

Participatory Forest  
Management:  
Implications for  
Policy and Human  
Resources'  
Development in the  
Hindu Kush-  
Himalayas

**Volume I**  
**WORKSHOP PROCEEDINGS**

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International Centre for Integrated Mountain Development  
Kathmandu, Nepal

# **Participatory Forest Management: Implications for Policy and Human Resources' Development in the Hindu Kush-Himalayas**

## **Vol I Workshop Proceedings**

1999

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## Foreword

### *Enabling Policies and Programmes for the HKH*

The last decade of this millennium is testimony to changing times for the people and forests of the Hindu Kush-Himalayas, and it has seen the emergence of people-centred forest policies in almost all the countries in the region. These policies aim to support and strengthen participatory forest management, and through this process ensure that the needs of mountain women and men are accorded due priority.

The evidence of the will of policy-makers in the countries of the Hindu Kush-Himalayas can be traced back to the beginning of this decade. In 1990, the Government of India approved an order to encourage *joint* forest management between government and forest dependent communities in degraded forest areas. Currently twenty-two states spread over the country have approved enabling government orders. These include all three states of the Western Himalayas—Jammu and Kashmir in 1993, Himachal Pradesh in 1993, and Uttar Pradesh in 1997—and three states in the North Eastern Himalayas—Tripura in 1991 and Arunachal Pradesh and Nagaland in 1997. Nepal approved a new Forest Act in 1993 that provides legal support to community forestry and remains one of the most progressive pieces of legislation in this field. Bangladesh approved a new forest policy incorporating the concept of participatory forest management in 1994. Myanmar gazetted a new Forest Act in 1992 and issued its first community forestry instructions notification in 1995. Bhutan enacted a new Forest and Nature Conservation Act in 1995 and approved its revised 'Social Forestry Rules' in 1996. Pakistan's national draft 'Forestry Sector Policy' was under discussion at the time that this workshop was held, people's participation was a strong element in the proposed policy. The North West Frontier Province of Pakistan developed a draft forest policy for the first time in 1997. The draft is people-centred, it is still under discussion and awaits approval. In 1993, Yunnan Province in the People's Republic of China put into place provisions for the auction of tenure of barren mountain areas, and this has stimulated people's involvement in forest management. Forest policies were revised in 1994 in the Tibetan Autonomous Region to encourage and support the involvement of the local population.

The emergence of people-oriented policies in all these countries over a decade points to a dramatic paradigm shift in forest management. This is the result of the increasing understanding of the fact that forests play a pivotal role in mountain areas and can no longer be managed without the active cooperation of the mountain communities.

An increasing area is being brought under community management through different benefit-sharing systems and tenure arrangements. These arrangements often build on or add to traditional forest management practices in mountain areas and this augurs well for the sustainable development of these areas.

The role of forestry professionals is changing from custodial to participatory. Reorientation of all levels of staff in forest departments is currently underway, and the curricula of educational institutions are being revised to ensure that the new generation of people-centred forestry professionals has the appropriate skills to support community-based forest management.

ICIMOD recognised this emerging trend and in 1993 established the Participatory Natural Resources Management Programme with a clearly defined focus on participatory forest management. ICIMOD has been able to document successes and provide regional and national forums for the exchange of views and experiences through workshops and field visits. We take some pride in having been a part of this exciting decade of change and in having made a modest contribution to changing policies and perspectives in the Hindu Kush-Himalayas.

The regional workshop 'Participatory Forest Management: Implications for Policy and Human Resources' Development' held in May 1998, whose proceedings are described in this publication, is one of the many activities arranged by the Participatory Natural Resources' Management Programme since 1993. This workshop brought together senior policy-makers from seven of the eight countries of the Hindu Kush-Himalayas.

Apart from providing a unique opportunity for professional foresters in the region to share their experiences in relation to the evolution of new policies, the meeting was also a milestone in the establishment of HIFCOM — the Hindu Kush-Himalayan Forum for Forest Conservation and Management — on a broad footing. The idea for HIFCOM was conceived at an earlier ICIMOD workshop held in India in 1995. Over the last three years, the institutional development process has been nurtured in close collaboration with forestry professionals in the region. The workshop in China brought together seven of the eight HKH countries for the first time, and the idea of HIFCOM as a regional forum for promoting participatory forest management among forestry and related professionals in the HKH was endorsed by the representatives of all these countries. This endorsement and the willingness of foresters to take responsibility for the further evolution of HIFCOM are indicative of the need for this forum. The stakeholders themselves have now taken over leadership of the forum and have drawn up plans for the future.

As we move into the next century, I am glad that we are able to bring this sense of optimism and hope to individuals and institutions in the Hindu Kush-Himalayas. The evolution of these policies for mountain forests would not have been possible without the sustained effort of the women and men of the mountains who have been managing these resources. It is they who have demonstrated that, given appropriate policies and an enabling framework, they can manage the natural resources of the mountains to meet their own needs whilst ensuring that the needs of future generations are safeguarded.

I am confident that we are now moving from a decade of policies and experiments to a future of practise and implementation that will test these policies on the ground and lead to further reflection, learning, and change. This can only happen successfully if policies are backed by appropriate, timely, and clear laws and rules that enshrine the spirit of the policies. A high level of commitment is required to ensure that policies do not remain merely statements of intent. For this, we will need to address the issue of human resources development with a greater sense of urgency than we have in the past. Apart from development of skills, the workshop participants identified issues of reorientation and changes of attitude as major future challenges.

I would like to take this opportunity to thank the South West Forestry College, Kunming, Yunnan Province, of the People's Republic of China for being such an effective host for the workshop and all the resource persons and authors of the papers for their commitment.

My gratitude also extends to the numerous mountain women and men who have shown that participatory forest management can work. They have been, and remain, our continuing source of inspiration and encouragement.

Egbert Pelinck  
Director General

It is always difficult to acknowledge all the individuals and institutions who have contributed to the planning, designing, and implementation of a regional forum. We would, however, like to list the key special thanks to the following people, groups, and institutions.

I thank Professor Yang Pichang and the senior officials, faculty, and staff of the South West Forestry College, Kunming, Yunnan, who worked with us for a two-year period to make this workshop a reality. This workshop was made possible through generous contributions to the construction of an amphitheatre. We would also like to make a special mention of the contribution made by Lei Qiangxi and Deyun Zhou to the forest.

A wide range of institutions from China contributed in several ways to this workshop. We would like to express our appreciation to the Chinese Academy of Sciences, the Chinese Academy of Forestry, the International Network for Bamboo and Rattan, the National Forestry Bureau of China, the International Cooperation Division of the National Forestry Bureau, the Provincial Government of Yunnan, the Municipality of Kunming, the Forest Bureau of Yuxi, the Foreign Affairs Office of Yunnan, the Forest Bureau of Ruili, and the Kunming Institute of Botany. We acknowledge their support to the workshop and recognize that without their assistance we would not have been able to host this forum in China.

We would also like to thank ICIMOD's partner organizations in our regional member countries for their support in this important forum and the facilitating or participation of senior forestry professionals. In particular, we would like to thank the Ministry of Forests, Bangladesh; the Ministry of Agriculture, the Royal Government of Bhutan; the Ministry of Environment and Forests, the Government of India; the Ministry of Forests, the Government of the Union of Myanmar; the Ministry of Forest and Soil Conservation, His Majesty's Government of Nepal; and the Ministry of Environment and Forests, Government of Pakistan.

We would also like to thank the regional and national executive committee members of HIFCOM—the Hindu Kush-Himalayan Forum for Forest Conservation and Management—for working closely with us to plan and organize this workshop.

The intellectual contributions from the many authors who worked hard on the case studies have been significant and we would like to express our appreciation for their efforts.

This workshop would not have been possible without financial support from several donor organizations. We would like to thank the Swiss Development Cooperation, Berne, Switzerland for providing major support to the workshop and to the International Development Research Centre for their contribution to the forum. We would also like to thank the Ford Foundation, Beijing, China for their grant to the South West Forestry College. The grant enabled the participation of Chinese institutions.

## **Acknowledgements**

*In Appreciation of All Those Who Contributed  
to the Workshop*

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We would like to thank the Ford Foundation, New Delhi, India, for its continuing and generous support to ICIMOD's Participatory Natural Resources' Management Programme under whose aegis this workshop was organized.

Lastly we would like to place on record the contributions made by many ICIMOD staff to this workshop.



## Abstract

The Workshop on Participatory Forest Management: Implications for Policy and Human Resources' Development in the Hindu Kush-Himalayas brought together forest management personnel from various parts of the Hindu Kush-Himalayas. The basis of their discussions was the people-centred forest policies that have emerged in many countries of the region and their objectives of supporting and strengthening participatory forest management to ensure that the needs of mountain people receive the priority they deserve. The policies along with their constraints and opportunities were discussed in depth, guided by papers provided by the participants themselves. Volume 1 is the Workshop Document, Volume 2 deals with China, Volume 3 – Eastern Himalayas, Volume 4 – India, Volume 5 – Nepal, and Volume 6 – Pakistan.

SFAP State Forestry Action Programme (Uttar Pradesh, India)

USF Unclassed State Forest (Bangladesh)

VFDC Village Forest Development Committee (India)

VRMC Village Resources' Management Committee (Myanmar)

# Abbreviations and Acronyms

HRD	Human Resources' Development
JFM	Joint Forest Management (India)
NGO	Non-government Organization
NRTI	Natural Resources' Training Institute (Bhutan)
ODA (UK)	Overseas' Development Administration (United Kingdom)
PFI	Pakistan Forestry Institute
PFM	Participatory Forest Management
SFAP	State Forestry Action Programme (Uttar Pradesh, India)
USF	Unclassed State Forest (Bangladesh)
VFDC	Village Forest Development Committee (India)
VRMC	Village Resources' Management Committee (Myanmar)

# Glossary

1 <i>dan</i>	50 kg
billion	One thousand million
economic forests	Areas that can provide cash income from trees excluding timber
<i>mu</i>	Chinese measure of land area (15 <i>mu</i> = 1 ha)
usufruct	The right to enjoy the use of and income from another's property; in the Himalayan region used to mean the benefits themselves (the income and produce)
<i>Sihuang</i>	Four categories of barren land — barren mountain land, barren slopes, barren/idle rivers and gullies, and barren marshes

## **Introduction**

The workshop proceedings and the studies and papers presented at the 'Regional Workshop on Participatory Forest Management: Implications for Policy and Human Resources' Development in the Hindu Kush-Himalayas, have been published in six volumes as per the details provided here:

### **VOLUME I**

#### **Proceedings of the 'Regional Workshop on Participatory Forest Management: Implications for Policy and Human Resources' Development in the Hindu Kush Himalayas, 7-12 May 1998, Kunming, China.**

#### **Volume II China**

- Participatory Forest Management: Implications for Policy and Human Resources' Development in China  
*Wen Haizhong, Director, Division of Forestry Law and Regulation Implementation and Monitoring, National Forestry Bureau, China*
- Participatory Forest Management: Implications for Policy and Human Resources' Development in Yunnan Province  
*Zhou Yuan, Deputy Dean, Department of Economic Management, South West Forestry College, Kunming, Yunnan, China*  
*Zhou Dequn, Associate Professor, South West Forestry College, Kunming, Yunnan, China*  
*Zhang Lichang, Director, Division of Forest Law and Regulations, Department of Forestry, Kunming, Yunnan, China*  
*Zhang Jiexiang, Deputy Director, Division of Forest Law and Regulations, Department of Forestry, Kunming, Yunnan, China*
- Participatory Forest Management: Implications for Policy and Human Resources' Development in the Tibetan Autonomous Region  
*Gou Wenhua, Director of the Teaching Division, Tibet's Institute of Agriculture and Animal Husbandry, Lhasa, Tibet*  
*Zhao Bing, Director, Research Institute of Plateau Ecology, Tibet's Institute of Agriculture and Animal Husbandry Management, Lhasa, Tibet*

