Stakeholder engagement in plantations

Technical Paper

New Generation Plantations Project
June 2009

Summary

Key considerations and tools for stakeholder engagement are discussed under the following headings: (1) deciding on the level and type of stakeholder engagement; (2) drawing up clear rules of procedure; (3) identifying stakeholder groups; (4) informing people; (5) finding out what people think; (6) working with stakeholders to agree monitoring procedures; and (7) practising good conflict resolution if this becomes necessary. Next some challenges and responsibilities are discussed. The paper goes on to suggest a process for developing a New Generation Plantation vision for stakeholder engagement and discusses how lessons learned in this process might be collected, shared and disseminated. If the various lessons identified by New Generation Plantation Project (NGPP) members are integrated, the following key points emerge:

- ✓ Some level of external facilitation can help a successful stakeholder process
- ✓ Similarly, successful stakeholder processes had dedicated staff within the organisation to ensure that the process ran smoothly and to time
- ✓ Stakeholder analysis is important in ensuring that all the relevant people and groups are involved in the process
- ✓ Experience with open meetings and workshops was very mixed; some experience was positive and others negative; in the latter case one-to-one meetings were found to be more effective.
- ✓ Transparency in the process was critically important, particularly at the beginning when rumours start to circulate, although this clearly sometimes clashes with company requirements for speed, confidentiality constraints and some secrecy in terms of initial land purchase
- ✓ It is important to set clear rules and guidelines for the process and to stick to the scope of the stakeholder process
- ✓ New communication techniques, including the web, can be useful in facilitating broad access to the process
- ✓ All stakeholders share a responsibility in making such processes work efficiently and effectively; timely, relevant and constructive engagement should assist all parties
- ✓ Stakeholder processes are expensive, time-consuming and sometimes frustrating, but, are essential, can work and can deliver results

Coordinated by WWF International with the participation of the following organisations:

Forestal Oriental

Malaysia - Sabah Forest Department

Mondi

Portucel

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Cover photograph by Nigel Dudley, Discussion in plantation in Hue, central Vietnam
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Preface

The paper reviews various ***options for stakeholder engagement in plantation projects***, drawing on a number of ***case studies*** to show how assessment is being carried out in practice. It summarises tools that have been developed or could be adapted for use in plantation projects.

The paper follows a format that has evolved over several drafts in discussion with the NGPP members; i.e. examining a series of broad phases of engagement, each illustrated with case studies, followed by a collection of lessons learned. Six case studies are described in detail as reference and Appendix 1 also lists a series of tools that might be of use in helping to address stakeholder issues: these mainly describe techniques suitable for new plantations and it is noted that there is also a need to engage stakeholders about management of existing plantations as well.

It should be noted with respect to the conclusions that the case studies are illustrative rather than exhaustive and do not cover all aspects of stakeholder participation or address all the possible situations that can arise.

Key considerations

Increasingly, there are expectations that a wide range of stakeholders will be involved in discussions about the development of plantations, from the early stages of pre-planning through to implementation and management. In many countries, such consultation processes are formalised by a legal obligation to hold an Environmental Impact Assessment (EIA) or Environmental and Social Impact Assessment (ESIA), which will usually involve some consultation. Even when there is no legal requirement, some plantation developers carry out voluntary studies as part of their professional risk assessment. And even where no assessment takes place, companies need to engage with many stakeholders during the project, for practical reasons (not least in terms of supplying labour and materials) and to respond to expectations, demands, concerns and complaints from local people. Where plantations are potentially controversial, such engagement may be time-consuming, costly and require considerable skills, but may also be the only way of preventing active resistance to plantation establishment. Most responsible companies recognise that engaging with stakeholders is not only good neighbourliness but also good business sense. The main stimuli for stakeholder engagement of various kinds in plantation development can be grouped into four categories:

- ✓ **Operational reasons** in terms of understanding the local situation, identifying potential opportunities and constraints and ensuring that design and management of the plantation is as widely-accepted as possible

- ✓ **Social reasons** in that many governments and companies now have policies aimed at maximising social benefits from large development projects and minimising potential costs, both of which need to be assessed by responsible companies

- ✓ **Legal or quasi-legal reasons**, as a result of both national laws (such as the obligation to hold an EIA) and international obligations, such as various United Nations treaties which oblige signatories to fulfil certain social safeguards (for example codes of practice of the International Labour Organisation)

- ✓ **Certification reasons**, specifically to meet the requirements of third party certification schemes

There is now a substantial momentum towards engagement with stakeholders and most responsible state forest departments and private companies see it as a necessary and ultimately beneficial aspect of their work. Stakeholder engagement brings costs in terms of time and money required and has potential problems of its own, which are summarised later in the paper. In this context, a number of considerations emerge as important in carrying out a stakeholder engagement process, outlined in the box below:

Box 1: **Key considerations in designing a stakeholder approach for plantation development**

- ✓ Deciding on the level and type of stakeholder engagement
- ✓ Drawing up clear rules of procedure
- ✓ Identifying stakeholder groups
- ✓ Informing people
- ✓ Finding out what people think
- ✓ Working with stakeholders to agree monitoring procedures
- ✓ Practising good conflict resolution if this becomes necessary

The following sections summarise some lessons learned from NGPP members, in a series of sections following the framework outlined above.

Managing stakeholder engagement

Engaging in a meaningful way with stakeholders is dependent on a number of elements. In particular:

- ✓ The knowledge, skills, experience and willingness to engage with forest managers and others within the institution who are planning or already operating the plantation
- ✓ The range and diversity of stakeholders in the subject area
- ✓ Willingness and ability to participate amongst stakeholders – if only some stakeholder groups engage the result of discussions may well present a distorted picture
- ✓ Access to a variety of tools, which may be methodologies (ways of eliciting information or facilitating discussions) or technologies (maps, GIS data, surveys etc). There has generally been more effort made to develop explicit stakeholder engagement methodologies for community forests than for plantations and in consequence these may require modification before being used for commercial plantations.

Engagement also takes place at a variety of scales; particularly with respect to whether discussion is confined to the ***site*** or whether it is broadened to the wider ***landscape***. Scale and intensity of engagement is likely to change over time: for instance it might be intense during the planning period but be reduced once the plantation is underway; the need may increase again if opportunities or problems emerge in the future. Each of the stages outlined in box 1 are now discussed below and specific tools described in Appendix 1.

Deciding on the level and type of stakeholder engagement

The first decision for plantation planners is what level of stakeholder engagement to aim for. As an example, IUCN identifies a continuum of participation (see Figure 1 below).

No consultation	Actively consulting	Seeking consensus	Negotiating (involving in decision-making) & developing specific agreements	Sharing authority and responsibility in a formal way (e.g. via seats in a management board)	Transferring authority and responsibility

Figure 1: **Degrees of collaboration** (adapted from Grazia Borrini-Feyerabend, 1996, *Collaborative Management of Protected Areas: Tailoring the approach to the context*, IUCN, Gland, Switzerland)

What the case studies show: In all the cases presented by NGPP partners, the level of engagement could be defined as “actively consulting”. In the case of the UK Forestry Commission Scotland, the role of an advisory group suggests some attempt to reach consensus although final decisions rest with the government body. In the case of FO in Uruguay, the make-up of the board of the Botnia Foundation is an example of authority sharing with respect to some outreach activities of the company. Knowledge of other examples suggests that this is currently the common level of engagement. In most plantation projects, collaboration will stop at the level of active consultation: there can be commercial or even legal limits that prevent further engagement. In some cases there may be a desire or need to seek consensus on key points with local communities (this tendency is increasing); in other situations the company may negotiate specific agreements with stakeholders, for example for leasing land or agreeing grazing rights. In less usual cases, normally when a foreign company is working with a national government, some sharing of authority may be desired. In politically-volatile situations where disapproval of plantations is likely to lead to vandalism or arson then at least tacit consensus on key points may be a necessity.

Drawing up clear rules of procedure

At an early stage it is important that all parties know the extent and limits of the engagement that is being pursued. A company might simply seek comments on general plans posted on a website, or run a series of community meetings, or engage in personal consultation with key stakeholders. All of these options can work, but the institution needs to be clear about what the purpose of the engagement is, what kind of engagement it is aiming for (not least to help its own staff members) and should also state clearly how the results might be used: for example the manager might wish to make clear that although they will listen to a range of points of view, the final decisions will be their own, based on multiple factors. It may be worth writing down the "rules" for stakeholder engagement – what type, how long, what it means etc – and making it publicly available before starting the process, to avoid misunderstandings and disappointments later on.

