

# CHAPTER-1

## INTRODUCTION

### 1.1 Background of Study

Forest resource has occupied a very important place in rural economy of Nepal. Agriculture and forest has covered the 39.3 percent gross domestic products (NPC, 2002). Forest provides fuelwood, fodder, timber, grazing land, Non-timber forest products (NTFPs) and other opportunities of supporting livelihoods of rural people through income generating activities. Many of the forest patches of middle hills of Nepal have been handed over to the local communities following the principle of community forest i.e utilization, controlling and management by local users. CFUG have legal right to claim support services from the DFO, and are also free to collaborate with other organizations (Springate-Baginski et al. 2003b). As of August 2007, 14,337 CFUGs had been formally handed over to local people across Nepal. Of these, over 11,000 (about 77%) are federated within the umbrella of the Federation of Community Forestry Users-Nepal (FECOFUN), covering 74 districts with 560 sub-district-level committees. Out of a total of 5.5 million hectares (ha) of forest, shrubland and grassland in Nepal (39% of the physical area), about 1.22 m ha of forest land (about 20% of the country's forest area) is managed by CFUGs, whose membership consists of about 1.65 million households (or 8.9 million population), constituting almost 35% of Nepal's population (DOF, 2007). Furthermore, Nepal government has planned to hand over 2,500 CFUGs in coming three fiscal years (NPC, 2007). These communities are termed as Community Forest Users' Group (CFUG). These groups are engaged in regular democratic practices through involvement in periodic election of executive committee (EC) and mutual consent based decision-making process. This process has the implications on involving socially excluded groups (generally conceptualized as disadvantaged groups – DAGs) such as *dalits*, women and the poor in the community forestry (CF) governance processes.

In practice, however, we have several evidences that these DAGs have been taken aside from the CF processes (Malla 2000, Malla et al. 2001; Neupane 2000, Timsina *et al.*, 2004). In this context, some governmental and non-governmental organizations and bilateral projects (such as SDC and LFP) have implemented equity oriented participatory action research (PAR) in community forestry in Nepal. These projects have tried to include DAG and marginalized groups in the sustainable forest management processes, particularly in decision-making

processes which ultimately helping to strengthen the governance processes of the FUG. Furthermore, the support services provided by the government and other organizations have remained inadequate in comparison to the increasing demand of CFUGs. As a result, several second –generation issues have emerged in CF all around the country; one of issues is good governance in CFUG (Bhatta and Gentle 2004). As the government is not able to provide adequate services for CFUGs, there is an increasing demand of institutions for effective facilitation of CF processes (Luintel 2006).

The main aim of the study is an attempt to explore various factors affecting the governance processes of community forestry management system. Participation, bottom up planning and decision making process, inclusive institutional structure, communication and information sharing, proper documentation and maintenance of transparency, Equitable access to resources, collective action and reflection are key elements of governance processes. Due to the poor governance system in CF, especially poor and marginalized people are excluded from decision making processes and becoming vulnerable to use common property resources (CPR) in optimum level (Pandit et al. 2004). Similarly, linear approach has hindered to ensure the participation of all types of users in CF management and governance processes (New ERA, 2002). In this connection, this study dissertation is providing the information about basic governance processes and its impact on CF that are seen in Andheribhajana CFUG of Sankhuwasabha district.

In all societies, some people exercise more control than others over decision-making at various levels and in terms of access to assets. Weaker groups' interests are often ignored, excluded, represented ineffectively, overridden or negotiated away (Wollenberg *et al.*, 2005). Furthermore, the accesses of poor and socially marginalized people to some assets tend to be limited (Warner, 2006). This has a significant effect on livelihoods of the poor versus wealthier groups, because individuals or households with more assets tend to have a greater range of options as well as more ability to adjust the emphasis in their livelihood strategy (Ibid, 2006). There are imbalance in power and access to assets to be present in community forestry, as local elite often tends to control the decision-making of community forestry user groups, and costs and benefits are often distributed unequally. This power imbalance relates to, and is typically reinforced by, socio-economic, cultural, and institutional factors. Equity, on the other hand, refers to social justice, and a political or social situation of process in which, people, particularly the poorest of the poor and the socially marginalized, have fair

access to assets and decision-making (UNDP, 2004, Ojha, 2004, Wollenberg et al., 2005). According to Ojha (2005) in equitable society, "people can develop their full potential and lead productive and creative lives in accord with their needs and interests....(and) participate in the life of the community".

Development efforts of the past in Nepal and elsewhere were often focused on the reorientation of economics, polity or infrastructure for better livelihood outcomes (UNDP, 2001). In recent years, research and experience has led to a shift in focus towards the need for governance to be strengthened at all levels as a means of fostering participation, equity, and livelihood sustainability, especially for the poorest of the poor (McDougall *et al.*, 2004; UNDP, 2001: 2004). Consistent with this, there have been efforts from NGOs and development agents, including bilateral agencies such as the Livelihoods and Forestry Project of DFID to open up existing power structures to marginalized and alienated groups, notably the poor, indigenous people, and women, so that both their 'voices' and their livelihoods will be strengthened. Actors at all levels have identified a need for strategies that can add value to CF processes and relationships so that equity and livelihoods benefits for the forest dependent poor can be enhanced (Kanel and Pokhrel, 2002; Mcdougall et al., 2002).

CIFOR first phase ACM project (2000-2002) identified several patterns of governance and management underlying the equity and livelihood issues at both the community forest user group (CFUG) and the meso (i.e. village to district) levels. The CFUG level issues identified included: decision making processes and structures that reinforce the pattern of elite domination and the marginalization of women, low caste and low income users: linear, 'blueprint' and /or *ad hoc* planning processes; weak communication and information flow; and, passive and /or narrowly focused management (e.g., subsistence timber and fuelwood orientation). The meso level trends included weak relationships and low levels of shared learning amongst CFUGs, between CFUGs and with the local governance bodies (Village Development Committee and District Development Committee), and between CFUGs and other supporting agencies such as the District Forest Office (DFO), District Agriculture Development Office (DADO) and non-governmental organizations (NGOs). All the above have been compounded by limited learning-oriented monitoring practices at all levels (Mcdougall et al., 2002; New ERA report, 2002). Andheribhajana Community Forest User Group is an appropriate example of improving the governance processes in community

forestry management activities and decision-making forum. In particular this thesis highlights the governance processes and its impact on CF capitals of Andheribhajana CFUG.

The Center for International Forestry Research (CIFOR) in collaboration with New ERA, ForestAction, other NGOs and civil societies, and Ministry of Forest and Soil Conservation (MoFSC) undertook first phase research on adaptive and Collaborative Management (ACM) to community forestry in Nepal during 2000 and 2002. The first phase project entitled "Adaptive and Collaborative Management in Community Forestry in Nepal" was funded by the ADB (RETA 5812). This first project aimed to increase effectiveness, efficiency and equity of stakeholder relations and management practices, through enhanced shared institutional learning and adaptive & collaborative management in order to promote sustainable forest management, governance and livelihoods of local user groups. New ERA was involved in this participatory action research only in Sankhuwasabha district. During ACM project first phase, two CFUGs were selected through district level workshop using some criteria and indicators. Andheribhajana CFUG was one of the sites for implementation of ACM project.

In March 2004 New ERA joined with CIFOR and ForestAction in the second phase research project entitled "Improving Livelihoods and Equity in Community Forestry in Nepal: A Role of Adaptive Collaborative Management". This phase is being undertaken with the financial support of International Development Research Center (IDRC). The main objective of this project is *to enhance the livelihood security of rural people, especially poorest and most marginalized one, through the enhancement of productive resources and sustainable management and governance of community forest user groups*. In this second phase New ERA worked in sankhuwasabha and Kaski districts. Andheribhajana CFUG was one of the old PAR site for this project. New ERA recently completed the second phase ACM project in December 2007. During the implementation of PAR, New ERA had documented track changes over long time frame and mobilized local facilitators/change agents to catalyze the ACM process in the CFUG to strengthen the governance processes and uplift the livelihoods of disadvantaged users. New ERA basically completed three main activities (1) background studies (2) interim assessment and (3) final assessment including the facilitation of ACM training held in Kaski and Sankhuwasabha. Due to implementation of ACM approach, it's interesting to capture the impact of the project in the Andheribhajana CF which learning would be more beneficial to the community forestry sector of Nepal.

## 1.2 Statement of the Problem

CFUG can pertain to exercise inclusive democracy where every member of the CFUGs could be the part of discussion and deliberation. However, there are several issues and instances where we see that few elites are capturing the CFUG and DAGs would not become the part of it. They are being excluded from the representation in the decision-making forums, and their voices are not heard in these forums even if they are represented, and as a result they receive low level of benefits from the forest (Pandit and Thapa, 2004, Malla 1993, Paudel 2000). The existing systems of community forestry processes are thus reinforcing the status quo, and improvement on these requires a carefully designed process of planning and decision-making. We see that available initiatives lack gender, ethnicity and class insensitivity and are designed to accept the existing unequal power relation and try to avoid conflict and tension between different actors in the process of improving existing poor governance of the CFUGs. In most of the CFUGs, DAGs are poorly represented, their voices are subsided or not heard, and in some cases, poor and women are used to legitimize the interests of elite groups. The decisions and other processes are non-transparent; they do not value the problems and issues of these groups and lack financial transparency (UNDP, 2002). As a result, the voice of these groups (poorest of the poor and women) is not accounted, the ownership level of these groups in CF is low and benefits to these groups from the CF are least (Neupane 2000).

One CF-relevant effect of the caste system, and related gender and diversity patterns in Nepal is that such social stratification "obstructs the development of a participatory environment in day-to-day informal social contacts and encounters, and particularly hinders participatory decision making within government and community organizations" (Ojha et al., 2002).

In the community forestry programme, in principle, every household is entitled to become a member of a community forest user group and share forest products under the programme. Several CF scholars reported that many of the community forestry user groups are controlled by local elite, particularly men, and better-off households. The elite and men tend to benefit more from the programme than the poorest, most disadvantaged households (Kanel and Pokhrel, 2002). This resulted in inequitable access to forest resources and other benefits, which could not support the poor and marginalized livelihoods as expected. Unequal forest resources and benefit sharing practice discouraged the poor and marginalized to participate in the forest management activities, which resulted low degree of ownership towards CF.

Due to weak governance processes which hindered to achieve the absolute goal of CF. Women in Nepal are seriously disadvantaged in rural society (Gilmour, et. al. 1991). It is necessary to mobilize women including all groups in various forest related activities and encourage them participating in decision-making forum. Despite women's active engagement in day-to-day forest use and management, their participation in formal management has been low, in part due to their lower social status in communities and the widely held perception that such activities are outside of women's domain. Socially accepted gender norms and women's own reluctance to speak publicly and assume leadership roles have hampered their abilities to participate equally with men in committees governed by formal rules and procedures (Denholm 1990). Participation, leadership and stakeholders support, accountability and transparency are considered as important attributes of governance and thus through key indicators to explore the present status of CF governance using a sociological study of Andheribhajana CFUG, Sankhuwasabha district.

We need to understand the CF governance processes and its impact on CF precisely. The following research questions were formulated:

- ) Why stakeholders' supports are crucial for strengthening governance processes and its implication in CF planning and management processes?
- ) How environmental condition and livelihood strategies are changed over time through governance processes?
- ) What are the overall impact of the good governance processes in participation and leadership development and other indicators of CF?

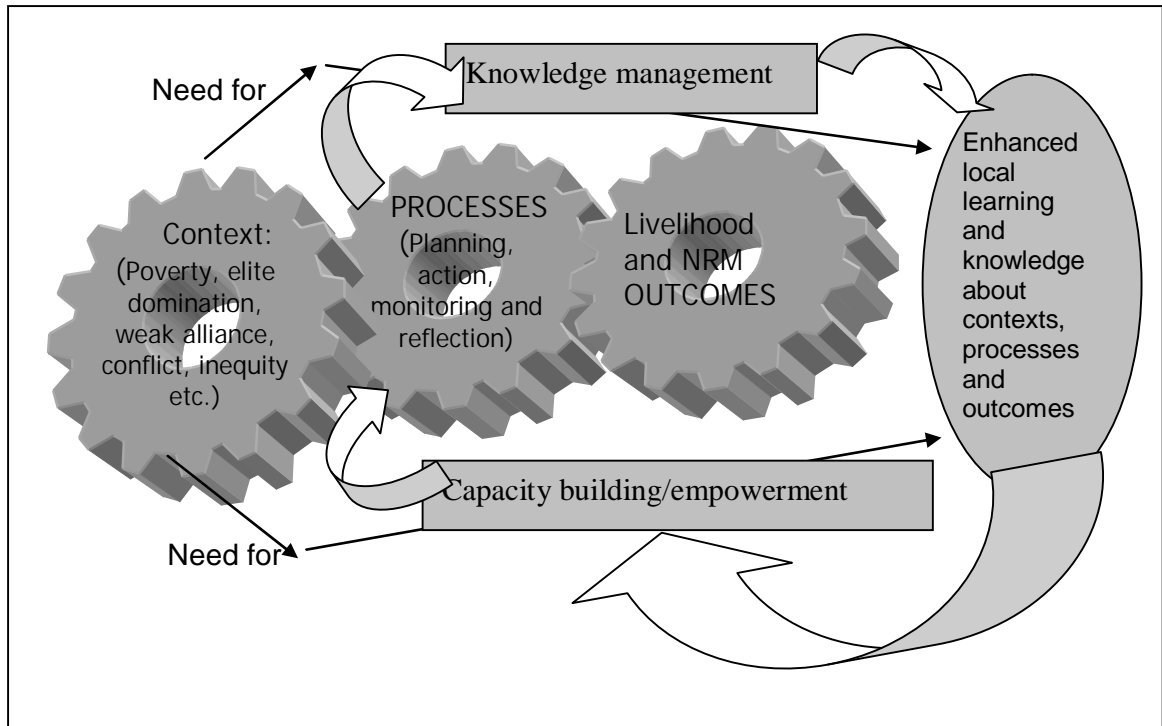
### **1.3 Objectives of the Study**

In general, this study is an attempt to explore the various factors of governance processes, which is helpful for sustainable forest management system in the CF sector. The following are the specific objectives of the study:

- ) To examine the stakeholders' dynamics and governance processes at CFUG level.
- ) To address the changes in environmental condition and livelihood strategies through CF governance processes.
- ) To assess the level of leadership, participation including other indicators of CF

In order to achieve the research objectives above, some research questions need answers. The main questions and checklists are presented in the appendix.

#### 1.4 Conceptual Frame Work



The above diagram shows the conceptual framework of CFUG management and governance process. It has focused on context, processes and outcomes that are interrelated part of CFUG management system. Under the contexts, there are different things such as poverty (more CF households are under poor category), elite domination (literate and some influential people are making decisions in favor of them), economic disparity (rich people have more access to resources than poor one), caste system (not giving importance of lower caste participation in CF decision making processes), gender inequality (male have more access to resources and opportunity to participate in capacity building activities like training, workshop etc.), political fraction (division of users group through political ideology), conflict (Maoist movement and power conflict between upper caste and ethnic group to come in EC) and socio-cultural beliefs and practices (male can play leadership role female can't and female would not provide adequate time for decision making processes due to busy in household chores) which create need for change in existing CF governance system. Which lead to adapt the appropriate processes (participatory planning and implementation of action plans, and monitoring and reflection) for users to bring changes in contextual things for betterment and achievement of expected outcomes of CF as well as meet the goal.

## **1.5 Organization of the Study**

This study has been organized into the following eight chapters. Chapter one deals with the introduction, chapter two concentrates on review of literature, chapter three deals with methodology, chapter four to eight mainly deal with findings of the study. Similarly, chapter four deals with description of study area, chapter five deals with stakeholders and governance processes, chapter six deals with environmental condition and livelihood strategies, chapter seven deals with leadership, participation and assessment of impact indicators, and finally chapter eight deals with summary, conclusion and recommendation of the study.



## CHAPTER – 2

### REVIEW OF THE LITERATURE

#### 2.1 Governance in Community Forestry

Governance is defined as the complex of mechanism, processes, relationship, and institutions through which citizens and groups articulate their interest, exercise their rights and obligations and mediate their differences (UNDP, 2002). Forest governance is defined as the set of principles and rules under which power is exercised and practiced in all spheres from private to public, in the management of forest resources and “the relationship between the state and its citizens, civil society and private sector” (Brown et al. 2002). Governance is a neutral term, and it becomes good if the governing process has positive characteristics of its attributes or the process is in accordance with the principles of governance (Gurung 2002). People’s participation, accountability, transparency and pro-poor policy change are considered as crucial dimensions of governance in forest resources management (Dahal 2003). The tenth five-year plan (2002-2007) and poverty reduction strategy paper (2002) have envisioned ‘good governance’ as one of the four strategic pillars of development objectives. CF essentially cross-cuts the three layers of governance: micro- (local, community level); meso- (district or provincial); and macro- (national) level (Pokhrel et al. 2002). The Millennium Declaration (2000) and the Johannesburg Plan of Implementation (2002), both affirm the importance of good governance at local, national and international levels (Brwon et al. 2002).

In Nepal, the term ‘governance’ has been used in economic, social, administrative, and political literature since the mid-nineties (Sharma and Acharya 2004). Though the concept of good governance is old, its assessment is relatively new in CF of Nepal. SAMARPAN Team (2003) assessed the four basic attributes of governance, namely transparency, accountability, participation and predictability to explore the status of good governance in CFUGs of its project area. Chowdhary (2004) assessed the governance status by using similar attributes in Sarlahi and Mahotari districts of Nepal. Upadhaya (2006) also assessed the status of good governance in CFUGs by taking its two attributes (participation and transparency) in Dhading district of Nepal. Similar studies were done assessing a certain part of the CF governance of

Nepal (e.g., Giri 2005, Bhatta and Gentle 2004, Dhital et al. 2004, Maharjan et al. 2004, Pokharel and Niraula 2004, Sharma and Acharya 2004).

## 2.2 Background of Forest Management System

Forest is playing greater role in the livelihoods for rural people of Nepal. Agriculture and forest sector has contributed 39.3 percent of gross domestic products (GDP) of Nepal at present (NPC, 2002). People are using forest products for their subsistence as well as commercial purposes since very beginning. The democratic movement of 1950 removed *Rana* rulers from power and prevented the misuse of forest by nationalizing all forest in 1957. Forests were considered to be the property of *Rana* rulers before the nationalization. When the partyless *Panchayat* system was introduced in 1961, people gradually lost all benefits because they had been deprived of their right to benefit from and manage the forests. During the 1970s, the issue of forest land degradation was highlighted and poor hill farmers were blamed for forest degradation (Ecknolm, 1976). Until 1970, the main role of the forest department was to exploit *terai* forest for commercial purpose largely to supply timber to British India for railway slippers. The forest department had been ignoring the forest in the hills. The forest conference held in 1974 in Kathmandu reviewed the previous policies, organizational structure and legislation, and recognized that the forest department had to pay attention to the hills. This formed the basis of the national forestry plan of 1976. It was the first time that an official policy document had been written which voiced its opinion in favor of local people's right to community forests. In the plan, the need for control of forest areas by local rural people was recognized. In 1977, the first amendment of the forest Act of 1961 was passed in Nepal. The Act divided forest into six categories: *Panchayat* Forest, *Panchayat* Protected Forest, Religious Forest, Leased Forest, Private Forest, and Government Forest. After government failed to manage the forest resources properly, villagers/local people had given right only practical way to protect forest and to supply forest products in a sustainable way. The Decentralization Act 1987 introduced the concept of "user groups" for local control of resource management and development. Then community forestry concept has been implemented in Nepal.

Forest is taken as common property resources. Scholars define common property in various ways. Margaret A. Mckean, in his article "Common Property: What It It, What Is It Good For and What Makes It Work?" states that Common property regimes might more comfortably be

described as institutional arrangements for the co-operative (shared, joint, collection) use, management, and sometimes ownership of natural resources. Moreover, John W. Bennett, explicating the concept of common property, writes: " The concept of common property-a catchword associated with 1980s and 1990s development theory- centers on the concentration of ownership or control of the resource base within a group of resource users who are expected to manage the resource as a collective undertaking. In other words, the resources under collective control are barred from access by other individuals and groups; that is, it is a way of excluding some potential users and thereby controlling impact on the resource... The success or failure of common property institutions is strongly related to the extent of communal ownership as well as the kinds of property falling under communal control. That is, the more pervasive the common property system, the stricter the sanctions and control mechanisms for governing behavior and productive activity".

Common property forests can be broadly classified into three types: national or government forests, community forests, and religious forests. National forests are owned by the government, which has exclusive rights to use and manage them, and to transfer these rights to individuals, institutions, and communities. The District Forest Office (DFO), on behalf of the government, supervises all matters pertinent to these forests at local level. Community forests are sub-grouped forests according to the legality of use and management rights. The user and management rights of community forests are handed over to the concerned local communities by DFO. Religious forests that government forests that are being protected by local people because of their belief that they are home to sacred spirits (Pandit et al., 2004).

Among them, here in our study we mainly focused on community forests and its governance processes.

### **2.3 Community Forest**

Community forestry has been defined as actively managed forests through direct popular participation of local people in various activities related to forests (FAO 1986: 2). In Nepal, a community forest (CF) is part of the national forest, which the District Forest Office hands over to community user groups for development, protection, utilization and management in accordance with a work plan. Authorization is given to freely fix the prices of forest

products, and to sell and distribute the forest products for the collective benefit and welfare (Shrestha et al., 1995: 2).

Sustainable Forest Management (SFM) is the goal of any forest management to perpetuate social, ecological and economic functions of forest forever (DFRS, 2007). In 1976, the government having failed to manage the forest resources through bureaucratic machinery recognized by the law that management of local forests by villagers is the only practical way to protect forest and to supply forest products in a sustainable way. The villagers had already started managing local forest on their own initiative. This system involved locally accepted rules and it fixed the group of beneficiaries who were mainly known and respected in the society and excluded outsiders as users. Considering this fact, His Majesty's Government of Nepal (HMG/N) implemented a Community Forestry Development Programme (CFDP) in 1978 to encourage initiatives of local people in the management of the forest resources. HMG/N began its CFDP First Phase in 1980. The Decentralization Act 1987 introduced the concept of "user groups" for local control of resource management and development. Community forestry is term used to describe a situation involving the participation of programmes build on local peoples' and technicians' knowledge using the participatory approaches to improve the organizational structures and management of trees and forest resources (DOF, 1997). The process seeks the control and management of forest resources by rural people who use them especially for domestic purposes and therefore, is an integral part of their farming system (Action Aid Nepal, 1999). As the name implies, community forestry means a process where "community" and "forestry related activities" are combined and communities themselves take charge for this.