#### **Volume III Eastern Himalayas**

- Bangladesh  
Participatory Forest Management: Implications for Policy and Human Resources' Development: A Case Study of the Chittagong Hill Tracts  
*S. M. Jalil, Chief Conservator of Forests, Department of Forests, Bangladesh*  
*Junaid K. Choudhury, Conservator of Forests, Department of Forests, Bangladesh*
- Bhutan  
Participatory Forest Management: Implications for Policy and Human Resources' Development in Bhutan  
*Planning and Policy Division of the Ministry of Agriculture, Bhutan*

- Myanmar  
Participatory Forest Management: Implications for Policy and Human Resources' Development in Myanmar  
*U Myint Sein, Deputy Director, Ministry of Forestry, Government of the Union of Myanmar*

## **Volume IV**

### **India**

- Challenges to the Management of Forests in the Mountain Regions of India  
*C. P. Oberai, Inspector General of Forests, Ministry of Environment and Forests, and Special Secretary to the Government of India, New Delhi, India*
- Training Issues in Joint Forest Management in the Hindu Kush-Himalayan States of India  
*P.B. Gangopadhyay, Director, Indira Gandhi National Forest Academy, Dehradun, Uttar Pradesh, India*
- Status of Participatory Forest Management: Implications for Policy and Human Resources' Development in Himachal Pradesh, India  
*A.K. Gulati, Director (Marketing), H.P. State Forest Corporation, Shimla, Himachal Pradesh, India*
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- Participatory Forest Management: Implications for Policy and Human Resources' Development in the Uttarakhand Himalayas, Uttar Pradesh, India  
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*Arup Banerjee, Deputy Director, Forest and Environment, Uttar Pradesh Academy of Administration, Nainital, Uttar Pradesh, India*

## **Volume V**

### **Nepal**

- Participatory Forest Management: Implications for Policy and Human Resources' Development in Nepal  
*Prakash Mathema, Research Officer, Department of Soil Conservation and Watershed Management, Kathmandu, Nepal*  
*Krishna Bahadur Shrestha, Deputy Director General, Department of Forests, Kathmandu, Nepal*  
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**Volume VI**  
**Pakistan**

- Participatory Forest Management: Implications for Policy and Human Resources' Development in Pakistan  
*Rafiq Ahmad, Inspector General of Forests, Ministry of Environment, Local Government and Rural Development, Government of Pakistan, Islamabad, Pakistan*
- Institutional Change Process in the North West Frontier Province, Forest Department, Pakistan  
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# Workshop Background

*Evolution of the Process for the Forum*

Forest resources play a vital role in integrated mountain development in the Hindu Kush-Himalayan region. The last decade has witnessed dramatic changes in the approaches and strategies for sustaining forest resources in mountain areas. Participatory forest management has emerged as a successful approach in almost all the countries of the Hindu Kush-Himalayan region. While the terms used may vary from community forestry in Nepal, to joint forest management in India, and social forestry in Bhutan, China, and Pakistan, the issues and challenges are similar.

Analysis and experience indicate that introducing participatory forest management has several institutional implications. Most national institutions responsible for forest management are facing new challenges emerging out of changes in policy and practice. The two areas most crucial for successful community-oriented forestry are policy and human resources' development. Despite considerable work in this area, there is still no organized and analytical body of knowledge and experience that can be shared as a basis for comparison among institutions in the Hindu Kush-Himalayan region.

As part of its mandate to encourage regional exchange of successful approaches in forest management, ICIMOD has been involved over the past three years in establishing a regional forum of foresters in the Hindu Kush-Himalayan region. HIFCOM—the Hindu Kush-Himalayan Forum for Forest Conservation and Management—was formed at a regional work-

shop organized by ICIMOD in June 1995 at Chail, Himachal Pradesh, India. The forum elected a regional committee from India, Nepal, and Bhutan, which included the Principal Chief Conservators of Forests from the hill states of India and the Director Generals from the Forest Departments of Nepal and Bhutan. The Inspector General of Forests, Ministry of Environment and Forests, Government of India, and the Director General of Forests, Ministry of Forests and Soil Conservation, His Majesty's Government of Nepal, agreed to become patrons of HIFCOM. The regional committee has met twice since June 1995 and has developed a detailed plan of action to implement various recommendations.

The decision to organize a regional workshop with the title 'Participatory Forest Management: Implications for Policy and Human Resources' Development in the Hindu Kush-Himalayas' was taken at a HIFCOM executive committee meeting held in New Delhi, India, in January 1997. The workshop was organized by the Participatory Natural Resources' Management Programme of ICIMOD in collaboration with the South West Forestry College, Kunming, Yunnan, at the South Asia Scenery Garden, Kunming. Country studies on the theme of the workshop were commissioned as part of the pre-workshop process. These studies were carried out with the approval and under the guidance of forestry policy-makers in Bangladesh, Bhutan, China, India, Nepal, and Pakistan and were presented at the workshop.

## **A.1 ICIMOD's Participatory Natural Resources' Management Programme**

*A mechanism to encourage regional learning and sharing*

ICIMOD's Participatory Natural Resources' Management Programme grew out of the realisation that one manifestation of increasing rural poverty in the mountain areas is the declining availability of biomass to meet people's basic needs for fuel, fodder, and even food. The reduction in the area and productivity of community resources, often called common property resources, and the ineffectiveness of state interventions to ensure protection, development, and the regulated use of such community resources—despite comprehensive legal, fiscal, and administrative frameworks—is leading to the further impoverishment of already disadvantaged people.

The failure of custodial state-adopted measures to protect and manage natural resources has lent urgency to the search for alternative development strategies and has led to the emergence of people-centred participatory management of natural resources. Such initiatives, involving participatory approaches to the development and harnessing of natural resources through community forestry programmes, farmer-managed irrigation systems, user group-managed pasture development, and joint management of forests, have been successful in Asia and other parts of the world. Most of these systems have integrated elements of formal approaches and of informal and traditional systems. ICIMOD has been closely associated with such efforts, particularly those relating to participatory forest management in the countries of the Hindu Kush-Himalayan Region.

Participatory initiatives in resource management continue to be supported by different donors, NGOs, international agencies, and national governments (through bilateral arrangements). Many of the approaches and performances have been recorded by field studies, but many others have been poorly documented, especially those grassroots' initiatives producing innovative approaches used

to ensure both equity in obligations and rewards to the participants, and protection and upgrading of the resources. One of the key weaknesses in promoting understanding and learning from each other has been the lack of a mechanism to collect, synthesise, and exchange these varied experiences. Strongly action-oriented and often over-committed, the organizations involved rarely have the time, opportunity, or facilities for introspection, exchange, and thinking about the future. While donors encourage and support these new initiatives, they can rarely lead them. Most operate in a project mode and lack the perspective for a process that could systematically identify either the constraints or the technological and institutional means to address them.

ICIMOD's identification of this institutional gap in the region led to the development of the Participatory Natural Resources' Management Programme in 1993. ICIMOD has a comparative advantage in carrying out activities related to participatory natural resource management, synthesising inter-country experiences to identify new directions and combine action research and field demonstration, and advocating and replicating policies and programmes. These result from ICIMOD's inter-country perspective and ability to study, observe, and work in the Hindu Kush-Himalayan countries; an operational flexibility and autonomy that allows for the testing of innovative, unconventional approaches; and a decentralized mode of operation. ICIMOD has, moreover, developed an understanding of issues and established contacts with the region's governments and national institutions.

## **A.2 Workshop Objectives**

*Sharing, reflecting and learning together*

The workshop had the following objectives.

- To provide a forum to bring together senior policy-makers from forest departments of the mountain areas of ICIMOD countries to share strategies and approaches to participatory forest management

- To promote understanding of policies, rules, and regulations related to participatory forest management
- To gain insights into strategies in the HKH region for institutional development and for strengthening the capacity of forest departments to implement sustainable forest management
- To generate improved understanding of the implications of institutional change and transformation
- To share the concept of HIFCOM, to expand membership, and to evolve strategies for its institutionalisation

### **A.3 Participants**

#### *Policy-makers as the major stakeholders*

The workshop participants were drawn from among senior forestry sector policy-makers in Bangladesh, Bhutan, China, India, Myanmar, Nepal, and Pakistan. The key participants were the forest policy-makers, including those involved in the preparation of the policy studies and those already involved in HIFCOM. Participants were also invited from various bilateral, multilateral, and non-government institutions involved in participatory forest management in the region. A total of 80 participants attended the workshop. The List of Participants is given in Annex 1.

### **A.4 Workshop Methodology and Design**

#### *Embracing diversity and providing an enabling environment*

One of the major challenges identified during the design of this workshop was based on the analysis of the participants and the languages they would bring to the workshop. It became clear that there would be two broad groups of participants: about half of the participants would come from China, while the other half would represent six other countries of the Hindu Kush-Himalayas. While many participants from China are familiar with English, there was some concern that a number would not be very conversant with the language. Thus, it was decided that two languages would be used at the workshop—English and Mandarin Chinese. The use

of two languages had implications for the management of the workshop, and the workshop plan was designed to take this and other important considerations into account. Arrangements were made for several professional interpreters to be available throughout the workshop. The full workshop programme is shown in Annex 2.

A core committee was created to manage the workshop, the members drawn from among professional foresters in Nepal, India, and China. The workshop opened with an informal welcoming session designed to offer an opportunity for participants to meet and interact with each other. The following morning was devoted to the formal inauguration.

The core intellectual component of the workshop was designed around eleven national and sub-national studies from the seven participating countries. Most of these studies had been prepared using a common conceptual framework (see Annex 3). These studies were presented in plenary sessions in both workshop languages (using simultaneous translation). Small groups were formed for discussions following the plenary presentations. Each group was provided with an interpreter. The major contents of these discussions were clarified and summarised in the evening and presented in a plenary session at the next full workshop day to provide an opportunity for further discussion and sharing. Linkages were created from the syntheses of the group discussions and fed as guidelines into subsequent workshop sessions.

The last day and a half of the workshop was devoted to discussing the concept of HIFCOM, seeking comments and inputs on and endorsing its mission and objectives (Annex 4), electing new national and regional HIFCOM committees, and holding a meeting of the newly constituted regional committee.

As a build up to the workshop, and to ensure that the Chinese participants were brought up to date on the status of participatory forest management in the Hindu Kush-Himalayas and the institutional process of HIFCOM, several key

documents were translated from English to Mandarin Chinese. These included the workshop background and objectives, the constitution and the mission statement of HIFCOM, and the texts of several key speeches. In addition, an ICIMOD workshop report on community forestry and an accompanying film were translated into Chinese and formally released at the workshop.

These steps were designed to ensure that the workshop provided a high level of communication and sharing between all the participants

and that language was not a handicap during workshop deliberations. In order to maximise opportunities for interaction, the workshop was held at a venue just outside the city of Kunming, in a residential environment.

## A.5 The Workshop Programme

### *A brief overview*

Table 1 shows an overview of the workshop programme. The detailed workshop programme is given in Annex 2.