What the case studies show: Almost all the NGPP partners identified the time and money involved in running a stakeholder process to be a problem; both in terms of investment and the opportunity costs of delays. UPM identified considerable problems in getting stakeholders to respond; this will be a common occurrence because being an active stakeholder also takes time and resources. UPM described problems in stakeholders asking for unrealistic amounts of information, some of which the company felt was not relevant to discussions. Companies or government departments carrying out stakeholder consultations need to have worked out their own time and money limitations before starting a stakeholder process and tell these to other stakeholders. In Western Uruguay, FO set up a social responsibility team to act as a conduit between local communities and the operation to ensure clear lines of communication

Some companies developed clearly identifiable benefit packages to encourage engagement; for example in China Stora Enso had a community development fund and FO supports the Botnia Foundation. Many companies invited local partners to join them in the process: UNDP with Stora Enso in China; a university with Portucel in Portugal; the Forestry Commission with UPM in Scotland. Almost all NGPP members identified the need to engage outside facilitators to build trust and ensure a neutral voice. In some cases NGOs were brought in as either consultants or facilitators, for example in Malaysia WWF was involved in identification of HCV areas, which necessitated involvement with many other stakeholder groups.

Identifying relevant stakeholder groups

This stage involves making sure that all interest groups have an opportunity to engage with the plantation project, distinguishing between the significance and rights of various stakeholder groups, finding suitable representatives, identifying different groups that need special treatment etc. Even finding out who to talk with can be a challenge; particularly in terms of making sure that some important stakeholder groups are not accidentally left out of any discussions or consultations: often the poorest, or politically disadvantaged. Women or people in ethnic or religious minorities are likely to be particularly at risk.

What the case studies show: NGPP case studies varied in the range of stakeholders involved, although all identified government and local communities. Several found problems in ensuring that all voices are heard and stakeholder processes are not dominated by vocal minorities. In Portugal, Portucel engaged with the national and local government, private forest owners and their associations, NGOs and contractors. The UK Forestry Commission targeted 46 near neighbours and four schools in addition to general dissemination of information and invitations to respond. In north Uruguay, Stora Enso brought together a wide range of stakeholders including farmers, teachers, media people, unemployed, officials, students, contractors, local businesspeople and rural workers: this was possible in part because a detailed ESIA had identified stakeholders. In Uruguay FO engages with a wide range of stakeholders including trades union groups, academics, school students, neighbouring farmers and local communities.

Informing stakeholders

This is often a particular challenge if the plantation is new or is still being designed – there is a tension between professional caution, regulatory constraints on public exchange listed companies, commercial sensitivities and the importance of transparency. Plantation managers will need to make their own judgement about how open to be in many situations. In some cases, forest companies only start to engage with a wider group of stakeholders after land purchase, although they will necessarily have talked with the authorities; there can sometimes be conflicts for instance between statutory obligations and the need for commercial speed. In some cases plantation companies will *want* to buy land without a wide knowledge that a plantation is being planned in order to avoid distorting the market or damaging opportunistic speculation.

What the case studies show: There are numerous ways of informing stakeholders, depending on situation, size of area, access to technology and the types of stakeholders. Approaches suitable for areas of low literacy and low internet access will be different from those possible in highly literate, technologically advanced societies. In China, Stora Enso made access to information an important element in its stakeholder strategy through instituting a series of telecentres and training people in their use. In England, the Forestry Commission relied on both personal contacts and also websites and a newsletter. Other NGPP members, including UPM and Portucel, put most of their efforts into public meetings. Failure to engage with stakeholders early in the process creates uncertainties, rumours and problems. The UK Forestry Commission noted that a gap between announcement of their project and stakeholder consultation (which was due to factors beyond their control) created rumours and antagonism that could have been avoided by earlier contact. FO has increased the level of stakeholder engagement since Botnia acquired the company but reports (from a third party study) that some local communities still regard them as rather remote.

Finding out what stakeholders think

Some people will give their opinions immediately and loudly, others will be far more reticent or not feel empowered to speak because of their position in society, gender or because of their own character. The danger of open, unregulated stakeholder processes is that the most confident and articulate can dominate, whether or not they represent a majority view. Avenues such as written responses or web-based technology will favour the better off and better educated. Finding out what most people think, or what the most affected or most knowledgeable think, as opposed to what the most articulate or loudest think – remains a challenge.

A huge body of material is available to help facilitators draw out the less forthcoming members of a community and ensure that their voice is heard. Ensuring that all stakeholders are involved can entail additional costs – for example perhaps separate meetings with different stakeholders who will feel reluctant to speak in large mixed groups – so needs to be planned early during the consultation process.

What the case studies show: NGPP members used a variety of methods to find out people's opinions about a particular project. In England the Forestry Commission held meetings and ran a website, but also circulated 25,000 questionnaires. UPM invited written comments. Almost all NGPP members held public meetings of one sort or another although UPM points out informal meetings at the start of any process are particularly useful. The UK Forestry Commission found that public meetings could in some cases be negative, by giving space to a vocal minority and thus keeping other people out of the debate. FO had a special telephone number for complaints about transport problems in Uruguay, showing the importance of having continual opportunities for making contact rather than just during a time-limited consultation. Both Portucel and Stora Enso worked with the Landscape Outcome Assessment Method (LOAM) approach using multiple ways of finding out peoples' opinions about opportunities and threats through drawing, mapping etc.

Working with stakeholders to agree monitoring procedures

One of the most transparent and effective ways of addressing stakeholder concerns is to identify what particular issues might bother people, agree on ways to measure these and then monitor them over time so that everyone can see whether or not their fears were justified. For example, if people are concerned that plantations will dry up streams on neighbouring lands, it is important to agree on which streams to monitor and see what happens. Monitoring is expensive and plantation managers cannot monitor everything, so prioritization is an important part of the negotiation process, to help to identify a small number of indicators that everyone believes will sum up the social, financial and environmental impacts – good and bad – of a plantation. Not all monitoring needs to be done by the plantation company or relevant government department, but other stakeholders may be interested in monitoring things of importance. For example local fishing unions may be prepared to monitor changes in fish catches if run-off from plantations has been raised as a potential concern.

What the case studies show: Most of the case studies did not address monitoring in detail, although the two LOAM exercises in Portugal and northern Uruguay both worked with stakeholders to identify some indicators. It should be noted that there can be risks involved in monitoring: local communities may want everything monitored, which is not practicable, and vested interests and inexperience may result in inaccuracies, particularly in non-professional or volunteer monitoring. UPM in Scotland identified a demand for a large range of “nice to know” but non-essential information as being unnecessary, time delaying and expensive. Authorities may also be involved in monitoring and it is important to agree the split of responsibilities between the plantation manager and the government early in the process. Professional third party expertise can bring important credibility to results. Monitoring should wherever possible focus on things that the plantation managers can address directly through management actions.

Conflict management

Hopefully management will not end up in conflict, but if it does a growing body of information is available to help managers and others to identify the best options for addressing such problems. Conflict resolution is particularly likely to be needed when:

- ✓ There is pre-existing opposition to plantations in general or to the project in particular
- ✓ There is a legal challenge
- ✓ A conflict emerges during the course of plantation development

What the case studies showed: none of the case studies reported conflict, which perhaps outlines the importance of good stakeholder processes in avoiding conflict situations. However, conflict does occur within plantation projects as with all other areas of land management and some potential conflict resolution approaches are described in Appendix 1.

General lessons learned

If the various lessons identified by NGPP members are integrated, the following key points emerge:

- ✓ Some level of external facilitation can help a successful stakeholder process
- ✓ Similarly, successful stakeholder processes had dedicated staff within the organisation to ensure that the process ran smoothly and to time
- ✓ Stakeholder analysis is important in ensuring that all the relevant people and groups are involved in the process
- ✓ Experience with open meetings and workshops was very mixed; some experience was positive and others negative; in the latter case one-to-one meetings were found to be more effective.
- ✓ Transparency in the process was critically important, particularly at the beginning when rumours start to circulate, although this clearly sometimes clashes with company requirements for speed, confidentiality constraints and some secrecy in terms of initial land purchase
- ✓ It is important to set clear rules and guidelines for the process and to stick to the scope of the stakeholder process
- ✓ New communication techniques, including the web, can be useful in facilitating broad access to the process
- ✓ All stakeholders share a responsibility in making such processes work efficiently and effectively; timely, relevant and constructive engagement should assist all parties
- ✓ Stakeholder processes are expensive, time-consuming and sometimes frustrating, but, are essential, can work and can deliver results

Case Study 5: Designing a new plantation to include consideration for wildlife and landscape in southwest Scotland: UPM Tilhill

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Summary of the main operation and surrounding conditions

Westwater Estate is a new forest plantation being established over a gross area of 815 ha of former agricultural grazing land. Westwater falls within an area that is defined, in agricultural terms, as being "severely disadvantaged". The current difficult economic climate for upland sheep farming in the UK has made it impossible for the owner to justify the resources required to continue in agriculture and the decision was taken to diversify into forestry. The aim of the owner is to:

- ✓ Provide an alternative source of income to upland beef and sheep farming
- ✓ Establish mixed woodland on previously grazed hill land
- ✓ Enhance the landscape and create new wildlife habitats
- ✓ Provide new access and recreation opportunities
- ✓ Contribute to carbon sequestration

The main commercial species will cover 58 per cent of the area, mostly Sitka spruce but with an element of Larch, Norway Spruce and Scots Pine. Native woodland and open ground habitats will cover 37 per cent, while roads and other infrastructure account for 5 per cent. The commercial conifer area will be managed to achieve a minimum average stocking density of 2,500 trees per ha at year five, and the likely rotation is 40-60 years. 64 archaeological and cultural heritage sites were identified within the development area. The forest was designed to reflect best practices in plantation establishment and ensure a sympathetic response to archaeology, landscape and conservation values as identified in the EIA and stakeholder meetings.