The community and private forestry programme is the largest component programme of the Master Plan for the Forestry Sector (1988) and is expected to absorb 47 percent of all investment in the sector through the year 2010. Under this programme, "all accessible hill forests" will be handed over to local communities. Rural communities depend on forests for the supply of fodder, fuelwood and other forest products that are day-to-day essentials. Coupled with this, the forests of Nepal are often fragmented into small patches, particularly in the hill districts as they were increasingly cut and misused faster than they were replanted for the purpose of agriculture and building houses. Visualizing such constraints, the only realistic option for the forest management seems to be the community forest or "Forest managed by local people". This also recognizes and authorizes the local people who use the

forest as the primary agents of forest management (CFDP, 1997:4). There are four main steps in handing over a forest to a community, and these include identifying the real users of a forest; delineating the area of forest used; and preparing an operational plan which must include details of the forest, the objectives of forest management, and information on proposed income-generation activities (IGA); and penalties for not following the rules and regulations (Forest Regulation 1995) (Chandrasekharan. 1998:38).

The user group is considered as an independent, autonomous and non-government institution and this was formalized in the New Forest Act of 1993. The Forest Act of 1993 and Forest Regulation of 1995 are the current forestry legislation. These follow the recommendation of the Master Plan 1988. Forest regulations introduced in 1995 established clear guidelines on how to form and recognize user groups' rights and responsibilities and how to manage and use forest products (HMG/N. 1995). Community forestry development has a history of 25 years in Nepal and the concepts have been developed from past experiences. The vision and strategy of community forestry are clearly defined in the Master Plan for the forestry sector, 1988.

In Nepal, the community forestry program was originally based on handing over barren land and degraded forestland to user groups. During the last decade (1995 to 2005), an emphasis is laid on devolving all protection, management and other responsibilities to the users, with proper technical support from the Department of Forestry and civil societies including NGOs and the Federation of Community Forestry User Groups, Nepal.

Traditionally, the people of Nepal are dependent on forests for supply of fuelwood, fodder, timber and Non-timber forest product resources. As long as there were no population pressures the local supply of forest products was sufficient (Pandit, 2003; Cynthia et al. 2002). The pressure of increased human and livestock population and the effects of government policies on land registration resulted in the gradual depletion of forest resources (Pandit and Thapa, 2004; Olsen, 1998). The participation of people and good governance processes in community forestry became essential after the failure of conventional approaches, where attempts to manage forest resources were carried out without people's participation.

## **2.4 Current Approach**

The current approach of development is bottom-up. It involves all the users who directly depend upon the forest for the fulfillment of their daily needs (New ERA/CIFOR, 2004). This includes disadvantaged groups whose survival depends on use of forest resources. If people from disadvantaged groups are involved in decision making about rules and practices, there is a greater likelihood that their needs and interests will be taken into account.

The scholars of Community Forestry argued that community forests can only be successful if all concerned stakeholders participate in the decision making process related to their sustainable management (Cynthia et al, 2004). In this sense it is important to understand some participatory approaches, which enhance the active learning processes, and thereby empower the users themselves.

Sherry R. Arnstein (1969) has identified a number of different ways in which the term “participation” is used. The main difference is the level of decision making involved at each level. Arnstein 1969 has presented a framework in the form of a ladder with eight rungs. In this framework the level of participation increases as one goes from the bottom to the top. “Peoples” participation is a solution to effective protection and management of common property resources such as forests (Chhetri and Pandey 1992:2). Only by strengthening the existing governance processes can yield the optimum outcomes from CF in favor of local users.

## **2.5 Definitions of Main Terminologies Used in the Thesis**

This chapter has described some of the important terms used in this study. They as are follows

### **Governance**

The notion of ‘governance’ and ‘good governance’ are increasingly coming to the forefront in natural resource management and development discourse, from the local to the global level. While some view ‘good governance’ as having an innate value, it is progressively – and usefully - being perceived also as a means to an end. In the community forestry (CF) context, this refers to its contribution to the sustainable management of forests and to

livelihoods (Cynthia et al, 2004). As much as there has been progress in refining the specific characteristics of ‘good governance’, we suggest that there seems to be a tendency to define it in an overly limited and ‘static’ way (New ERA and CIFOR study, 2004). Specifically, discussions on good CF governance tend to identify and focus on aspects that relate largely to what can be loosely referred to as ‘stakeholder interaction and relations’ -- or ‘collaborative capacity’-- of actors, such as participation, transparency, and equity, while overlooking the learning and ‘adaptive capacity’ aspect. In this paper, we suggest that if we view good governance as a means to an end, then in order to deal with the dynamic nature of community forestry, good governance needs to build on both the ‘collaborative capacity’ and the ‘adaptive capacity’ of institutions. The adaptive capacity aspect, through social learning, can both enhance the other aspects of governance, as well as contribute directly to sustainable forest management and livelihoods.

### **The Concept of Governance**

There is some debate about the specific definition of ‘governance’ – this is a natural and productive phenomenon in the development of natural resource management thinking. For example, some actors use the term very broadly, as an almost all-encompassing concept referring to decision-making processes. Others define it along analytical levels and lines, distinguishing between the ‘distributive side’ of decision-making that refers to the questions of ‘who gets what, when and how?’ and the ‘constitutive side’ which refers to the questions of ‘who set what rules, when and how?’ (UNDP SL Unit, 1998). They suggest that from that perspective, the former could be called ‘political economy’, or ‘management’, while the latter could be called ‘governance’. Along these lines, they suggest that, in theory, governance operates at a higher analytical level than policy-making or technical management.

It is to acknowledge that that distinction between ‘distributive’ and ‘constitutive’ is useful because it highlights the possibility for the ‘rules of the game’ to be made explicit, and for Forest User Groups to revise them as needed to enhance livelihoods and resource management. At the same time, we recognize that within the Forest User Group level (which is the focus of this paper) governance and management processes are so closely intertwined in practice that it would not be useful to address them here as if they operated in isolation from one another. With this in mind, in this paper, we use ‘governance’ to refer

primarily to the questions of who and how decisions are made in the FUG, recognizing that there will be some natural overlap with management (and distribution) processes.

Various actors within and outside of the field of natural resource management have started to define major characteristics of ‘good governance’. According to UNESCAP (2004), the term ‘good governance’ refers to eight major characteristics of decision-making: participatory; consensus-oriented; accountable; transparent; responsive; effective and efficient; equitable and inclusive; and, following the rule of law. The Asian Alliance for Good Forest Governance (2002) identified the following similar set: participation; equity; balanced power relations; recognition/legitimacy of rights; clear roles and responsibilities; transparency; accountability; democracy; and decentralization. As noted above, in the CF context these characteristics are increasingly understood as being intended to create the basis for the fulfillment of the goals of sustainable livelihoods and sustainably managed forests.

### **Disadvantaged Groups**

The term Disadvantaged group in the context of Nepal’s community forest management are those community forest stakeholders who have a high level of dependency on the forest resources for their livelihood but have insufficient access in the decision making process on resource management and utilization. Lower caste people, the poor and most of the women are often marginalized in the community forest management system and therefore these people are referred to here as disadvantaged groups.

### **Participation**

All the stakeholders should be involved in defining and solving problems of the FUG. If meetings, assemblies are conducted and users of different caste, wealth group and settlement of the FUG are involved to encourage discussion, dialogue and reflection, and implement action plans, that is participation.

### **Decision Making**

In terms of decision-making processes (‘or ‘how the rules are set and decisions made’), the FUGs involved either had no, or limited, processes to create an agreed Annual Work Plan (and thus they implemented a limited number of CF activities) (Cynthia et al, 2004). This review notes that earlier, the processes for the development of rules, priorities and plans within the FUG and jointly between FUG and DFO was either ‘blueprint’, and/or somewhat



random, in the sense of being disconnected to past learning or future visions. The decision-making process was either committee discussion or the chairperson's independent decision, and with no or very few process entry points for the more marginalized users to access. There was also limited two-way communication from the FUG Committee to FUG members as individuals and/or as internal stakeholder groups (e.g., toles or interest groups).

### **Community**

Community is population of a village or an area, or a section of a population or any group of people living together within a larger society, having some common interest. A community may have its own customs, traditions, leaders, or even language.

### **Community Forest**

This is a forest managed by a group of local people for their own benefit. The control and management of forest resources by the rural people who use them for their domestic purposes and as an integral part of subsistence and peasant farming systems.

### **Equity**

Distribution of forest products as per need of users in terms of caste, wealth group, gender, and household population. Everybody should also be getting his or her share on an equal basis. Everybody takes care of the CF equally.

### **Forest Management**

This is system of silvicultural technical practices pertaining to forest use and management (however simple) and the social arrangements made for the organization and implementation of these practices and for the distribution of forest products. It helps getting things done with people. It is the process of having effective control over the activities of community forest.

### **Forest Users**

This is a person who uses forest resources and his/her right to do so is recognized by others.

### **Executive Committee**

It is a group of people elected by the users to represent the FUG. The responsibilities of the committee and its Chairperson are decided by the FUG. It is a representative of the user group.

**Monitoring**

It means closely observing or checking the achievement of the CF activities.

**Operational Plan**

It is a document containing the agreement between the forest users and the forest department about how a particular community forest is to be managed and utilized.

**Sustainability**

Try to be dependent only on the resources (including human resource) available at their own levels, not on external inputs.

**General Assembly**

It is a meeting of all the users of a given forest. It is normally held once or twice a year as required. It is the most powerful body of the FUG. It has got full right to approve or reject the agendas of the assembly. Users also finalized their plans and endorse through this meeting.

## CHAPTER – 3

### RESEARCH METHODOLOGY

This chapter deals briefly with the methods that were used in the research works. Research methods include the tools and procedures, which were followed; to explore its objectives and generate valid data and information hereby some different sorts of methodologies were followed. The field-visit, interview and key informant interview, group discussion, focus group discussion, case study and participatory rural appraisal (PRA) tools; namely social map, well being ranking, venn diagram, network dynamic, pebble distribution were used to generate the more valid and authentic data through group exercise in study area.

#### 3.1 Study Area and Reasons for Selection

Ninety percent of rural people depend on forest resources for their household needs such as firewood for energy, fodder for livestock raising and other forest products (Pokhrel and Niraula 2004). In the study area, users are heavily depending on forest products for subsistence uses and improving their livelihoods. To analyze the importance of governance processes in community forestry sector and the rational for selecting this area are given below as reasons:

- I. The study was conducted in Andheribhajana Community Forest User Group, Khandbari Municipality, Ward No 9, in Sankhuwasabha district of Eastern Development Region, of Nepal. The Community Forest User Group (CFUG) was handed over to CFUG in the same year. There are multi-cultural caste/ethnic people in the CFUG.
- II. Andheribhajana CFUG has been applied the new Adaptive and Collaborative Management (ACM) approach since 2000 as participatory action research project to strengthen the their forest management system towards sustainability through active participation and collaboration among all internal and external stakeholders to achieve the goal of FUG as well as implement their operation plan (OP) effectively. So whether the ACM project has been able to address the issue or meet the objectives.

- III. There is no research on governance processes and impact of community forest in the Andheribhajana CFUG from sociological perspective.
- IV. I, myself heavily involved in Andheribhajana CFUG site as Researcher from New ERA during implementation of ACM participatory action research project (2004-2007). So I have good relationship with local users and keen to learn from them.

### **3.2 Research Design**

In this study, descriptive as well as exploratory research design has been applied to get information about the “Study of Governance Processes and Impact of Community Forest: A Sociological Case Study of Andheribhajana Community Forest User Group of Sankhuwasabha District”. Through descriptive analysis based on qualitative data the research capture the pictures of decision-making processes, five year planning process and implementation of action plans and assess the overall impact of governance processes in the CFUG. Moreover, it has tried to present the various attributes/factors (institutional arrangements, status stakeholders' contribution, participation of women and DAGs in decision making forum, local leadership, equity in forest product distribution), which helped CFUG to strengthen the governance processes.

### **3.3 Nature and Source of Data**

The study was based on the primary as well as secondary data. Primary data were collected by using interview, observation, case studies and various PRA/RRA tools. General information about the research location, information about the CF, socio-economic condition of FUG members and participation level of users were collected by using interview technique. Observation technique was used to assess the forest condition and case studies used for tracking the livelihood strategies of women/DAGs and collective action of CF. Whereas, FGD, Group discussion, Key informant interview, Well being ranking, Venn Diagram, historical timeline were used as PRA tools to collect the data related to history of community forest and major events of Andheribhajana CF, institutional arrangements and planning process, CF monitoring system, status of equity, stakeholders dynamics, forest management and environmental condition, and assess the level impact indicators. In Andheribhajana CF, some records of minutes, operation plan available in CFUG were

observed and analyzed. Secondary data were used by researcher to support the study and make the generated data more reliable from the reports of different projects, library, publications of forest department, NGOs and INGOs.

### **3.4 Universe and Sampling Procedure**

The universe of the study is Andheribhajana CFUG ward no 9 of Khandbari Municipality consisting of 1207 person and 195 households. The sample for this study is 78 households (40% of total HHs). The purposive sampling method was used representing all caste/ethnicity in the sampled HHs to ensure their participation in this research study. Among them, 27 Chhetri HHs, 27 Tamang HHs, 14 Magar HHs, 6 Brahmin HHs, 5 Rai HHs, 3 Newar HHs, 4 Kami HHs, 1 Sarki HH and 1 Damai HH are selected as Sampled HHs for field study. The data was collected since November to December 2007.

### **3.5 Data Collection Techniques**

The instruments/methods which applied for data collection were discussed below.

#### **3.5.1 Interview (with House-head)/Group Interview**

Data were collected from interview. Household-head interviewed to collect the data related to their family size, economic status, education status, livelihood sources, and their participation in decision-making process and forest management activities. Whereas, group interview were administered to collect data related to general information of CF and research location, socio-economic condition of FUG, participation of users in CF activities, and satisfaction level regarding CF management system.

#### **3.5.2 Key Informants Interview**

Key informants can be those knowledgeable persons who are involving in teaching, village leadership, EC leadership, CF management facilitation and elder people. Those key informants had rich information about the local users, forest and its management system. Historical and trends in forest, institutional arrangements and planning process, monitoring

system, equity in fee and levy paying system and leadership development related data were collected through key informants interview.

### **3.5.3 Observation**

The observation method was applied to find out the participation level of men and women in the EC and general assembly meeting, their decision-making and planning process and environmental condition of forest (forest health, forest species, harvesting practices).

### **3.5.4 Group Discussion**

Group discussions were conducted among the members of FUG, in different economic category from low, medium, high to understand their views regarding different capitals (livelihood, social, Human, natural, institutional and financial) and their satisfaction level in CF management system. Male and female group discussions were held to assess the level of impact indicators through governance processes.

### **3.5.5 Focus Group Discussion**

Focus group discussions were conducted with adult male and female groups to generate the data related to stakeholder and its dynamics, forest management and environmental condition, governance processes and livelihood strategies of users. Separate adult male and female focus group discussions were conducted.

### **3.5.6 Case studies**

Four case studies were prepared to understand the socio-economic impacts on the livelihood security of poor/women, collective actions and conflict management mechanism of CF.

## **3.6 Variables and their Measurement**

Variables are characteristics of persons, things, groups, programs etc. The variable can take on many values. For example, EC committee, gender, caste, class, participation,

disadvantaged group, governance, action plan and so on. A variable is thus defined as anything that can take on varying values.

### **3.7 Analysis of Data**

After collecting data from different sources, the next step is to analyze the data to draw meaningful conclusion. Data analysis thus involves the process of organizing and classifying the data for the understandable presentation. This sort of data processing method is used. The researcher followed some processes to analysis the data while writing the report were: (i) editing, (ii) coding and (iii) tabulation.

The gathered information, data and finding were thoroughly edited. The researcher coded the data by giving special code (the number). Each subject was given an identification number and coded remarks were checked for accuracy as well. The next process to analyze the data was tabulation. By tabulating the data, their accuracy has been checked. The information collected from official was presented in tables, diagrams and figures.

### **3.8 Limitation of the Study**

Every research work has its own limitation and so is the case with the present study also. The limitations are as follows:

This study was carried out based on one small group of people inhabiting in a small area of Khandbari Municipality ward number 9 in Sankhuwasabha district. As such, the generalizations made in this study may need much care to apply them in other areas of Nepal. Similarly, the limited number of sites visited for this study not represents the overall picture of their activities. There are many forestry-related factors that influence the participation of disadvantaged groups but this study has focused only on one selected FUG. It is already mentioned that the study has taken into account only one FUG due to time and financial constraints. Although different techniques have been followed to make the study more reliable and valid, it is suggested that a careful attention needs to be given while generalizing the suggested strategies in other areas. It is hoped that the issues, strengths and problems raised in this report will reflect a broader picture of the related areas of activities in the study region.

## CHAPTER-4

### GENERAL DESCRIPTION OF STUDY AREA

This chapter mainly describes about the historical background of Sankhuwasabha district including the institutions working in the district, history of forest, forest resources of the district, formation of FUGs in the district, forest area and household covered by the FUGs, timeline of Andheribhajana FUG, changes in the trends of forest resource management practices, Formation of Andheribhajana FUG, socio-Economic situation of the users and other background information of the FUG.

#### 4.1 Forest Resources of Sankhuwasabha District and Formation of the FUGs

There is diversity in the geo-physical composition and the climate of Sankhuwasabha district. Therefore there is also diversity in its vegetation. There is sub-tropical evergreen forest up to 1200 meter altitude in this district comprising *sakhuwa*, *karam*, *tuni*, *simal*, *khayer*, *lampate*, *jamun*, *bayar*, etc. The area above 1200 meter to 2100 meter altitude consist of deciduous forest where different vegetation like banyan, bamboo, *uttis*, *katus*, rhododendron, champ, *okhar*, *chilaune*, *salla* (pine), and *rudrakshe* etc. are found. Similarly, evergreen coniferous forest consisting of *buki*, *sungaava*, *bhairunpati*, and *malingo* is located in the region between 2100 to 3300 meter altitudes. This is an alpine forest. 47 types of sunakhari, 67 types of medicinal herbs, 19 types of bamboos, *nigalo* and 25 types of rhododendron are found in the northern belt of the district (District Profile, 2007). The topographical distribution of land is presented in Table 4.1.1.

**Table 4.1.1: Topographical Distribution of Land**

(Area in Ha.)

Physical Condition	Agriculture		Pasture	Forest	Others
	Cultivated	Non Cultivated			
High Himalaya	0	0	17110	-	73118
High Mountain	5851	4560	21043	11552	2070
Mid Mountain	26285	12772	1103	43844	1236
<b>Total</b>	<b>32,136</b>	<b>17,332</b>	<b>39,256</b>	<b>55,396</b>	<b>76,424</b>

Source: District Profile of Nepal-2007/2008

All together there are eight Range Posts, one *Illaka* and District Forest Office situated in the district. The range posts are namely Barabise, Kharang, Mamling, Manakamana, Madi Rambeni, Pangma, Pawakhola, Siddhapokhari. A total of 27094 hectares of forest area is



handed over to 235 FUGs in the district till 2007. Altogether 21,776 households are benefited from community forest (ISRC, 2007).

## **4.2 Background of Sankhuwasabha District**

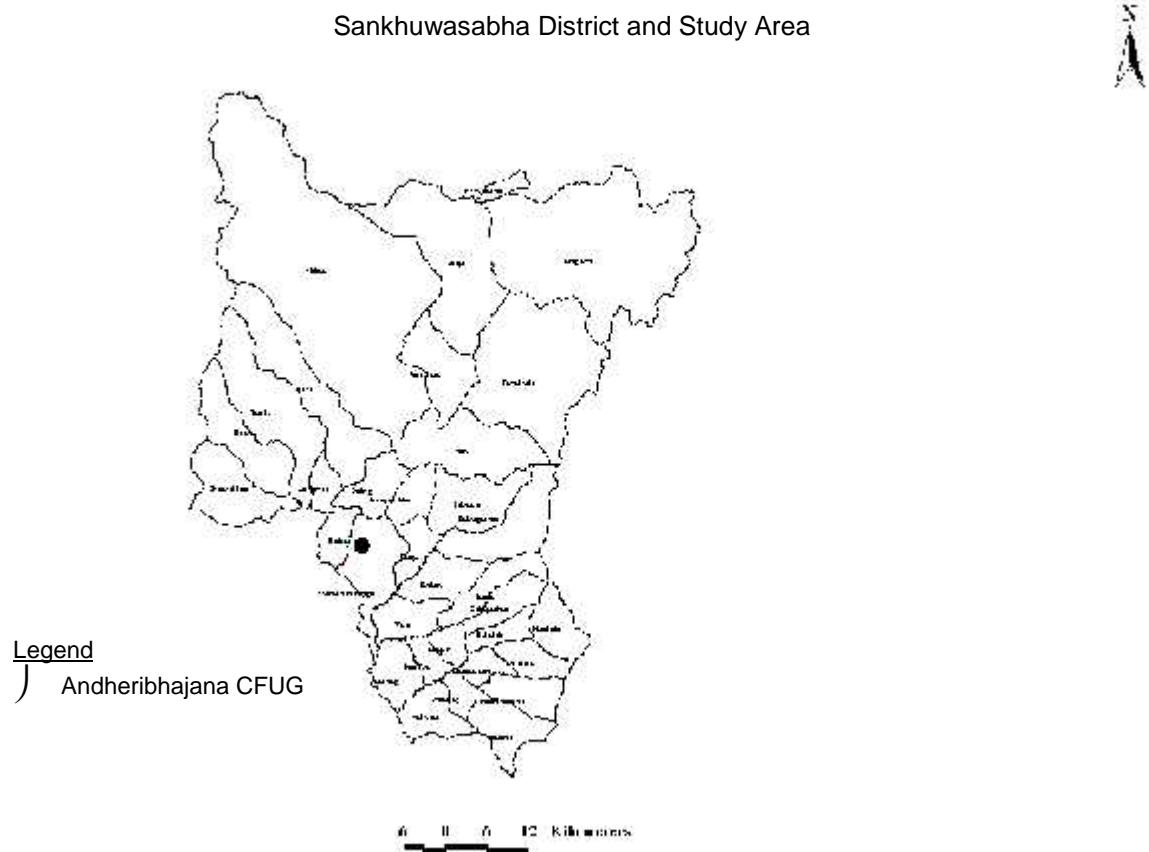
The forest of Sankhuwasabha district was under the control of *Jimmawal* up to 1957. The *Jimmawal* was responsible for collecting the land revenue and looking after the forests. *Mukhiya* and *Thari* were appointed as his assistants to help *Jimmawal*. Without his permission, nobody was allowed to cut down any tree. The key informants said that the forest was well preserved as a result of enforcement of stringent rules and low demand of the forest products from the dense forest by a smaller population.

