



UNITED REPUBLIC OF TANZANIA
MINISTRY OF NATURAL RESOURCES AND TOURISM
TANZANIA FOREST RESEARCH INSTITUTE (TAFORI)

APPLIED RESEARCH IN PARTICIPATORY FOREST MANAGEMENT (PFM)

Assessing and valuing costs and benefits in the establishment and implementation of
Community Based Forest Management and Joint Forest Management

Terms of Reference

1. Introduction

Participatory Forest Management (PFM) is a strategy to achieve sustainable forest management by encouraging the management or co-management of forest and woodland resources by the communities living closest to the resources, supported by a range of other stakeholders drawn from local government, civil society and the private sector. Participatory Forest Management has been facilitated recently by the enactment of a range of laws and policies which provide an enabling legal environment. This includes the Forest Act No. 14 (2002), the Land Act No. 4 (1999) and the Village Land Act No.5 (1999), which all provide legal tenure rights and provisions at the grass-root level.

For several years the Government of Tanzania (GoT) has supported PFM activities in a number of Districts in Tanzania. Currently, the PFM process is being supported by the World Bank under an IDA Credit to the Tanzanian Forest Conservation and Management Project, by Danida through the Participatory Forest Management Component and by Ministry of Foreign Affairs (Finland) through its NFP ISP programme. In addition to these centrally funded initiatives, a wide range of other PFM projects are being implemented across Tanzania under a range of different circumstances and conditions. As a result of the considerable progress achieved in facilitating PFM through local and national projects, Tanzania is considered by many to be a leader in Africa in PFM – both in terms of progress achieved to date as well as the positive legal and policy environment.

Over the years, many reports have indicated that PFM places an uneven and inequitable burden on remote and poor communities, while delivering only marginal benefits. This is particularly the case, with regard to Joint Forest Management, and specifically in the case of catchment forests, where legal benefits from utilisation are marginal. Despite the many reports and criticisms, there is very little evidence of independent and empirical analysis of the costs incurred and benefits gained by communities in the establishment and implementation of PFM arrangements. This makes it hard to give concrete recommendations to policy makers, with regard to benefit sharing mechanisms.

2. Research Goals

The goal of this proposed research is as follows:

To make a quantitative assessment of the economic costs and benefits of the establishment and implementation of various models of PFM, under different conditions and with regard to local, national and international stakeholders

This research will investigate the following areas:

1. To assess the economic benefits enjoyed by communities, the nation as a whole and the international community in the implementation of participatory forest management at various sites across the country
2. To assess economic costs and benefits of PFM establishment and implementation at community level, but disaggregated by gender and wealth
3. To provide an analysis of how the economic costs and benefits of participatory forest management, under different management regimes and conditions, are distributed among different wealth and gender groups at the village level, and between stakeholders at village, national and global levels
4. To assess the economic costs incurred by communities and facilitators (NGO, government, project) in the establishment and implementation of participatory forest management at various sites across the country and to compare this with sites managed exclusively by the state
5. To assess whether costs to government increase or decrease after the introduction of PFM at a given forest site
6. To make recommendations to policy makers on how costs and benefits can be more equitably shared in ways that balance costs with benefits to each stakeholder at each level, but critically, provide sufficient local incentives that facilitate PFM adoption at local level. In addition, the researchers shall provide recommendations on suitable models for compensating forest-edge communities implementing JFM for environmental services such as water, carbon and biodiversity.

3. Research principles

Assessing PFM across a range of sites and conditions:

PFM is a management tool that can be and has been applied across a range of conditions and sites. For example PFM can take place under two very different conditions. Firstly there is what is known as Community Based Forest Management (CBFM) which takes place on “village land”, and leads to the establishment of “Village Land Forest Reserves”, or “Community Forest Reserves”, and recognizes common property rights over forests in village land and transfers management authority to village government. A different approach, termed Joint Forest Management (JFM) takes place where communities enter into contracts with central or local governments over the joint (or shared) management of forest resources.

Specifically, the research will focus on undertaking economic analyses in forests under the following circumstances:

PFM Regime	Forest type / tenure	Costs / Benefits		
		Village	Nation	Global
Joint Forest Management (JFM)	Protection Forest Reserve (Catchment)			
	Protection and production reserve (Mangrove)			
	Production Forest (Natural Forest)			
	Production forest (Plantation)			
Community Based Forest Management (CBFM)	Montane area (no harvesting)			
	Miombo / Coastal forest (harvesting)			
	Degraded site requiring long rehabilitation			
	Natural woodlands site with high commercial value			
Exclusive state management	Protection Forest Reserve (Catchment)			
	Protection and production reserve (Mangrove)			
	Production Forest (Natural Forest)			
	Production forest (Plantation)			

The research will include “control sites” where there is no participatory forest management (exclusive state management), so as to disaggregate which of the costs and benefits are specific to JFM/CBFM and which are more widespread. It is hoped that by using this approach, the research will identify how the introduction of PFM influences the redistribution of existing costs and creation of new ones. Identification and selection of forest areas/villages that reflect this wide potential range will be a key component of planning for this research initiative. It may be advisable to link this research with other key research that has been undertaken in Tanga and Morogoro that has attempted to assess the distribution of benefits and costs (eg Meshack *et al*, 2006 and ARPIP Project, CARE/ODI)

Looking at intra-community variations

ARPIP has developed methods for assessing how the benefits of JFM are distributed across different wealth categories at village level. This work will be scaled up, to the sites illustrated above, to see how costs and benefits are distributed, both by wealth and gender. In particular the research will focus on differences for members within the VNRC and members of the general public at village level.