Best management practices

Environmental impact assessment: The design of the new forest plantation and its management plan was informed by an EIA that included a number of surveys; habitat survey to the UK National Vegetation Classification system, protected species, winter and breeding birds, landscape and visual assessments and archaeology. The EIA was a legal requirement and required a wide ranging stakeholder consultation process that culminated in a formal scoping meeting with all interested parties.

Stakeholder scoping process: As part of the EIA, the stakeholder scoping process helped to identify the economic, social and environmental issues that may be significant in design and management of the new forest plantation. All potentially interested parties, including representatives of the authorities, local community and NGOs, were invited to a meeting. This was held at an early stage so that information gained could be taken into account within the EIA, which also helped inform the design of the new plantation. The invited parties were provided sufficient information about the proposal in advance to allow consideration of the issues and to enable them to contribute information, comments or recommendations at the meeting or in writing. The meeting was chaired by Forestry Commission Scotland (FCS), as an independent facilitator. Those present were invited to make comment at any point during the meeting. The meeting started with introduction, apologies, purpose; gave background and outline of proposals by the applicant; raised relevant issues and concerns by each participant, followed by discussion on outcome and way forward; and finished with a summary and closing remarks. After the meeting, further comments were invited from all parties and these were added to the formal Scoping Report that was first sent as a draft to the FCS and then as a final copy to all attendees and invitees who were unable to attend but had expressed an interest.

Challenges and difficulties

- ✓ ***Time & cost***: The approval process for this plantation took 2 years, 46,000 words and £30,000
- ✓ ***Preparing a plantation design proposal in advance***: informal discussions with key stakeholders were needed to develop a proposal that addressed key concerns. This was costly and time consuming, especially where stakeholders decline or have little time to contribute outside of the formal process.
- ✓ ***Identifying interested parties***: the statutory consultees are known, but identifying special interest groups, businesses and neighbours in a local community is challenging. This takes time and effort, especially if the landowner or forest manager is new to the area.
- ✓ ***Finding suitable dates and times***: almost always some key stakeholders are unable to attend. In the case of Westwater only seven out of 20 invitees were in attendance.
- ✓ ***Getting formal comments***: nine out of the 13 invitees who did not attend the scoping meeting provided no formal written comments on the proposal
- ✓ ***Sticking to scope***: stakeholders had to be reminded to request only information necessary to inform the EIA. Gathering additional "nice to know" information is unnecessary, time-delaying and expensive.
- ✓ ***Extra time***: some consultees sought additional time over and above the statutory consultation period despite being engaged early in the process.
- ✓ ***People changing jobs***: key people changing jobs mid-process was time-delaying and expensive

Outputs, results, lessons learned:

- ✓ The forestry and environmental authorities supported the scheme
- ✓ Historic Scotland remained neutral (archaeology and culture)
- ✓ RSPB did not support the scheme (NGO birds)
- ✓ Local community and neighbours supported the plan

The result was that:

- ✓ The forest owner can diversify out of agriculture into forestry
- ✓ The forest plantation design was approved by the authorities
- ✓ Social and environmental concerns were addressed
- ✓ 1.2 million trees are being planted over the next two years with state grant aid
- ✓ New native woodland and open ground habitats are being created
- ✓ Populations and habitats of red listed species and species subject to local biodiversity action plans are being protected and enhanced
- ✓ Archaeological and cultural interests were safeguarded in the plantation design
- ✓ The landscape is improved and recreational access was secured

Lessons learned:

- ✓ Existing tools are adequate for ensuring good stakeholder engagement, but clear communication of the rules and guidelines for engagement is necessary
- ✓ Input from external experts is essential to the credibility and success of the EIA
- ✓ A knowledgeable independent facilitator can ensure a good process
- ✓ Advanced informal discussions with the forestry, environment and local authorities were crucial to the success of the scoping meeting
- ✓ Populations and habitats of red listed species and species subject to local biodiversity action plans can be protected and enhanced with good plantation design
- ✓ Use should be made of available support material i.e. EIA for the neighbouring Ewe Hill Wind Farm

References

- Environmental Impact Assessment
- Stakeholder scoping meeting report
- Ecological site classification assessment
- EIA process summary

Case Study 6: Using telecentres to build capacity in farming communities near plantation in Guangxi Province, China: Stora Enso

Location: China, Guangxi
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Summary of the main operation and surrounding conditions

Stora Enso began establishing plantations in the southern part of Guangxi province, China in 2002. The aim is to build a fibre base of 160,000 ha to support a possible integrated pulp, paper and packaging board plant. The planted species is eucalypt, with a planned rotation of 7-10 years. The plantations are established on rented lands, mainly by purchasing or replacing existing non-eucalypt plantations.

Stora Enso has been building a solid foundation for the management of quality, environment and occupational health and safety at the plantations in Guangxi, based on a third-party certified integrated management system. Surveys and studies conducted during 2007 with domestic and international academic partners have examined chemicals and impacts on water, aiming at creating a basis for future environmental monitoring. Stora Enso's plantations are being used as a pilot site by China's National Forest Certification scheme, and Stora Enso is also actively participating in the development of FSC forest certification in China.

The Guangxi plantations are vital for local communities and therefore Stora Enso plays a strong role in community development. The company has set up a Community Development Fund, where villages can apply for financial support for projects focusing on education, energy and local infrastructure development. This support is important for the communities, but it does not directly address one of the key reasons for rural poverty in China: the lack of good farming and forestry practices with local village farmers. In many areas the government has established regional support centres with technical experts to train and support local farmers, but the quality and accessibility of the help provided varies.

Description of best management practices

In 2004 UNDP China was commissioned to compile an ESIA on the plantation project. The ESIA was published in 2006 independently by UNDP China on its web-pages. The report comprehensively identifies key environmental and social areas for improvement and thus forms the basis for the project's sustainability agenda. As a follow-up to the ESIA, Stora Enso Guangxi entered into a 5-year partnership with UNDP China to develop two key areas identified in the ESIA: biodiversity protection and engagement with local communities. The partnership was linked with UNDP China's country-wide programmes. The local community engagement component was linked with a programme to develop local farmer livelihoods through the use of ICT (information and communication technology), by offering farmers direct and aided access to farming and forestry knowledge.

As part of this UNDP partnership Stora Enso has been working to establish a network of rural telecentres in cooperation with UNDP China, China's Ministry of Science and Technology and the local authorities. These telecentres aim to improve livelihoods by giving farmers access to information on markets as well as on better farming and forestry practices. They are in addition used to spread information on biodiversity conservation, hygiene and HIV/AIDS. The telecentres also provide a communication channel for local communities to give feedback to Stora Enso.
The focal point for the telecentres is setting up an ICT centre located in Beihai, which houses a training centre for local support staff, servers for knowledge storing, and work-spaces for experts with internet-based communication channels (sound and video) to the regional learning centres. Regional government organises trainings in the ICT centre for local experts, which can then act both as content developers, and especially

as support people or information providers for the local farmers, some of whom might be illiterate, and the large majority of whom are not able to use computers or access the internet.

The regional learning centres include a class-room, as well as a computer room where the farmers can access information stored in the telecentre web-pages, or can be in direct contact with the experts at the ICT centre. The government also organises face-to-face trainings in the learning centres. The learning centres are located in local villages, where they are approachable and easy to access by the farmers.