The introduction of the Private Forest Nationalization Act in 1957 brought all the forests under the control of the Government. After this Act was promulgated, the forests began to be gradually destroyed. In order to reverse the trend of rampant deforestation, the community forestry programme was officially recognized for the first time in Nepal following the 1978 promulgation of the *Panchayat* Forest (PF) and *Panchayat* Protected Forest (PPF). These rules established a framework whereby each *Panchayat* could be given official control over the local resources provided they planted, maintained and implemented a scientific forest management plan prepared by the Forest Division Office. *Panchayat* Protected Forest and *Panchayat* Forest programmes were started in Sankhuwasabha district in 1981/82.

In 1977, with the support of U.K. government, Koshi Hill Area Development Programme (KHARDEP) began to work to systematically uplift the socio-economic condition of the people of the eastern hill region covering the four hill districts of Koshi zone, viz, Sankhuwasabha, Bhojpur, Dhankuta, and Terathum. But it had very little emphasis on the forest management until 1987. The Koshi Hills Community Forestry Programme (KHCF) was introduced only in late 1987, and developed many strategies of the forestry programmes in close co-ordination with District Forest Office in the Koshi Hills. The objective of the KHCF was to help the people of the area to meet their basic requirements of tree products. This programme helped the people to raise their awareness on the importance of community forestry. This was possible through the participation of the CFUGs and committee members in various workshops/trainings/exchange visits. After the completion of KHCF, Nepal UK Community Forestry Project has been working continuously in this district and providing technical and financial support to the DFO, FECOFUN and other institutions to develop the

capacity and well-being of the users. Nepal UK Community Forestry Project had completed its first phase in 2002 and has been contributing the community forestry sector in the name of Livelihood and Forestry Project (LFP) in the Sankhuwasabha district. The following map shows the study district and site (see map 4.2.1).

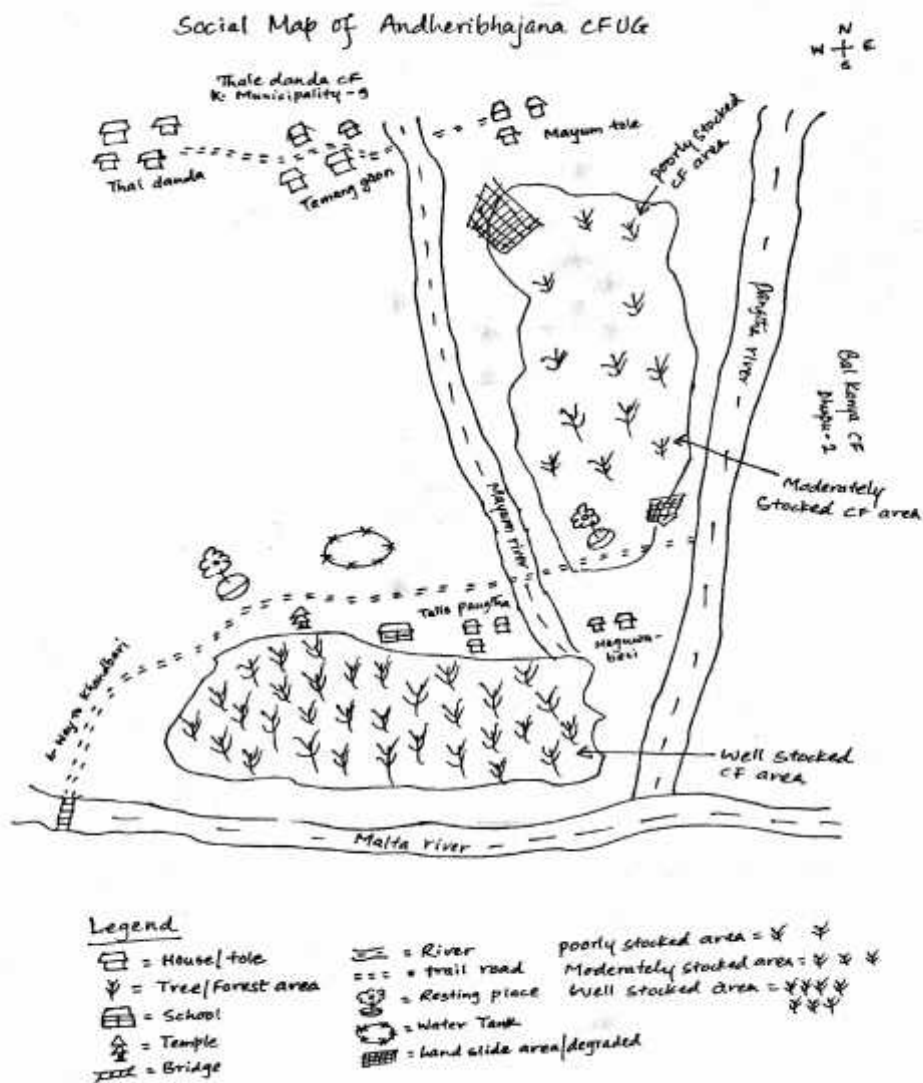
#### 4.2.1: Map Showing the Study District and Site



### 4.3 Socio-economic Situation of the Users

Before enter into the depth of discussions on the types of stakeholders engaged in the management of Andheribhajana CF and their relationships with each other, it is thought that some discussions should be held on the socio-economic status of the users of Andheribhajana CF as they are the primary stakeholders. Hence, the section below presents some socio-economic characteristics of the members of the Andheribhajana CFUG. The following map gives information about the study area (see map 4.3.1).

4.3.1: Social Map of Andheribhajana CFUG



Source: Social mapping exercise, 2007

There are six scattered *Toles* (cluster of houses) in Andheribhajana CFUG area. The settlement was reported to have come into existence started hundreds of years ago. The settlement increased after the construction of Tumlingtar airport and the development of Khandbari bazaar as the district headquarters. Peoples, particularly from the adjoining VDCs migrated to this area. The members of households have also increased due to the breakdown of joint families.

Andheribhajana CFUG is one of the various CFUGs in Khandbari Municipality of Sankhuwasabha district in eastern Nepal. The CFUG consists 195 households from various ethnic groups and economic conditions. The major caste/ethnic groups are the *Chhetri*, *Tamang* and *Magar* occupying 34 percent, 22 percent and 18 percent respectively, followed by *Brahmin*, *Rai* and *Newar*. The other *dalit* caste groups such as *Kami*, *Sarki* and *Damai* represent less than 8 percent of the total households. The total population is 1207 (Table 4.3.1).

**Table 4.3.1: Number of User Households of Andheribhajana CFUG by Caste/Ethnicity**

Caste/Ethnic Groups	Population		No. of HHs	% (N=195)
	Male	Female		
Chhetri	212	198	67	34.4
Tamang	125	126	43	22
Magar	104	117	35	18
Brahmin	57	42	14	7.2
Rai	36	35	13	6.7
Newar	32	29	9	4.6
Kami	32	25	10	5.1
Sarki	7	9	2	1
Damai	10	9	2	1
<b>Total :</b>	<b>617 (51.1%)</b>	<b>590 (48.9%)</b>	<b>195</b>	<b>100</b>

Source: *Andheribhajana CF Operational plan, 2007*

The average households size is 6.2. as shown in Table 4.3.2, the total number of households is 195. Among 195 HHs, 89.7 percent are male-headed and 10.3 percent are female-headed households in the Andheribhajana CFUG.

**Table 4.3.2: Number of User Households by Sex**

Sex	No. of Households by Headship	%
Male-headed	175	89.7
Female-headed	20	10.3
<b>Total</b>	<b>195</b>	<b>100.0</b>

Source: *Interview, 2007*

The local people met for well-being exercise (PRA tool) reported that the CFUG members can be divided into three major categories – in terms of their economic condition high, medium and low (Table 4.3.3).

**Table 4.3.3: Socio-economic Situation of the Members of Andheribhajana CFUG (Well being Ranking)**

Group	No. of HHs	%	Parameters Used for Ranking
High	64	32.8	are able to feed their family throughout the year from their own agricultural production sell their agricultural products have larger land holdings as well as family size sell cattle High paid job holder no debt
Medium	89	45.7	somehow feed their family members from their own agricultural production but are unable to sell own some upland own fewer buffaloes, goats and pigs medium scale job holder take loan from time to time
Low	42	21.5	little land no cattle but fewer goats and pigs low scale job holder/wage labor rent-in others' land able to feed their family members for six months or less in a year from their own agricultural production
<b>Total</b>	<b>195</b>	<b>100.0</b>	

Source: Well being ranking exercise, 2007

Table 4.3.4 shows the distribution of the CFUG households by their economic condition and caste/ethnicity. While 57.8 percent of the households categorized as high are the *Chhetri*, 17.2 percent of the households are the *Brahmin*. In the medium category, 18 percent are *Chhetri* while the *Tamang* and *Magar* occupy 28.1 percent and 25.9 percent respectively. In the low category, one-third (33.3%) are the *Chhetri*, *Tamang* 28.6 percent and *Magar* 16.7 percent (Table 4.3.4).

**Table 4.3.4: Socio-economic Status of the Andheribhajana CFUG Households by Caste/Ethnicity**

Major Caste/Ethnic Groups	Number of Households by Economic Condition					
	High		Medium		Low	
	No. of HHs	%	No. of HHs	%	No. of HHs	%
Chhetri	37	57.8	16	18.0	14	33.3
Tamang	6	9.4	25	28.1	12	28.6
Magar	5	7.8	23	25.9	7	16.7
Brahmin	11	17.2	-	0.0	3	7.1
Rai	-	0.0	12	13.5	1	2.4
Newar	5	7.8	2	2.2	2	4.7
Kami	-	0.0	9	10.1	1	2.4
Sarki	-	0.0	1	1.1	1	2.4
Damai	-	0.0	1	1.1	1	2.4
<b>Total :</b>	<b>64</b>	<b>100.0</b>	<b>89</b>	<b>100.0</b>	<b>42</b>	<b>100.0</b>

Source: Field Study, 2007

#### 4.4 General Characteristic of Study CF

The general information of the Andheribhajana CF area, characteristics of FUG and the committee, information of the forest are described in the following topics which help to provide some background information of the study group.

##### 4.4.1 Andheribhajana CF Area

Andheribhajana CF covers 6 scattered *toles*, namely Barajuthan, Agrakhe, Pulamidanda, Dandatole, Gairigaun, and Khanidnada which occupy nearly half area of the ward no. 9 Khandbari Municipality. This CFUG borders with steep track settlement area of Dare Danda in the east, Higuwa river and Tamang village in the west, Thale Danda and Khani Danda in the north, and Pangtha river and Higuwa river in the south. The major ethnic groups using the forest are Tamang, Magar, Chhetri, Brahmin, Rai, Newar and Kami. The major languages are Nepali and Tamang. It takes 3 hours' walk to reach Khandbari bazaar as well as district headquarter. LFP and SODEC are particularly helping CFUG to strengthen management system and income generation activities (IGAs). Some other information about the Andheribhajana CF is presented in Table 4.4.1.1.

**Table 4.4.1.1: Some Background Information about Andheribhajana CF Area**

S.N.	Characteristics	Status
1.	Location	Khandbari Municipality, ward no. 9, Sankhuwasabha district
2	Number of HH and population	Total households: 195 Population: Male: 610 Female: 597 Total: 1207
3	Major ethnic groups	Chhetri (34.4%), Tamang (22%), Magar (18%), Brahmin (7.2%), Rai (6.7%), Newar (4.6%), Kami (5.1%), Sarki (1%) and Damai (1%)
4	Major occupations and livelihoods	Agriculture, livestock, business, wage labor, service, working in overseas
5	Education levels	15% total pop SLC passed
6	Literacy rate	60.3% male and 54.1% female
7	Main languages	Nepali and Tamang
8	Type of major livestock	Cow, buffalo, goat, pig, bull
9	Grazing practice	Open
10	Accessibility	45 minutes flight from Kathmandu to Tumlingtar and about 1 hour to reach in Khandbari by bus/jeep. Then 3 hours' walk from Khandbari to the main center of CF, Pangma.
11	Availability of social services	Sub Health Post-1 (2 hours' walk from settlement) Health care center-1 (within community) Schools (1 primary and 1 secondary school within community) Water supply- 25 taps with GI pipe lined Road- foot trail only
12	Geographical context	Altitude about 700 meters, monsoon rainfall and normally 15-32 degree temperature. Takes about one hour to reach another neighboring CFUGs.
13	Market access	Khandbari bazaar, 3 hours' walk from settlement and Barhabise bazaar, 3.5 hours' from settlement

Source: Group Interview, 2007

Regarding the accessibility of social service center, Health center, school, and water supply facilities are available within CF area. Most of the households are engaged in livestock promotion and users have open access to graze their cattle in the CF area. Women groups are involved in the income generation activities such as vegetable production, goat and pig raising and running tea-shop etc. Users are using Khandbari and Barhabise as major market places to buy and sell their goods.

#### 4.4.2 Information about Forest Condition

Andheribhajana CF has been divided into four blocks, Andheri, Bhasme, Jungle and Nagthani. The name Andheribhajana represents initials of all four blocks. There are 113.97 ha. forest

area in the CF and each household covers 0.6 ha. forest area. Operational plan (OP) are revised in 2005 and have written constitution with CFUG. Some basic characteristics of the CFUG are given below (Table 4.4.2.1).

**Table 4.4.2.1: Some Basic Characteristics of the Andheribhajana CF**

S.N.	Characteristics	Status
1.	Type of CF	Natural
2	Area covered	113.97 ha.
3	Age of CF	Pole size
4	Location of the Range Post	Pangma Range Post, Mane Bhanjyang (2.5 hour walk from the settlement)
5	Date of handing over of the CF	2052-03-30 B.S. (July 1995)
6	Status of OP & Constitution	OP Revised on 2000 and 2004 and have written constitution with CFUG
7	Bio-diversity	<b>Tree species:</b> <i>Sal (shorea robusta)</i> , Patle Katus ( <i>Castanopsis hystrix</i> ), Chilaune ( <i>Schima wallichii</i> ), Uttis ( <i>Alnus nepalensis</i> ) Jamun ( <i>syzygium cumini</i> ) <b>Key NTFP species:</b> Amala ( <i>Emblica officinalis</i> ), Harro ( <i>Terminalia chebula</i> ), Barro ( <i>Terminilia belerica</i> ), Kurilo ( <i>Asparagus racemosus</i> ) <b>Key animals and birds:</b> Jackal, monkey, rabbit, deer, fox jungle cat, porcupine. Dove, woodpecker, owls, wild chicken, and cuckoos.
8	Distance from the Settlement to the CF	20 minutes in either side
9	Condition of CF	Medium quality in terms of forest health, availability of lots of natural regeneration plants

Source: Group interview, 2007

This CF is mainly used for fuel-wood, fodder, grass, grazing animals, and timber for the construction work, agricultural tools and making furniture. The forest products are not yet used for commercial purpose. Some users collect some herbs for their own consumption. Ten Rai households sell fuel-wood collected from this CF in the local market for their survival. Moreover, this CF also used for grazing livestock and collect fodder/grass. Large numbers of trees are not matured so timber demands are not met yet. For alternative sources users are utilizing private forest and neighboring community forest as dwelling member of CF (Lebrang CFUG). The local key informants reported that about 40% user HHs are also member of Lebrang CFUG.



### 4.4.3 Characteristics of FUG/EC

Andheribhajana CFUG has six scattered *toles*, which make difficult to gather all users in one place while holding a meeting. To resolve this problem, The EC came up with the idea that nominating one person as a *tole* co-ordinator from each *tole* of these *toles* so that these people could liaison between the EC and the local users. Though the *tole* co-ordinators are not formally the members of the EC, they play an important role in its decision-making process since they are elected by the users from the concerned *toles* and attend the EC meetings so as to mediate between the users and the EC. This structural mechanism is help to strengthen the communication and decentralized decision making system.

**Table 4.4.3.1: Some Background Information of the Andheribhajana CF**

S.N.	Characteristics	Status
1.	Date of Formation/Registration	March 1993
2	No. of Members in the CFUG	145 men, 30 women
3	Membership Criteria	Existence of a house or land in the CF area
4	Frequency of Meeting	CFUC-monthly basis Tole- monthly basis Assembly- twice a year
5	Date of Last Meeting	December 2007
6	Date of formation of the Executive Committee	First CFUC was formed in June 1993. It was reformed in many times.
7	No. of Members in the CFUC	11 (6 men, 5 women)
8	Date of approval of the Operational plan	2050-02-08 B.S. (June 1993)

Source: CF Record review, 2007

Before 2000 AD, this CFUG had practiced to hold a CFUC meeting and assembly meeting once a year but after implementation of ACM participatory action research project, it has changed the decision making structure and existed the *tole* level decision making system. Since then CFUG has started to hold committee and *tole* meeting monthly basis, and assembly meeting twice a year. This structure has been helping to increase the participation of disadvantage groups including women in decision-making process. The CFUG members share their experiences and problems related to their forest with the staff of DFO, LFP, SODEC, FECOFUN, when they are invited for some training by these agencies.

After formation of VDC level network in the Pangma Range Post in 2005, Andheribhajana CFUG has started to share its experiences and learning with other six neighboring network CFUGs.

#### 4.5 History of Andheribhajana Forest

The tremendous effort has been seriously made to sketch the historical time-line in forest use by stakeholders and reasons for changes. The consequences are also documented. The timeline table given below helps to give idea about major historical events of the FUG (Table 4.5.1).

**Table 4.5.1: Historical Time-line of Andheribhajana CFUG**

Period (A.D)	Major Events	Consequences
1933-38	<ul style="list-style-type: none"> <li>) Emergence of tuberculosis and malaria epidemics.</li> <li>) Earthquake in 1933</li> </ul>	<ul style="list-style-type: none"> <li>) Many people of the community died of the malaria and tuberculosis. The people of Khanidada (uphill side the Pangtha village) were not much affected by these epidemics but the people of lower part died of malaria. This incidence of epidemics forced rest of the community people migrate to different places. Most of the villagers went to the Assam, one of the states of India.</li> </ul>
1950	<ul style="list-style-type: none"> <li>) Influx of in-migrants</li> </ul>	<ul style="list-style-type: none"> <li>) Once there was less epidemicity of malaria and tuberculosis, a stream of migrants came and settled in the village.</li> <li>) They cut down trees to build new houses and started shifting cultivation and both of which had adverse bearing on forest.</li> <li>) Population increased due to the migration.</li> </ul>
1957	<ul style="list-style-type: none"> <li>) Nationalisation of Forest.</li> </ul>	<ul style="list-style-type: none"> <li>) Forest came under the government control.</li> <li>) After the nationalisation of the forest, the role of <i>Jimmawal</i> and <i>Mukhiya</i> was changed. They complied with the forest regulations.</li> <li>) Government could not manage the forest properly.</li> <li>) Deforestation was rampant.</li> </ul>
1958-60	<ul style="list-style-type: none"> <li>) In-flux of migrants from Khanidada – the northern belt of Pangtha.</li> </ul>	<ul style="list-style-type: none"> <li>) Large area of the forest was destroyed in the name of agricultural work.</li> <li>) A large number of the trees were cut down from the forest for house construction and converting the forest into agricultural land.</li> </ul>
1963	<ul style="list-style-type: none"> <li>) Influx of in-migrants from the neighbouring Bhojpur and Okhaldhunga district.</li> </ul>	<ul style="list-style-type: none"> <li>) A huge number of trees were cut down from the forest to build the houses. They also started shifting cultivation in the forest area as well.</li> <li>) Demand of timber, firewood, plough, pillar and fodder increased in comparison to the past.</li> <li>) Forest encroachment began.</li> </ul>
1968	Land-slide in Bhasme block (one of the blocks of the CF).	<ul style="list-style-type: none"> <li>) Basically, the houses of <i>Magars</i> and their agricultural land were damaged by the earthquake.</li> </ul>
1881-82	<i>Panchayat</i> Forest (PF).	<ul style="list-style-type: none"> <li>) <i>Panchayat</i> had right over the forest.</li> <li>) Some elite people misused the forest for their benefits.</li> </ul>
1973-89	Declaration of Khadbari as the district headquarters of	<ul style="list-style-type: none"> <li>) During this period, the trend of building new houses in Khadbari bazaar increased</li> </ul>

Period (A.D)	Major Events	Consequences
	Sankhuwasabha	phenomenally. J The well-off people from Pangtha were also interested to make at least one house in Khadbari because of its future scope of development. Large quantities of timber was extracted from the CF to meet the demand of growing population
1989	Political movement at the national and local levels.	J There was a lot of opportunistic exploitation of forest products, mainly the timber, during the political transition and the consequent leniency of forest office toward the culprits.
1993	Formation of user group Preparation of operational plan	J Despite the lack of awareness of the local people about the CF, a users group was formed. J The community people could cut the trees by taking permission from the committee. The DFO representatives and Range Post staff came and explained about the CF to increase their awareness. The users' group was formed by calling the general assembly. The users' group also made operational plan in a participatory way which outlined their actual plan of forest management.
1994	Establishment of nurseries in the private forest.	J The CFUG members took the training conducted by the DFO. J They established a nursery and prepared various kinds of plants and distributed to the users.
1995	Registration of CF at the DFO office Promulgated the rule prohibiting the cutting of the trees from the CF	J Once CFUG registered the CF at DFO office, there was a feeling of the ownership of the CF. As a result, they unanimously decided to impose a ban on the cutting of <i>Sal</i> tree for the improvement of regeneration. And this community effort did help to control the timber extraction to a lesser extent.
1997	Membership of Range Post Co-ordination Committee obtained.	J The Range Post co-ordination committee (RPCC) came into existence under Pangma Range Post and started to co-ordinate CFUGs. It conducted the meetings of CFUGs in every four months' period. The FUG members from Andheribhajana participated in the trainings/meetings organised by RPCC. They also became the participants of the observation tours. All these events contributed to broaden their horizon/view/idea for better CF management.
1998	Landslide in Andheri block.	J In the year 1998, the landslide damaged the forest land which had started from the individual farm land. Approximately, 8-10 big trees and a number of small plants were damaged by it.
1998	Forest fire in Jungle block.	J The fire was set in Jungle block. It started from the eastern part of the Jungle block. CFUG became able to put off the fire but the fire damaged some trees and also burnt the small types of species.
1999	Membership of FECOFUN obtained	J The FECOFUN organised 3 days' awareness training for the users and committee members

Period (A.D)	Major Events	Consequences
		under Pangma Range Post. They got some knowledge about the CF.
1999	<ul style="list-style-type: none"> <li>) Non-compliance of CF rules by committee chairperson.</li> <li>) Embezzlement of CF fund by the committee chair-person</li> </ul>	<ul style="list-style-type: none"> <li>) The committee chairperson gave permission for some non-members to cut the trees from the CF by violating the rules.</li> <li>) Many trees were cut down illegally and a large quantity of timber was extracted out from the village. FUG members fought against the non-members who were involved in the extraction of timber. And they also gave warning to the chairperson not to misuse the right.</li> <li>) Conflict arose between FUG/C members and the chairperson and finally the FUG dissolved the committee and formed a new committee with the help of district level stakeholders.</li> <li>) Once the complaint was lodged against the chairperson at the municipality, the FUG succeeded in getting the money back by the pressure of municipality officials.</li> </ul>
1999	Letter from DFO banning the felling of green trees.	) After receiving the letter, the CFUG became discouraged to handle the community forests. They say "If they are the only protectors of the forest, it is better for the government to take it back and the CFUG has been waiting for future positive action to be taken by the government".
2001	Landslide	About 50 trees were collapsed in block number 3.
2002	Misuse of CF fund	FUG Treasurer and Secretary were financially punished and users selected new committee members instead of them.
2001-2006	Maoist conflict	Forest management activities were disturbed. DFO staff services are less due to threaten.
2005	Member of VDC level FUG network	FUG became member of VDC level FUG network. Collaborative actions and shared learning are enhanced. Good relationship maintain with neighboring CFUGs.
2005	Assisted local school building construction by providing timber and cash	Local schools renovated and establish good relationship with school management committee.
2006	Bridge construction	Easy to across the Pangtha river throughout the year.