**Table 1: Workshop Programme, 7-12 MAY 1998**

Date	Morning	Afternoon	Evening
7 May 1998 Thursday		Arrival and registration Welcome Session	Dinner at the South Asia Scenery Garden
8 May 1998 Friday	Formal Inauguration	Country presentations	Visit to national minorities village
9 May 1998 Saturday	Country presentations	Group discussions	
10 May 1998 Sunday	Field visit	Visit to South West Forestry College	Cultural programme and dinner at South West Forestry College
11 May 1998 Monday	Plenary Session Introduction to HIFCOM HIFCOM Country Groups	Presentations from Country Groups Closing Ceremony	Farewell Dinner
12 May 1998 Tuesday	HIFCOM Executive Committee Meeting	Departure of Participants	

# B Workshop Inauguration

*Setting the Context and Agenda for the Forum*

Two events completed the inauguration of the workshop and set its context and agenda. The first was an informal Welcome Session, limited to workshop participants; and the second the Formal Inauguration to which a wide range of individuals and institutions were invited.

## **B.1 Welcome Session**

*Using creative methodologies to engender participation*

The objectives of the informal opening plenary session were to sensitise the participants to the need to use creative tools to communicate with each other, to reinforce the theme of the workshop, and to provide an overview of the diversity of countries in the Hindu Kush-Himalayan region.

Each participant was provided with a blank card with a thread and all were requested to find a partner; the only criterion for partner selection was that a participant from outside China had to find a Chinese partner. In the ensuing fifteen minutes, each pair was asked to use a diversity of communication methodologies—gestures, body language, facial expression, visuals—to share with each other their names, the country they had come from, the profession they belonged to and any other personal details related to their family and interests. The cards that had been distributed were used to portray this information and all the participants were requested to hang their card around their necks and mix amongst the whole group. This interactive session brought a sense of informality to the workshop which

provided the basis for candid discussions in the workshop sessions.

The participating country teams were then invited to pin their country flag and names on a map of the Hindu Kush-Himalayas. This helped to provide a sense of unity in diversity—while the participants came from different social, cultural, and linguistic backgrounds, they all belonged to the continuous mountain belt of the Hindu Kush-Himalayas, the well-being of which was the focus of the workshop.

This session also introduced workshop participants to the mission statement of HIFCOM. Banners in Chinese and English which enshrined the mission statement were unfurled by Professor Yang Fucheng, President of the South West Forestry College, and Mr. Egbert Pelinck, Director General of ICIMOD. The mission statement is that “*HIFCOM is a regional institution committed to promoting and strengthening participatory forest management in the Hindu Kush-Himalayas. HIFCOM is mandated to the holistic management, conservation, and sustainable development of all types of forests, including wastelands. HIFCOM will aim to strengthen the capacity of local, national, and regional institutions in establishing participatory approaches in forest management*”. A brief background on the emergence of HIFCOM, the expectations from the current workshop, and future plans were also shared with the group.

The opening session ended with sharing of the detailed workshop agenda with the partici-

pants, followed by a cultural programme and dinner.

## **B.2 Formal Inauguration**

### *The pivotal role of people and forests in poverty reduction in mountain areas*

In addition to the participants, senior national and provincial level representatives from the forestry, scientific, industrial, research, and administrative sectors of China were invited to attend the formal inauguration. Representatives from bilateral projects and international non-government organizations were also present. The inauguration highlighted the pivotal role of people and forests in poverty reduction in mountain areas.

#### **B.2.1 Welcome Address by Egbert Pelinck, Director General, ICIMOD, Nepal**

##### *A milestone in ICIMOD's efforts to strengthen participatory forest management in the Hindu Kush-Himalayas*

Welcoming the distinguished participants and visitors, Mr. Pelinck said that the workshop marked a continuation of ICIMOD's efforts to promote and strengthen regional collaboration and cooperation at the policy-making level of the forestry sector in the Hindu Kush-Himalayas. Highlighting the unique features of the forum, he mentioned that this was the first workshop to bring together senior policy-makers in the forestry sector from all the countries of the Hindu Kush-Himalayas, and also the first time a major forum on participatory forest management with a specific focus on mountain areas had been held in China.

Mr. Pelinck stressed that the workshop itself represented a HIFCOM initiative in close collaboration with ICIMOD. Throughout the long preparations, ownership and design of this forum had remained with the HIFCOM members. A major objective of this workshop was to share the results of national and sub-national studies carried out by, and under the guidance of, senior policy-makers from, the different countries. Such a pro-active involvement of policy-makers ensured that major policy and human re-

source development issues in participatory forest management were clearly highlighted.

The emphasis on participatory forest management results from the recognition of the relationship between mountain areas and poverty, and the crucial role proper management of natural resources can play in poverty alleviation. Despite abundant natural resources, mountain regions generally suffer from extreme poverty and lack of development. In China, for example, the conditions found in mountainous regions present the most formidable obstacles to development. These include non-arable, arid, and sloping lands, harsh natural conditions of high altitude and cold climate, inaccessibility, and extremely backward economies with low literacy rates, great health problems, and poor access to medical care.

Yunnan Province itself, where the workshop was being held, is 94 per cent hilly and mountainous, and 98 per cent of the counties, cities, and townships are located in mountainous regions. These facts illustrate what are called 'mountain specificities', the particular qualities of mountain environments which create both problems and opportunities for sustainable mountain development. These specific qualities include inaccessibility, fragility of the natural environment, and marginality. While conventional development approaches have tended to disregard the imperatives of these specific features, new emerging paradigms and innovations such as participatory forest management take advantage of the indigenous knowledge and adaptability of the mountain populations themselves to work towards the preservation and sustainable development of the areas they inhabit.

Governments and communities throughout the Hindu Kush-Himalayas are struggling with the same issues, as mountain environments share many of the same problems and opportunities. Fortunately, many examples are now emerging of successful responses to these challenges —by local communities themselves, government institutions, NGOs, and international organizations. They vary from community forestry approaches in Nepal, to joint for-

est management in India, and social forestry in Pakistan. We are particularly interested to learn more about similar developments taking place here in South West China.

Mr. Pelinck added that HIFCOM as an institution was designed to facilitate a fruitful cross-fertilization of experiences and ideas so that further time would not be wasted in the urgent task of finding solutions to the problems of fragile mountains and their impoverished inhabitants. He congratulated HIFCOM's Regional Committee for its creativity in first conceiving the idea of this forum, and then in having the institutional capacity and organizational strength to bring it about.

On behalf of ICIMOD, Mr. Pelinck thanked President Yang Fucheng, President of the South West Forestry College, and through him the faculty and students of the college who had worked hard to make the workshop a reality. Mr. Pelinck also expressed his appreciation to the other institutions in China that had contributed to the workshop. In particular, he mentioned the International Cooperation Division of China's National Forestry Bureau, the Foreign Affairs' Office of Yunnan Province, the Forest Bureau of Yunnan, the Forest Bureau of Kunming, the Chinese Academy of Forestry, the Kunming Institute of Botany, and the Management and Staff of South Asia Scenery Garden.

Mr. Pelinck said he was also very grateful to ICIMOD's partner organizations in its regional member countries for their support to this important forum and for facilitating the participation of forestry professionals in this workshop. In particular he mentioned the Ministry of Forests, Bangladesh; the Ministry of Agriculture, Bhutan; the Ministry of Environment and Forests, India; the Ministry of Forests, Myanmar; the Ministry of Forest and Soil Conservation, Nepal, and the Ministry of Environment and Forests, Pakistan.

He stressed that the workshop would not have been possible without the generous and continuous support provided by the Ford Foundation, New Delhi, India, to ICIMOD's Participa-

tory Natural Resources' Management Programme, and the specific additional support received for this workshop from the Swiss Development Cooperation, Berne, Switzerland; Ford Foundation, Beijing, and the International Development Research Centre, Canada.

He announced that ICIMOD was proud to release at the workshop a Chinese translation of an ICIMOD publication, "Community Forestry: The Language of Life" and a film, "Forest Managers of the Hindu Kush-Himalayas". He hoped that these would enable a better understanding amongst forestry professionals in China of participatory forest management in the Hindu Kush-Himalayas

He wished all the participants a successful exchange of ideas, a pleasant stay, and, among colleagues committed to the sustainable conservation and management of the forest resources in the Hindu Kush-Himalayas, enduring friendship.

**B.2.2 Mr. Li Yucai, Deputy  
Administrator, National Forestry  
Bureau of China, People's  
Republic of China**

*The critical role of forestry in integrated  
mountain development*

Mr. Li Yucai was asked to unfurl the banner with the HIFCOM theme of institutional change and, while doing so he remarked that this was a "curtain raiser" to this important gathering. He extended a warm welcome to Kunming, renowned as the city of eternal spring, and to the participants and said it was an honour to have so many distinguished professionals in China.

In his opening remarks, Mr. Li provided compelling evidence of the critical role of the forestry sector in integrated mountain development. Forests remain a vital part of the national economy and play a unique role in promoting economic development, rural poverty alleviation, and environmental conservation, all of which contribute to sustainable development.

China, he said, is renowned for her mountainous areas which account for 70 per cent of the

country's total land area and are home to 56 per cent of the total population. Forest resources in mountain areas have tremendous potential and need to be developed together with agriculture, animal husbandry, medicine, fishery, and minerals. An integrated mountain development approach would speed up the process of poverty alleviation and would also improve the local environment and create favourable conditions for industrial and agricultural production. Such an approach would benefit the more than 20 million poverty stricken people who live in the mountain areas of China.

Because of these factors, integrated mountain development had been accepted as a major challenge for poverty alleviation in China. This commitment is reflected well in the current policy initiatives in China, which include guidelines for integrated development planning for forestry in mountain areas, and the plan of operations for the Ninth Five Year Plan for mountain areas. These documents envisage both protection and improvement in the ecosystem, enhancing outputs and income of farmers, and accelerated economic development in mountain areas. Mr. Li stressed that tourism and processing of products are also being pursued to increase gains from development interventions in mountain regions.

Mr. Li stated that these efforts had already brought prosperity to farmers, and the successful experiences are now being replicated in other parts of the country. While China has achieved a lot of success in rural poverty alleviation in mountain areas, overall mountain development still remains an arduous task for the government. He underlined the fact that the Chinese government had formulated ambitious plans to enhance economic outputs from the forestry sector in mountain areas.

Mr. Li mentioned that his Bureau, which is responsible for nation-wide integrated mountain development, was delighted to have an opportunity to cooperate with ICIMOD and to jointly organize this workshop that would address issues of paramount significance to the overall development of mountain areas. He felt that this workshop would provide a valuable opportunity

to share experiences in evolving forest policy and implementation from various countries. He added that, as a member country of ICIMOD, China maintains a sound relationship of cooperation and he hoped that this relationship would be further strengthened in the future. He also stressed that China was always ready to work together, hand-in-hand, with other countries in the Himalayan region for overall social and economic development.

Finally he wished the workshop great success and hoped that all the distinguished experts would enjoy a pleasant stay in China.

**B.2.3 Mr. Huang Bingsheng, Vice Governor of Yunnan Province, People's Republic of China**  
*The need to seek solutions for the development of mountain areas*

Mr. Huang Bingsheng was first requested to release the film, 'Forest Managers of the Hindu Kush-Himalayas', which was the first Chinese language film produced by ICIMOD.