Challenges and difficulties

Key challenges include the development and updating of the telecentre content, the farmers' education and skill levels, and further expansion of the telecentre content scope. As with many ICT-related projects, focus is sometimes more on the technological issues and not sufficiently on creating simple, accessible and accurate content that is beneficial for the users. More effort is needed to create simple content, utilising also photographs and video as media. Also, the content should be continuously reviewed and updated.
Support is also needed so that the farmers can access meaningful information. Running the telecentres requires continuous presence of local experts, who help and educate the local people in the use of computers and internet.

Outputs, results, lessons learned

The use of new technologies, as in using the internet to create new links for people with little education to vast amounts of information, can accelerate the development of new skills and have a great impact in livelihood enhancement. Less developed areas can jump quicker into new ways of accessing and assimilating information by adapting tested methods from more developed areas.

As the programme is in its initial stages, outputs and results are still hard to measure. Indicators must be established to evaluate how the use of new technology is actually adapted, and how it has enhanced local well-being. But already the telecentres have offered a new and innovative channel for accessing and communicating information and learning.

One key lesson learnt from the programme is related to project governance in such a multi-stakeholder project. The project is implemented by local government, with the state government and UNDP China supervising and steering, together with Stora Enso. Time and discussion is needed to align objectives and aspirations, and continuous governance is needed to ensure effective implementation.

Figures: training sessions related to telecentres

Case Study 7: Stakeholder engagement in high conservation value forest identification in plantations in Portugal: Portucel

Location: southern Portugal
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Summary of the main operation and surrounding conditions

The objective of the project (a partnership with the WWF Mediterranean Programme) is to apply the High Conservation Value Forest (HCVF) concept on the managed forest area of Portucel Soporcel Group for which a multi-stakeholder group, covering all parties with interests in landscape management, are consulted and engaged. This case study refers to two Landscape Units defined in the South of Portugal – 'Sudoeste Alentejano' and 'Monchique'.

The company manages over 120,000 ha throughout Portugal, mainly of eucalyptus. Because of the important area it manages, the company is closely involved with a large number of different stakeholders, from the National Administration, to NGOs, private forest producers and their associations, contractors, municipalities, etc. In the wider communities where it operates, forest landscape planning is relevant and these stakeholders are being consulted because there is a need to monitor their perception about the company's management at the landscape level.

Description of best management practice

The consultation had the following objectives and steps:

1. Collecting information about existing relevant values in the region
2. Completing the work done in the biodiversity project for the various levels of HCVFs
3. Building indicators to follow-up the evolution of the conservation of these values
4. Establishing a platform of relationship/ future understanding on this subject

The methodology comprised a workshop with representatives of stakeholders groups in the region of the two Landscape Units and the application of the 'Landscape Outcomes Assessment Methodology' (LOAM) developed by WWF.

A partnership with a university was established to help facilitate the session and to provide the company with independent specialist guidance, data treatment and result analysis. The stakeholders were invited to a meeting that was held within the scope area. Nineteen entities were invited, ranging from NGOs, associations of private producers, private producers, contractors, public administration and key municipalities. A total of 13 people attended the meeting. The session began with a briefing on the purpose, methods and outputs of the meeting, and then the participants were asked to work in groups and communicate their results. These were gathered around a common map where values were identified as positive, negative or opportunities for the region.

The participants were asked to identify important values to preserve in the landscape in the future, and group them in five capital assets: social, financial, natural, physical and human. The results of the different groups were again gathered, the most important values were chosen and their conservation status was classified on a 1-5 scale. The information provided was used to identify the landscape elements that, according to the stakeholders, have conservation values of different types which will help the company to define high conservation value areas at different levels in those areas.

The preliminary results obtained were shown through a graphic representation, and the final report distributed to the stakeholders.

Challenges and difficulties

This kind of initiative can be quite challenging because it needs expertise, both in HCVF and in organising and developing stakeholder consultation meetings using participatory methods. This takes both time and money. Time pressure during the session, with several tasks and enthusiastic participation, resulted in the meeting not completing the last programmed step of definition of monitoring indicators for the high conservation values. So, for a company which is responsible for a large area, approaches to stakeholder engagement in the definition of high conservation value areas will only be possible if there is adequate planning and budgeting, and efficient methodologies.

Outputs, results, lessons learned

The workshop benefited from open and active participation of the people present and positive feedback was received concerning the initiative, as well as clear interest in further participation in similar sessions. Although some of the stakeholders were not present, there was a good representation of the various groups of interests and some of the points of view were common. Another interesting fact was that some of the most important values pointed out had already been identified by the company and this therefore reinforced the work that is being done.

In general, people were truly engaged in providing suggestions and conveying with their preoccupations but the session would be more complete if the monitoring indicators could have been defined – for this, a second session is to be held with the same people to help build these indicators. Nevertheless, the company is confident that a new platform of relationship was born from this meeting and has other Landscape Units to replicate and improve the process.

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Figures: A map of the region, plus pictures of the workshop, including voting on what constitutes the most important values

Case Study 8: Developing new community woodland and green space near a major centre of population in England: UK Forestry Commission

Location: Gravesend, Kent, southern England
Organisation: UK Forestry Commission
Contact: Tristram Hilborn (tristram.hilborn@forestry.gsi.gov.uk)

Summary of the main operation and surrounding conditions

Jeskyns Farm was purchased by the Forestry Commission in April 2005 using funds from the Thames Gateway Delivery Unit of the Department of Communities and Local Government (DCLG) formerly Office of the Deputy Prime Minister (ODPM). The £5m project planned to create 147 ha of new woodland and community green space for Gravesend, Kent within the Thames Gateway Growth Area.

Jeskyns links four other greenspace areas demonstrating how substantial areas of accessible land with high environmental quality can be assembled close to where large communities live. The population within easy reach of Jeskyns (10 minute drive) is around 85,000.

The aims of the project were to improve public access, biodiversity, landscape, community involvement and education.

When purchased Jeskyns Farm was a typical intensive arable farm (see below), with little significant biodiversity value and with many of the natural habitats either lost or damaged. Public access across the site was limited to three public footpaths.

Description of best management practices

Public Consultation: designed to engage with as wide an audience as possible to ensure meaningful engagement with the large local community. The public were asked for their views on what they wished to be included within the site design. Numerous techniques were used to engage the community including:

- ✓ Two public meetings, two public planning sessions and two exhibitions of proposals
- ✓ Distribution of 25,000 questionnaires
- ✓ Two guided site walks
- ✓ Engagement with four local schools to feed into consultation
- ✓ Individual contact with 46 immediate neighbours
- ✓ Access consultation, particularly for less able visitors
- ✓ Professionally-run stakeholder consultation event
- ✓ Quarterly newsletters and website updating on progress of project

Events/Activities: a range of events that people could get involved with to foster a sense of ownership and meaningful involvement in the project. Tree planting events attended by 14 local schools, 220 scouts and brownies and 765 local individuals. An art project worked with two local secondary schools to celebrate the creation of the new Jeskyns with the installation of a range of sculptures across site. There was also an opening event called Jeskyns Discovery Day welcomed many members of the public to the newly transformed site.

Advisory Group: a group of interested stakeholders from various organisations was set up as the Jeskyns Advisory Group to assist with the creation of a five-year management plan for Jeskyns. This consisted of representatives from Cobham Parish Council, Kent Wildlife Trust, Brogdale Horticultural Trust, Natural England, Plantlife, Kent County Council, Woodland Trust, Cobham and Ashenbank Mgt Scheme, Kent Thameside Delivery Board, RSPB and Kent Police.

Challenges and difficulties

After completion of the project the lessons learnt were identified and widely distributed. Throughout the delivery of the project we encountered a number of difficulties and pressures:

- ✓ Time pressures – acquiring site and delivering project within the short funding period
- ✓ Six week ban on publicity prior to national elections – stirred up local concern and rumours, resulting in a difficult consultation period, which generated a sense of mistrust
- ✓ Local political issues, including with the local farming community
- ✓ Fear of wider public access – concerns of local people over “outsiders”
- ✓ Public perception of Forestry Commission as only a manager of commercial woodland plantations and of being an outsider imposing this upon the community
- ✓ Managing expectation of different groups with different agendas

Outputs, results and lessons learned

The main output is a new greenspace comprising easy access surfaced trails, new woodland blocks, hedgerows, wildflower meadows, new water bodies, educational and interpretation facilities and innovative natural play features. In addition to the partnership created through the Jeskyns Advisory Group there is a core team of 25 local volunteers. Many local groups now use the site for walks and sporting activities.