Source: Historical timeline exercise, 2007

#### 4.6 Formation of Andheribhajana CFUG

The Andheribhajana CFUG is under the Pangma Range Post of the Sankhuwasabha district. There are 32 CFUGs under this Range post. The Andheribhajana CFUG was formed in

1993. During that time, there were 138 member households of CFUG. It was formally handed over to the user community in 1995. Prior to the formation of Khadbari Municipality, this CF area was in ward no. 7 of Malta VDC but later it was made ward no. 9 of Khadbari Municipality.

Prior to the formation of the CFUG, the community people did not have any idea about the CF. They even had not heard about the importance of the CF and roles and responsibilities of the CFUG. It was also determined that the Range Post staff were also not much aware of the community forest boundaries and other forest resources and their own responsibilities after handing over the CF to the community. During that time, they thought that they would be free from all their responsibilities assuming that the forest management responsibility would be taken by the CFUG. As a consequence, there was competition among the foresters of Range Post to hand over the CF to the user communities without having much conceptual clarity about the philosophy and approach of CF.

It is also contextual to understand the process of handing over the CF under study to the user communities. Firstly, the Range Post staff such as the Ranger and Forest Guard visited the community prior to the identification of stakeholder. They explained about the importance of the community forest to some extent. They also created some degree of awareness among the community people about the CF. They also visited door to door to get information about different types of stakeholders. Once the community was visited by the Ranger and Forest Guard, a general assembly of users was called to identify the different stakeholders in the community. Users belonging to different caste/ethnic and wealth groups attended the assembly and discussed about the possible stakeholders of CF. The major criterion developed for identifying the stakeholders was the traditional forest use right. And the community people paid Rs. 5 to each to be the CFUG members. With above process, Andheribhajana CF was formed in March 1993 and formally handed over in July 1995.

According to the different user informants met and interviewed, they were satisfied with the process followed to identify the different stakeholders but later they were not fully satisfied when they knew that the activities did not happen according to the process specified during the period of general assembly. Because some of the users' name was not included in the stakeholders list despite their attendance in the general assembly and payment of membership fee. And as a result, some of the community people were deprived to be users of the CF. So

they applied in District Forest Office (DFO) to include their names as users in the CF. The committee also sent the name list to DFO to include their names in the users' register. Despite the correction made in the users' list, the CFUG has not been free of the problem apropos of the membership. Recently, it has been determined that some ethnic groups living in the same ward have claimed that they are excluded as users of the proximate forest. They are claiming their traditional use rights (i.e. they were using it before the handing over to the community). They have also been using a piece of public forestland, which is not registered as community forestland. The committee of the Andheribhajana made them clear that if they are ready to include that forest land in the CF, they would be given the membership.

The dialogue between the non-member ethnic groups and Andheribhajana CFUG has been resolved. The old CFUG committee has been dissolved and a new committee has been constituted. The Operational Plan (OP) has also been amended. The number of user households and area of CF have been increased in the OP. Recently, there has also been the measurement of CF by the officials of Range Post. Now statistics of the number of users and the area of CF is entirely different. The user's household number has increased from 138 to 195 and the CF area was increased from 23 hectares to 113.97 hectares. The earlier estimate was wrong because they did not use the maps. The number of user households has increased because they were left out at the beginning and were added later on (as explained above). The OP was updated in August, 2000 and July 2004.

## CHAPTER – 5

### STAKEHOLDERS AND GOVERNANCE PROCESSES

This chapter describes types of district and local level stakeholders and their relationship and dynamics for the forest resources management activities; and governance processes which includes institutional arrangement, planning and reflection processes of CF.

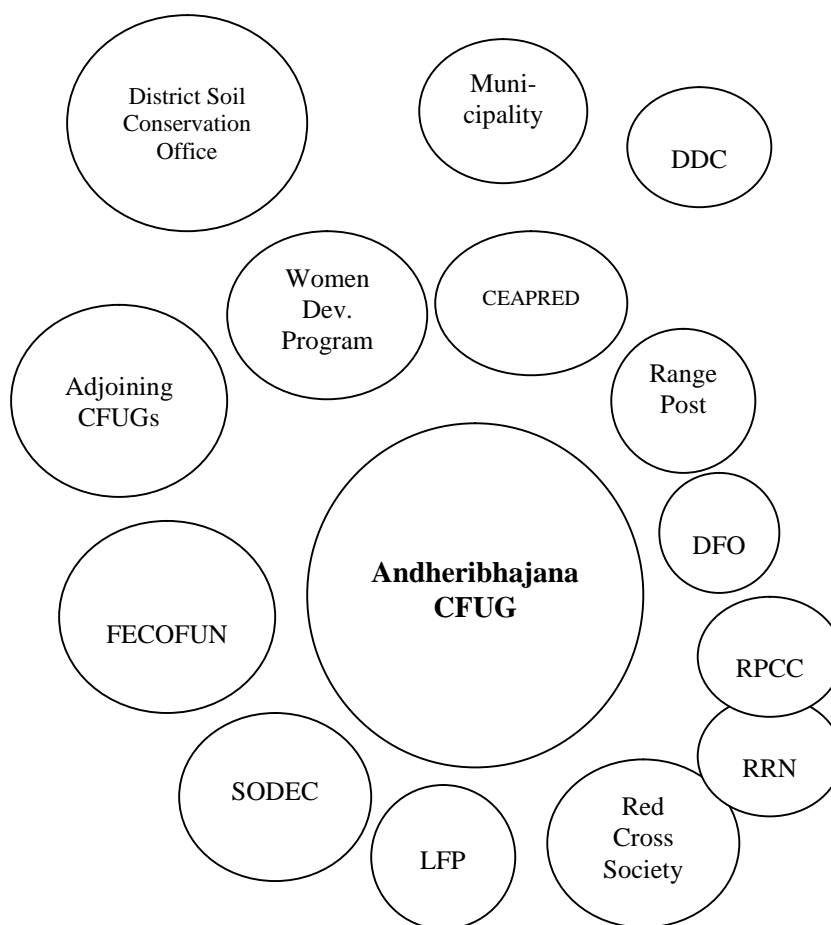
#### 5.1 Types of Stakeholders

From the discussion with the local people, DFO staff and NGO staff, it became clear that there are basically two types of stakeholders in Andheribhajana CF: stakeholders at the district level (External/meso level) and stakeholders at the local level.

##### 5.1.1 Relation of CFUG with External Stakeholders

This sub-section highlights the relationship or collaboration of CFUG with meso level stakeholders. As explained in the preceding chapter, Livelihood Forestry Programme (LFP) is providing support to CFUGs through local intermediary organizations such as Society Development Center (SODEC) and The East Foundation (TEF) in Sankhuwasabha. In this CFUG area, SODEC has been involved in facilitating animation program. These organizations have very close linkage with the CFUG. The other external organizations supporting the CFUG include Range Post level Coordination Committee (RPCC), Rural Reconstruction Nepal (RRN) and Center for Agricultural Environment and Rural Development (CEAPRED) among NGOs and Women Development Program, District Soil Conservation Office, Municipality, DDC and DFO among GOs (Figure 5.1.1.1). Besides these organizations, Federation of Community Forestry Users Nepal (FECOFUN), neighboring CFUG and Range Post have also linkage with the CFUG. The relationship between these institutions and the CFUG is discussed below. The proximity shows the degree of relationship of CFUG with various external stakeholders. The close circle organizations have the good/two-way relationship with CFUG but far distanced SHs namely Municipality, DDC and District Soil Conservation Office have not much two-way relationship with Andheribhajana CF (Figure 5.1.1.1).

**Figure 5.1.1.1: Venn Diagram Showing the Relation of FUG with External Stakeholders**



*Source: Venn diagram exercise, 2007*

**Relation with FECOFUN:** Andheribhajana CFUG and CFUGC had closer relationship and greater collaboration with FECOFUN. The FECOFUN has been providing support to organize the Range Post level CFUGs into a forum. Andheribhajana CFUG also got the advocacy and good governance training facilitated by FECOFUN, which was funded by LFP. Even in informal way, FECOFUN have provided timely suggestion to the CFUG.

**Relation with Society Development Center (SODEC):** Being local NGO, SODEC has the mandate to provide support to CFUGs in its working areas. This organization has been implementing animation program financed by LFP in 8 CFUGs including Andheribhajana CFUG. The local lady facilitator (Ms. Dil Kumari Magar) has been appointed by LFP to support this CFUG regarding forest management process and issues.



**Relation with The East Foundation (TEF):** Being local NGO, TEF has the mandate to provide support to CFUGs in its working areas. This organization has been providing the technical supports to Pangma range post level CFUG networks, of which Andheribhajana CFUG is one of the strong members. This organization has got the financial support from LFP. TEF support to the CFUG was limited to technical forest management such as conducting inventory, establishing the nursery, identifying and promoting the NTFPs etc.

**Relation with Livelihood Forestry Programme (LFP):** LFP has provided the financial and technical supports to the CFUGs through local intermediaries such as NGOs (SODEC and TEF) and GOs working in the district. But there is provision if any CFUG brings them a nice proposal regarding forest management and livelihood activities; LFP provides support to the CFUGs such as advocacy, record keeping, NTFP management and good governance training and other income generation activities.

**Relation with Red Cross Society:** Red Cross Society has implemented a community development program (CDP) in the Andheribhajana CFUG. The Red Cross supported to construct the water supply system and renovate the school premises. It has also supported the local women saving and credit group to mobilize their saving scheme and literacy class in the CF.

**Relation with RRN:** Rural Reconstruction Nepal is primarily focusing on implementation of different community development works. This NGO has provided technical and financial support to the Andheribhajana CFUG. It has provided construction materials for community building and irrigation canal maintenance in the CF area. At the same time, it provided technical supports.

**Relation with DFO and Range Post:** The DFO and Range post are legally entitled body to provide support to the CFUG in preparing constitution and operational plans in the district. DFO approve the constitution and OP. The Range post level staff has been involved to facilitate the revising constitution and OP, conducting forest survey and inventory and assisting in training etc. There is a good relationship between CFUG and DFO/Range post.

**Relation with Range Post level Coordination Committee (RPCC):** RPCC has been in existence in the Pangma range post, where a total of 40 CFUGs are organized including Andheribhajana CFUG. RPCC meets every fourth month period, where the representatives

from various organizations such as Agricultural Service Center, SODEC, LFP, FECOFUN, Range Post are present. The ACM researchers in the past made efforts to improve the effectiveness of the RPCC (i.e., a four-monthly meeting of CFUGs at the Range Post-level) by developing it as a 'learning forum' amongst CFUGs. This approach involved the facilitators and participants of the Range Post Coordination Committee applying a more conscious social-learning approach to their processes.

**Relation with DDC and Municipality:** Being a local governance body, CFUG coordinate with Municipality and DDC whereas they need help. Especially for financial supports, the CFUG coordinates with Municipality and DDC.

**Relation with Agriculture and Veterinary offices:** The local users coordinated with Agricultural and Veterinary office to get their support to run income generation activities like vegetable production and livestock promotion. CFUG has also got technical supports from them.

**Relation with Women Development Program (WDP) and CEAPRED:** In the CF area, WDP and CEAPRED have provided support to CFUG in implementing various activities such as vegetable and cash crops production, literacy class, saving credit scheme, livestock promotion, distribution of improved stove etc. This program is being mobilized through local user groups. The program has directly benefited the local users.

**Relation with neighboring CFUG:** This CFUG has also established good relationship with adjoining CFUGs because they together participate and share their progress, experience and learning during CFUG network and RPCC meetings in the past. However, these days, they are not so effective. We interviewed some key informants, officials of LFP and DFO about this issue. They informed us that the reasons for less active of this coordination committee was mainly because of there had been competition about holding power between the District FECOFUN and the coordination committee, as the CC did not want to be under the grip of FECOFUN.

### 5.1.2 Network Dynamics of FUG with Outside SHs

The Table 5.1.2.1 shows the major outside stakeholders and CFUG relationship on the basis of interest, collaboration and supports. Among the various stakeholders, Andheribhajana CFUG has got highest score as a giver and recipient. It proves that CFUG maintain the good relationship with outside stakeholders.

**Table 5.1.2.1: Network Dynamics of Andheribhajana CFUG with Outside SHs**

SHs	SODEC	DFO	RRN	Red Cross	CEAPRED	FECOFUN	Women Dev. Office	CFUG	Giver
SODEC		2	3	3	3	3	2	4	<b>20/35</b>
DFO	2		1	2	1	3	2	3	
RRN	2	2		2	1	2	2	3	<b>14/35</b>
Red cross	3	3	2		2	3	2	3	<b>18/35</b>
CEAPRED	2	2	2	2		1	2	3	<b>14/35</b>
FECOFUN	3	3	2	3	1		2	3	<b>17/35</b>
Women Dev. Office	2	2	2	2	3	2		3	<b>16/35</b>
CFUG	4	3	3	3	3	2	3		<b>21/35</b>
<b>Recipient</b>	<b>19/35</b>	<b>17/35</b>	<b>15/35</b>	<b>17/35</b>	<b>14/35</b>	<b>16/35</b>	<b>15/35</b>	<b>22/35</b>	

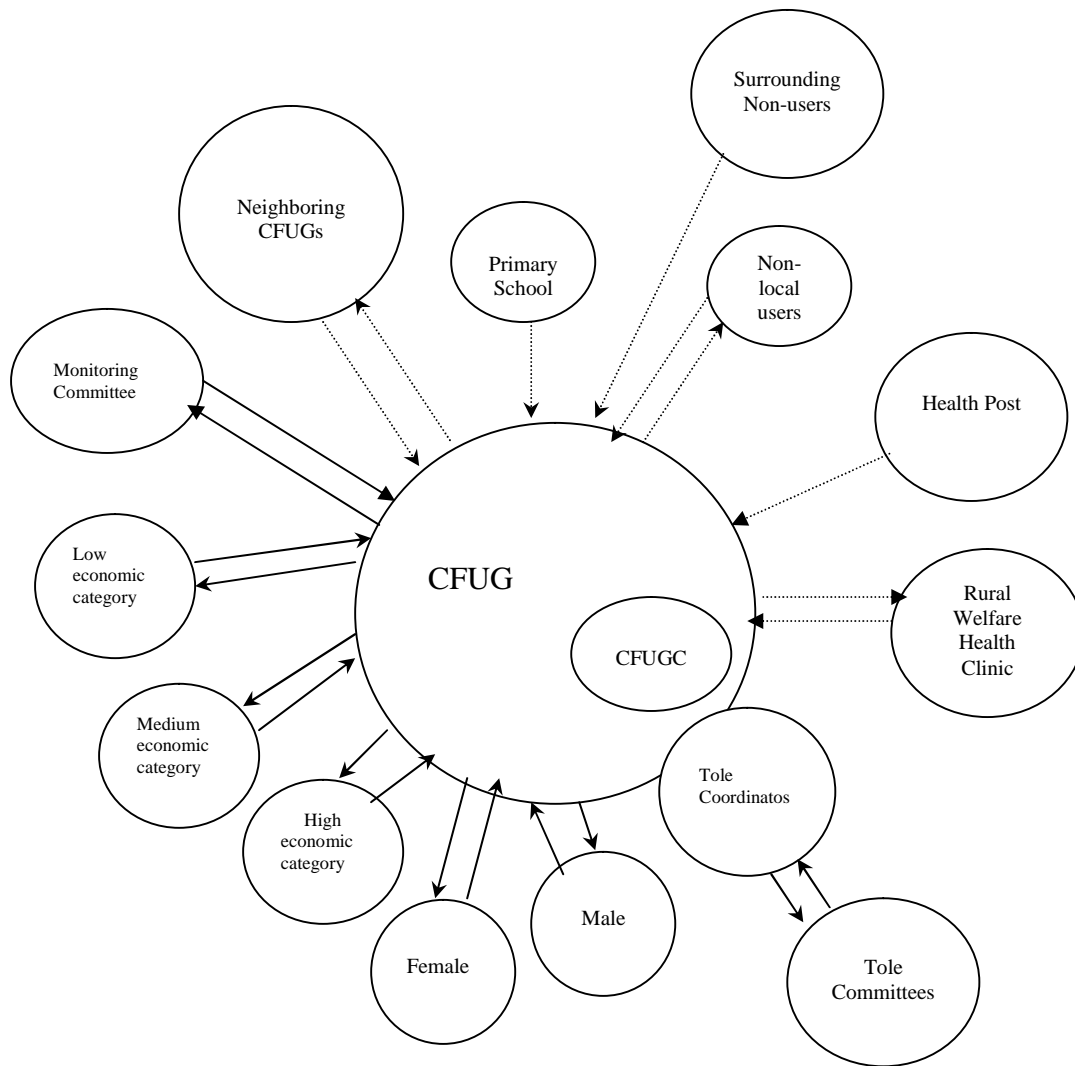
Source: Network dynamic exercise, 2007

Note: Used 1-5 scores for exercise, 1 lowest and 5 highest

### 5.1.3 Relations between local level Stakeholders within the CFUG

Figure 5.1.3.1 illustrates the relationship different stakeholders within CFUG. There are three types of legends shown in the figure to show the level of relationship. CFUG has two-way relationships with the monitoring committee, different economic strata, gender, tole committee and tole coordinators. Similarly, CFUG has slightly two-way relations with neighboring CFUGs, non-local users, Rural Welfare Health Clinic. However, CFUG has one-way relationship with primary school, surrounding non-users and health post. The figure has shown the degree of relationship with internal stakeholders in Andheribhajana CFUG (Figure 5.1.3.1).

**Figure 5.1.3.1: Venn Diagram Showing Relation of CFUG with Internal Stakeholders**



**Legends**

- ←..... Slight one way relation with CFUG
- ←..... Slight two way relation
- ←..... Two way relation
- ..... Two way relation

**Relation with CFUG Committee:** As other CFUG, Andheribhajana executive committee has a strong power relation with users. The structure of the committee might be one of the indicators for power structure in the CF management system. In the Andheribhajan CFUG, there are good relations between committee and *tole* groups. Out of 11 executive committee members, there are 6 from *Brahmin/Chhetri*, 4 from *Tamang/Magar* ethnicity and 1 from *Damai*. But ethnic groups like *Rai*, *Newar* and *Dalit Biswokarma* are not included and represented in the committee because of minority. Considering into the designation, Chairman is from *Magar*, Vice Chairman is from *Brahmin*, Treasurer from *Tamang* and Secretary from *Brahmin* ethnicity. Out of 11 executive committee members, 6 are male and 5 are female.

**Relation with Tole Committee:** Other major group is *tole* committee who hold meeting in their respective *toles* and provide their views and information to the executive committee for effective decision-making and participatory planning processes. Especially each *tole* coordinators play the role for bridging the gap between *tole* level users and EC. CFUG has tried and followed the norms that minimum one represented should be from each *toles* in the executive committee. During *tole* committee meeting, different wealth, gender and ethnic groups take part and interact towards their plans and shared learning. This sort of institutional arrangement has been promoted the adaptive and collaborative forest management system at CFUG level.