Looking at local, national and global levels

As the analysis in the table above shows, different models of PFM undertaken in different types of forests delivers very different outcomes to stakeholders at village, national and global levels. This research will attempt to value and quantify these costs (where possible) and make a comparison at these levels. In addition, the analysis will seek to establish the cost of establishing and supporting PFM seen from the perspective of outside facilitators (be it local or national government, development partners, or NGOs). Wildly differing cost estimates have been given to date for the facilitation of PFM processes depending upon the approach used and facilitating institution. This study will seek to give a more realistic assessment of facilitation costs of forests managed under PFM, and compare with forests managed exclusively by the state.

Looking at both establishment and recurrent costs of PFM

PFM establishment entails significant costs in terms of participation and undertaking key tasks such as forest resource assessment, local planning, drafting of bylaws and management plans. These costs are quite different to those incurred once the forest has been declared or transferred to village management. In addition, in some forests, due to significant degradation, there is a significant investment period that is required in terms of forest restoration, that is needed, before any form of sustainable off-take can be considered.

Developing partnerships between Tanzanian and international institutions

The research programme must be driven and implemented by local academic / research institutions in Tanzania. However, it will be critical to ensure that it links up with international institutions with grounded experience in this type of work from other areas of the country such as Overseas Development Institute (UK), CIFOR and others. Institutions such as these will provide a critical role in ensuring quality control, participating in development of methodology, reviewing results and incorporating international experience from outside Tanzania (such as Nepal and India).

Linking into other similar ongoing research initiatives

There are some ongoing efforts to assess socio-economic impacts of PFM, albeit on a small scale, through individual and project level research. For example, CARE, together with local NGOs and with support from ODI is undertaking research under a programme called ARPIP - “Action Research on Assessing and Enhancing the Impact of Participatory Forest Management on the Livelihoods of the Rural Poor”. TAFORI is supporting a consortium of researchers working in 20 villages to assess the biophysical, economic and governance impacts of PFM. There are also PhD students who are

interested in similar research fields currently undertaking work in this area. The research programme must ensure that these initiatives are taken account of and that deliberate efforts made to compliment and support any findings made in these areas.

4. Activities and Timeframe:

The research programme will undertake a programme of work which will follow the following basic steps:

Phase One: Inception: methodology development and planning (Three months)

1. Undertake literature survey to identify existing data and research findings from various sites in Tanzania, as well as similar studies conducted in Asia (Nepal and India). This will include meeting researchers and institutions working with on-going initiatives and identifying potential areas of collaboration
2. Selection of sites for undertaking research that reflect the key variables. Researchers will together with interested stakeholders, identify a range of PFM sites that represent some of the variables identified in the table above.
3. Inception report which will detail the research methodology and process in detail. The report will specify timing, allocation of researchers and their input in person days, the role of the different institutions and individuals, research methods, site selection and criteria adopted, and a detailed budget for the remaining period.

Phase Two: Implementation: (21 months)

Based on the approval of the above inception report and budget, to implement the research methods as planned.

Findings will be assessed on an annual basis and presented in interim research reports for a period of two years. At the end of two years, all findings will be drawn together and summarised by the researchers. The findings will be presented at a national workshop, organised by TAFORI. The possibilities of extending this research will then be assessed

5. Outputs and deliverables:

Concrete outputs of this research programme will be:

After inception phase (3 months)

- Inception report which will describe current status of research, gaps, as well as detailed methodology, site selection and rationale
- Detailed budget and work-plan for remaining period of work presented at workshop with FBD and TAFORI staff

After 24 month period:

- Annual, interim research reports produced after each year of implementation
- Full research report, detailing methodology, findings and conclusions
- Recommendations regarding how PFM costs and benefits can be balanced or reconciled under different conditions and tenure regimes. This will include concrete and practical policy recommendations to put into benefit sharing regulations (or subsequent revisions) that will generate sufficient local incentives for PFM to be adopted and diffused at community levels. Furthermore, this will include recommendations regarding suitable levels of compensation for communities

undertaking JFM around catchment forests, for the provision of environmental services (eg water, biodiversity and carbon)

- Presentations at workshop to present findings to practitioners and policy makers (workshop to be organised by TAFORI)
- Policy brief presenting the key findings and recommendations to decision makers

Every quarter:

Financial and activity reports to TAFORI