Things that did not work

- ✓ Public meetings – provided an opportunity for groups to stir up tension and become "mob handed". Better to have one to one consultations or events that encourage a steady trickle of people over a course of time.
- ✓ The initial silence, stirred up concern and fears; best to start engaging people as soon as possible

Key lessons learnt

- ✓ Effective communication is the key to success
- ✓ Community consultations need to be carefully planned
- ✓ Detailed stakeholder analysis should be undertaken to identify opportunities and constraints
- ✓ Supporters should be identified and used to assist the process
- ✓ The project team should be developed early to ensure better sharing of knowledge
- ✓ Good project management from the outset
- ✓ Better sharing of lessons learnt can avoid repeating same mistakes
- ✓ Continuing revenue costs are a significant issue

Case Study 9: Using the Landscape Outcome Assessment Methodology to assess progress in plantations in Uruguay: Stora Enso and WWF

Location: Durazno and surrounding areas
Organization: Stora Enso, Uruguay
Contacts, Jeff Sayer, Science Advisor, IUCN, Gland, Switzerland jeff.sayer@iucn.org
Kaisa Tarna-Mani, Sustainability Director, Stora Enso Latin America Kaisa.tarna-mani@storaenso.com

Summary of main operating and surrounding conditions

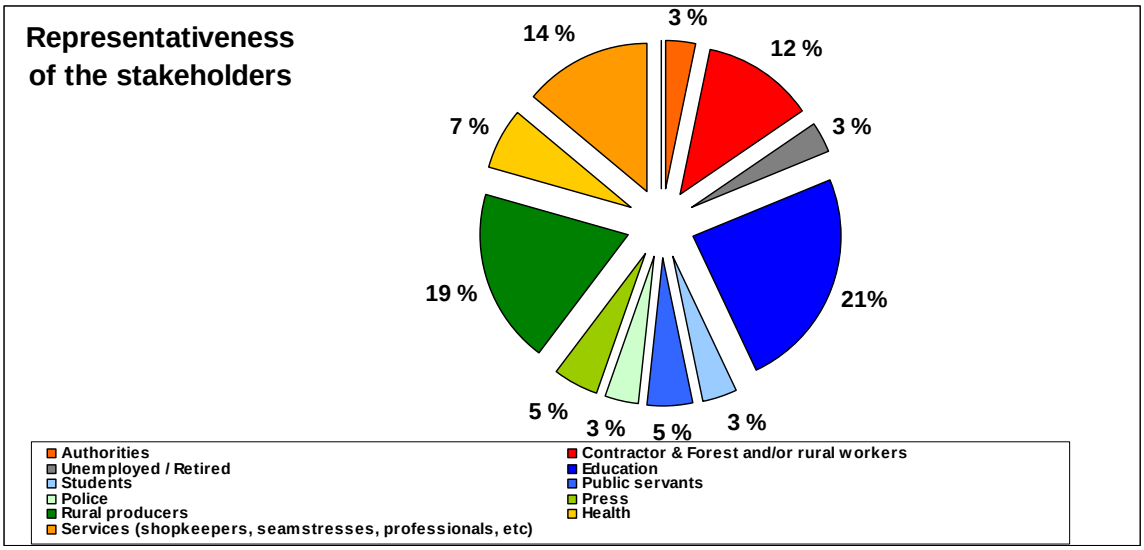
Stora Enso (SE) began buying land in central Uruguay in 2005 and establishing plantations in 2006; until now 70,000 ha has been purchased, 3,500 ha leased and 12,000 ha planted, with a relatively even split of eucalyptus and pine. The medium-term target is to plant 13,000 seedlings per year. The long-term scenario is that 118,000 ha of plantations would be established, 75 per cent eucalyptus and 25 per cent pine, to feed a single line pulp mill in the centre of the country. SE has proceeded slowly in order to build local capacity in the area of operations. An ESIA study has been conducted. It identifies few sensitive issues although there are local concerns about enhanced fire risk, possible impacts to water sources and the disruption of the open pampas landscapes by plantation blocks. Biodiversity concerns are modest and could easily be addressed in plantation design and by use of set-asides. There is strong local support for both the establishment of plantations and of a mill. Opportunities for young people in the area are at present limited. On the other hand the controversy surrounding some other mills in the region has in general heightened political and civil society sensitivities to such investments in Latin America.

Description of LOAM application

In September 2008 a team from WWF conducted a preliminary LOAM exercise at two locations in the Durazno area. Stora Enso invited 35 and 25 local people respectively. Participants included farmers, teachers, local officials, media representatives, unemployed people, students, contractors, entrepreneurs and plantation and other rural workers. It became apparent that obtaining the participation of such a broad group was going to be difficult hence the workshop was limited to a single day. Stora Enso staff were treated as participants and facilitation was provided by a team of four people from WWF. Each workshop consisted of an evening dinner during which the subject was introduced and some ice-breaking exercises. On the day of the workshop the following exercises were run:

- ✓ Heterogeneous groups of 5-7 people were asked to write on cards five opportunities that would be provided by plantation expansion and five threats that might result. The cards were posted on the walls, grouped and discussed. Participants scored the opportunities and threats using “dotmocracy”.
- ✓ Homogeneous groups of 5-7 people (farmers, teachers, workers etc) were asked to represent their present appreciation of the landscape on flip chart paper. A small number of geographic features were marked on the paper to provide scale and reference points. Groups were encouraged to indicate features of value or that were subject to threat.
- ✓ The same groups drew their vision of an ideal future landscape 10-20 years on. Lack of time prevented us from inviting worst case scenarios. Whilst different stakeholders produced different pictures the overall message was similar. All saw scenarios with improved physical and social infrastructure and a mosaic of plantations and farmlands. The message was of a desire for balance although a group of younger workers and one of local officials favoured heavy investment including a mill.
- ✓ The drawings were photographed and manipulated using a variety of visual software and reproduced at the end of the day in ways that allowed different visions to be compared, contrasted and discussed. We did not encourage the meeting to move towards a single desired scenario.
- ✓ Heterogeneous groups of 5-7 persons were invited to debate attributes of the landscape that might be used as participatory indicators of progress towards desired outcomes. Lack of time prevented this exercise being run to the point where a broad set of indicators could be established but a number of ideas for indicators were identified and preliminary discussion held on how they might be measured.

- ✓ A presentation was made to the participants on how the capital assets framework can be used to conceptualize landscape-scale environmental, social and economic change.



Challenges and difficulties

As in any exercise of this type it was difficult to select a group of participants that were genuinely representative. By choosing certain individuals, one is inevitably empowering them as actors in the process and therefore disempowering others. If Stora Enso were to expand its operations significantly in the area then landscape scale issues would probably have to be addressed through more formal and democratically constituted stakeholder gatherings. However a continuation of small informal meetings would provide a good basis for proceeding to a more formal arrangement. The thorough exploration of scenarios and the detailed identification of indicators would take much more time than was available. At present local stakeholders may be reluctant to invest this time. At an exploratory phase of the work these short informal workshops were probably about right for engaging a representative group in a debate and identifying the big issues.

Outputs, results, lessons learned

We felt that the two workshops provided a good entry point for a broader stakeholder discussion of the social and environmental issues that would need to be addressed in a plantation programme of this nature. Participants clearly believed that this was an indication that Stora Enso was acting in “good faith”. Such workshops should prevent concerns festering and should provide an escape valve for any frustrations that local actors might harbour. The workshops should contribute to existing efforts by Stora Enso to constitute a broad-based local stakeholder group ensuring balanced representation of various stakeholders of the local community. Stora Enso had an opportunity to learn from the workshops and identify actions that could help to strengthen local civil society support for future plantation and milling operations. A number of potential actions and interventions that Stora Enso might make to strengthen the integration of its activities with local communities were identified. The use of independent facilitators was undoubtedly a large element of the success of these workshops but it was important that the facilitators were well briefed and had a good basic understanding of the issues that might arise in large scale plantation operations. The use of small group exercises and facilitation techniques that encouraged social interaction resulted in the meetings being very friendly. Everyone had a chance to express themselves and all left feeling friendly towards each other. The use of drawings to visualize landscape scenarios is a very powerful tool that seems to work well in a diversity of cultures and situations – but making full use of this technique requires skills in graphic design and computerized image manipulation. A fundamental element of success in these endeavours is not going to far or too fast. Taking time to listen, learn and share is vital. Moving cautiously from informal, ad hoc events to more formal ones is essential.