**Relation with Monitoring Committee:** CFUG has made the monitoring committee. This sub committee coordinates with executive committee. Five general users are involved in the monitoring committee; they monitor the distribution system of forest products and supervise illegal activities in the CF.

**Relation with different caste/ethnic, gender and wealth groups:** There are various caste/ethnic groups, gender and wealth groups in the CF. These different groups work together and closely whenever duties prescribed by the executive committee. They meet during the event of meetings, assembly and forest cleaning activities. However, committee has tried their best to establish good relationship among different caste and gender groups, still some elites and high caste people have more access and domination in the decision making and forest resources distribution processes. The marginalized and poor *dalits* (*Kami*, *Sarki* and *Damai*) are still socially discriminated. There should be representatives from *dalits* to influence in the decision making and planning processes to maintain the equitable power relation.

## 5.2 Governance Processes: Institutions, Actors, and Degree of ‘ACMness’

This section describes institutional arrangement system of Andheribhajana CFUG, its structures and planning processes during four time periods (2000, 2002, 2004 and 2007). Besides, in the latter part of this section, we discuss the degree of ACMness in five year planning.

### 5.2.1 CFUG Structure

In 2000, there was lack of tole level structures and any other sub-committees in CFUG, but at the end of ACM first phase 2002, THE CFUG constituted six tole committees including a coal action group (*Biswokarma*). The CFUG structure consists of the General Assembly, EC, Tole representative, Tole committees and action group in years 2004 and 2007. CFUG members, especially identified poor and women, in presence of tole representatives have been participating in decision-making and planning process. This has been helping to strengthen the CFUG governance and democratic system. The tole representatives have played vital role to develop linkage and regulate communication between EC and tole committees. Table 5.2.1 shows the major institutional arrangement forum for decision making of CF management activities since 2000 to 2007.

**Table 5.2.1: Institutional Arrangement Forum for Decision Making**

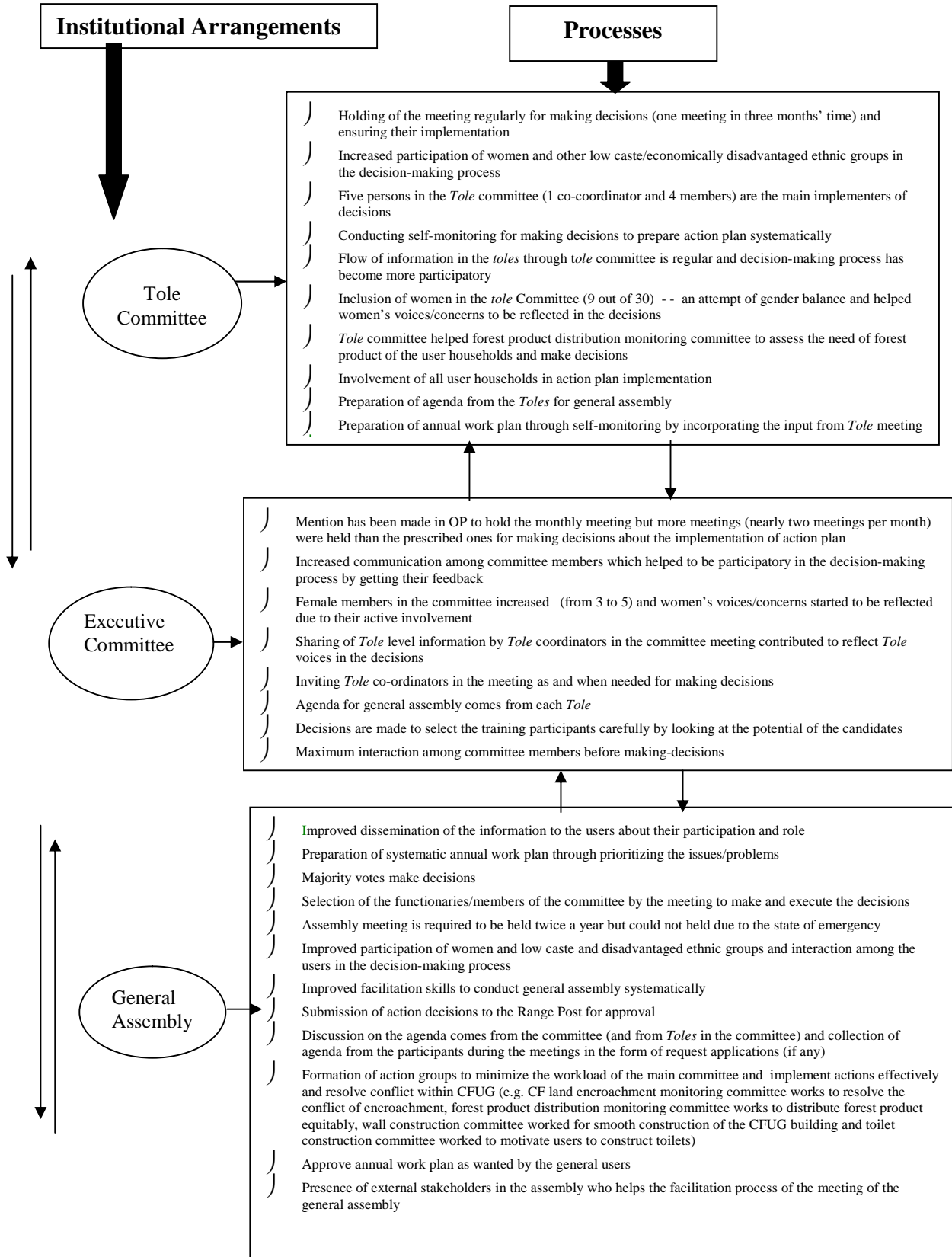
	2000	2002	2004	2007
)	General Assembly	)General Assembly )Executive Committee	)General Assembly )Executive Committee	)General Assembly )Executive Committee )Tole Coordinators/ Committees
)	Executive Committee	)Tole Coordinators/ Committee )Sub-committees (Monitoring and Forest Product Distribution) )Action groups (IGA)	)Tole Coordinators/ Committees )Sub-committees (Monitoring and Forest Product Distribution) )Action groups (IGA)	)Sub-committees (Monitoring and Forest Product Distribution) )Action groups (IGA)

Source: Report review and Key informant interview, 2007

### 5.2.2 CFUG Actors

All caste/ethnicity and gender and class groups were involved in CFUG decision-making bodies including EC and hamlet committees since 2000. In 2002 and on wards, the representation of women in EC and tole committees increased significantly. For instance in 2002, 3 women were represented in EC. Similarly this number increased in 2004 and in 2007 significantly. It means out of eleven EC members, five are women holding two EC positions (Vice-Chairperson and Treasurer). Until 2002 *Brahmin* caste had dominated the EC including Chairperson but since 2004, there had been shift in membership that included members from indigenous group such chairperson was elected from *Magar* ethnicity. CFUG also made decision to include at least one-woman representative in each of the tole committees in 2005. Due to positive attitude of CFUG towards gender equity, the women leadership and participation has increased in CFUG planning and decision making process. Figure 5.2.2.1 illustrates the institutional structure and planning process of the Andheribhajana CFUG.

**Figure 5.2.2.1: Institutional Arrangements and Planning Processes in Andheribhajana CFUG**



Source: Field Study, 2007



### **5.3 Governance & Management Processes**

The CFUG governance and management process has been presented at three level viz: (1) Long-term (5 years) planning, (2) Annual planning and (3) activity level planning.

#### **5.3.1 Long Term (5 years) Planning Process**

##### *Five Year Planning*

Before 2000, CFUG did not hold any tole level planning meeting, and they used to make only five years plan with domination of EC and elites. At the end of the first phase ACM project, 2002, tole, CFUG committee and general assembly became the main institutional arrangements or fora for a five-year planning cycle. The first ACM based 10 years visioning plan was made in February, 2001. It has enhanced the participatory planning and decision making process through reflection and shared learning at tole level. Tole coordinators and CFUG committee members triggered these institutional arrangements at tole level. Different caste and ethnic users represented at the tole committee.

Users at each tole reviewed the past activities with identification of their roles and responsibilities. In each tole meeting, users envisioned their ideal future and identified weak areas and prioritized weak areas. Once the users at each tole prioritized the weak areas, they formed the action plan. For each of the prioritized issues or weak areas, users developed indicators for measuring the impact of the ACM or self-monitoring approach used in future. Based on visioning plan and self-monitoring exercise, each tole prepared its plans and sent them to EC. CFUG committee again sent back these plans to each tole for refinement. The refined plans were sent to assembly for endorsement. This way CFUG made five year plan in 2001. CFUG had developed six thematic areas; (1) Sustainable forest management, (2) Income generation and equitable distribution of forest resources, (3) Institutional development, (4) Effective communication and (5) Community development and (6) Participatory decision-making process in 2001 which were clearly written in the OP. The same thematic areas are continued in 2004 and based on self-monitoring exercise and reviewing indicators CFUG developed five years plan again in 2004.

### Strength and weakness of the five year plan

The major strengths of the five year planning process were; increased participation of users in planning process, increased users' access to decision making process, strengthened the tole level institutional arrangements, enhanced the practices of reflection and shared learning, and self-monitoring process. Though the self-monitoring exercise was effective for five years planning process, it was time consuming and labor intensive also. ACM process envisions continue efforts from the change agents and the local leaders to achieve its goal. The CFUG CAs' (Change agent/local facilitators) role is critical to catalyze and rooted the ACM in CFUG management system. There is a positive indication that local leaders are some extent familiar with its basic process and arrangements.

### **5.3.2 Annual Planning Process**

#### Annual Planning Process

Before 2000, there was no practice of making annual plan. CFUG claimed that they used to work on the basis of operational plan developed by Ranger and DFO. The planning and decision making tended to be *ad hoc* and top down in other words, based on interests of those involved in the decision making in that moment, but not necessarily linked to any larger plan nor specifically to lessons experience. At the end of the first phase ACM (i.e., in 2002), CFUG have been practicing formulating participatory annual plan till date. The processes for the development of priorities and plans within each tole and between toles and CFUG committee are bottom up and systematic that linked to past experiences and future goals. The goal of making such annual plan had been to reflect the strengths and weakness of the previous year plans and to design plans for the forth-coming year. Whatever new plans envisioned in annual plan were integrated into five year plan. In other word, the activities indicated in five-year plans are reviewed and of these plans specific plans or activities are chosen for implementation in annual plan. The CFUG then agrees annual work plan for implementation.

CFUG, CFUG committee and toles are the fora for making annual plan in 2004 and 2007. Every year, the CFUG conduct reflection meeting in each tole and makes plans with the tole members and integrates these plans into the five-year plans. CFUG discuss these plans in tole level first, and the committee refined these plans with consultation with tole committee members and finalizes through assembly. CFUG reflected on their past activities. They tried to identify the weak areas and made strategy to address these issues, which incorporate in

action plan. This way shared learning has been enhanced in the CFUG. Mainly CFUG committee is responsible for making decisions in the CF system. The committee works according to the mandate of the assembly and the OP targeting to annual plans.

Vision/goals of the CFUG are set in the assembly meeting. All the tole committee, CFUG committee and EC members participate in the assembly to endorse the action plan and at the same time visions are set. There is effective communication and representation in decision making process of women and marginalized users since CAs facilitate tole committees meetings and they also participate in assembly. There is representation of women in each tole committee and EC. Similarly, women's participation in assembly is also increased. The tole users select tole committee members but assembly selects EC members. Formation of tole committees has ensured collaboration within CFUG. Similarly, CFUG has focused to collaborate with external SHs to achieve the goals of annual plans. Generally EC is the responsible for managing conflict within CFUG. But recently, tole representatives also take responsibilities to resolve conflict that appeared with CFUG. EC in request of tole representatives calls for the meeting and the conflicts are managed by negotiation. Risks and uncertainties are identified in the tole meetings, EC meetings and even in the assembly to avoid failure in same cases/ actions plans in future.

Andheribhajana CFUG had developed eleven activity plans in 2002. These activity were as follows: (1) transparency CFUG fund management; (2) representation of men and women and rich and poor in the CFUG committee; (3) co-ordination with other CFUGs and institutions; (4) sharing knowledge and skills obtained from training and observation tours with other user members; (5) mobilization of the CFUG fund to raise the economic condition of the poor user members; (6) involvement of poor and disadvantage users in forest-based income generation activities; (7) use of CFUG income on trail development and drinking water projects; (8) conducting adult literacy classes; (9) plantation on barren parts of community forest; (10) management of NTFP and (11) growth of CFUG fund from the sell of NTFPs. Similarly, CFUG had made 8 activity plans in 2004 as follows: (1) plantation in barren land; (2) capacity building through trainings; (3) mobilization of CF fund for poor to income generation activities; (4) forest patrolling and monitoring; (5) Operational works (thinning, pruning and cleaning forest); (6) maintenance of bridge and trail road; (7) enhance information and communication among stakeholders; and (8) OP revision (Table 5.3.2.1).

**Table 5.3.2.1: Planning Processes, Goals and Achievements of Andheribhajana CF**

2000	2002	2004	2007
<p><b>Process</b>                      -Adhoc planning process due to absence of tole committee                      - No participation of users in planning                      - No collaborative and reflection learning</p>	<p><b>Process</b>                      -Participatory planning process due to presence of tole committee                      - Participation of users in planning                      - Practice of reflection learning and collaborative action                      - Regular tole committee, EC and GA meetings</p>	<p><b>Process</b>                      -Participatory planning process due to presence of tole committee                      - Participation of users in planning                      - Practice of reflection learning and collaborative action                      - Not regular tole committee, EC and GA meetings</p>	<p><b>Process</b>                      -Participatory planning process due to presence of tole committee                      - Participation of users in planning                      - Practice of reflection learning and collaborative action                      - Regular tole committee, EC and GA meetings (twice a year)</p>
<p><b>Thematic goals – 2</b>                      i Sustainable forest management,                      ii Community development</p>	<p><b>Thematic goals – 6</b>                      i Sustainable forest management,                      ii Income generation and equitable distribution of forest resources,                      iii Institutional development, iv. Effective communication and                      v. Community development                      vi. Participatory decision making process</p>	<p><b>Thematic goals – 6 Continued</b>                      i Sustainable forest management,                      ii Income generation and equitable distribution of forest resources,                      iii Institutional development, iv. Effective communication and                      v. Community development                      vi. Participatory decision making process</p>	<p><b>Thematic goals – 7</b>                      i Sustainable forest management,                      ii Income generation and equitable distribution of forest resources,                      iii Institutional development,                      iv. Effective communication and                      v. Community development                      vi. Participatory decision making process                      vii. Capacity building</p>
<p><b>Action Plans-5</b>                      Out of 5 action plans, 2 plans- forest inventory and equitable forest resources distribution didn't succeed due to lack of technical support from DFO and elite domination in resources.</p>	<p><b>Action Plans- 11</b>                      Out of 11 action plans, 9 action plans were successfully implemented. 2 plans – management of NTFP and growth of CFUG fund from the sell of NTFPs didn't succeed due to lack of technical know-how.</p>	<p><b>Action Plans - 8</b>                      Out of 8 plans, 6 actions plans were successfully implemented. However, activity related IGA to poor users didn't get much success, and another activity OP revision was not approved on time due to lack of technical support from DFO staff.</p>	<p><b>Action Plans - 7</b>                      Out of 7 plans, six plans related to community development, income generation, awareness raising activities, were successfully implemented. However, orientation of CFUG rule and regulations and policy, and strengthening networking and alliances are going on</p>

Source: Previous report review, record observation and Key informant interview, 2007

Unlike previous plans (2000, 2002 and 2004), the 2007 plan focused more on the risk and uncertainties. Monitoring of ACM process has been carried out using self-monitoring approach that reviews the set indicators developed during visioning. EC coordinates with the tole committee coordinators for the distribution of forest products and emphasis has been given to equity while distributing forest products and other benefits. Generally, higher priority has been given to poor while distributing loans. One additional thematic goal or area

(i.e. capacity building) was identified as priority thematic area in 2007. Based on these goals CFUG developed seven activity plans (see detail action plan in Table 5.3.3.1).

Learning from previous activities, CFUG has formed the sub committees like loan investment and monitoring committee in 2005. This committee has been supporting to invest the CF fund properly to the poor for goat, pig and livestock raising activities. Tole committees as well as tole coordinators have been strengthening the communication and information system, resolving conflicts and patrolling the forests effectively.

### **5.3.3 Activity Level Planning Process**

#### *Activity Level Planning*

CFUG have been practicing the activity/micro level planning process since first ACM phase (2002). The activity level planning process is continued even in 2007. The general assembly and *Tole* level meetings have been the institutional arrangements/fora for making decisions, for initiating the finalizing the activity level activities. This CFUG had made activity plan related to community developments (drinking water development scheme and vegetable farming) and plantation in religious forest site and around the school compound in 2002. They did the system analysis of plantation in barren land of religious site and school compound with help of New ERA research team in 2002 (see case 1).

#### ***Case Study 1: Effective Activity Planning with Collaboration in Andheribhajana CFUG***

*Andheribhajana CFUG had made activity plan for 'small scale trial' in the regime of plantation. CFUG did the plantation in the religious site as a 'trial plot'. The DFO office made the seedlings available. The local Range Post staff gave the idea for preparing the soil for plantation. The local users including participation of disadvantaged groups also made the protective covers for these planted seedlings. Seeing the success of this trial plot, the users also did the plantation in the compound of local school in collaboration with Red Cross Junior Circle.*

This process helped to enhance the skill of users for particular activity planning in holistic approach. The activity level planning particularly for IGA continued from 2002. In 2002, CFUG made five activity plans, in 2002 eleven activity plans, in 2004 eight activity plans and in 2007 seven activity plans. The detail action plans of 2007 are presented in Table 5.3.3.1.

**Table 5.3.3.1: Activity Plans and related Sub-Committees**

Activity plan	Who/committee	When	How	Status
1. Trail road improvement	EC, tole committee, water supply construction committee	Up to August, 2007	EC coordinated with tole committees	Completed
2. CF fund mobilization for poor to run income generation activities	EC, tole committee, loan investment and monitoring committee	Up to September, 2007	EC and loan investment and monitoring committee collect repayment and invest for poor HHs based on wealth ranking and getting support from SODEC.	Completed
3. Training conduction	EC and CAs	Up to September, 2007	EC and CAs coordinated with LFP, SODEC, RRN and DFO	Completed
4. Forest cleaning and fire control line making	EC, tole committee and general users	Up to April, 2007	EC and tole committees coordinated with general users	Completed
5. Orientation of CFUG rule and regulations and policy to all users	EC and tole committees	Up to December, 2007	EC and tole committees coordinated with their respective toles and CAs including meso.	On going
6. Harvest timber according to capacity of forest	EC and forest product distribution and monitoring committee	Up to September, 2007	EC coordinated with forest product distribution and monitoring committee, and distribute only to genuine demands/needy users	Completed
7. Strengthen networking and alliances	Executive committee	Up to December 2007	CFUG federated into network, EC participated in VDC network and RPCC meetings regularly and shared learning and experiences.	On going

*Source: Records review and key informant interview, 2007*

#### *The Loan Investment and Monitoring Committee in 2005*

In 2005, the CFUG under initiation of trained CAs constituted a loan investment and monitoring committee. There are 3 men and 2 women in this sub-committee. The CFUG assigned responsibility to this committee to collect the outstanding loan from the borrowers and invest it to poorest of the poor users at low interest rate. This committee visited each of the borrowers and gave certain two months times to repay the loan. Due to the proper monitoring system, the loan was not repaid on time and also borrowers considered that loan was grant to them. The committee explained preciously the objective of the loan invested earlier and requested the borrowers to repay the loan on time. Within two months of the request of the committee, all borrowers repaid all the outstanding loans. This money was reinvested to poor and women to address the equity and livelihoods issues. This committee is still functioning and supporting EC to mobilize the fund effectively and transparently.

## 5.4 ACMness in CFUG Governance and Management

This section mainly discussed about the degree of ACMness in long term planning. Based on long term planning, CFUG also prepare their annual and activity level planning.

### 5.4.1 ACMness in Long term Planning

There has been gradual improvement in the ACMness in 2004 compared to 2000 (Table 5.4.1.1). This improvement in the ACMness is attributed to impact of first ACM facilitation implemented during 2000-2002 in Andheribhajana CFUG. The ACM facilitation process triggered better CAs facilitation, self-monitoring process and institutional arrangements. Of the seven ACM elements assessed for its effectiveness, the "collective action" scored highest than other elements (Table 5.4.1.1). For instance: all actors have been involved in various collective actions such as implementation of income generating activities, joint patrolling and use of revolving funds for the identified poor households. All elements have been positively changed. Overall, the increment is almost double of the score of 2000.

**Table 5.4.1.1: ACMness in Long Term Planning**

ACM elements	2000	2004
1. All SHs involved in decision making process	2	3
2. SHs communicate and transfer knowledge and skills	2	3
3. Collaborative action	2	4
4. Conflict management	1	2
5. Shared learning and reflection	1	3
6. Reflection within and between human and natural system	2	3
7. Reflect future desire and uncertainty	1	2

*Note: Score: 1 to 2 = Low, 3 = Medium and 4 to 5 = High*

*Source: report review and pebble distribution, 2007*

#### All Stakeholders Participate in Decision Making

If we analyze all types of planning processes implemented earlier, CFUG had not practiced the participatory planning and decision-making process before ADB phase (2002). All stakeholders including the poorest of the poor HHs, women and lower caste groups' representation and participation had been increased in the long term/ or five year planning of held in 2004 (Table 5.4.1.1). For example: men, women and all classes of people including youths participated and expressed their views for renewal of OP in 2004. They had shown enthusiasm and proud to give their contribution in the five year planning process.

### Stakeholders Communicate and Transfer Knowledge and Skills

The communication amongst CFUG members and concerned stakeholders has been improved during long term planning due to the development of communication mechanisms since first ACM phase. This has been increased during second phase Participatory action research (PAR) periods through facilitation of change agents. CFUG tole coordinators, EC members and CAs have been mobilized to strengthen the communication and information system in the CF. There is system of sharing experiences of training/workshop and meeting within EC and general mass meeting. For instance: Participants of gender training shared their experiences of training with EC and general users during mass meeting in Andheribhajana in August, 2006. This sort of practice is helping to transfer the knowledge and skill to others.