Mr. Huang, on behalf of the Provincial Government of Yunnan, expressed a warm welcome to all the dignitaries, government delegates, and experts to the beautiful city of Kunming. He said that the opening of this important workshop was a meaningful day for the city of Kunming. He added that ICIMOD was an important organization dedicated to the reduction of poverty in mountain areas and that he was confident that ICIMOD's activities would promote both mountain and forest development in Yunnan.

Mr. Huang highlighted the topography, major river systems, and demographic distribution of ethnic minorities in Yunnan. Despite the fact that almost seven million people had already escaped poverty due to development interventions since 1985, approximately five million people in the rural areas of Yunnan were still affected by food scarcity and extreme poverty. He said that because many areas were inaccessible, the rich natural resources had not been harnessed in the mountain areas of Yunnan. Poverty reduction strategies in China had tried



to improve the infrastructure in mountain areas and focus on integrated forestry for overall development. He hoped that the deliberations of the workshop would provide some solutions for the development of the mountain areas of Yunnan.

**B.2.4 Professor Ms. Jiang Zehui,  
President, Chinese Academy of  
Forestry, and Co-chair,  
International Network for Bamboo  
and Rattan, People's Republic of  
China**

*A new paradigm in integrated mountain  
development*

Professor Jiang Zehui was unable to attend the workshop personally and was represented at the workshop inauguration by Professor Guo Jianping, Chief Administrator, International Network for Bamboo and Rattan.

Offering warm congratulations to ICIMOD and the organizations involved in the workshop, Professor Jiang said that South West China was a unique region. This uniqueness derived from the rich natural resources, flora and fauna, and ethnic diversity. The region also possessed great potential for contributing to economic, scientific, educational, and cultural development. The natural and sociocultural diversity of this region was invaluable and needed to be conserved and developed.

Professor Jiang said she was confident that this workshop would usher in a new paradigm in integrated mountain development. She highlighted the fact that the Chinese Academy of Forestry and its sister institution, the South West Forestry College, shared a mandate to develop research, education, and training for forestry professionals in China and to contribute to scientific and technological growth.

She declared that this workshop would be a milestone in strengthening international cooperation between Chinese research and educational institutions with institutions in other countries. She hoped that Chinese institutions would further strengthen and promote bilateral and multilateral cooperation in the region and also

strengthen the relationship with ICIMOD in order to contribute to the socioeconomic development of not just the Hindu Kush-Himalayas but also other mountain areas of the world.

She ended on a note of optimism and stressed that she believed great success could be achieved provided all of us are industrious and committed to sustainable mountain development. She offered her best wishes for a successful workshop.

**B.2.5 Professor Yang Fucheng,  
President, South West Forestry  
College, Yunnan Province,  
People's Republic of China**

*Adoption of participatory approaches in  
forest management in the region*

Before delivering his address, Professor Yang Fucheng formally released the Chinese language version of the ICIMOD publication titled 'Community Forestry: The Language of Life'. Professor Yang opened his address by according a warm welcome to Kunming to the dignitaries and distinguished participants.

Providing a regional perspective, Professor Yang said that since the early eighties many countries in the region had moved to historical institutional reform in the forestry sector. This had led to the emergence of social forestry, which is widely used today as an effective strategy in integrated mountain development. The level of adoption of participatory approaches in forest management in the region was also high, as was evident from its use in research methods and programme implementation in many diverse development sectors.

Professor Yang added that the south-western region of China was mountainous, and it was rich in forest resources that needed to be managed and developed. In this context, the role of the South West Forestry College was important since the mandate of the College was to train professional foresters from the mountainous provinces of South West China. Recognising the importance of social forestry, the College had established a social forestry centre and also offered specialised training programmes.

The workshop, he felt, was an important one as it brought together over 80 participants who were both policy-makers and practitioners to share their experiences and strategies in people-oriented forest management.

Professor Yang said he was honoured to have all the participants here and was confident that his College would continue to establish new and collaborative linkages with other institutions in the region. He hoped that these linkages would enable them to improve the quality of human resources, which would make a significant contribution to the development of people and forest resources in the mountain areas of China. He wished all the participants good health and the workshop a great success.

**B.2.6 Mr. Chen Jihai, Director General,  
Forestry Bureau of Yunnan,  
People's Republic of China**  
*Outlining the benefits of participatory  
forest management in the HKH*

Mr. Chen Jihai welcomed and offered greetings to the workshop participants on behalf of the Forestry Bureau of Yunnan. Mr. Chen noted that forest resources played a key role in sustainable development in the Hindu Kush-Himalayas. All of us are today faced with this challenge—how to develop mountain resources and conserve them. This common goal brings us together and we need to share experiences and learn from each other.

Mr. Chen said that in the past years the Chinese government had made very good progress in afforestation and greening of Yunnan. Progress had also been made in participatory forest management. He added that participatory forest management was not only important for Yunnan but was also an important approach for neighbouring provinces in China and in other countries. As we are on the threshold of the twenty-first century, it is important to promote forest resources. In this context, he said that the workshop was critical as it provided an opportunity to learn from other provinces and other countries in order to promote, upgrade, and improve participatory forest management approaches in Yunnan.

**B.3 Remarks by Country  
Representatives**

*Sharing expectations from the workshop*

A representative from each of the seven countries participating in the workshop made brief remarks to share their expectations of the workshop.

**B.3.1 Mr. S.M. Jalil, Chief Conservator  
of Forests, Department of Forests,  
Government of Bangladesh**

*The desire to learn from China's experience in participatory forest management*

Mr. Jalil appreciated the fact that ICIMOD and the South West Forestry College had invited representatives from Bangladesh to the workshop. He said that participatory forest management was a must in places where the traditional approaches of the forest department are unable to ensure adequate protection, conservation, and development of forest areas. Mr. Jalil stressed the fact that the other reason for the introduction of participatory forest management was to enhance the flow of products from forest areas by involving communities who live on the periphery of forest areas and depend on forest resources for their survival.

Mr. Jalil also advocated the need to integrate highland-lowland linkages as a result of the high degree of their interdependence. He said that it was the responsibility of the people of the mountains and the plains to share responsibilities and bring prosperity to the region. He felt that since China was well ahead with its programme on participatory forest management, the workshop would provide an excellent opportunity to learn from their experiences.

**B.3.2 Mr Sangay, Planning and Policy  
Division, Ministry of Agriculture,  
Royal Government of Bhutan**

*Fundamental changes in attitude of  
stakeholders necessary*

Mr. Sangay remarked that he felt great pleasure at being in Kunming for the workshop and,

on behalf of the Royal Government of Bhutan, extended appreciation for the invitation to ICIMOD and the South West Forestry College.

Mr. Sangay said that participatory forest management was a relatively new concept in Bhutan. Recognising the importance of people's participation in the management of forests, the Royal Government of Bhutan had recently introduced social and community forestry in the country on a pilot basis. The introduction of this pilot programme was indicative of the great importance Bhutan attached to conservation of natural resources and was only possible through the participation of the stakeholders, especially the mountain farmers. Mr. Sangay pointed out that fundamental changes would be necessary in the attitudes of different stakeholders before participatory forest management would be accepted. While farmers need to take on new responsibilities, the forestry organization needs to let go of the idea that they are the sole custodians of forest resources.

Mr. Sangay hoped that through exchange of ideas and experiences in this forum we would be able to broaden the scope of our understanding of participatory forest management and contribute to the sustainable management of forest resources in the mountain region of the Hindu Kush-Himalayas.

**B.3.3 Mr. Wen Haizhong, Director,  
Forest Policy Department,  
Ministry of Forests, People's  
Republic of China**

*Aspiring to productive and beautiful mountains*

Mr. Wen said that, although it would take a long time to solve the problems of mountain areas, this was still very much a priority activity for China. He felt that through hard work the mountain areas could be made both productive and beautiful. He hoped that the workshop would provide solutions for mountain development and wished the workshop a great success.

**B.3.4 Mr. C.P. Oberai, Inspector General  
of Forests, Ministry of  
Environment and Forests,  
Government of India**

*Progressive policies give priority to  
meeting people's needs*

Mr. Oberai said that the concept of joint forest management in India had taken root in many states, particularly in the hill and mountain areas. In these regions, the lives of the people are intricately linked with the natural resources and they depend on forest resources for a variety of their needs such as fodder, fuelwood, timber, and medicinal plants. This recognition had led to the emergence of a new forest policy in 1988 in India which gave priority to meeting the basic requirements of the people rather than to extracting revenue from timber.

Mr. Oberai highlighted the fact that the focus in forest management had changed considerably in India, and schemes are being implemented to improve the livelihoods of poor people and to resolve the problems related to mountain regions and forest resources. He said it was essential to understand that appropriate maintenance of the mountains includes the entire system of forestry. If the mountains are prosperous and healthy, the entire ecosystem downstream would also be prosperous and healthy.

Mr. Oberai added that he and his colleagues from India were looking forward keenly to the workshop deliberations and that he was confident that the outcome would provide new solutions to the challenge of integrated mountain development.

**B.3.5 Mr. Myint Sein, Deputy Director,  
Department of Forests,  
Government of the Union of  
Myanmar**

*Introducing holistic and integrated  
approaches for forest management*

Mr. Sein told the audience that Myanmar was an agro-based country with a dominant rural population that was totally reliant on forest re-

sources for its livelihood and socioeconomic development. Myanmar, he said, was also facing the challenge of implementing participatory forest management. As a first step, a new forest law had been issued in 1992 followed by community forestry instructions in 1995. Mr. Sein remarked that a holistic and integrated approach would lead to the successful implementation of any field programmes and human resource development in participatory forest management. Such an approach, he felt, would contribute to sustainable forest management.

**B.3.6 Mr. I. S. Karki, Director General, Department of Forests, His Majesty's Government of Nepal**  
*Empowerment of local communities essential for participatory forest management*

Mr. Karki indicated that, in keeping with the shift in forest policy in the countries of the region, Nepal had become one of the first countries in the world to empower local communities to protect, manage, and utilise forest resources. Community forestry in Nepal, he stated, is accorded the highest priority in Nepal's forestry sector programmes and almost half of the budgetary allocations were earmarked for this programme.

Mr. Karki added that he and his colleagues were happy to be in such a beautiful venue and that

they were particularly looking forward to the discussions in the workshop. He said he was confident that the workshop would provide an excellent opportunity to learn from each other's experiences, successes, and, perhaps, shortcomings.

Mr. Karki believed that the workshop would also be an important milestone in further strengthening HIFCOM—the Hindu Kush-Himalayan Forum for Forest Conservation and Management. He thanked ICIMOD and the Chinese hosts for their generous hospitality.

**B.3.7 Mr. Rafiq Ahmed, Inspector General of Forests, Ministry of Environment and Forests, Government of Pakistan**  
*The need to identify strategies for the mountain people of the Himalayas*

Mr. Rafiq Ahmed said that this workshop had brought together a host of forestry professionals, policy-makers, and planners to share experiences and develop future strategies. He felt that it was important to identify strategies for the well-being of the mountain people of the Himalayas. He added that the use of technologies and of indigenous knowledge for resource conservation was important to alleviate rural poverty. He thanked ICIMOD and the South West Forestry College for organizing the workshop and said he was confident that the workshop would produce tangible recommendations.