Case Study 10: Stakeholder engagement in Western Uruguay: Forestal Oriental

Location: Western Uruguay
Organization: Forestal Oriental SA, a subsidiary of Botnia
Contacts, Ricardo Methol [Ricardo.Methol@forestaloriental.com.uy]

Summary of main operating and surrounding conditions

In 2001 a pre-existing approach to social responsibility was formalised in a Social Action Plan. This better structured the actions by which the company assisted the communities in which it operates – e.g. generation of employment opportunities and training. Stakeholder engagement in an established business must happen at multiple levels, to address concerns and feedback for each partner group. The needs and priorities of the academic community, local or national politicians, or a poor rural community are starkly different. So, FO plays an active role in a wide range of forums, and in different forms of engagement including:

- ✓ The national forestry sector organisation and relevant stakeholder organisations (e.g., FSC).
- ✓ Working with NGOs wherever possible, both in Uruguay and abroad.
- ✓ Participation in relevant projects and research with the local (and international) academic institutions.
- ✓ Close contacts with all national and local government authorities that impact on FO business
- ✓ Regular meetings with Union representatives.
- ✓ Contact with local communities by means of annual open days, presentations and discussions, and comment and suggestion boxes in local offices (with a defined process of feedback).
- ✓ Ensuring that neighbours can rent grazing on unplanted FO land (185 producers and 48,000 cattle in 2007) and encouraging activities such as 47 mushroom collecting groups and 44 honey producers.
- ✓ A long standing, children focused, environmental education programme involving guided visits to our principle protected area, involving many thousands of children from schools in the areas.

FO also seeks to communicate widely and transparently. Written Public Summaries (meeting FSC requirements) are produced and distributed annually along with a first Corporate Social and Environmental report in 2007 both also on a web site. The business is part of the community – many employees come from, and live in, the area. In this way the employees' concerns are also stakeholders' concerns.

The use of repeated EIAs (conducted by a range of external specialists) has provided objective and expert feedback. Botnia's pulp mill investment alone is estimated to increase national GDP by 1.6 per cent in the first year of operation. The 2007 EIA recorded that FO operations generated 2.4 times the net hours worked per ha per annum compared to the previous land use. In addition the average wage received was significantly higher than the reference population (excluding timber haulage and secondary impacts). A criticism was that, as a corporate land-owner, FO can seem impersonal. This compares with strong and personal relations between individual (family) farm owners and their immediate neighbours. As the business has expanded, in area under management, geographic spread level of activity, the need for further mechanisms was identified. Four specific initiatives are described below.

Initiative 1: In Tacuarembó the business acquired a substantial area of plantations (rather than grassland farms for planting). In buying plantations FO faced the challenge of changing an established perception of 'forestry'. The zone is one of the lowest income areas in Uruguay. To kick start the engagement FO partnered with a local NGO named BIO Uruguay, which specialises in organic food production and biological control. NGO staff facilitated meetings with FO, and then built a grass roots understanding of the priority issues for one pilot community. Having a corporate neighbour who was pro-actively interested in the communities' concerns and issues was a novelty; and the priorities identified were at the most basic level. Taking unpaid or unproductive time to participate was a challenge and group discussions with new faces were an unusual (and uncomfortable) experience for many. The first action plan identified ways in which FO can support its neighbour's greatest needs, including:

- ✓ A 'lighthouse project' demonstrating organic farming techniques for families with small areas
- ✓ Programming an FO tractor to plough small areas to allow the planting of an annual potato crop
- ✓ Assistance in lobbying to establish a piped water supply and possibly mains electricity to the area.

Initiative 2: The start pulp mill resulted in a marked increase in wood transport (predominantly by road). A free phone call centre was established and the contact number made widely available. While vehicle speed and routing can be monitored by the in-vehicle GPS tracking system this approach allowed range of feedback to this part of the operations – and is allowing the business to pursue important improvements.

Initiative 3: In 2006 the Botnia Foundation was created to distribute funds donated by the pulp mill and FO to support development of those affected by, but not direct beneficiaries of, the operations. It has a written remit and regulations covering target objectives, application process and selection criteria, and supported 30 projects in 10 communities in 2007. To ensure transparency and to introduce an external perspective, the Board has a majority of external appointees. These posts were advertised nationally and, while Botnia selected the first directors (who perform their role on a voluntary basis), the approach has been novel and successful in establishing a reputable and solely merit based funds allocation process.

Initiative 4: An FO social responsibility team was formed in 2007, with representatives drawn from all employee groups and led by a senior manager. The group acts as a conduit between local operations and communities, to share best practices and to record access to some discretionary cash – and the group has fostered some excellent local initiatives such as re-building toilets in a rural school, helping renovate a football pitch and constructing recreation places for children – each of which engaged FO contractors, suppliers and the local community.

Challenges and difficulties

The wide distribution of FO plantations, at different stages and with varying histories has resulted in a need for continuous engagement at multiple levels; such engagement requires substantial resources. Securing the effective participation of those directly affected by plantations can be very difficult. Widely dispersed rural people may not have much time or experience in 'engagement'. There is a persistent risk that interest groups, or those who looking for commercial gain, will dominate processes. At a national level the Unions are the best representatives of their members – but many rural poor people fall out of such representation. Judgements about 'Is this sufficient engagement?' or 'Are we listening to the right people?' are subjective. Balancing the weight attached to widely differing external interest groups can be highly sensitive. The company is both the instigator and arbiter; totally outside conventional commercial or legislative processes.

Outputs, results and lessons learned.

A closely engineered stakeholder process may be appropriate for the early stage of a new project or for a specific venture. However the FO experience is that no one process can cover the range of legitimate engagement needs. A pro-active, sustained and adaptive interest in effective engagement is essential. The approach taken in constituting the Botnia Foundation has been a success. It is to be hoped that this step can form a further part a transition from a process of promoting stakeholder engagement to real and enduring participation. It is evident that communication needs to utilise multiple channels – verbal, written and web to reach the whole spectrum of audiences. Real engagement comes from living and working in the community, with a strong corporate commitment to take account of stakeholders' legitimate views. In the long term, and at a grassroots level, enduring success can best be secured by engaging and supporting the natural and cultivated willingness of employees to play a full and responsible role in the society in which they operate.

References

- www.biouruguay.org
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Challenges and responsibilities

Engaging with stakeholders carries costs for the company, including both direct economic costs and a series of capacity and political costs. It is time consuming and requires skills that may not usually be needed from people primarily employed to grow trees – although these skills are increasingly incorporated in the best higher education. Engagement also means a certain amount of openness about future plans, which can create problems of its own: companies moving into a new country may have good tactical reasons to keep quiet about their plans during land acquisition phase to prevent a sudden rise in prices for instance. Transparency also sometimes brings additional problems: companies that are open about their environmental and social record sometimes complain that they attract more attention than more secretive operations, even if the latter have worse practices. Stakeholder engagement is an open-ended and continuous process and companies also have responsibilities to their shareholders, who will not look kindly on excessive and costly processes that slow down development. Virtually all the NGPP partners identify the costs of stakeholder engagement as a major disincentive. All stakeholder processes are in part a matter of negotiation and balance. Some partners, including some state partners, may resist the idea of involving local communities as stakeholders.

Talking to local people also brings a number of potential dangers. Consultation can, if not managed correctly, raise unrealistic expectations amongst local communities – who for example may demand things that the company cannot supply and then be disaffected when they do not appear. On the other hand if a proportion of local people strongly resist the idea of a plantation they may refuse to engage with the consultation process. Stakeholder processes can be dominated by a few individual or groups, so that the company thinks it is hearing a general opinion when it is actually hearing the views of an articulate minority: it is often particularly hard to get input from the poorest and most marginalised classes of society. Stakeholder engagement also usually implies a continuing effort so that people and communities have a chance to respond as the plantation develops. Stakeholder processes may attract a higher percentage of negative people than positive people, because the latter have no immediate incentive to take the time to engage, which can make the process quite wearing for those collecting views.

There is a huge body of theory involved in participatory approaches, but still surprisingly little practical experience on a scale likely to be useful to plantation companies. Most participatory processes have been very small scale (e.g. an individual village) and comparatively well-funded through development projects. This situation is now changing however, as companies and governments in the forestry sector actively try to engage in stakeholder processes. The results are almost always messier and less satisfactory than the stages laid out in manuals and research papers, but they are also in consequence more genuine.

Responsibilities of state or private plantation companies in these situations are to:

- ✓ Be very clear about what form of stakeholder engagement is planned
- ✓ Communicate this very widely to stakeholders
- ✓ Follow through

It is almost certainly better to be more modest in the proposals and deliver on commitments than to start making promises that it will be difficult to keep.

The FAO publication *Responsible Management of Planted Forests: Voluntary guidelines* includes a principle that recommends: "*Taking into consideration the multifaceted interfaces of planted forests with communities, agriculture, animal husbandry, naturally regenerating forests and agroforestry land uses, both with and in the landscape, policy-makers should encourage integrated decision-making by stakeholders in planning, managing and utilizing planted forests*".