### Collaborative Action

If we compare the two five year planning periods (2000 and 2004), the CFUG carried out more collaborative action in the later planning period (2004). The collaboration action more enhanced in 2004 due to active leadership and ACM knowledgeable EC members. As compared to first planning period, CFUG has been able to collaborate with more meso level stakeholders for making five year plan. For instance: meso organization SODEC has helped to implement the IGA activity to improve the livelihoods of identified poor households in Andheribhajana (through revision of wealth ranking). Similarly, CFUG has collaborated with RRN to run women saving & credit groups effectively.

### Conflict Management

Prior to ACM there had not any system of long term planning. The conflict management was not established properly in 2000 but after PAR process in first phase and starting of second phase ACM project has helped to developed as well as improved conflict management mechanism in the Andheribhajana CF. CFUG formed a 'Forest Product Distribution and Monitoring Committee' who helped to resolve the conflict in terms of distribution of forest resources. They resolved conflict through coordination with EC. The most significant example of the second long term planning include the formation of loan investment and monitoring committee. There were evidences that this committee had resolved the conflict related to misuse of fund in 2004. There is no severe conflict in CFUG at present stage. CAs are also supporting to EC to minimize the conflict and resolve it effectively through peaceful manner (see case 2).



***Case Study 2: Resolving Conflict through Monitoring Mechanism in the  
Andheribhajana CFUG***

*CFUG resolved the conflict regarding the timber cutting in CF area. One user (Chhetri) from tole 3 had cut the tree nearby his private land because he claimed that the trees grown in that land were belonged to him. The tole committee heard the complaint from users that the land where the trees had been grown did not belong to him. As per users that land was under the jurisdiction of CF. The tole committee along with Executive committee members jointly inspected the case. This team had found that the area was under CF land. Thereafter, with the help of tole committee CFUG committee fined that user who cut off tree. This action helped to enhance the rule and regulations as well as resolved the conflict properly.*

**Shared Learning and Reflection**

Prior to ACM, there were no any shared learning and reflection activities. In the first planning process CFUG had not practiced much more in shard learning and reflection things. But in second long term planning, the CFUG processes involved shared visioning, self-monitoring and prioritization of weak areas or issues, incorporating new ideas, and systems analysis in their planning process.

**Reflection Within and Between Human and Natural System**

Before ACM approach was implemented (before 2000), the forest product distribution system was "equality" based, not in "equity" based. Only elite and powerful users in the CFUG could extract more forest products than marginalized users. After ACM, the CFUG in its long term planning included indicators related to balancing between natural resources and human needs. For example, the CFUG has formed the monitoring and forest resource distribution committee during first ADB phase and this sub committee effectively functioning in 2006. This sub committee has been helpful to review the genuine demands and needs of users and recommend to the EC. CFUG harvest the timber as per OP and capacity of forest. CFUG has carried out regular operational works (cleaning, thinning, and pruning) and silviculture practices to increase the forest products in the CF areas.

**Reflect Future Desire and Uncertainty**

There was lack of reflection on future desire and uncertainty while making a plan before 2000. After ADB phase, Andheribhajana CFUG initiated to address these elements while making long term plan. Through self-monitoring exercise and reflection upon previous plans, CF has focused on addressing the uncertainty as well as future risk during long term planning of income generating activities and utilization of forest resources.

#### **5.4.2 Overall Synthesis**

The ACM elements: all stakeholders' involvement in decision making, effective communication, collective action, shared learning and experimentation and balance between human and natural resource are successfully implemented but CAs and CFUG members could not effectively address the issues of risk and uncertainties and conflict management mechanism in this CFUG. The CAs and local leaders have to focus more to these weaker elements in further planning to implement the action plans successfully.

## CHAPTER-6

### ENVIRONMENTAL CONDITION AND LIVELIHOOD STRATEGIES

This chapter mainly describes about the environmental condition of CF and livelihood strategies of users.

#### 6.1 Environmental/Ecological Condition

This section mainly interprets about description of CF, abundance and value of FPs, changes in forest condition, nursery and plantation rates, changes in threats and strategies, overall causes of changes and future trend.

##### 6.5.1 Description of CF: 2007

**Forest area:** 113.97 ha

**Population pressure:** Each HH: 0.58 ha (For timber and firewood users rely on private and government forests too).

**Proximity of CF to CFUG users and accessibility:** Users can reach all toles, CF areas and near private and government forest within 20 minutes.

**Forest type and summary:** Sal (*shorea robusta*), Patle katus (*castanopsis hystrix*), Chilaune (*Schima wallichii*), Uttis (*Alnus nepalensis*), Jamun (*Syzygium cumini*).

**NTFP :** Harro (*Terminalia chebuala*) Barro (*Terminalia belerica*) Amala (*Emblica officinalis*)

**Birds:** Long tailed bird, dove, Woodpecker, owls, wild chicken, pigeons, cuckoos

**Animals:** Jackle, monkey, rabbit, bats, deer, fox, jungle cat, porcupine

**Age/stage of the stand:** The local users estimated that the CF has 20% sapling stage stand, 40% pole sized stand 40% tree sized stand.

**Growth type:** Natural (60%), regeneration (35%) and plantation (5%)

##### 6.5.2 Abundance and Value of Forest Products

Table 6.5.2.1 shows the abundance and value of forest products in four time periods. Sal (*shorea robusta*) species tree is reported as high market value species and it has potential for marketing at local level. CFUG has to some extent been able to generate income for CFUG and low well-being groups through sale of forest products. However, there had been limited success in commercialization aspect.

**Table 6.5.2.1: Abundance and Value of Main Species in CF: Trees**

Indicators	2000	2002	2004	2007	Comments
Relative proportion (%)	Sal:50% Katus: 25% Chilaune:20% Other:5%	Sal:55% Katus: 20% Chilaune:20% Other:10%	Sal:60% Katus:15% Chilaune:15% Other:10%	Sal:75% Katus:10% Chilaune:8% Other:7%	Due to high regeneration sal species is growing
Abundance (# per hector)	Sal: 70 Katus:20	Sal: 75 Katus: 16	Sal:80 Katus: 15	Sal: 85 Katus: 13	CF protection rule help to increase
Potential market value	Sal: High Katus: Medium Chilaune: Medium Other: Low	Sal: High Katus: Medium Chilaune: Medium Other: Low	Sal: High Katus: Medium Chilaune: Medium Other: Low	Sal: High Katus: Medium Chilaune: Medium Other: Low	Sal trees is more market value than others due to timber and lead production
Feasibility of selling	Medium	High	High	High	Feasibility of selling in local areas is high
Actual income to date	Low	Medium	Medium	Medium	CFUG earned by selling extra timber (approx Rs. 5000)
Subsistence value	Medium	High	High	High	Subsistence value is high due to improved status of forest health (Specially firewood and fodder).

Source: Community assessment, 2007

### 6.5.3 Changes in Forest Condition

The trend of CF condition was assessed during final assessment. The users reported that the status of CF condition has improved over the years (Table 6.5.3.1). Participatory planning processes, self-monitoring exercise and reflection meetings have helped to improve the condition of CF and to make rule according to forest health.

**Table 6.5.3.1: Changing Trend of CF Condition**

Indicators	2000	2002	2004	2007	Causes of change	Outcome or effect of change
Area under plantation versus natural regeneration versus barren land (%)	Plantation: x Natural reg: 80% Barren: 20%	Plantation: 2% Natural reg: 90% Barren: 10%	Plantation: x Natural reg: 90% Barren: 10%	Plantation: x Natural reg: 92% Barren: 8%	High regeneration and protection rules	Richness of tree species
CF crown cover (%)	45%	50%	50%	55%	Natural regeneration	-
Bio-diversity	good	good	well	improved	Improving forest health	Water sources, bird and animal increased
Forest health	Moderate	Good	Good	Good	Protection and monitoring rules exist	Improving forest health
Slope stability/land slide controlled	No landslide	No landslide	No landslide	No landslide	Control of illegal extraction	-
Other negative key forest changes noted by users and other SHs	-	-	Plantation trees were dead	-	Lack of monitoring	Failure case of action plan

Source: Pebble distribution, 2007

#### 6.5.4 Comparison of Estimated Changes in Forest Cover, Bio-diversity Over Time

The estimated changes in forest cover show that the forest cover change is highest in CF compared to other forests (private, government and neighboring CF) (Table 6.5.4.1). It means that ACM approach is effective to bring positive changes in forest cover.

**Table 6.5.4.1: Estimated Changes (%) of Trees**

Type of Forest	2000	2002	2004	2007	Explanation/ cause of change
CFUG	10	20	30	40	Tree size species becoming mature
Private	20	25	25	30	Use as alternative source
Government	40	20	20	20	Use as alternative source
Neighboring CFUGs	40	20	20	20	Use as alternative source

Source: Pebble distribution, 2007

As that of above the NTFP and wild-life species change have also increased over time (Table 6.5.4.2 and 6.5.4.3).

**Table 6.5.4.2: Estimated Changes (%) of NTFP**

Type of Forest	2000	2002	2004	2006	Explanation/cause of change
CFUG	20	25	25	30	NTFP collection is free
Private	10	30	30	30	Alternative source
Government	20	25	25	30	Alternative source
Neighbouring CFUGs	40	10	30	20	Alternative source

Source: Pebble distribution, 2007

**Table 6.5.4.3: Estimated Changes of Wildlife**

Type of Forest	2000	2002	2004	2006	Explanation/cause of change
CFUG	15	20	30	35	Forest density is increasing
Private	20	20	30	30	Alternative habitat
Government	40	30	15	15	High use of users wildlife is decreasing
Neighboring CFUGs	20	20	30	30	Preservation of wildlife issue is sensitized by meso SHs

Source: Pebble distribution, 2007

### 6.5.5 Nursery and Plantation Rates

Andheribhajana CFUG has not established any nursery in the CF area. But they have planted 1500 number of tree saplings in one hector barren land in 2003. Due to the lack of CFUG monitoring and caring system, the survival rate is very low in 2004 (only 10% planted trees are survived). This is very crucial for the CFUG to revise the activity plans and implement them accordingly.

### 6.5.6 Changes in Trends and Strategies

CFUG patrolling system, silviculture practice, harvesting practices were assessed through pebble distribution. Table 5.5.6.1 shows the positive trend in sustainable use and management of forest resources. The patrolling system improved. Prior to ACM project, the patrolling used to be done by EC but in 2002 and onwards, mostly users are involved in protecting their forests. The amounts of harvests of fodder, firewood and NTFP have been increased over the years.

**Table 6.5.6.1: Changing Trend of CF Condition**

Practices	2000	2002	2004	2007	Reason for change in Mgt.	Outcome
Patrolling	By EC	By all users	By all users	By all users	Awareness responsibility	Participatory monitoring system enhanced and illegal extraction stopped
Silviculture	Indigenous knowledge practice	Scientific knowledge practice	Scientific knowledge practice	Scientific knowledge practice	CFUG aware of technical knowledge through meso SHs	Technical silviculture system enhanced
Harvesting (firewood)	1200 bhari	1500 bhari	2000 bhari	3700 bhari	forest health improving and CF demands increasing	CFUG tried to fulfill the demands of FP from their own CF.
Harvesting (fodder & grass)	4500 bhari	6000 bhari	6000 bhari	6500 bhari	Livestock raising trend is increasing	Free of collection fodder and grass in certain blocks
Harvesting NTFP	300 kg	350	425 kg	480 kg	Value of NTFP	Proper use of NTFP increasing

Source: *Pebble distribution, 2007*

CFUG harvest the forest products according to OP and technical consultation with meso staffs. The forest products are harvested according to carrying capacity of CF not according to demand and requirement of users. Silvicultural operations are carried out timely and regularly. They regularly monitor the growth of forest resources. CFUG is adapting the scientific knowledge to manage the CF in sustainable way.

#### Changes in Threats

In 2000 there was a threat of fire and illegal harvests of FPs but by the year 2002 these threats have been minimized. This has been done under the leadership of monitoring committee. There was no threat of fire and landslide in 2004. But CFUG reported that increasing population and possibility of encroachment for cereal-based cultivation are the major threats of CFUG in future.

#### **6.5.7 Future Trends**

Through the pebble distribution exercise, the probable direction of changes in CFUG condition is assessed. Table 6.5.7.1 shows the positive direction of the change in CF condition in the future.

**Table 6.5.7.1: Future Direction of Change in CFUG**

Indicators	5 yrs from now	10 yrs from now	Why? (Causes)	What effect will this have on livelihoods and/or ?
Forest health	Improve	Well improved	Current trend and protection rule	Meet the needs of users for subsistence and generate
Forest area	Planted	No barren land	Joint planning and reflection	Healthy environment
Crown cover/density	Increased	Density high	Attitude changed towards reconciling conservation and development	Improve water quality.
Abundance and quality of timber species	High	High	ACM based planning and reflection	Meet the needs of user and users could generate income establishing forest-based enterprises.
Abundance and quality of firewood species	High	High	ACM based planning and reflection	Meet the demands of users and identified poor households. the poor can sell out the firewood legally and get support to secure their livelihoods.
Abundance and quality of NTFP species	Identified and NTFP promoted	Practiced NTFP plantation for income generation	CFUG pay attention to promote the NTFP	Earn cash from NTFP
Abundance and quality of fodder and grass species	High	High	Open grazing is stopped	Livestock raising activities increased and contribute to the livelihoods of users.
Wildlife (bio-diversity)	Increased	Increased	Density of forest increasing	Balanced in eco-system
Water quality	Improved	Improved	Maintaining bio-diversity	Water scarcity reduced and quality enhanced
Slope stability	Controlled	Controlled	Reduced illegal extraction	Fewer threats of landslide and erosion, which adversely affect on forest health and human life.

Source: Pebble distribution, 2007

## 6.6 Livelihood Strategies of Users

This section mainly describes about the changes in sources of livelihood, needs of forest product, estimated percentage of needs met for key FP, amount of forest products used, mobilization of CFUG funds, marginalized users livelihood security in the FUG.

### 6.6.1 Occupation/Sources of Livelihood (Subsistence and income)

Agriculture and livestock are the major occupations among *Brahmin/Chhetri, Tamang, Magar* and *Newar* in Andheribhajana CFUG. Some of them are involved in private and government sectors as teacher, clerk and technician. Besides, the lower caste *Kami, Damai* and *Sarki* rely on their occupational job (making iron tools, tailoring and shoe making). But low economic groups rely on labor works and it is reported that some of the Rai HHs sell the



timber to earn cash for their livelihoods. There are not many changes in strategies of livelihoods since 2000 but reported that working in overseas trend become higher in 2007 due to the lack of working opportunity and security situation. Higher wealth group could save the income whereas medium and low economic groups are struggling for subsistence. Tables 6.6.1.1 and 6.6.1.2 summarize the sources of livelihood by caste/ethnicity and wealth status in 2002 and 2007 respectively.

Compared between well being status of 2002 and 2007 in Andheribhajan CF, data revealed that 16 HHs increased in the rich category, 12 HHs increased in medium category and 27 HHs decreased in poor category in 2007 (Table 6.6.1.1 and 6.6.1.2).

**Table 6.6.1.1: Sources of Livelihoods by Caste/Ethnicity and Wealth Status in 2002**

Caste/Ethnicity	Wealth Group		
	High	Medium	Low
<i>Brahmin/Chettri</i> (High Caste)	Agriculture, livestock-raising and job in private and government offices, working in overseas (35 HHs)	Agriculture and livestock-raising (28 HHs)	Agricultural labor and livestock-raising (goats, and pigs) (21 HHs)
<i>Magar, Tamang and Rai</i> (Indigenous Group)	Agriculture, livestock-raising and job in private and government offices, working in overseas (6 HHs)	Agriculture and livestock-raising (37 HHs)	Agricultural labor, pottering and selling firewood (39 HHs)
<i>Kami, Damai, Sarki</i> (Low caste)	-	Tailoring, livestock raising (6 HHs)	Daily wage labor, making agricultural tools by collecting charcoal from the CF and working as a porter (5 HHs)
<i>Newar</i>	Agriculture, livestock-raising, and business (2 HHs)	Agriculture, livestock-raising, job and business (grocery shop, vegetable sale, etc.) (4 HHs)	Agriculture and livestock-raising (2 HHs)

Source: New ERA report review, 2002.

**Table 6.6.1.2: Sources of Livelihoods by Caste/Ethnicity and Wealth Status in 2007**

Caste/Ethnicity	Wealth Group		
	High	Medium	Low
<i>Brahmin/Chettri</i> (High Caste)	Agriculture, livestock-raising and job in private and government offices, working in overseas (48 HHs)	Agriculture and livestock-raising (16 HHs)	Agricultural labor and livestock-raising (goats, and pigs) (17 HHs)
<i>Magar, Tamang and Rai</i> (Indigenous Group)	Agriculture, livestock-raising and job in private and government offices, working in overseas (11 HHs)	Agriculture and livestock-raising (60 HHs)	Agricultural labor, pottering and selling firewood (20 HHs)
<i>Kami, Damai, Sarki</i> (Low caste)	-	Tailoring, livestock raising (11 HHs)	Daily wage labor, making agricultural tools by collecting charcoal from the CF and working as a porter (3 HHs)
<i>Newar</i>	Agriculture, livestock-raising, and business (5 HHs)	Agriculture, livestock-raising, job and business (grocery shop, vegetable sale, etc.) (2 HHs)	Agriculture and livestock-raising (2 HHs)

Source: Group discussion, 2007

### 6.6.2 Needs of Forest Product for Each Wealth Group

The high well-being class households, particularly *Brahmin* and *Chhetri* caste groups use timber and fodder more as compared to lower well-being class groups. The ethnic groups such as *Tamang*, *Magar* and *Rai* use more firewood for making local wine (*Raksy*) and they sell local wine in locally. Due to the small livestock holding, low income groups use less amount of fodder and grass from CF. Users mainly use forest products for household consumption and subsistence use but they had very limited commercial use.

### 6.6.3 Estimated Percentage of Needs met for Key FPs for Each Wealth Group

Table 6.6.3.1 presents the trend (2000-2007) on needs of key forest products by different wealth groups. Still high well-being class group are using more forest products from CF and low income groups are relying on government forest. Because of small land holdings and scarce economic opportunities, the medium and low well-being groups could not buy forest products as per their needs and therefore they (medium and low groups) visit neighboring CFs (such as Lebrang) to fulfill their demands for FPs.

**Table 6.6.3.1: Estimated Percentage of Needs met for Key FP by Wealth Group**

Wealth Group	2000 Yrs	2002 Yrs	2004 Yrs	2007 Yrs
High	<b>Needs met:</b> CF: 30% Private: 50% Govt: 20%	<b>Needs met:</b> CF: 35% Private: 55% Govt: 15%	<b>Needs met:</b> CF: 50% Private: 40% Govt: 10%	<b>Needs met:</b> CF: 50% Private: 45% Govt: 5%
Medium	<b>Needs met:</b> CF: 30% Private: 40% Govt: 30%	<b>Needs met:</b> CF: 30% Private: 40% Govt: 30%	<b>Needs met:</b> CF: 40% Private: 30% Govt: 30%	<b>Needs met:</b> CF: 40% Private: 40% Govt: 20%
Low	<b>Needs met:</b> CF: 20% Private: 10% Govt: 70%	<b>Needs met:</b> CF: 30% Private: 10% Govt: 60%	<b>Needs met:</b> CF: 35% Private: 10% Govt: 55%	<b>Needs met:</b> CF: 35% Private: 10% Govt: 55%

Source: *Pebble distribution exercise, 2007*

#### 6.6.4 Amount of FP Used by Wealth Group

Table 6.6.4.1 shows the trend that amount of forest product used by various wealth groups. By 2007 some low well-being group (10 HHs) sells the firewood in local markets (Khandbari and Bahrabise) and earns cash in one season. The CFUGC provide fuelwood collection permit (*purji*) for 50 *bhari* for each of the HHs per season. They charge Rs. 0.50 for each *bhari* (approximately 40Kg) of firewood.

**Table 6.6.4.1: Amount of FP Used by Wealth Group**

Wealth Group	2000 Yrs	2002 Yrs	2004 Yrs	2007 Yrs
High	<b>Needs met:</b> CF: 40 bhari Private: 60 bhari Govt: 30 bhari	<b>Needs met:</b> CF: 40 bhari Private: 70 bhari Govt: 20 bhari	<b>Needs met:</b> CF: 50 bhari Private: 50 bhari Govt: 30 bhari	<b>Needs met:</b> CF: 50 bhari Private: 50 bhari Govt: 20 bhari
Medium	<b>Needs met:</b> CF: 30 bhari Private: 40 bhari Govt: 50 bhari	<b>Needs met:</b> CF: 30 bhari Private: 50 bhari Govt: 50 bhari	<b>Needs met:</b> CF: 50 bhari Private: 50 bhari Govt: 20 bhari	<b>Needs met:</b> CF: 50 bhari Private: 40 bhari Govt: 30 bhari
Low	<b>Needs met:</b> CF: 30 bhari Private: 10 bhari Govt: 70 bhari	<b>Needs met:</b> CF: 30 bhari Private: 10 bhari Govt: 70 bhari	<b>Needs met:</b> CF: 50 bhari Private: 5 bhari Govt: 80 bhari	<b>Needs met:</b> CF: 50 bhari Private: 0 bhari Govt: 80 bhari (about 30 bhari firewood sell = Rs. 3600 in local market)

Source: *Pebble distribution exercise, 2007*

There is less practice of commercialization of forest-based enterprises. Most of the users are dependant on CF for subsistence needs. Only some of the poor HHs belonging to

*Biswokarma* and *Rai* ethnic groups are using firewood for both income/employment purposes. *Biswokarma* uses more firewood to make charcoal for making iron tools and *Rai* ethnic groups sell firewood in Khandbari and Bahrabise.

