang tính chất định tính và đánh giá tác động theo hoàn cảnh cụ thể trong đó nhấn mạnh vào việc phân tích sự tham gia trong quá trình thực hiện quản lý rừng thông qua các hoạt động dự án mang tính tham gia của các nhà tài trợ.

Trong tất cả các trường hợp của bốn nước, nghiên cứu cho thấy rằng các hoạt động dự án có tác động tương đối hạn chế về sự tiếp cận có đảm bảo tới thông tin và các lợi ích của việc quản lý rừng có sự tham gia. Các dịch vụ khuyến nông lâm tổng hợp mang tính dài hạn, tiếp cận thị trường và thông tin thị trường là những hợp phần khó đem lại tác động nhất trong và sau dự án của nhà tài trợ. Các bài học chủ chốt từ các trường hợp nghiên cứu ở các nước trên là: (a) người dân địa phương, thông qua các dự án rừng, đã được trải nghiệm và đã hiểu được rằng rừng có thể đem lại những lợi ích kinh tế và lợi ích phi kinh tế, và điều này đã dẫn tới sự thay đổi nhận thức về tài nguyên rừng, và (b) tính bền vững của công tác quản lý rừng có sự tham gia phụ thuộc vào nhận thức của người dân địa phương đối với tài nguyên thiên nhiên và sự tiếp cận được đảm bảo của họ tới thông tin và các lợi ích. Sự thay đổi nhận thức đối với việc bảo vệ rừng dễ nhận thấy nhất là ở những nơi mà việc người dân địa phương tiếp cận tới tài nguyên rừng được đảm bảo hợp pháp bởi pháp luật và sự phân chia đất đai mặc dù các nguồn tài nguyên vẫn còn hạn chế.

Ngay cả trong những trường hợp như trên, việc thực hiện các hoạt động quản lý rừng có sự tham gia chỉ thực sự vững bền khi chính phủ thể chế hoá sự tham gia đó trong việc quản lý rừng. Quá trình thể chế hoá có thể thành công nếu có (a) các chính và quy định có hiệu lực để đảm bảo việc ra quyết định của người dân địa phương đối với việc sử dụng tài nguyên, và (b) một hệ thống khuyến nông lâm đầy đủ trong đó bao gồm cả xây dựng năng lực dài hạn để hỗ trợ những người quản lý mới của rừng trong việc quản lý và bảo tồn tài nguyên và các lợi ích từ rừng trong việc quản lý rừng có sự tham gia. Việc thiếu sự hỗ trợ về chính trị và thể chế đối với việc quản lý rừng có sự tham gia bắt nguồn từ các bất đồng lợi ích giữa trách nhiệm công và lợi ích tư của các cán bộ nhà nước. Khi các thể chế hỗ trợ và các dịch vụ khuyến nông lâm không có hoặc chưa phát triển, người dân địa phương chỉ được dùng như một lực lượng lao động giản đơn trong việc quản lý và bảo tồn tài nguyên thiên nhiên mà không sự tiếp cận đảm bảo nào tới các thông tin cần thiết và các lợi ích từ những tài nguyên đó. Thể chế hoá việc quản lý rừng có sự tham gia đòi hỏi sự cam kết lâu dài của nhà tài trợ để hỗ trợ người dân địa phương và các tổ chức địa phương trong việc xây dựng xã hội dân sự và liên kết chính sách quốc gia để công nhận quyền của người dân địa phương trong việc sử dụng tài nguyên và các kỷ cương nhà nước thật tốt được thực hiện trong khu vực lâm nghiệp.

## DANISH ABSTRACT: SAMMENFATNING

Formålet med denne afhandling er at fremme forståelsen af praksis for og virkninger af brugerdeltagelse i skovdrift og at bidrage til bestræbelserne på at analysere indre uoverensstemmelser i og bæredygtigheden af partcipatorisk skovdrift (PFM). Når de 'nye skovbestyrere' (lokalbefolkningen) får greb om 'kæppen' (driftsretten til ressourcerne) kræves det at de 'bruger kæppen'. Nærværende forskning analyserer fire lokaltbaserede PFM projekter i Tanzania, Mocambique, Laos og Vietnam. Forskningen er en kvalitativ og kontekstspecifik påvirkningsvurdering som lægger vægten på partcipatorisk analyse af processerne i forbindelse med gennemførelsen af donor-støttede partcipatoriske interventioner.

I alle fire cases viser forskningen at interventionerne havde relativt begrænsede, materielle virkninger med hensyn til sikret adgang til information om og udbytte af PFM. Langsigtet integreret oplysningstjeneste, markedsadgang og markedsinformation var de elementer der var vanskeligst at påvirke under og efter de donorstøttede projekter. Den vigtigste viden der kan uddrages fra case landene er: (a) gennem projekterne fik lokalbefolkningen erfaring med og forståelse for at skov kan give monetære og ikke-monetære udbytter, hvilket har resulteret i en holdningsændring over for skovene, og (b) PFM's bæredygtighed hviler på lokalbefolkningens holdning over for naturressourcerne og en sikring af adgangen til information og udbytter. En holdningsændring med hensyn til skovbeskyttelse var mest tydelig i de tilfælde hvor lokalbefolkningens adgang til skovressourcer var juridisk sikret ved lov og tildeling af jord, selvom de tilgængelige ressourcer stadig var begrænsede. Selv i disse tilfælde vil gennemførelsen af PFM kun være bæredygtig hvis lokalmyndigheder institutionaliserer brugerdeltagelse i skovdriften.