# **C** Overview of Participatory Forest Management in the HKH

*Synthesis of key issues from country presentations*

The first part of the workshop was designed around presentations from the seven participating countries. Fourteen national and sub-national presentations were made in the plenary sessions: one national study each from Bangladesh, Bhutan, Myanmar, Nepal, and Pakistan; three studies from India, which covered the Western Himalayan states of Jammu and Kashmir, Himachal Pradesh, and the mountainous part of Uttar Pradesh; three studies from China, a national overview and studies from Yunnan province and the Tibetan Autonomous Region; and three further papers, two from India and one from Pakistan.

Eleven of the papers presented were based on a conceptual framework (Annex 3) which was designed and shared with the authors prior to the workshop. Some authors chose not to follow the framework as their countries were at an early stage of implementing participatory forest management and the authors felt that several of the questions in the framework did not apply or that it was too premature to seek answers to them.

A key principle was that all the case studies were performed under the overall guidance of senior policy-makers in the forestry sector from the country concerned. This ensured that the focus remained on the process of reflection by the policy-makers, as much as on the final output.

In the spirit of participation, all these case studies were cross-reviewed by the participants during the workshop. Substantial redrafting has taken place since the workshop, and the final

reports will be published as accompanying volumes to this report. An overview of the comparative status is given in table form at the end of this section.

## **C.1 The Broad Goals and Objectives of Forest Policies and Laws in the Hindu Kush-Himalayas**

The major objectives of the forest policies of Bangladesh, Bhutan, China, India, Myanmar, Nepal, and Pakistan are to meet people's needs for forest products, to conserve biodiversity, to maintain good watershed conditions, and to promote economic development through forestry.

### **C.1.1 Bangladesh**

Twelve per cent of Bangladesh's land area is hilly and this land is a part of the Himalayan mountain region. One million tribal people, or 11 per cent of the population of the country, live in these areas. Only 14 per cent of the total land area of Bangladesh is forested. The forest cover in Bangladesh declined by two per cent annually over the 20-year period between 1960 and 1980.

The Bangladesh National Forest Policy of 1994 stressed afforestation activities with the aim of increasing forest cover in the country. These activities will be focussed on village areas, and the denuded unclassified state forest areas of the Chittagong Hill Tracts. The policy aims to increase the forest cover of Bangladesh to 20 per cent of the land area by the year 2015. Denuded and encroached government forest lands

will be identified and brought under afforestation programmes with the participation of the local people.

In order to preserve soil, water, and biodiversity, natural forests in the hills and river catchments will be declared protected areas, game sanctuaries, or national parks. By 2015, the government is planning to manage 10 per cent of the national forests as protected areas. Fragile areas such as steep hill slopes, vulnerable watersheds, and wetlands will also be managed as protected areas. The policy also states that 'state owned hill and sal (*Shorea robusta*) forests, except those declared as protected areas, will be managed as production forests, paying due consideration to the environment'.

The forest policy in Bangladesh puts great emphasis on afforestation and protection of forests. While the commercial use of forests is promoted, the Bangladesh forest policy remains largely oriented towards rehabilitation and conservation.

### **C.1.2 Bhutan**

Almost all of Bhutan's land area is hilly. Forests occupy approximately 72 per cent of the total area. The forestry sector makes a direct contribution of about 11 per cent to the Gross Domestic Product of the country and generates about three per cent of government revenue.

Bhutan's revised Forest Policy of 1991, produced as part of the preparation for the Master Plan for Forestry Development, emphasises the need to balance the nation's conservation and economic development goals. It stipulates that forest resources be managed in a scientific and systematic manner and that this resource base must be expanded through viable investment programmes. It also acknowledges the need to allocate forest resources to several management regimes such as protection forests, production forests, and community forests. The policy stresses the importance of people's participation in the management, use, and expansion of resources and calls for multiple use and management in recognition of the realities of the country. The Forest and

Nature Conservation Act was promulgated in Bhutan in 1995.

Bhutan's policy stresses conservation of the environment, and only thereafter derivation of economic benefits. The policy decrees that up to 60 per cent of the country's geographical area is to be kept under forest cover at all times. To secure this, Bhutan has embarked on a programme of establishing parks, sanctuaries, and reserves, the area of which now totals 970,000 ha or 26 per cent of the country. This is the highest proportion of land area managed as a protected area in any South Asian country. The current policy also emphasises the utilisation of forests on a sustainable basis, plans for multiple-use, improving and strengthening the efficiency of forestry sub-sector institutions, and involving and training local people in the management of forest resource utilisation.

### **C.1.3 China**

Mountainous and hilly areas constitute 69 per cent of the total area of China. About 56 per cent of the country's total population live in hilly or mountainous areas. These areas are relatively deprived compared to the plains. Four hundred and ninety-six of the 592 counties identified as poverty-stricken are in mountainous or hilly regions.

Recognising that forestry can play a major role in the economic development of mountain areas, the Forestry Ministry of China evolved a plan in 1996 which focuses on sustained development of upland areas through development of forestry and appropriate science and technology interventions.

There are two significant themes in the forestry policies of China. Firstly, all forestry policies are "oriented to motivate the enthusiasm of the whole society for afforestation and greening activities", and, secondly, "all forestry policies are oriented to achieve the maximum economic, ecological, and social benefits for the integrated development of the society." The Detailed Operational Regulations of the Forest Law of the People's Republic of China (1986) is a comprehensive national legislation on for-

estry in China. This legislation is supplemented by many other laws that have been developed in different provinces.

Since China adopted the policy of reform and opening up to the outside world in the 1970s, income-sharing mechanisms based on different levels of production, capacity, multiple economic composition, and multiple marketing mechanisms and management models have been endorsed for economic activities. The main focus of forestry income sharing is that income will be shared on the basis of labour contribution, even when production factors like land, capital input, and technical investment are also taken into consideration.

The issue of land use ownership is very important in the involvement of local communities in forestry activities. The policies of forestry land use (mountain land use) in China largely focus on the issues of ownership and tenure of land. In 1981, the Government of China promulgated a forestry policy with a focus on a mountain forest tenure system, mountain land managed by households, and a system of household responsibility for forestry production. Implementation of the policy initiated the break up of the single ownership system (government ownership) and brought about great changes in forestry management. As a result of this policy, forest managers were given more flexibility and power in choosing management strategies, and the units engaged in forestry production became independent commercial entities. The law protects their interests, rights, and liabilities. In particular, the farmers managing the forests own the resources. This policy has provided a strong incentive for people's participation in forest management. The management model has been transformed from one of collective management to one of individual management. The different management models now practised include stakeholder cooperative management, leasing, contracting, cooperative afforestation, and shareholding cooperatives.

The major thrust of current Chinese policies on forestry land use can be summarised as follows.

*The ownership of forest land belongs to the state and collectives, but the tenure of this land can be transferred in accordance with the relevant laws and regulations. Forest land can be contracted to individuals, groups of individuals, legal agents, or other economic entities for afforestation. The lessee of the land is responsible for the management of the area and enjoys the income generated. The tenure can be transferred, contributed as shares, rented, or mortgaged.*

In 1990, the State Council of China began to implement the Afforestation Plan for the years 1989 to 2000. The plan lays down guidelines for afforestation and forestry management. According to the plan, the total afforested area should reach 57.165 million ha by the year 2000.

In 1995, the National Ministry of Forestry proposed that forest management should be done according to the forest function. This policy has been one of the key measures in changing from traditional to modern forestry practices. The policy divides forest areas according to their economic and ecological benefits and other multiple functions, for example, welfare forests and commercial forests. In an effort to implement this policy, the MOF is experimenting with the following reform strategies.

- Protected forests and forests for special use are categorised as welfare forests and are managed by the government. Timber forests, economic forests (plantations of fruit, nut, oil, and other crop-producing trees excluding timber), and fuelwood forests are classified as commercial forests and are managed by enterprises for market-oriented production.
- As a result of the different nature and purpose of managing welfare and commercial forests, different management mechanisms have been adopted. Welfare forests are managed to maximise ecological benefits and afforestation measures can be different to those for commercial forests. The management objective of commercial for-

ests is to meet market demands, the felling volume is determined on the basis of management plans and priority is given to allocating felling quotas.

- Whoever manages the forest must provide the necessary input. Input may be provided through government financing. Social compensation and fees for compensating ecological imbalances will be collected. Management units engaged in forests are encouraged to create alternative income, compensation will be drawn from a part of the income generated.

The basic forestry policy in China aims to “combine the efforts of the central government, collective entities, and individuals in forest development for greening, coexistence of multiple management systems, and developing multiple economic elements on the basis of public ownership.”

Yunnan Province and the Tibetan Autonomous Region are the two important regions of China that fall within the Hindu Kush-Himalayan region. Brief accounts of their forestry policies and programmes are provided below.

**Yunnan Province** has a total area of 394,000 sq. km., 94 per cent of which is hilly and mountainous. Ninety-eight per cent of the counties, cities, and townships are located in the mountainous region. About 25 per cent of the area, or 9.41 million ha, is forested, and of this 29 per cent is state forest, owned by the state and managed by state entities and 71 per cent is collective forest, owned and managed by communities and villages.

Yunnan's basic forest policies are in accordance with the Forestry Law ratified by the Standing Committee of the National People's Congress. The focus of the Forestry Law is to address equally the two issues of forest conservation and sustainable forest resource management and utilisation. In 1983, the Provincial Government of Yunnan and the Standing Committee of the National People's Congress of Yunnan Province enacted a policy on *liangshan* management responsibility for forests. Under this policy, collective forest areas in different parts

of Yunnan were contracted out and allocated to individual households for management. When the *liangshan* policy was implemented, local people had no confidence in the sustainability of the policy and were unwilling to invest their capital and labour in reforestation and greening. Furthermore, there was no technical support or cash investment. The result was that the resources were idle for long periods.

In 1993, Yunnan promulgated legislation titled 'Provisions for the Auction of Tenure of Barren Mountain Areas' to promote the leasing of the users' rights to barren mountains (*sihuang*) suitable for afforestation. The tenure lease for *sihuang* separates the land-use rights from the land property rights. The property rights remain state-owned, but the land tenure may be transferred, contracted, or leased under agreed terms or prices to potential developers.

The *sihuang* policy builds on the *liangshan* policy and aims to motivate local communities to participate in the rehabilitation and management of degraded barren mountain lands. The ultimate goal of this policy is to achieve overall economic, ecological, and social benefits. The price for the tenure lease of the *sihuang* is determined on the basis of the locality, accessibility, land quality, management premise, and economic capacity of the local community. The land-use rights can be auctioned and sold to legal units, entities, or individuals. In general, development activities are required to start within three to five years of procurement of the lease. This policy aims to create entities with multiple land-use management systems and to encourage local communities to participate in the utilisation and development of barren land.

Thirty of the 74 counties in the Tibetan Autonomous Region are forested, and these counties contain 30 per cent of the total population. Protected areas cover 27 per cent of the total land area, or 325,330 sq. km. Forest-based industries, such as log and fuelwood producing industries, wood processing industries, resin production industries, and medicinal herb exploitation industries, contribute about 10 per cent of the gross output volume of agriculture



and industry and about eight per cent of the GNP of the region.

The Tentative Regulations for the Forest Policy of Tibet, formulated by the Autonomous Regional People's Government in 1985, removed restrictions on the protection and management of forests by communities and individual households. The policy encouraged the involvement of local communities and individual households in resource management. Measures were introduced so that parts of state-owned forests could be allocated to a community or a village for management, although ownership still belonged to the state. Local populations living in protection responsibility areas were given permission to market fuelwood, charcoal, thinning wood, raw wood materials, and bamboo products. They were also allowed to collect other products, produce timber, and hunt non-protected animals.