#### **6.6.5 Silvicultural Practices and Monitoring System**

FGD participants reported that Andheribhajana users are aware of preserving the forest in very balancing way. CFUG members have practiced the improved forest operational activities as prescribed in the OP. According to their plan, they conducted forest thinning & pruning, cleaning and singling activities. They only cut mature trees and keep the pole size stand preserved. They have been doing these activities on yearly basis, which are specified in annual plans. These forest management activities also helped to promote local bio-diversity. CFUG members have conducted various interaction and orientation program regarding the management of their forests. More users are in favor of protection rather than utilizing forest resources lavishly. At the same time, users are using *larro* system (stick passing system) to monitoring and patrolling forest to control illegal activities.

#### **6.6.6 Mobilization of CFUG Funds for Livelihood Investments**

The CFUG members and committee expressed that there had been low investment of CFUG funds (only Rs 8000) for IGA for the poor before 2000. Most of the elite and influential people have access to CFUG fund. At the end of first phase (ACM project 2002), CFUG members were aware of equity issues and transparency of fund mobilization for the livelihood of poor. A total of Rs. 30,000/- was mobilized during first ACM period. In 2004 FUGC had been able to collect the invested funds and reinvested it to the poor and marginalized users. In 2007 CFUG mobilized fund (Rs. 55000) was again mobilized to 30 identified poor HHs as low interest loan to run their income generation activities such as pig and goat raising, cow taming, vegetable production and running tea stall. The CFUG and meso CAs revised well being ranking and facilitated to mobilize CFUG funds for poor to address the equity and livelihood issues. Poor *Rai*, *Magar*, *Tamang* and *Damai* HHs have got access to obtain loans from the CFUG in 2007 (see case 3).

Due to increment of accessibility of CFUG fund to the poor, and fund distributed to poor and forest resources have brought positive changes in livelihood security of the identified poor families. Users reported that transparency has maintained by present EC through proper documentation and auditing through assembly meeting.

### ***Case Study 3: CF Fund Mobilized for Poor in Andheribhajana CFUG***

*Aged 32, Mrs. Dil Kumari Darji (a lower caste woman) got Rs. 2500/- for goat raising from CFUG fund through tole meeting decision, She is general user of tole number 3, Tallo pangtha. She has seven family members: husband, one son and four daughters including her. She is landless but she does have some land in her husband's name. Her husband involves in wage labor work and share cropping with landlords of the village. Of these incomes he can feed his family for three months. Children help her to graze animal and bring fodder for goats.*

*Previously she has not got any CF fund for income generation activities. This time she is very happy because CFUG made decision in her favor to give CF fund. She does know that she has to pay back CF fund after one year. She bought one mother goat and two kids for a total of Rs. 2500/- from nearby village. She is also obliged to CFUG committee, tole committee and CAs who helped to provide her fund.*

### **6.6.7 Marginalized Users Livelihood Security**

Before 2000, marginalized users were not fully satisfied with benefits received from distribution of forest products. In 2002 forest product distribution mechanism improved and the issue of equity in terms of distribution of forest products has been addressed. After start up second ACM phase, the marginalized users have started to get FP in equality basis and CFUG fund also mobilized for poor and marginalized groups to support their livelihoods. The *Biswokarma* (Ironsmith) group has access to collect enough decay/dry wood freely to make charcoal. Other *Rai* and *Tamang* households also started to sell firewood, which they bring from government forest as alternative for livelihoods (income and food). In future marginalized users are hopeful to get forest product in equity basis and they get permission to sell firewood and some patches of forest to grow NTFP. CFUG fund has been mobilized for IGA for the poor (see case 3). The estimated amount of poor earnings from IGA is ranged from Rs 5000- 9000 per annum in 2007, which is increased than 2000.

### ***Case Study 4: Fund Mobilization for Poor Women in Andheribhajana CFUG***

*Ms. Dhan Kumari Rai is general user of the Andheribhajana. She lives in tole number 3, Jaljale. She has two sons and two daughters including her husband. She does not have enough land and income that's why her family falls under the poor category. Instead of her husband, she usually participates in the CF management activities. She got loan of Rs 1500 in 2004 for pig raising activity. She has started pig raising and by 2006 she sold piglets and earned Rs. 5000/- She is thankful to EC, tole committee and CAs who helped her to access this fund. She is using this earning for her children's education and clothes, and food items.*

## 6.7. Perception of Equity regarding Distribution of CF Fees and Levies

There is no change in annual fee since 2000 to 2006. The annual fee is Rs 24. Similarly, the entrance fee was same from 2000 to 2004, which was Rs. 65. But the CFUG changed the entrance fee of Rs. 500 in 2006. The intention of significant changes in the entrance fee is to raise CFUG fund and to discourage new-comers to become users. The CFUG changed the price of one *bhari* firewood (equivalent to 40 Kg stack) to 50 paisa from 25 paisa in 2006. The fees and the Levies are same for the all category of users.

## 6.8 Level of CFUG Satisfaction with their Own Participation

An attempt was made to analyze the level of satisfaction of CFUG committees/general users and marginal/disadvantaged users (lower caste, low wealth groups and women). A separate meeting was held with each of the well-being groups and requested to provide their perception on the level of satisfaction from their participation in the ACM activities. Table 6.8.1 is the actual votes of the participants expressed in percentage. The findings revealed that the CFUG committee got highest level of satisfaction in all time periods after ACM approach was implemented. The satisfaction level is in increasing order from the commencement of the ACM process. Seventy percent of the marginalized users expressed that the level of satisfaction was high in 2007. Marginalized users are more satisfied due to their increase access to CFUG fund and other CF benefits through ensuring their participation in the decision-making processes. EC/general users and marginalized users who participated in various meetings, events and activities had also increased their awareness level regarding overall CF governance process and management system.

**Table 6.8.1: Level of Satisfaction by Different Groups (EC/general Users and Marginalized Users) in Andheribhajana CFUG**

Level of Satisfaction	Perception on Level of Satisfaction in %							
	2000		2002		2004		2007	
	EC/ General users	Marginal users	EC/ General users	Marginal users	EC/ General users	Marginal users	EC/ General users	Marginal users
<b>High-</b> voice heard and incorporated in planning and awareness level increased	40	30	70	60	70	50	80	70
<b>Moderate-</b> voice heard but not incorporated in planning and enhanced knowledge	30	20	30	25	20	30	15	20
<b>Low-</b> enforced participation, voice not heard and low level of knowledge gained	30	50	10	15	10	20	5	10

Source: Interview and FGD, 2007

## CHAPTER – 7

### LEADERSHIP, PARTICIPATION AND ASSESSMENT OF IMPACT INDICATORS

This chapter mainly describes about local leadership development, the participation as well as representation of disadvantaged groups in decision-making forum and forest management activities, and assessment of impact indicators in different time periods.

#### 7.1 Leadership Development

The committee or some members of the committee is/are changed almost every year. Some members of the committee are also involved in politics. So the leadership role is automatically transferred to others. Due to the frequent change in the committee members, the other people also get the chance in the committee to develop their skill. During the selection of membership in the committee, users of different *toles* select persons who have leadership skill. During the general assembly, users select their executive committee members and similarly the respective *tole* holds meeting and select their *tole* committee including *tole* coordinator. During the implementation of ACM project, most of the committee members and local facilitators got trainings from various district level stakeholders (LFP, DFO, FECOFUN, SODEC, New ERA) related to leadership, advocacy, IGA, social mobilization, self-monitoring and PRA etc. During 2006-2007, SODEC provided Agrovate (20 male and 15 female), leadership (3 male and 3 female), record keeping (2 male and 2 female) and legal- awareness (6 male and 6 female) trainings to the Andheribhajana users. The four persons (2 men, 2 women) got ACM training to catalyze its process in the CFUG in February 2005. This training enhanced their facilitation skills. After getting this training, they have been providing facilitative supports to the CFUG to strengthen the governance system. Table 7.1.1 shows the detail background of Change agents (CAs).

**Table 7.1.1: Introduction of Change Agents**

S N	Name	Sex	Age	Ethnicity	Class	Education	Occupation	Strength	Weakness	Institution	Why chosen and by whom	Support from institution
<b>Original CAs</b>												
1.	Nildhoj Ghimire	M	45	Brahmin	Medium	Literate	Agriculture	Experience on CF management, leadership capacity	Low education, inadequate knowledge of participatory approach	Andheri-bhajana CFUG	To mobilize CFUG effectively and CFUGC chosen him	CFUG recognized the social services but not paid
2.	Kamana Tamang	F	42	Tamang	Medium	Literate	Agriculture	Represented from Tamang community, interested to learn new things	Lack of leadership capacity, lack of knowledge on forest management system	Andheri-bhajana CFUG	To mobilize women in CF management activity and CFUGC chosen her	CFUG recognized the social services but not paid
3.	Dil Kumari Magar	F	24	Magar	Medium	I.Ed	Job (Facilitator)	Facilitation, advocacy and leadership skill and knowledge about participatory approach, also herself local user	Inadequate knowledge on technical forest management system	SODEC	To mobilize CFUG effectively to strengthen livelihood of local users	SODEC paid salary and got social recognition
4.	Tika Ram Tamang	M	30	Tamang	Medium	SLC	Job (Forest Guard)	Basic knowledge about forest management system	Lack of technical forest management skill	DFO	To protect forest from illegal activities	DFO paid salary

Source: Key informant interview with CAs, 2007



## 7.2 Role and Responsibilities, and Activeness of CAs

The major responsibilities of the CAs in both CFUG and Meso level included arrangement of tole meeting, general assembly, conduction of wealth ranking, re-visioned operation plan including silvicultural practices and operational works (forest cleaning, thinning, pruning etc), information sharing among the stakeholders, fund mobilization for poor and documenting field notes, keeping regular minutes of EC meetings. Similarly, energizing, sensitizing and encouraging women's participation and representation, raising awareness to recognize the rights of CFUG and building linkages among the different stakeholders. Facilitation role between CAs varies based on interest and capacity of the respective CAs. The two CAs (Mr. Nil Dhoj and Ms. Kamana) are also the members of EC. Thus, as a CA they work as a facilitator and as EC member, they play leadership role. Due to such dual role, it has been easy to motivate other EC members and tole committees in ACM facilitation process. Table 7.2.1 shows the performance status of CAs in different time periods.

**Table 7.2.1: Degree of Activeness of CAs**

S. N.	Name	Beginning of PAR (Feb.-Sept. 05)	Middle of PAR (Oct. 05-Dec. 06)	End of PAR (Jan.-Sept. 07)	Reason for Change in activeness
1	Nildhoj Ghimire	Very active	Very active	Very active	-
2	Kamana Tamang	Active	Active	Active	-
3	Dil Kumari Magar	Very active	Very active	Very active	-
4	Tika Ram Tamang	Less active	Less active	Less active	Low motivation and high expectation from project

Source: Key informant interview with CAs, 2007

## 7.3 Participation

Membership in community management groups should be equally extended and encouraged to all village households (Ford Foundation. 1990). Participation includes people's involvement in the decision making process, in implementing programs...their sharing in the benefits of development programs, and the involvement in efforts to evaluate such programs (Yadav, 1996.). *Maharjan (1998)* states that there should be particular focus on women, poor and disadvantaged groups to increase their participation in sustainable CF management. The status of participation in the Andheribhajana CFUG is discussed below as major attribute of governance processes.

### Composition of EC

There are 11 members in the EC. Out of total, 6 are male and 5 are female. The identified poor household members (4) have also represented in the EC. The women hold the Vice-Chairperson and Treasurer portfolio (Table 7.3.1). During group discussion, EC members reported that the women and disadvantaged representation is increased than before.

**Table 7.3.1: Composition of the EC of Andheribhajana CFUG-2007**

Gender		Caste/Ethnicity			Well being status			Remarks
Male	Female	Brahmin/ Chhetri	Tamang/ Magar	Damai	Rich	Medium	Poor	
6	5	6	4	1	3	4	4	Out of eleven EC members, two female members hold Vice-chairman and Treasurer portfolio.

Source: Document review and Group Interview with EC members, 2007

### Composition of Tole Committee

Before 2000, there was no existence of *tole* committees, but in 2002 when first phase ACM was implemented, the *tole* level committees had been formed. Each committee represented 5 members including various castes and gender. This committee continued up to 2004 and reconstituted in 2005. The representation of different caste, class and gender in 2007 is satisfactory but still need to increase the representation of women and *dalits* (*Kami/Damai, Sarki*) in the *tole* committees (Table 7.3.2).

**Table 7.3.2: Composition of Tole Committees/Leader in 2007**

Tole	Gender		Caste/Ethnicity			Class		
	Male	Female	Brahmin/ Chhetri	Magar/ Tamang/ Rai	Kami/ Damai/ Sarki	High	Medium	Low
1	1	2	-	3	-	-	3	-
2	3	-	1	2	-	1	1	1
3	2	1	1	1	1	-	2	1
4	2	1	2	1	-	1	1	1
5	2	1	1	2	-	1	1	1
6	2	1	1	2	-	-	2	1
Total:	12	6	6	11	1	3	10	5

Source: Document Review and Key Informant Interview, 2007

### Level of Participation in Different Decision Making Forum

Andheribhajana CFUG records and documents revealed that there is increased participation of women and marginalized users in *tole*, EC, GA, and planning/monitoring activities in 2007 as compared to previous years. Table 7.3.3 presents the participation of different caste/class and gender in 2007.

**Table 7.3.3: Number of Participation by Different Users in Various Meetings in 2007**

Activities	Gender		Caste			Class		
	Male	Female	Brahmin/ Chhetri	Magar/ Tamang/ Rai	Kami/ Damai/ Sarki	High	Medium	Low
EC Meeting	95	76	50	102	19	46	75	50
Tole Meeting	171	114	85	125	75	85	105	95
General Assembly	77	45	43	49	30	32	50	40
Planning/ Monitoring Meeting	72	37	32	50	27	35	42	32

Source: Minutes and document review, 2007.

Note: Participation covers March 2006 to September 2007 period

Table 7.3.3 indicates that the participation of the poor, low caste people and women in EC meeting, tole meeting, GA and planning/monitoring meeting is satisfactory. Discussion participants reported that as compared to 2000, interactions of CFUG actors among themselves are also satisfactory. The CFUG members make collaborative decisions and prepare action plans accordingly. Before 2002, marginalized users had very little or no access to decision making but after the ACM facilitation process at *tole* level, their voices are heard and incorporated in action plan. Due to the *tole* level institutional arrangements and structures, they have frequent interactions with *tole* committees and *tole* coordinators/CAs, which have enabled them to raise their voices in EC meetings.

#### 7.4 Assessment of CF Impact Indicators

It was attempted to assess the changes on impact indicators in six major areas/capitals. These areas include: (1) Livelihood capital, (2) Social capital, (3) Institutional capital, (4) Human capital, (5) Natural capital, and (6) Financial capital. There are a total of 47 indicators (6 under livelihood capital, 12 under institutional capital, 6 under social capital, 8 under natural capital, 9 under human capital and 6 under financial capital).

The basic indicators for each area of the outcomes mentioned above using criteria and indicators, by using scoring guides (CIFOR C&I toolbox series, 1999). In the scoring guide, the scaling was done at three levels: Scale 1-2 = low level of success, 3 = medium level of success and 4-5 = high level of success. Where, 1 represents the lowest achievement and 5 the highest. Tabulation was done for each area of capital or outcome, and changes over time were assessed accordingly.

## 7.4.1 Changes in Livelihood Indicators

### *Changes in Livelihood Capital*

Out of six indicators under the livelihood outcome, all indicators have changed their score significantly. Four indicators such as (1) CF contribution to livelihood security (2) employment creation for identified poor and CF loan accessibility, (3) feel secure to accessibility of CF and (4) CFUG participation is greater than any burden have increased score level up to 4 in 2007. Whereas other two indicators (FP need met and reducing vulnerability of marginalized users) have scored level up to 3.5 in 2005. Overall impact of ACM approach and participatory processes has helped to enhance the level of indicators. All indicators' score have been increased than before which shown positive changes in livelihood outcomes (Table 7.4.1.1).

**Table 7.4.1.1: Livelihood Capital**

Indicators	2000	2002	2004	2007
1. The majority of CFUG members' forest product needs are satisfactorily met, especially marginalized users.	2	3	3	3.5
2. The community forest makes a positive contribution to the livelihood security of CFUG members, in terms of income and subsistence, including for marginalized users.	2	3.5	3.5	4
3. The CFUG and its resource make a positive contribution to livelihood security of CFUG members in terms of food and health and reducing other vulnerability factors, including for marginalized users.	2	3	3	3.5
4. Pro-poor programmes, such as employment opportunities and loans, exist within the CFUG and they are effective in creating positive outcomes for marginalized users.	2	3.5	3.5	4
5. The CFUG members feel secure in their access to the community forest (i.e., they feel secure about their tenure to the CF).	3	4	4	4
6. CFUG members, including disadvantaged ones, believe that the livelihood benefits of participating in the CFUG are greater than any burdens/disadvantages created by the CFUG.	2	4	4	4

Score: 1 – 2 = Low, 3 = Medium and 4 – 5 = High

Source: Report review, Group discussion and Pebble distribution exercise, 2007

## 7.4.2 Change in Social Indicators

### *Changes in Social Capital*

Out of six indicators, four (4) indicators namely: "relationship of external stakeholders", "relationship among CFUG members", and "access to CF related opportunities" and "access of membership" have scored up to 4.5 in 2007 (Table 7.4.2.1). Other indicators such as "power distribution" has got score 4 and "access to forest resources" has scored at 3.5 in 2007. None of the indicators retarded than before. The reason is because of ACM approach

and processes being implemented in this CFUG. Collective action and reflection activities have supported to enhance social capital in Andheribhajana CFUG.

**Table 7.4.2.1: Social Capital**

Indicators	2000	2002	2004	2007
1. Relations between the CFUG and external actors are essentially positive, negotiated constructively, and meet the needs of the CFUG	2	4	4	4.5
2. Relations amongst CFUG members are essentially positive and negotiated constructively	3	4	4	4.5
3. Power is distribution equitably in the CFUG	2	4	4	4
4. Access to/distribution of forest resources (timber, firewood, fodder and NTFPs) is locally to be fair, including by marginalized users	2.5	3	3	3.5
5. Access to CF related opportunities such as loans, trainings, employment or other is perceived locally to fair, including by marginalized users.	2	4	4	4.5
6. Access to membership to the CFUG is considered to be equitable	3	4	4	4.5

Score: 1 – 2 = Low, 3 = Medium and 4 – 5 = High

Source: Report review, Group discussion and Pebble distribution exercise, 2007

### 7.4.3 Change in Institutional Indicators

#### Changes in Institutional Capital

Twelve indicators are assessed in this section. The strongest indicators in 2006 are successful CFUG action plan and representation from various sub-groups in leadership (score 4.5). Other indicators have got same score level 4 in 2007 as that of 2004. It is noticeable that all indicators have increased score level than 2000 (Table 7.4.3.1). Toile level institutional arrangement and planning process has enhanced the institutional capital of Andheribhajana.

**Table 7.4.3.1: Institutional Capital**

Indicators	2000	2002	2004	2007
1. The Operational Plan (OP) is comprehensive, appropriate and up to date	2.5	4	4	4
2. The CFUG is effective in meeting its overall vision, goals and objectives	3	4	4	4
3. Specific CFUG action plans (e.g., increasing the success of a nursery, starting an income generation activity, establishing and running a FP distribution committee, etc) are successful in meeting their goals	2	4	4	4.5
4. CFUG policies (rules and norms) and activities are appropriate to the CFUG vision, goals and objectives and reflect the interests of all users	3	4	4	4
5. CFUG policies (rules and norms) are respected, effectively implemented and enforced/ Ownership, resource use rights, and responsibilities are clear and agreed by all.	1.5	4	4	4
6. The CFUG uses effective and accepted conflict management mechanisms	2	4	4	4
7. The CFUG is governed transparently and with accountability, including fund management	2.5	4	4	4
8. The CFUG information sharing processes are multi-directional and effective	2	4	4	4
9. Different sub-groups in the CFUG are represented appropriately in leadership positions, including marginalized users	2	4	4	4.5
10. The nature of decision making processes and of the interactions are appropriate, constructive and effective	3	3.5	3.5	4
11. The quality and quantity of participation by all CFUG members is appropriate and effective, including that the input of all sub-groups is respected and valued	2.5	3.5	3.5	4
12. The CFUG is able to pro-actively identify its own needs and successfully take steps to fulfill them	2	3.5	3.5	4

Score: 1 – 2 = Low, 3 = Medium and 4 – 5 = High

Source: Report review, Group discussion and Pebble distribution exercise, 2007

## 7.4.4 Indicators for Changes in Human Capital

### *Changes in Human Capital*

Two indicators, i.e. "sufficient leadership and facilitation skill" and "access to training opportunities" have scored 4.5 in 2007. ACM project has also created opportunities to enhance skills of users. But sufficient leadership and facilitation skill is decreased in 2004 due to inactiveness of CAs and newly elected EC. The remaining other seven indicators have scored 4 in 2007. Overall awareness issues related to technical forestry management, policies, gender, pro-poor, learning and experimentation have been improved than 2000 (Table 7.4.4.1). Linkage with meso organization (especially NGOs) has played supportive role to enhance the human capital in Andheribhajana CFUG.

**Table 7.4.4.1: Human Capital**

Indicators	2000	2002	2004	2007
1. CFUG members value the importance of forests and forest resource management for a range of ecological, livelihood, cultural and other reasons	3	4	4	4
2. CFUG members and committee members are aware of key CF acts, regulations and guidelines from the MFSC/DoF/DFO and have the capacity to access more information if needed	2.5	4	4	4
3. CFUG members and committee members are aware of CFUG rights, responsibilities and rules	2.5	3.5	3.5	4
4. CFUG members have sufficient skill in and knowledge in technical forestry, record keeping, use of forest products and markets, and other aspects, to enable them to meet their goals	2	4	4	4
5. CFUG has sufficient leadership and facilitation skills to develop and implement plans effectively and equitably	2	4	3.5	4.5
6. CFUG members, including marginalized ones, and the CFUG as a whole, have the capacity to express themselves to and engage effectively with other CFUG members and outside actors, including based on confidence, knowledge, time, language skills or other attributes	2	3.5	3.5	4
7. CFUG members have constructive attitudes towards gender, poverty, and caste and trust with external stakeholders	2	4	4	4
8. CFUG members have positive attitudes towards learning and experimenting and have the capacity to follow through with these	2	3.5	3.5	4
9. The CFUG has access to information about training, workshops and other capacity development programmes and these programmes are appropriate to the CFUG's needs	3	4	4	4.5

Score: 1 – 2 = Low, 3 = Medium and 4 – 5 = High

Source: Report review, Group discussion and Pebble distribution exercise, 2007

## 7.4.5 Indicators of Ecological Change

### Changes in Natural Capital

Out of eight indicators, only one indicator (i.e. effective protection of CF from illegal harvesting and encroachment) has obtained highest score (4.5) in 2007. Species richness and subsistence and commercial value of CF have scored 3.5. And the remaining other four indicators have scored 4 (Table 7.4.5.1). "Effective monitoring and patrolling mechanism", "regular harvesting practices and silvicultural works" and "CF protection rules" have been found supportive to improve the status of natural capital in Andheribhajana CFUG.