Institutionaliseringsprocessen kan lykkes hvis der er (a) politik og reguleringer som sikrer lokal beslutningstagning med hensyn til brug af ressourcer og (b) et holistisk oplysningssystem som omfatter langsigtet kapacitetsopbygning for at støtte de nye skovbrugeres udnyttelse og bevarelse af ressourcer og udbyttet af partcipatorisk skovdrift. Manglen på politisk og institutionel støtte til PFM udspringer af en konflikt mellem embedsmændenes samfundsmæssige ansvar og private interesser. Når støtteinstitutioner og oplysningstjenester ikke er til stede eller er underudviklede, bliver lokalbefolkningen kun anvendt som arbejdskraft i udnyttelsen og bevarelsen af naturressourcerne – den har ingen sikker adgang til information om og udbytter af naturressourcerne. Institutionalisering af PFM kræver langsigtet donorforpligtelse til at bistå lokalbefolkningen og dens lokale organisationer med at opbygge samfundsmæssige og landspolitiske sammenslutninger som kan varetage lokalbefolkningens ret til ressourceudnyttelse og gennemførelsen af gode ledelsesprincipper i skovsektoren.

## FINNISH ABSTRACT: TIIVISTELMÄ

Väitöskirjan tarkoituksena on lisätä tietoa paikallisten ihmisten osallistamisen mahdollisuuksista metsätaloudessa ja arvioida osallistamisen vaikutuksia sekä kestävyyttä. Tutkimuksessa seurattiin neljää Suomen ulkoasiainministeriön tukemaa osallistavan metsätalouden hanketta, jotka sijaitsivat Tansaniassa, Mosambikissa, Laosissa ja Vietnamissa. Tutkimuksessa käytettiin laadullisia ja osallistavia kontekstispesifisiä vaikutusten arviointimenetelmiä. Tutkimus oli osa Suomen Akatemian rahoittamaa ja Helsingin Yliopiston Kehitysmatutkimuksen laitoksen johtamaa kehitysyhteistyön vaikutuksia tutkivaa hanketta.

Kun uudet metsän hallinnoijat, paikalliset ihmiset, saavat hallintaoikeudet luonnonvaroihin, heidän oletetaan osaavat hoitaa, suojella ja hyödyntää luonnonvaroja. Tapauksittain kävi ilmi, että hankkeet eivät pystyneet turvaamaan paikallisten ihmisten mahdollisuuksia saada riittävästi tietoa luonnonvaroista ja niiden käytöstä, mikä kavensi näin mahdollisuuksia hyötyä niiden käytöstä ja hallinnasta. Pitkäkestoinen metsäneuvonta ja tuotteiden markkinointiin liittyvä tietotaito olivat vaikeimpia turvata sekä hankkeiden aikana että niiden jälkeen. Tutkimuksessa havaittiin, että (a) paikalliset ihmiset kokivat oppivansa hankkeiden avulla, että metsä voi tuottaa sekä taloudellisia että eitaloudellisia hyötyjä, (b) osallistavan metsätalouden kestävyys riippuu paikallisten ihmisten suhtautumisesta luonnonvaroihin sekä metsä- ja maaseudun kehittämisneuvonnan saatavuudesta ja mahdollisuuksista hyötyä osallistavasta metsätaloudesta ja (c) vaikka luonnonvarat olivat rajalliset, asenteiden muutos luonnonvaroja kohtaan oli merkittäväntä niissä tapauksissa, joissa paikallisväestön luonnonvarojen käyttöoikeudet ja maaomistus oli turvattu lailla. Jopa näissä tapauksissa osallistava metsätalous on kestävää vain silloin, jos valtio takaa hajautetun luonnonvarojen hallintomallin institutionaalisen kestävyuden. Siinä voidaan onnistua, jos (a) maan poliittinen tilanne ja lait turvaavat luonnonvarojen käyttöä koskevan paikallisen päätöksenteon ja (b) holistinen neuvontajärjestelmä takaa pitkäaikaisen metsä- ja maaseudun kehittämisneuvonnan paikallistasolla mahdollistaen näin kestävä metsätalouden sekä siitä tulevat hyödyt.

Osallistavan metsätalouden tarvitseman poliittisen ja institutionaalisen tuen puuttuessa paikalliset ihmiset toimivat lähinnä työvoimana metsänsuojelussa tai metsävarojen hyväksikäytössä. Näissä olosuhteissa osallistavan metsätalouden tukeminen vaatii pitkäaikaista tukea paikalliselle väestölle ja heidän etujaan ajaville paikallisorganisaatioille. Osallistamisessa tärkeää on tukea kansalaisyhteiskuntaa ja poliittisia koalitioita, jotka ajavat paikallisten ihmisten oikeuksia luonnonvaroihin ja tukevat hyvän hallinnon toteuttamista metsäsektorilla.