In order to meet demands, wood allocation and fixed prices were removed in 1993 and management rights were given to enterprises. Enterprises were allowed to produce according to market needs and the prices of products to fluctuate in line with market conditions. In order to avoid illegal cutting and forest damage, production of wood was managed according to an indicative plan method. Two certificates, a Cutting Certificate and a Transportation Certificate, had to be verified.

Later, forest policies were further changed to motivate voluntary cooperation by local communities in planting trees and grasses on bare lands and wetlands. Trees planted thus were owned by the persons who planted them, and their children had the right to inherit the use of the land. State-owned forest land could be contracted to individual households or managed by an association of households. All income generated could be retained by the contractor.

In 1994, the formulation of a new forest policy in Tibet further encouraged and supported local communities to utilise barren lands. Whoever managed such lands was allowed to retain the produce and benefits from the land. The land use right could be inherited or trans-

ferred. This policy also included provisions for the utilisation by local communities of forest products such as wild edible mushrooms and herbs for herbal medicine. At the same time it promoted foreign investment to achieve rational utilisation of forest resources and comprehensive use of wood, to undertake scientific surveys, and to develop private nurseries and fruit orchards.

Since 1997, afforestation activities have been implemented by communities and individuals on the principle that the person or group that plants trees owns them. Policies and regulations, such as the Forest Laws, Forest Fire Control Provisions, Forest Protection Provisions, and Wildlife Protection Laws, have been put in place to further raise public awareness about the significance of forest protection and forest fire control.

In **China** generally, and in Yunnan and Tibet in particular, the focus of forestry policies is on the protection of forest resources from overuse and the maximising of economic returns from forestry. In this respect, China probably has the most 'market-oriented' policies, whereby degraded lands are auctioned for plantation of economic products.

#### **C.1.4 India**

Ninety-five districts in twelve Indian states fall within the Himalayan region. India's National Forest Policy of 1988 stipulates that, in such fragile mountainous regions, two-thirds of the area should be under forest cover in order to prevent erosion and land degradation and to ensure the stability of the fragile ecosystems. Thirty of the Himalayan districts have more than 66 per cent forest cover, but the average value is only 37 per cent, far below the intended goal.

The current forest policy of India places more emphasis on forest conservation, a shift in focus from earlier policies in which the major objective of forest management was revenue generation for the government. Preservation, maintenance, sustainable utilisation, restoration, and enhancement of the natural environ-

ment are the major concepts adopted in the current forest policy.

In 1990, the Government of India issued a Government Order to all the Indian States to involve village communities and voluntary agencies in the regeneration and management of degraded forests. This Government Order for Joint Forest Management was an important milestone for participatory forest management in India.

In line with the National Forest Policy of India, the **Jammu and Kashmir** Forest Policy of 1990 stresses conservation of forests. The policy clearly articulates that environmental stability and maintenance of ecological balance must be given more emphasis than generating direct economic benefits. The policy emphasises rehabilitation of degraded forests, expansion of forest areas by converting available wasteland to forest, and sustainable provision of fuelwood and fodder to the local people.

**Uttarkhand** lies in the State of Uttar Pradesh in the western Himalayas. The Uttar Pradesh State Forestry Action Programme of 1995 places great emphasis on participatory forest management. In Uttarkhand, local communities have been involved in forest management since 1931 through the formation of *Van Panchayat(s)*. The *Van Panchayat* Rules of 1931 were introduced under the District Scheduled Act of 1874. A *Van Panchayat* can be formed on any government land, including Civil Forest and Class-I and Class-II Reserve Forest land. A more powerful Act was introduced in 1972 invoking Section 28 (Village Forest Formation) of the Indian Forest Act of 1927. This was modified in 1976 and is the Act under which *Van Panchayat(s)* are currently managed. The Uttar Pradesh Joint Forest Management Rules of 1997 were promulgated under Section 28 of the Indian Forest Act of 1927. This Act allows those who manage the forest to obtain direct economic benefit, in contrast to the *Van Panchayat* rules that state that any economic benefit must go to the *Van Panchayat* body which can use the funds for the growth and upkeep of the jointly managed forests. The Draft *Van Panchayat* Rule of 1997, which was

prepared to replace the 1976 Rules, is under consideration by the State Government.

The key issues for forestry development in **Himachal Pradesh** have been identified as the sustainable management of forestry resources, strengthened community participation at all levels, the active involvement of women, and the re-orientation of the attitude and role of forestry department personnel, in particular the role of the Forest Guard from one of protection to one of enabler and agent of change. The State formulated a State Forest Policy in 1980 in accordance with the National Forest Policy of 1952. Himachal Pradesh is one of the few Indian States with its own forest policy. The policy promoted the transfer to the Forest Department of all areas of forest or potential forest land acquired by the government under the Land Ceiling Act of 1972 and the Village Common Land (Vesting and Utilisation) Act of 1974. It also supported an afforestation programme to increase the fully stocked forest area to 60 per cent of the land area, and directed that forestry programmes be oriented to encourage people's participation.

In pursuance of the Government of India's 1990 Order, Himachal Pradesh decided to constitute Village Forest Development Committees for Joint Forest Management for the planning, protection, afforestation, and judicious use of forests. It also aimed to bring 50 per cent of the feasible areas under forest cover by 2000 AD.

Himachal Pradesh has various forestry-related pieces of legislation, starting from the first forest policy in 1894. In 1970, Himachal Pradesh promulgated a grazing policy. The policy had several recommendations, including restrictions on any increase in the number of cattle, control of migratory and nomadic herds and flocks, registration and enumeration of flocks, fixing of routes to be followed by nomadic herds, levy of a uniform grazing fee, closure of not less than a third of the grazing area allotted to a particular grazer at a given time, levy of a tax on goats and buffalo, and reduction of the number of goats and buffalo in a phased manner.

In order to allot land to landless people and people owning less than one acre, the Himachal

Pradesh government took control over all the *shamilats*, or common lands, by introducing the Village Common Land Vesting and Utilisation Act of 1974. The government prepared rules and a utilisation scheme in 1975 for the lands acquired under this Act. Under the Act, part of the land was set aside for common purposes like grazing, to be managed under the Punjab Village Common Lands' (Regulation) Act of 1961, and the remainder was to be distributed to the landless and poorer households in the community. The acquired *shamilat* lands were divided into two categories: allottable and non-allotable. The allottable lands were to be distributed amongst the landless, and the non-allotable to be transferred to the Department of Forests. In 1995 Himachal Pradesh began to formulate the Himachal Pradesh Forest Bill. This is intended to be the new Forest Act for the State, it is still in the draft stages.

In India, during the time of British colonial rule, forest policies were largely geared towards generating revenue for the government. This policy continued long after India gained independence in 1947. More recently, the government has become concerned about the state of forests and has promulgated policies and programmes for the rehabilitation of degraded forests. The joint forestry management programme in India is largely derived from such concerns.

### **C.1.5 Myanmar**

Over 78 per cent of Myanmar's population is rural and relies greatly on forests for subsistence needs. The country recognises the fact that long-term utilisation and stability of the forest resources with minimal environmental degradation is of paramount importance for the nation's economy and its people's livelihood. However, the resources have been dwindling at a rapid pace as a result of ecologically unstable farming practices, increasing population, and an ever-rising demand for forest land and products. It has been accepted that the participatory and integrated forest resource management approach has significant potential in addressing the problems and issues related to natural resources' depletion, and strategies

have been evolved for people-centred participatory management of resources.

Myanmar's Forest Law of 1992 laid down the basic principles for forest management. The law promotes public cooperation in implementing forest policy and environmental policy. One of the principles is 'to develop the economy of the State, to contribute towards the food, clothing and shelter needs of the public, and to ensure perpetual enjoyment of benefits by conservation and protection of forest'. Further, the principles stress conservation of forests and biodiversity and promotion of plantations and the contribution of forests to meeting fuelwood needs.

The Forestry Policy of 1995 has identified six imperatives with the highest priority for forestry. These are: protection of soil, water, biodiversity and the environment; sustainability of forest resources; meeting the basic needs of people; efficiency in harnessing the economic potential of forests; participation of people in conservation and utilisation of forest resources; and increasing public awareness of the vital role of forests. The Community Forestry Instructions of 1995 emphasise enhancing the nation's economy through forestry, achieving environmental stability, and meeting the needs of rural people for forestry products.

### **C.1.6 Nepal**

According to the Master Plan for the country, the objectives for the forestry sector in Nepal are: to meet people's basic needs for fuelwood, timber, fodder, and other forest products on a sustainable basis; to protect land against degradation by soil erosion, floods, landslides, desertification, and other effects of ecological disturbances; to conserve the ecosystem and genetic resources; to contribute to the growth of the local and the national economy by managing forest resources; and to develop forest-based industries to create opportunities for income generation and employment. While the Plan covered all aspects of forestry, it strongly emphasised community forestry and allocated 47 per cent of total forestry sector investment to community forestry programmes. The For-

estry Policy Document, which is a part of the Master Plan, contains a series of statements re-emphasising the implementation of community forestry activities in the country.

The Forest Act of 1993 endorsed the objectives set out in the Master Plan for the Forestry Sector. The Forest Act classifies forests into community forests, leasehold forests, religious forests, private forests, and national forests. It is now possible to hand over a particular forest to a forest user group for management and utilisation. The District Forest Officer can form and register forest user groups, and can hand over management and use rights for a particular forest to the user group. The process of handing over forests to user groups is continuing all over the country, especially in the mountains.

### C.1.7 Pakistan

In Pakistan, 19 per cent of the country's population live in hill areas. The Forestry Sector Master Plan for Pakistan of 1992 reports that only five per cent of the total area of the country is forested. The natural distribution of forests, which mostly consist of conifers, is influenced largely by the monsoon rainfall. Eighty per cent of the forests are located in the Himalayan, Karakoram, and Hindu-Kush mountain ranges.

Pakistan's National Forests, Rangelands and Wildlife Policy of 1991 has set the objectives for forestry to meet the country's requirements for timber, fuelwood, fodder, and other products and to fulfill environmental needs. The forest area is planned to increase from five to 10 per cent of the total area of the country in a fifteen year period. Existing forests, watersheds, rangeland, and wildlife resources are to be conserved by sustainable utilisation and developed to meet the ever-increasing demands. The Forest Policy of 1991 identified hill forests as a management category. It mentions that the conifer forests in the public sector will be managed intensively. Multiple and integrated use is envisaged, with reliance placed on artificial restocking by seedlings of known provenance. The policy recommended changes in jurisdiction to make the different units more manage-

able. The draft Forestry Sector Policy of 1998 also emphasised forest conservation, sustainable use, meeting basic needs, maximising domestic production to minimise imports, participation, education, research, and institutional strengthening. While most of Pakistan's legal instruments continue to remain regulatory in character, steps are currently underway to change the laws and regulations.

### C.2 Policy Framework for Participatory Forest Management

The **Bangladesh** Forest Policy of 1994 was the first policy guideline in the country to clearly incorporate the concept of participatory forestry management. It also opened up the avenue for cooperation between non-government organizations and government agencies in promoting social forestry programmes.

In 1991, the Royal Government of **Bhutan** formulated a revised Forest Policy Statement that emphasised balancing the nation's conservation and economic development goals. It acknowledged the need to allocate forests to one of several different management regimes such as protection forests, production forests, and community forests. Bhutan's Social Forestry Rules were approved in 1996, under the Forest and Nature Conservation Act of 1995, and gave impetus to participatory forest management.