**Table 7.4.5.1: Natural Capital**

Indicators	2000	2002	2004	2007
1. The species richness/diversity of trees, shrubs and animals is maintained or enhanced	2	3	3	3.5
2. The subsistence and commercial value of the CF is satisfactory in terms of abundance and health of key timber and non-timber trees and shrubs	2	3	3	3.5
3. Private and community forests are utilized optimally, and for multiple purposes, by CFUG members	3	4	4	4
4. CF trees are managed to enhance growth (for timber and for other values), including through appropriate silvicultural practices	3	4	4	4.5
5. The annual harvest of forest products and NTFPs is practiced in a sustainable manner in terms of quantity, timing, and harvesting techniques	3	4	4	4
6. Nursery and plantation activities are appropriate to the CFUG and are successfully implemented	3	4	4	4
7. There is an effective CFUG system in place to protect the CF from encroachment, poaching, and illegal harvest	3	4	4	4.5
8. Erosion, landslides and fire are minimized	3	3.5	3.5	4

Score: 1 – 2 = Low, 3 = Medium and 4 – 5 = High

Source: Report review, Group discussion and Pebble distribution exercise, 2007

## 7.4.6 Indicators of Financial Change

### Changes in Financial Capital

Table 7.4.6.1 shows the trend in change of financial capital of Andheribhajana CFUG. Out of six indicators, two infrastructure related indicators (such as a disadvantaged member benefited from IGA) has scored 4.5 in 2007. Remaining five indicators have scored level 4. CFUG has own office building and utilized it properly. Local users have contributed well to enhance the community infrastructure (school, toilet, foot trail and water supply) and adequate funds mobilized to meet the needs of users. CAs and leadership facilitative role is one of the key factors that helped increase the financial capital of CFUG.

**Table 7.4.6.1: Financial Capital**

<b>Indicators</b>	<b>2000</b>	<b>2002</b>	<b>2004</b>	<b>2007</b>
1. The CFUG has adequate funds to meet its needs and goals	2.5	3.5	4	4
2. The CFUG has active income generation activities that create financial benefits for the CFUG and its member households, especially for disadvantaged members	2.5	4	4	4.5
3. The CFUG contributes effectively to community development through financial or in-kind contributions	3	4	4	4
4. CFUG funds are managed transparently and accountably	3	3.5	3.5	4
<i>Infrastructure:</i>				
5. Building and other infrastructure needed for the CFUG functioning are adequate	3	4	4	4
6. The CFUG contributes to enhancing community infrastructure (other than the CFUG meeting space)	3	4	4	4

*Score: 1 – 2 = Low, 3 = Medium and 4 – 5 = High*

*Source: Report review, Group discussion and Pebble distribution exercise, 2007*



## CHAPTER-8

### SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

#### 8.1 Summary

Forest is regarded as source of wood for furniture, building house, contributor for agriculture production and employment of rural people in economic field. It is renewable resources, which helps people in their subsistence activities and economic requirements. In the context of Nepal, most people depend on forest products like fodder, grass, fuel-wood, timber, NTFPs and so on. Their direct relation with forest determines its development or destruction, which depends upon the knowledge, attitude and practices (KAP) of the local users. Due to lack of effective governance processes in the decision-making and planning process of CF, most of the CFUGs are not able to meet their goal of CF as well as could not drive the CF towards the sustainable forest management system. The weaker areas of governance aspect are low level of participation, weak communication and information sharing mechanism, lack of conflict management mechanism, lack of participatory planning and reflection process, lack of active leadership, weak networking and low degree of collaborative action, lack proper documentation and fund management, low knowledge on forest act, rule and regulation, elite domination and less practice of tole level institutional arrangements. If the CFUG pay more attention to address those above issues of governance processes that can yield more outcomes and users can be benefited more from CF. So this study has focused on how the effective governance processes of Andheribhajana have been able to meet their CF goals and produce more outcomes in favor of users.

Andheribhajana CFUG has been introduced the tole committee as new institutional arrangements which helped to increase the participation of local users and power is also distributed to them. Tole level meeting and reflection activities also helped to enhance participatory planning and decision-making processes. Self-monitoring tool is used to develop the effective plans by reviewing the status ACM elements. Action groups are also formed to implement the activity level plan very effectively. To address the equity issues, the poor and women have got more CF fund to run income generation activities and good relationship is maintained with concerned stakeholders and getting help from them. The tole-coordinators are bridging the gap between EC and general users. The communication and

information sharing mechanism is enhanced. The local users are using stick-passing system to patrol the forest and monitoring committee has been found responsive to distribute the forest resources fairly. Andheribhajana CFUG has kept the documents and records properly in office room and maintaining transparency. The EC and tole committee meeting is held regularly once a month. The general assembly is held twice a year. Through ACM project support CFUG has been succeeded to improve the governance processes in the line of sustainable forest management.

This is a descriptive research where different techniques have been adopted for the data collection. Field observation, HH level interview with household head, Group interview with adults, Focus group discussion with separate adult male and female groups, key informant interview with EC, tole committee members, local facilitators, teacher and local leaders, were conducted for collecting primary data and secondary sources (minutes, records and OP of CF, published report, articles and library consultation) were also used. These all techniques help to draw necessary data/information and to make strong this research study. Purposive sample method was used to collect data. Out of 195 households, 78 households were selected for study purpose comprising from various caste and ethnic groups.

The study area of this thesis-Andheribhajana CFUG is located in Khandbari Municipality ward no. 9, in the Eastern Development Region of Nepal. It is in the forest governance area of Pangma Range Post. The Range Post office is about two and half hours walk from the Andheribhajana Forest User Group (FUG) site. It is a 40 minutes flight from Kathmandu to Tumlingtar and about 1.5 hour by bus from Tumlingtar to Khandbari then 3 hours walks Khandbari to the Pangtha settlement where the FUG office is situated. It is located at the ranges 700m to 1000m above mean sea level. The major aspect of the forest is towards eastern slope. There is heterogeneous ethnic group in the village i.e, *Brahmin, Chhetri, Magar, Tamang, Rai* and the deprived caste groups labeled as untouchables, such as *Kami, Damai* and *Sarki*. These ethnicity groups are directly involved in Andheribhajana community forest.

## **8.2 Conclusion**

Generally, there are many factors, which hinder the governance processes in the community forest management system. Local level stakeholders support and collective actions,

knowledge sharing, and proper utilization/mobilization of resources (including human resources) are also key factors to strengthen the governance processes. Based on this research study, the following conclusions are drawn as a tremendous effort of Andheribhajana CF with implementing ACM approach.

- ) Andheribhajana CFUG has maintained the good relationship with internal and external stakeholders.
- ) It has applied bottom up planning process by setting tole level institutional arrangements.
- ) Uncertainty and risk analysis ACM element is found weaker while developing action plans.
- ) Action groups (for activity level planning) are formed to implement action plans very effectively.
- ) Users are in favor of preserve the forest resources rather than harvesting more forest products.
- ) Silvicultural practice is done regularly by CFUG.
- ) CFUG has developed monitoring and forest patrolling mechanism.
- ) CF fund are mobilized for income generating activities to pro-poor and women to improve their livelihoods and equity issue is enhanced through increasing accessibility of all users in CF resources.
- ) EC members and Tole coordinators are found more responsive towards strengthening CF management system.
- ) Trained local facilitators and district level organizations' staff also providing continuous facilitation and technical support to the CFUG.
- ) Participation as well as representation of women and poor in EC and Tole committee are satisfactory.
- ) ACM project also helped to increase or improve the level of impact indicators under different areas.

### **8.3 Recommendation**

Based on findings of the study, the following recommendation can be made regarding the effective governance processes in the CF sector.

- ) All caste/ethnic, gender and class groups should be represented in the decision making bodies which creates interest of stakeholders participation in the decision making process. Moreover, Tole level institutional arrangement is more important to increase the participation of all users as well as strengthen the bottom up planning and decision making processes which ultimately help to governance process of CF.
- ) Joint reflection and self-monitoring exercise is necessary to formulate the effective action plans of CF. System analysis as well as uncertainty and risk analysis is necessary before implementing the action plans. And sub action groups (loan distribution and monitoring committee, forest product distribution committee etc.) can be made for effective implementation of action plans.
- ) Internal as well as external stakeholders support is necessary to increase the capacity of local users as well as improve in the governance process of CF.
- ) Regularity in silvicultural forest management activities (harvesting, thinning and pruning, cleaning, singling and weeding etc) and monitoring and patrolling system are key to maintain the forest health and discourage the illegal activities.
- ) The active leadership is important to mobilize the user group. So local leaders and facilitators can be mobilized to improve the governance processes of the CF.
- ) The decision-making bodies like EC, tole committee should be more accountable and transparency should be maintained through proper documentation. It is better to practice the public auditing in the event of assembly.
- ) Based on well being ranking, CF fund and forest products can be distributed in equitable manner to poor and disadvantage groups, which helps to increase their ownership and responsiveness in forest management activities.

## APPENDICES

### Appendix-A Data Collection Instruments

#### **Appendix-A1: Checklist for Interview (Household level)**

Name of the Household head: \_\_\_\_\_

Sex of Household head: i. Male \_\_\_\_\_ ii. Female \_\_\_\_\_

Caste/Ethnicity: \_\_\_\_\_

Family size: i. Male \_\_\_\_\_ ii. Female \_\_\_\_\_ iii. Total \_\_\_\_\_

Major Occupation: \_\_\_\_\_

Other livelihood strategies: \_\_\_\_\_

Literacy: \_\_\_\_\_

Major spoken language: \_\_\_\_\_

Satisfaction level of CF management system: i) High \_\_\_\_\_ ii) Medium \_\_\_\_\_ iii) Low \_\_\_\_\_

Participation in CF activities: i) Actively \_\_\_\_\_ ii) Moderately \_\_\_\_\_ iii) Inactively \_\_\_\_\_

## **Appendix-A2: Checklist for Key Informant Interviews**

### **Historical and Trends in Forest**

1. What is the settlement pattern in the CF area? When was the settlement started? What is the extent of in and out migration of the people in the CF site?
2. What are the major events such as forest fire, shifting cultivation, forest encroachment for agricultural purposes, etc. related to the CF that took place since the settlement started in this area?
3. When did the people of this area realize the need to protect and conserve their forest and why? What were the uses of this CF in the past and what are they now? What the reasons for the change in the use of forest resources over the years? What do the local people think about the change in their forest and forest resource condition over the years, especially in terms of forest coverage, availability of species, availability of various forest products etc.?
4. What was the process of FUG formation? What do the local people think about the future implications of the trends seen in the use of forest resources, especially on human well-being and forest conditions?

### **Institutional Arrangements and Planning Process**

1. What kind of institutional arrangements in your CFUG? How do this institutional arrangements help to make an effective decision making process?
2. How do five year, annual and activity planning prepare? Please describe process.

### **Monitoring System**

1. What kind of monitoring system exists in the CF? How are the FUC and FUG adapting with outcomes of their monitoring of CF activities?

### **Equity**

1. What changes have done to address the equity in fee and levy paying system in CF?  
How disadvantaged groups are benefited from equitable benefit sharing system?

### **Leadership**

1. How leadership is developing in your CF? Who are playing the leadership role in the decision making process? How many people got training from whom? What types of training got from various supporting institutions?
2. How do the trained facilitators/CAs helping to facilitate the ACM process in your CF?  
What is the status their performance?

## **Appendix-A3: Checklist for Focus Group Discussion**

### **Stakeholder and Stakeholders Dynamics**

1. What are the stakeholders of this community forest (CF)? What processes are followed to identify the stakeholders?
2. What are the dynamics amongst the stakeholders in terms of their participation in decision-making, forest management activities, training, etc.? What kinds of relationships do the stakeholders have with each other? What factors are affecting their relationship?
3. What kind of collaboration for institutional learning exists amongst the various stakeholders? What types of activities are collaborated amongst stakeholders? If there does not exist any collaboration among the stakeholders, how are various problems and conflicts resolved by the stakeholders?
4. What kind of support are the users receiving from the DFO and other institutions, such as LFP, FECOFUN, other NGOs, etc.? What are the impacts of such support on the development of the CF and people's well-being?

### **Forest Management and Environmental Condition**

1. Is there an operational plan (OP) for this CF? If yes, what are its basic features in terms of people's roles and responsibilities and the benefits that they receive from the CF? Who were involved while preparing the operational plan? What process was followed to prepare the operational plan? What is the present status of OP?
2. What types of forest management practices, such as thinning, pruning, nursery establishment, plantation, weeding, etc. are at present going on in the CF? What rules and regulations have been formulated for the protection of the CF? What are the forest protection mechanisms that are in practice at present?



3. How do forest resources/product distribute to the users? What types of forest resources users get from CF? What are alternatives for adequate FPs?
4. Are the users, especially those from disadvantaged groups and female-headed households, able to meet their needs for various forest products from the CF? If not, what alternatives are there for such users to satisfy their needs? What are the general problems faced in the distribution of forest products and what are being done to resolve those problems?
5. Does the FUG have any fund? If yes, what are the sources of its fund? What is the fund utilized for? Are all users able to contribute to the FUG fund?
6. All types of users including disadvantaged groups are satisfied with present forest management system? How ACM approach has helped to strengthen the forest management system as well as governance of FUG?

## **Appendix-A4: Checklist for Group Discussion for Assessment of Impact Indicators**

### **Livelihood Capital**

Subsistence leaving  
Relative CF condition  
Satisfaction with benefits received  
Employment opportunities  
Access to forest resources  
Livelihood benefits of participating in the CFUG activities

### **Social Capital**

Relation with external Stakeholders  
Relation with internal stakeholders  
Equitable power sharing  
Equity in access to resources  
Participation of gender and deprived users in capacity building activities  
Access to membership

### **Institutional Capital**

CFUG vision, objectives and goals  
CFUG planning process  
Awareness of right and responsibilities  
CFUG appropriate policies  
Enforcement of rules  
OP is comprehensive  
Representative leadership  
Transparency in fund  
Effective conflict management  
Mechanism for shared learning  
CFUG activeness for collective action  
Quality participation and sense of ownership

### **Human Capital**

CFUG member value the importance of forests and forest resource management  
CFUG member and committee members are aware of key CF acts, regulations and guidelines  
CFUG members and committee members are aware of rights and responsibilities  
CFUG sufficient skill and knowledge in technical forestry  
Increased awareness on forests and forest resource management  
Leadership and facilitation skill  
Access to information about training and workshop  
Positive attitude towards gender, caste and deprived groups  
Positive attitudes to learning and experimenting

### **Natural Capital**

Harvesting practice  
Nursery and plantation activities  
Maximum utilization of private and CF  
Species richness  
Silvicultural system  
Erosion and landslide control  
Balance between resources and population  
Yield regulation

### **Financial Capital**

CF created adequate funds  
CFUG run income generation activities  
Community development  
CF funds are managed transparently and accountably  
CF building and other infrastructure  
CFUG contributes to improve community infrastructure.

## **Appendix –A5: Checklist for Group Interviews**

### **General Information about the Research Location**

District: \_\_\_\_\_

Name of the Community Forest Users Group (CFUG): \_\_\_\_\_

VDC/Municipality, Ward and Villages Covered by the CF: \_\_\_\_\_

Major Ethnic Groups: \_\_\_\_\_

Number of Households: \_\_\_\_\_

User Population: i. Male \_\_\_\_\_ ii. Female \_\_\_\_\_ iii. Total \_\_\_\_\_

Average Family Size: \_\_\_\_\_

Major Occupation: \_\_\_\_\_

Literacy Rate: \_\_\_\_\_

Major Spoken Language: \_\_\_\_\_

Accessibility: \_\_\_\_\_

Name of surrounding FUGs: \_\_\_\_\_

No. of Schools: \_\_\_\_\_

No. of Health institution: \_\_\_\_\_

No. of Water tap: \_\_\_\_\_

### **Information about the CF**

Area of forest: \_\_\_\_\_

Major species: \_\_\_\_\_

Condition of the forest (forest health): \_\_\_\_\_

Natural regeneration types: i) High ii) Medium iii) Fair iv) Poor

Type of forest: \_\_\_\_\_

Quality of forest (including herbs plantation, regeneration): \_\_\_\_\_

Commercial value/subsistence of the forest: i) High priority ii) Medium iii) Low

Distance to forest from the village: \_\_\_\_\_

Date of Handover the CF to the community: \_\_\_\_\_

Year of CFUG formation: \_\_\_\_\_

Date of operational plan approved: \_\_\_\_\_

No. of committee member: i) Male \_\_\_\_\_ ii) Female \_\_\_\_\_ iii) Total \_\_\_\_\_

General assembly per year: \_\_\_\_\_

### **Socio-Economic Condition**

1. What is the socio-economic situation of the FUG members? What are the major occupation and sources of income of the FUG members?
2. Are FUG members involved in any income generating activities (IGA)? What? How?
3. Are there any improvements in the socio-economic status of the users after taking over the CF from the government? If yes, what are the indicators of increased socio-economic status of the FUG members and whether all users have been able to improve their socio-economic status equally? Why?

### **Participation**

1. What is the level of participation of women and men FUG members in the protection and management of forest resources, in decision-making of activities related to CF, in sharing of benefits from the CF, etc.? Are women and men from all caste, class, age group, geographical locations and ethnicity, and with various educational backgrounds, participating equally in all these activities? If not, explain why? What are the results of low or high participation of women and men in general and of various caste, ethnicity, class, educational background, and age group, in particular?
2. How many women and men members are there in the Executive Committee (EC)? How were these women and men members selected to be in the EC? Which caste, ethnicity and class do these men and women belong to? If the EC is not representative of caste, class, ethnicity and gender, how do the local men and women and the EC members feel about it? How can such an unrepresentative EC ensure that it can meet the needs and interests of all users? Similarly, what is the composition of tole committee and how it form and help to the EC for decision making?
3. Is the EC meeting held regularly? Do all the members participate in the EC meetings? If not, please explain why? Do all the concerned users participate in their tole meetings? If not, please explain why?

4. What is the level of men and women's participation in activities such as preparation of operational plan, user identification, formation of FUG, formation of EC, conflict resolution, etc.? Do women and those from disadvantaged groups have opportunities to share their views/problems? If not, please explain why?
5. What processes do the EC, Tole Committee and FUG follow while making important decisions? Are the EC members and FUG members aware of their roles and responsibilities in relation to the management of their CF?

## **Appendix –B: List of Informants**

### **Appendix-B1: List of Key Informants**

1. Mr. Tirtha Bahadura Rana	EC Chairperson
2. Ms. Mana Maya Tamang	EC Vice-Chairperson
3. Ms. Tara Koirala	EC Treasurer
4. Mr. Nildhyoj Ghimire	EC Secretary/Facilitator
5. Ms. Kamana Devi Tamang	EC Member
6. Ms. Sabitra Darji	EC Member
7. Ms. Tanka Maya Bhandari	EC Member
8. Mr. Dambaru Prasad Koirala	EC Member
9. Mr. Durga Bahadur Karki	EC Member
10. Ms. Dil Kumari Magar	Facilitator, SODEC
11. Mr. Mana Kumar Subba	Office Assistant, FECOFUN
12. Mr. Hariswor Thapa	Member, FECOFUN
13. Mr. Yam Raya	District Manager, LFP
14. Mr. Ram Narayan Subedi	Ranger, District Forest Office
15. Mr. Lila Prasad Shrestha	Facilitator, SODEC
16. Mr. Damber Bahadur Shrestha	Chairperson, District FECOFUN
17. Mr. Bali Raj Gurung	Facilitator, TEF

## **Appendix-B2: List of Focus Group Discussion Participants**

1. Mr. Durga Bahadur Khatri
2. Mr. Khem Raj Ghimire
3. Ms. Uttara Ghimire
4. Ms. Kopila Khatri
5. Ms. Kamala Tamang
6. Mr. Titha Bahadur Rana
7. Mr. Kul Bahadur Rai
8. Mr. Ramesh Kumar Shrestha
9. Mr. Jit Bahadur Tamang
10. Mr. Bholu Rana
11. Mr. Man Bahadur Charmakar
12. Mr. Dhan Bahadur Biswokarma
13. Mr. Khelal Charmakar
14. Ms. Shobha Kumari Neupane
15. Mr. Jagat Bikram Ghimire
16. Ms. Manti Maya Tamang
17. Ms. Kumari Magar
18. Nara Maya Tamang
19. Ms. Bina Biswokarma
20. Ms. Phul Maya Darji



### **Appendix-B3: List of Group Interview/Discussion Participants**

1. Ms. Sarita Khatri
2. Ms. Sita Tamang
3. Ms. Shobha Magar
4. Ms. Sashi Kala Ghimire
5. Ms. Devi Tamang
6. Mr. Bir Bahadur Tamang
7. Mr. Rajendra Tamang
8. Mr. Bhim Rai
9. Mr. Chandra Bahadur Rai
10. Mr. Subhash Chapagain
11. Mr. Prem Bahadur Rana
12. Ms. Kaili Tamang
13. Ms. Sannani Darji
14. Mr. Lila Bahadur Biswokarma
15. Mr. Ghan Shyam Budhathoki
16. Ms. Maiya Kumari Rai
17. Mr. Gajendra Bahadur Chapagain
18. Mr. Ganga Bahdur Ghimire
19. Mr. Chandra Bahadur Biswokarma

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