Appendix 1: Some tools for stakeholder engagement

The following tools may be useful in addressing various aspects of conflict management. Some have been developed particularly with industrial forestry in mind; others come from the community forestry field and would need some adapting to use with commercial forestry and plantations.

Identifying relevant stakeholder groups

■ ***Who Counts Most? Assessing Human Well-Being in Sustainable Forest Management***, Carol J P Colfer and 5 others, 1999, Criteria and Indicator Toolbox Series number 8, Center for International Forestry Research: Bogor, 62 pp [http://www.cifor.cgiar.org/download/toolbox8.zip]

✓ Methodology for determining most important stakeholders, using determinants such as proximity to forest, pre-existing rights, dependency, poverty, local knowledge, etc

■ ***Gender Analysis and Forestry Training Package***, Vicki L Wilde and Arja Vaimio-Mattila, 1995, FAO: Rome, 233p [http://www.fao.org/forestry/foris/data/cfu_docs/type.stm#guide]

✓ A training package to help integrate gender analysis in forestry assessments

■ ***Tree and Land Tenure: rapid appraisal tools***, Karen Schoonmaker Freudenberger, 1994, Community Forestry Field Manual number 4, FAO: Rome [http://www.fao.org/forestry/foris/data/cfu_docs/type.stm#guide]

Guidelines for using rapid appraisal methods to gather information on tenure and natural resource:

- Preparing the study – setting objectives, choosing a site and selecting a team
- Gathering information in the field – possible role of participatory maps and transects
- Gathering information about use of resources – using calendar, matrix, quantification technique
- Gathering information about the management of resources – Venn diagram, conflict matrix etc
- Analysing the information – development of a tenure transect, resource management decision grid
- Using information to make decisions including issues such as expectations, illegal use, complexity etc

Informing stakeholders

■ ***Involving People in Forestry Toolkit***, based on work of Max Hislop and Mark Twery along with Forest Enterprise staff, Forestry Commission, 2004 [http://www.forestresearch.gov.uk/forestry/infd-5xmds8] Manual and series of 50 worksheets about participation, including a wide range of approaches to consultation and informing people suitable for use in a variety of situations including (not a complete list):

- Advertisements
- Briefings
- Citizen's juries
- Co-view
- Delphi surveys
- Electronic democracy
- Events
- Focus groups
- Forums
- Interactive displays

- Internet surveys
- Newsletters
- Open house
- Open space
- Public hearings
- Questionnaires
- Response cards
- Staffed displays
- Surgeries
- Telephone hotlines
- Telephone surveys
- Television and radio

Finding out what stakeholders think

■ ***Participatory techniques in Community Forestry: A Field Manual***, William J. Jackson and Andrew W. Ingles 1998, IUCN: Gland, Switzerland, 124 pages [http://www.iucn.org/themes/fcp/]

Detailed manual outlining and distinguishing a range of participatory techniques and giving advice about choosing the best approaches for particular situations, including:

- Rapid rural appraisal (RRA) and participatory rural appraisal (PRA), characteristics
- RRA and PRA tools: building rapport, cross checking, key informants, interest groups, semi-structured interviews, sources, mapping, aerial photographs, photographs, observation, semi-structured walks, ranking (pair-wise and matrix), time charts, questionnaires, workshops, meetings, forest profile, simple inventories and sharing information
- Participatory methods: range-post planning, collecting and maintaining information, work plans, forest user group planning, negotiation, monitoring and evaluation, measurements of ecological criteria, financial aspects
- Inventories and assessments

■ ***The Participatory Process for Supporting Collaborative Management of Natural Resources: An Overview***, Andrew W. Ingles, Arne Musch and Helle Qwist-Hoffmann, 1999, FAO: Rome [http://www.fao.org/forestry/foris/data/cfu_docs/type.stm#guide]

A guide to stakeholder involvement that probably looks at a more collaborative approach than will be considered for most plantations, but includes some useful tools and approaches including an analysis of six different approaches, different stages in supporting management through participation, variations in the timing of stakeholder analysis:

- Participatory action and learning approaches
- Overview of the participatory process for supporting collaborative management
- The actors and environment for collaborative management
- Practical aspects of managing a support programme

■ ***Participatory Approach to Natural Resource Management***, Teppo Loikkanen, Timo Simojoki and Pauli Wallenius, 1999, Metsähallitus Forest and Park Service: Vantaa, Finland, [http://www.metsa.fi/page.asp?Section=1200&Item=1644]

✓ Guide to participatory approaches in natural resource management covering participation planning, individual and group methods, public events, instructions for facilitators etc. This is interesting because it describes techniques used in a comparatively rich, developed country where forestry remains of key importance to rural communities.

Working with stakeholders to agree monitoring

■ ***Community Forestry: Participatory Assessment, Monitoring and Evaluation***, D'Arcy Davis-Case, 1989, FAO: Rome [http://www.fao.org/forestry/foris/data/cfu_docs/type.stm#guide]

A manual on the options for collaboration with local communities in assessment and monitoring, covering:

- The evolution of participatory assessment, monitoring and evaluation and its use in community forestry, including the potential role of field workers as facilitators
- Community selection including methods for achieving this
- Community problem analysis covering purpose, timing, guidelines for facilitators, methods and the opportunities for communities to set project objectives
- Participatory baselines, description, purpose, guidelines for facilitators and key elements
- Participatory monitoring and ongoing evaluation including key elements, links to research, monitoring peoples' participation and the methodology
- Participatory evaluation events, covering description, purpose, potential benefits, timing, resources required, method and monitoring
- Information analysis and communication of results including methodologies for handling both quantitative and qualitative data and details of communicating results
- Tools: guidelines for choosing and an overview (group meetings, drawing, murals, flannel boards, open-ended stories, unserialised posters, community case studies, semi-structured interviews, ranking, survival surveys, maps, farmers' records, nursery records, community financial accounts, SWOT analysis, drama, puppets, community-directed visual images, tape recordings and videos)

■ ***The BAG Basic Assessment Guide for Human Wellbeing***, Carol J Pierce Colfer and 16 others, 1999, Center for International Forestry Research: Bogor Indonesia, 79p [http://www.cifor.cgiar.org/scripts/newscripts/publications/default.asp]

✓ A manual aimed at assessing the sustainability of a forest managed for commercial timber extraction in terms of the wellbeing of people living in and around the area

■ ***The Grab Bag: Supplementary Methods for Assessing Human Well-Being***, Carol J P Colfer and 16 others, 1999, Center for International Forestry Research: Bogor Indonesia, 64 p and accompanying CD [http://www.cifor.cgiar.org/scripts/newscripts/publications/default.asp]

✓ Supplementary methods suitable for those with social science knowledge including stakeholder identification, security of intergenerational access to resources methodology and various methods for assessing rights and means

■ **Forest Quality: Assessing forests at a landscape scale** Nigel Dudley, Rodolphe Schlaepfer, William Jackson, Jean-Paul Jeanrenaud and Sue Stolton. Earthscan, 2006

✓ A manual summarising ten years' work on defining and finding methods to measure forest quality around the world. Many practical examples and case studies. The book proposes a method for assessing forest quality at a landscape scale, through working with stakeholders to identify important aspects of quality and proposing ways of assessing these. It divides "quality" into three main elements: authenticity, environmental benefits and social and economic

Conflict management

■ ***The Role of Alternative Conflict Management in Community Forestry***, Christine Pendzich, Garry Thomas and Tim Wohigent, Working Paper, 1994, FAO, Rome
[http://www.fao.org/documents/show_cdr.asp?url_file=/docrep/005/x2102e/x2102e00.htm]

✓ The need for conflict management, negotiation training, mediation, conciliation, participatory diagnostic training, training methods, case studies from Latin America.

■ ***Tools for Development: A handbook for those engaged in development activity***, Philip Dearden and staff at the Centre for International Development and Training, Steve Jones and Rolf Sartorius, 2002, DFID: London, 142p
[http://www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf]

✓ Manual covering stakeholder, problem and situation analysis; visioning; team-working; risk management; logical frameworks; participation; influencing and negotiating; partnerships; conflict reduction; monitoring; workshops, plus techniques and case studies.