Various provinces in **China** have policies that allow for the participation of individual households in forestry promotion. In 1993, **Yunnan** promulgated the 'Provisions for the Auction of the Tenure of Barren Mountain Areas' to promote the leasing of the users' rights to barren mountain land (*sihuang*) suitable for afforestation. The tenure lease for *sihuang* separates the land-use rights from the land property rights. The property rights remain state-owned, but the land tenure may be transferred, contracted, or leased under agreed terms or prices to potential developers. In 1994, the formulation of forest policies in **Tibet** further encouraged and supported the local population in the use of barren lands. Whoever managed such land was allowed to retain the products or whatever was

obtained from the land. The land-use right may be inherited or transferred.

In **India**, the National Forest Policy of 1988 emphasised creating a massive people's movement to achieve its objectives and to minimise human pressures on existing forests. In 1990, the Government of India issued a government order to all the States for the involvement of village communities and voluntary agencies in the regeneration and management of degraded forests.

Different states in India have issued their own Orders to facilitate participatory forest management. State of **Jammu and Kashmir** issued a Government Order on Joint Forest Management in 1992. Participatory forest management in **Uttarkhand** exists in two forms: the Village Panchayat Forests and Joint Forest Management. To allow the formation of village forests, an Act invoking Section 28 (Village Forest Formation) of the Indian Forest Act of 1927 was made in 1972, and re-modified in 1976. A Joint Forest Management (JFM) Order was introduced in **Uttar Pradesh** in 1997, and this also applies to Uttarkhand. In Himachal Pradesh, a similar JFM Order was promulgated in 1993.

**Myanmar** introduced a new Forest Law in 1992 and a Forestry Policy in 1995, and issued its first Community Forestry Instructions' Notification in 1995. These encourage active participation of people in the conservation and rational utilisation of forests. The Forest Policy of 1995 has suggested policy measures for forest regeneration and afforestation, establishment of plantation cooperatives, and provision of institutional finance for the establishment of man-made forests on degraded and denuded land.

In **Nepal** the Forest Act of 1993 and the Forest Regulations of 1995, building on the recommendations of the Forest Sector Master Plan of 1988, lay down the guiding principles for participatory forest management in the country.

In **Pakistan**, various projects have promoted participatory forest management on private and degraded communal lands and in degraded,

protected, and reserved forests, but there is no specific legislation for PFM.

### **C.3 Communities and Participatory Forest Management**

#### **C.3.1 Participation of Communities and the Organizational Form**

In **Bangladesh**, landless people have been involved in reforestation work under benefit sharing arrangements in many Forest Department programmes. The Forest Department forms 'beneficiary groups', and these are generally dominated by men. The Department undertakes all activities and the group members are given the responsibility for guarding plantations against grazing and theft. Thus, the participation of such groups is generally passive.

In **Bhutan**, five or more households can obtain user-rights to an area of partially degraded government forests as long as revegetation is performed and the management plans for the area are followed.

Where participatory forest management is practised, communities living near forest areas are generally eligible. **China** has exceptions in some cases in which people from outside the community may also bid for tenure of barren mountain lands in auctions. In China, degraded forest lands can be leased by individual households, communes, or even enterprises. These households, communes, and enterprises are involved in reforestation activities. In **Tibet**, afforestation activities involving various members of society, such as "Cadre Plantation," "Youth Plantation," "Women Plantation", and "Plantation by Joint Effort of the Army and the People," have become very popular and large areas have been planted in this way.

In **India**, people from villages adjoining degraded forest areas are involved in joint forest management. In **Jammu and Kashmir** there are two types of village committee: the Village (Rehabilitation of Degraded Forests) Committee and the Village Plantation (Protection and Management) Committee. The Village (Reha-

bilitation of Degraded Forests) Committee is largely composed of members of the village, but the Village Plantation (Protection and Management) Committee has only two members representing the village community, the other members include the *Tehsildar*<sup>1</sup> and the Range Officer. The activities of the latter committee are supported financially for the first five years by a government project for planting, maintenance, and protection.

In **Himachal Pradesh**, village forest development committees (VFDCs) are formed for joint forest management. These are non-political bodies representing all families in a *Tikka* or hamlet. The body is registered with the District Forest Officer. The executive committee has 9-12 members, five of them from the *Tikka*. The executive committee has representatives from institutions such as women's groups or youth groups, if they exist, and at least one representative from a disadvantaged group. All households should be represented in the general committee (all users with a 50% quorum for decision-making). The role of women is emphasised, with at least one woman from each household in the general committee and 50 per cent women in the Executive Body.

In **Uttarkhand**, the participation of people in Village Panchayat Forests has not been very high and the situation has been characterised by 'apathy on the part of the people as well as on the part of the authorities'. Village Forest Committees are formed for joint forest management.

In **Myanmar**, plantation cooperatives can be established in villages for reforestation according to the Forest Policy of 1995. The Forest Law of 1992 allows people's participation in the establishment of village firewood plantations.

In **Nepal**, all households that depend on a particular forest are eligible for membership of a Forest User Group for that forest. Member households in such a group can be from a hamlet, a village, or a number of villages or sub-

villages, irrespective of administrative boundaries. Normally, one member from each user household is included in the group. The Forest User Groups can develop their own rules for organizational management and, with support from Department of Forest staff, draw up forest management plans. The FUG and its constitution are registered with the District Forest Office. Normally, an FUG executive committee is formed to oversee the FUG's activities.

In **Pakistan**, different groups of people are involved in participatory forest management depending on the tenure of the land. For example, the Malakand/Dir Social Forestry project is working largely on management of private forest, whereas others are involved with protected, reserved, or communal lands.

### C.3.2 Status of Implementation of Participatory Forest Management

Participatory forest management work has started as a cautious learning phase in **Bangladesh**. The 'Afforestation and Settlement in the Unclassed State Forest of Chittagong Hill Tracts' project, July 1995 to June 2000, has adopted a participatory approach. This project has two main components, namely, *juhamia* (shifting cultivators) and rehabilitation and afforestation of degraded lands. The Thana Bonayan and Nursery Development Project (1987-88) also provided opportunities for local people to participate in forestry programmes under benefit-sharing arrangements. In 1997, a new project was launched called the Forestry Sector Project which is basically a social forestry project. This project will be implemented all over the country including the hill districts of Rangamati, Khagrachari, and Bandarban. The project lays greater emphasis on involving NGOs in work with local communities.

As in Bangladesh, **Bhutan** is implementing participatory forest management cautiously. Currently management plans have been formed for four pilot sites: Zhemgang Dzongkhag, Punakha Dzongkhag, Mongar

<sup>1</sup> A *Tehsildar* is the officer in charge of a *Tehsil* – an administrative unit, smaller than a district.

Dzongkhag, and Trashigang Dzongkhag. The management plan for Mongar Dzongkhag is being implemented and the rest are under review. About 1,152 ha are being managed by the four communities and a further 22 ha are being managed in small-scale community forest trial plantations.

In **Jammu and Kashmir**, the Forestry Department is implementing participatory forest management activities in degraded demarcated forests, and the Social Forestry Project is working in demarcated forests, wastelands, community lands, and undemarcated forests. Over 600 sq km., including plantations, are being managed under joint forest management by 1,240 committees.

*Van Panchayat(s)* have been formed all over **Uttarkhand** by the government. Nearly 5,000 *Van Panchayat(s)* have been formed, managing about 469,326 hectares of land, about 14 per cent of the total forest area. Joint forest management has largely been implemented at project level. At present, a total of 47 villages are managing 16,225 ha under joint forest management and a further 100 ha are being managed to assist natural regeneration of oak. A World Bank financed project is promoting participatory forest management in the Central Himalayan region of Uttarkhand, in the Terai, and in parts of the Vindhyan region. It is estimated that about 1,160 communities will be involved during the four years of the Project, managing and protecting about 210,000 ha of land. It is planned to form 69 teams to promote joint forest management, 50 in the hills. Two-thirds (744) of the micro-plans will also be developed in the hills.

Joint forest management in **Himachal Pradesh** has been assisted since 1994 by a pilot project in Kullu and Mandi districts with UK (ODA) funding support and a project in Kangra district by the GTZ-funded Indo-German Changer Eco-Development Project. There has been no promotion of participatory forest management elsewhere in the state. Even in the two project areas, the approach differs as does the role and quality of development of local institutions. In the Kullu and Mandi dis-

tricts, the approach is very cautious and slow. Formation of only 20 Village Forest Development Committees (VFDCS) in three years has been envisaged, and the project emphasises learning and monitoring. In contrast, by January 1998, the Indo-German Changer Eco-Development Project had formed 216 VFDCS under village action plans, and 1,611 ha of community and degraded undemarcated forest land had been planted. A further 6,005 ha of forest land are managed under joint forest management by 125 village committees.

In **Nepal** the community forestry programme has been implemented all over the country. However, forest handover in the lowlands (Terai) has been rather slow, and most activities have concentrated on the mid-hills. There are currently 6,020 Forest User Groups managing 403,688 ha of forest land.

In **Pakistan**, eight projects are implementing various models of participatory forest management in upland areas: the Malakand/Dir Social Forestry Project, the Kalam Integrated Development Project, the Siran Forest Development Project, the Aga Khan Rural Support Programme Northern Areas, the Suketar Watershed Management Project, the Himalayan Wildlife Project, the Himalayan Jungle Project, and the Khunjerab Village Organization. Formation of new village institutions to manage forests and rural development under different projects has led to the formation of Village Development Committees, Village Organizations, and Women's Organizations in Malakand and Aga Khan Rural Support Programme areas. In Kalam, Forest Protection Committees have been formed from among the holders of rights to protected forests. Village organizations have also been formed in Siran.

### **C.3.3 Benefit Sharing Arrangements**

There is as yet no uniform benefit-sharing mechanism under participatory forest management for the whole of **Bangladesh**. Various projects have implemented different sharing arrangements. For example, in the Thana Bonayan and Nursery Development Project the local participant received 40 per cent of the

final yield and all intermediate yields of products. The Railway Authority is entitled to 10 per cent of the final benefit, three per cent goes to the Local Union Council, three per cent to the Local Council, 25 per cent to the Thana Council, and 20 per cent is government revenue. The final income from agroforestry plantations is shared equally between the Forest Department (as government revenue) and the participants. The sharing mechanism under the Afforestation and Rehabilitation of Jhumia Families in the Unclassed State Forest (USF) and Reserved Forest Lands of the Chittagong Hill Tracts (third phase) is as follows. Local participants receive 15 per cent of the final yield, all agricultural and horticultural yields, 100 per cent of the first thinning, and 50 per cent of other thinnings. The headman receives five per cent; the tribal king five per cent, the local council five per cent, and the Forest Department 70 per cent of the final share.

The draft Social Forestry Rules of **Bhutan**, promulgated under the Forest and Nature Conservation Act of 1995, allow trees planted on private land to remain free of royalty. Royalty rates are reduced or rescinded and individuals may apply for leases under the rules with certain terms and conditions. In Bhutan, most rural communities depend on the forest for grazing their cattle and for collection of fodder and litter for livestock. The enactment and adoption of the Bhutan Forest Act 1969 closed the 'commons' and introduced a system of permits to authorise limited rights to the use of government forest. All individuals have the right to use government forest land to graze their cattle. The Land Act of 1979 incorporated the use of forests for collection of firewood and wood for home construction, and this has been traditionally sanctioned as part of customary rights.