Appendix 2: The Landscape Outcome Assessment Methodology

Organisation: WWF
Contact: Jeff Sayer: jeff.sayer@iucn.org

In initiatives that take into account the landscape scale, one of the biggest challenges is measuring and monitoring outcomes in terms of key values or functions of the landscape. WWF has been testing a tool to identify a process to track a set of key landscape level outcomes: the Landscape Outcome Assessment Methodology. LOAM assesses the environmental outcomes and changes in peoples' livelihoods resulting from landscape-scale conservation interventions. It is based on simple sets of performance landscape-scale indicators developed through participatory processes. This framework, combined with social learning techniques, helps stakeholders to develop greater understanding of landscape system dynamics and the linkages between livelihood and conservation objectives. The approach aims (through a participatory, representative stakeholder process) to identify and apply a small representative set of locally appropriate indicators grouped under a framework of common key landscape values or assets. A scoring system can measure, monitor and communicate the nature and extent to which the landscape is changing over time with respect to a small number of commonly identified and agreed conservation and livelihood outcomes.

How and where should the LOAM be applied?

Experience is showing that the perceptions and/or expectations and needs of what the LOAM can deliver are different depending on the situation. These need to be clarified so that the LOAM is applied in the way it is intended, rather than as a proxy for something else. LOAM is mainly about understanding landscape change and negotiating mutually beneficial futures for the landscape with other stakeholders. It is NOT about monitoring and evaluation of projects and tracking the direct impacts of project interventions. This means that we have to understand what is important for the people in the landscape and to know how the landscape is changing and why, to help adapt project activities accordingly.

How to implement the LOAM process

A suggested series of key steps is outlined overleaf, although this can be adapted to suit circumstances in a particular landscape. Each of these stages is described in greater detail below.

- ✓ **Define the landscape**: the landscape can be defined in terms of a geographic area or a descriptive term. Normally it will be geographic.

- ✓ **Identify a multi-stakeholder group covering all parties with interests in the landscape**: which should include conservation partners, social development NGOs, Government representatives from key sectors, private sector, local community groups and individualities

- ✓ **Convene a meeting or workshop of the multi-stakeholder group**: to gather as many representatives from the group above as possible to an initial workshop. It is rarely possible to get all interests equally represented, but what is important is to initiate a process, and more people may join later.

- ✓ **Explore scenarios in the landscape**: a facilitated multi-stakeholder process. A good way to start is to ask participants what for them is the possible future of the landscape. Then discuss the "drivers of change" or external factors that will influence the future of the landscape.

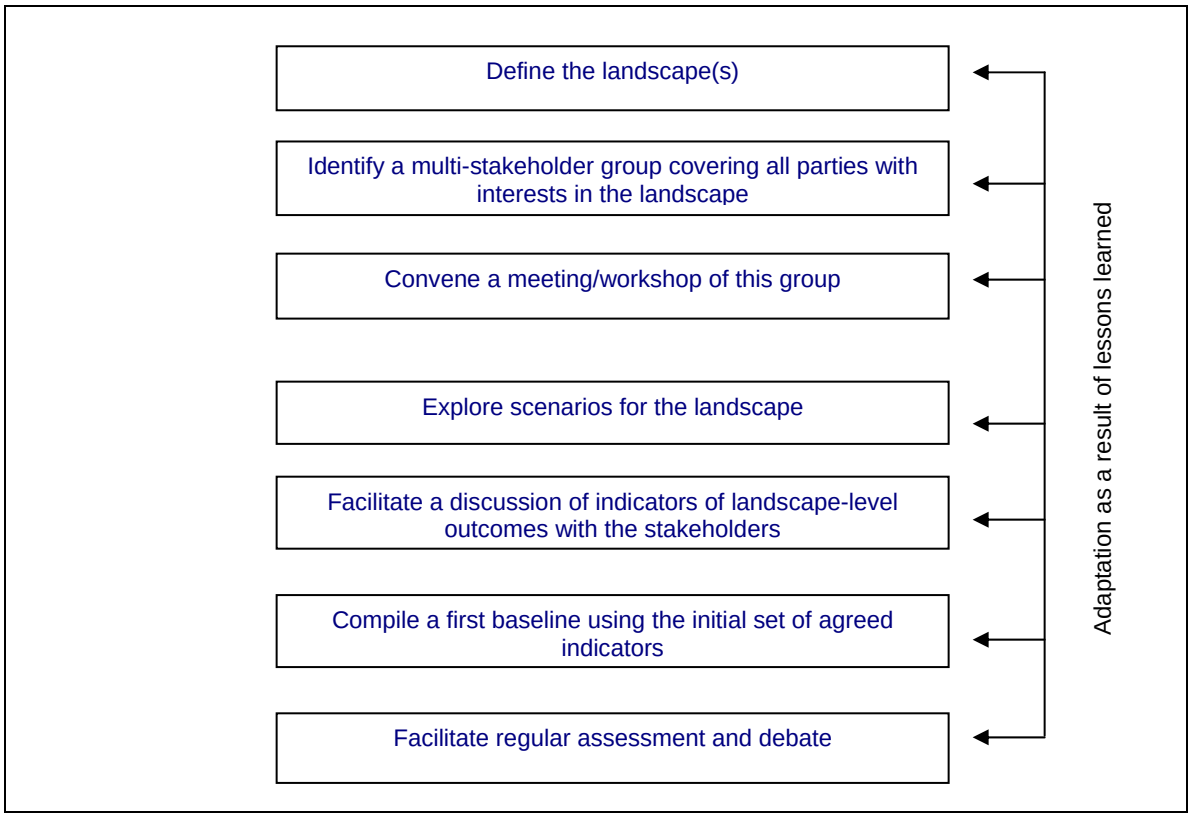

Figure 2: **Implementation of a LOAM process**. Note that there are no arrows between the boxes: the order given is one possibility but in practice many stages may take place simultaneously, or at different times in different landscapes

✓ **Facilitate a discussion of indicators of landscape-level outcomes with the stakeholders**: encourage a discussion of what would be good indicators of "improvements" in the landscape. This can lead to discussion of "*what constitutes success*" and to a more formal discussion:

1. List the indicators: Group the indicators under five categories based upon the Capital Assets, or Sustainable Livelihoods Approach (DfID 1999 – this also serves as a description of "wellbeing"). This was adapted to give five categories of indicators that seem to apply in most of the landscapes:
   a. Human assets
   b. Social assets
   c. Physical assets
   d. Natural assets
   e. Environmental assets

2. Indicators are then defined in a score out of 5 – the so-called Likert scale - which moves across a scale from a value of 1 at the lowest end through increasing levels of "performance" to 5 at the top end: e.g. if the indicator is "Frequency of forest fires", examples of scoring using the Likert scale might be:
   a. Biannual forest fire;
   b. One forest fire per annum;
   c. One fire per annum but stops at forest edge;
   d. < 1 fire per year, not penetrating the forest
   e. No fire

3. The scores can be combined in several visual ways and presented graphically.

- ✓ **Compile a first baseline using the initial set of agreed indicators**: whilst an exceptionally well facilitated and productive workshop may achieve good consensus on a first indicator set and Likert scoring ranges, it is more likely that the framework produced will only be partially complete. In addition the latest data for a specific indicator may not be immediately available, or in the most extreme case need to be collected. Therefore it is best to plan for the time of a technically skilled person, or ideally a small team, for post-workshop follow-up to complete the indicator set and Likert scoring scales, gather and/or collect the required data and compile the first baseline assessment. This process in itself will provide a first feasibility test of the proposed indicator set.

- ✓ **Facilitate regular assessment and debate**: after a suitable interval – in most cases yearly – reconvene the group and see if the scores have changed. Two things can happen when you reconvene. First, people will challenge the indicators, arguing that other indicators would have been better or that the scoring matrix should be different. Debate this – it is part of the process. Second, you may find that the group has difficulty on agreeing on the revised scores. This does not matter; again it is part of the sharing of understanding. What matters finally is that there is a structured debate about whether progress has been made or not. At these periodic meetings people will argue about whether the project is really helping to improve the landscape. This is the most valuable part of the entire process. It is the key to adaptive management. A major outcome of these periodic meetings should be a revisiting of the work plan – are we getting maximum effectiveness in terms of improving the landscape? If not, what should we be doing differently?

Commonly used indicators

Similar indicators tend to emerge from these processes wherever LOAM have been applied. However it is strongly advised against going into a multi-stakeholder meeting with a pre-defined list of indicators. The process of building shared visions requires that stakeholders can all contribute and feel ownership of the process. However it does help if the facilitator has some experience of the sort of indicators that work and those that are difficult to reach agreement on or are difficult to measure objectively. The number of potential indicators is endless. The value of this is to determine what is really important to the local stakeholders and what they would like to see improve in the short term.

Results Presentation

The results of these indicator measures can be presented in many ways depending upon the objectives and the audience. One way that we have found useful and easy to understand is in the form of a Radar diagram showing the scores of each of the asset categories separately.