In **China**, benefit-sharing arrangements vary according to the province. Income sharing from forestry is mainly based on the labour contribution, other inputs such as land, capital input, and technical investment are taken into account. In Huahua Prefecture in Hunnan Province, for example, 25 per cent of the total income from marketing timber is collected as

tax, the Forestry Development Funds receive 15 per cent, the Township and Village Accumulation Funds 10 per cent, and production costs account for 10 per cent—leaving 40 per cent as income for the forest farmers. Similarly, in Jinping County in Guizhou Province, of the income from marketing timber, 26 per cent of the money is taken as tax, 18 per cent goes to the Forestry Development Fund, 10 per cent to the Township and Village Accumulation Fund, and production costs account for 10 per cent, leaving 25 per cent as income for the forest farmers. The benefits from forestry have also been shared among the local population in **Tibet**. For example, in 1993, the total income of the local population from forestry was increased to 43 million *yuan* or 100 *yuan* per capita. In **Yunnan**, of the revenue generated, five per cent is paid as tax, 10 per cent has to be given to the Silviculture Fund, 20 per cent is income tax, and 65 per cent is paid to the producer as interest.

In **Jammu and Kashmir**, communities are entitled to collect grass, fodder, and dry and fallen wood free of royalty, with the permission of the Department of Forests. The Joint Forest Management Committee, after consultation with all members, can share a maximum of 25 per cent of the proceeds from the sale of produce from the first major harvest of the plantation among members in cash or kind after deducting the costs incurred by the Forest Department. The remaining 75 per cent of income is retained by the Department of Forests, although the Government Notification does not mention this explicitly. If a Village Plantation (Protection and Management) Committee is formed in a village, it can utilise all the funds for replanting an area, for establishing additional woodlots to those already managed, or for financing development works in the area such as construction of water supply systems and village roads.

In **Uttarkhand**, joint forest management committees may distribute 50 per cent of the proceeds of the sale of products (after deducting the cost of investment), to a maximum of Rs. 50,000 per year among their members. Of the remaining 50 per cent, half goes to the village



community and half to community work. The income from Panchayat Forests is distributed as follows. Forty-six per cent goes to the Forest Department, 10 per cent for services such as valuation of trees and marking trees for felling, and 36 per cent for the preparation and execution of development programmes for the *Van Panchayat* forest and for stationery, stamps, *Sarpanch*<sup>2</sup> expenditure, and other expenses. Eighteen per cent is given to the *Zila Parishad* (District Council) for development of the area. The final 36 per cent is retained by the District Magistrate in the *Van Panchayat* account. The *Van Panchayat* Committee can spend this money, with the prior approval of the District Magistrate, to provide community services and amenities like village roads and schools.

In **Himachal Pradesh**, all the forest products—apart from timber (leaf litter, fuelwood, fodder, and other non-timber forest products) can be distributed to the villagers free of charge under the supervision of the Forest Guard. At least 25 per cent of the net sale proceeds of timber harvests of plantations or coppice is given to the VFDC for the Village Development Fund. This fund can be used for village development work with the approval of the General House of members and in consultation with the District Forest Officer concerned. As in Jammu and Kashmir, the Department of Forests retains the remaining 75 per cent of the fund.

In **Myanmar**, the benefits derived from community managed forests are shared among the members of the users' group, and no royalty is levied on the forest products extracted from the community forest by the users' group for domestic purposes. Communities or communes that establish fuelwood plantations can utilise or market the products from such plantations.

The FUGs in **Nepal** have rights over all products, including timber, from their community forests. All the income generated is retained by the group, and no income is shared with the government. FUG funds can be used for forestry and community development activities.

Benefit sharing arrangements in participatory forest management in **Pakistan** vary according to the projects. Generally, the rights and concessions of communities include a share in such things as royalties (the *Guzara* forests in *Hazara*); trees for construction of houses, household furniture, and agricultural implements (*Hazara*, *Malakand*, *Rawalpindi*, *Murree Hills*, *Azad Kashmir* and *Northern Areas*); timber at concessional rates (*Malakand*, *Azad Kashmir*, and *Northern Areas*); rights to graze domestic animals either free or on payment of a nominal fee; collection of grass; rights of way; and the right to cut dry trees and collect fuelwood, pine cones, and pine needles.

### C.3.4 Tenure Arrangements for Participatory Forest Management

In **Bangladesh** and **Bhutan** there are no explicit tenure arrangements for participatory forest management.

In **China**, state-owned degraded forest land is leased for 30 to 50 years for reforestation activities. Similarly, collectively owned *sihuan* land can be leased, through auction, for 50 to 100 years. Whoever buys the land is responsible for the management of these areas and enjoys the income generated. The tenure can be transferred, contributed as shares, rented, or mortgaged. In **Yunnan** Province, farmers from communes that own land may lease barren mountain land for 50 to 70 years. The next generation can inherit the land tenure and the tenure can be transferred after 10-20 years. One third of all forest in **Yunnan** is state forest, one third collective forest, and one third is managed by individual households.

In **Jammu and Kashmir**, there is no provision for handing over any forest area to community or any other groups. Similarly the state forest policies in **Himachal Pradesh** and **Uttarkhand** are silent on the issue of granting rights of tenure to communities, as are the national policies.

<sup>2</sup> The *Sarpanch* is the head of the *Panchayat*.

In **Myanmar**, local communities are allotted land for 30 years, the duration can be extended with the approval of the Director General of Forests.

In **Nepal**, the government retains ownership of the land that is handed over to FUGs as community forest. Normally, the operational plans for the community forests, agreed between the government and local communities, are for five years. There is no limit to the number of times the agreement can be renewed. Land can also be leased to local communities or industry, initially for 30 years, under a government leasehold programme.

In **Pakistan**, participatory forest management programmes are being implemented on communal and state lands, including some government forests. The tenure of communal lands, such as *shamilaat*, is vested in local communities or with a group of households, whereas reserved forests and protected forests are government land. Different programmes work on different types of land. The Malakand/Dir Social Forestry Project, for example, is largely working with individually or communally held private land, whereas the Siran Forest Development project is largely working with reserved and *guzara* forest. The Aga Khan Rural Support Programme is working with state, communal, and private land.

### **C.3.5 Obligations of Communities**

In all the countries taking part in the workshop, local communities are expected to participate in the protection of forests and rehabilitation activities. In **Bangladesh**, households that participate in forestry activities must take part in reforestation, protection, and harvesting activities. Similarly, in **Bhutan**, communities participating in forest management are responsible for managing and protecting forest areas.

In **China**, whoever leases the land is responsible for the control and management of the area, and afforestation and protection work are usually undertaken.

In **India**, under joint forest management, the Forest Department and local communities draw

up joint management plans. In **Jammu and Kashmir**, local people are expected to assist the Forest Department in identifying sites for joint forest management and appropriate species for replanting the sites. The Village (Rehabilitation of Degraded Forests) Committee normally assists the Social Forestry Department or Forest Department in regeneration, maintenance, and protection of plantations. In **Uttarkhand**, according to the *Van Panchayat* Rules of 1976, *Van Panchayat*(s) are responsible for protecting and developing the forests falling under their jurisdiction. They may only fell those trees that are marked by the Forest Department and are available as a result of silvicultural plans. They may also demarcate boundaries by building boundary walls, pillars, or similar and must prevent encroachment of the forest land, close 20 per cent of the area to grazing, and protect forests from illegal felling and fire. The Village Forest Committees must prepare five-year micro-plans. The Committee must protect the area under its management and also close at least 20 per cent of the forest to grazing. They must keep appropriate records, documents, and accounts of income and expenditure.

In **Himachal Pradesh**, Forest Department staff and forest users consult and negotiate to draw up management plans, the terms of use of forest lands, an outline of a mechanism for sharing of benefits, and a mutually binding agreement describing participatory forest management activities, and the roles, responsibilities, duties, powers, and rules of both partners. The duties of the VFDC include persuading members to provide areas for plantation and assisting the Forest Department in planning, protection, afforestation, and judicious use of all existing rights, equitable sharing of products/benefits, and eco-development of the area as laid down in the approved management plan. The VFDC is responsible for the just and fair distribution of the products obtained, for ensuring management of the forest as prescribed, for settling disputes between villages, and for honouring all commitments. The VFDC can make its own byelaws with the agreement of the District Forest Officer concerned and can recommend punishment for

offenders – including cancellation of membership.

FUGs in **Nepal** are obliged to follow the operational plan, developed with the support of the Department of Forests, for management of the community forest. For their organizational management, each FUG develops a constitution that lays down the norms for organizational and financial management and the duties of the executive committee and general members.

### C.3.6 Rights of Communities

Participatory forest management programmes in **Bangladesh** and **Bhutan** are being implemented on a small scale, and the rights of communities are still being defined.

In **China**, the lessee of forest lands has the right to plant, harvest, and market the products. In **Tibet** forest policies motivate voluntary cooperation of local communities in planting trees or grasses on bare lands and wetlands. The trees planted thus are owned by the person who plants them, and children have the right to inherit the use of the land. The lessee can retain all the income generated from leased land. In 1985 in **Tibet**, people living in protection responsibility areas were given permission to market fuelwood, charcoal, thinning wood, raw wood materials, and bamboo products; to hunt (non-protected animals); to collect and weave products; and to produce sawn timber according to the national plan. In **Yunnan**, the use rights, management rights, and property rights of *sihuang* auctioned by the government resides with the collectives, organizations/entities, or individuals who have bought the 50-70 year tenure rights. The next generation may inherit the land tenure, and the land tenure can be transferred after 10-20 years.

In **Jammu and Kashmir**, the joint forest management committee cannot punish or fine forest offenders and they cannot cancel membership. All rules have to be framed in consultation with the Forest Department. The committee can form an executive committee with representatives from different groups in the community. Any work planned requires an agree-

ment specifying the rights and responsibilities of all parties involved (usually between the local communities and the Department of Forest). If the Department of Forests terminates a person's membership, that person has a right of appeal to the Department.

Theoretically the *Van Panchayat(s)* in **Uttarkhand** enjoy the powers of a Forest Officer. But although the Van Panchayats can form their own byelaws, the Panchayat Rules of 1976 do not give sufficient financial and administrative autonomy to the *Sarpanch* or the committee. For example, Section 17 of the Rules requires the prior approval of the Deputy Commissioner before a watchman or any paid staff can be hired by the Panchayat. The Van Panchayats can sell fallen twigs and grass to the right holders in the village for domestic use, but only with the prior approval of the DFO. The sale must not violate the provisions of the Working Plan, which should be prepared by the Forest Department. The Van Panchayats can levy and realise fines of up to Rs 50, but they may only compound cases up to Rs 500 with the prior approval of the Deputy Commissioner. They can confiscate implements used for illicit harvesting of products, can impound stray cattle, and can seize stolen timber and other stolen forest products. But, permission is required from the Deputy Magistrate before seized goods can be sold or auctioned. Van Panchayats can issue permits for the collection of fuel and fodder and slate and boulders and realise fees. But they are not allowed to extract resin, and approval by the Deputy Commissioner is required for removal or sale of any other kind of forest product. The Deputy Commissioner must seek the opinion of the Forest Department. The *Sarpanch* can, with the approval of the committee, mark one tree and sell it to a right holder for domestic use, but permission is required from both the Collector and the DFO before trees exempted under the Tree Protection Act of 1976 can be sold; and only the DFO can mark and initiate the sale of trees.

The forest protection committees in **Himachal Pradesh** cannot punish or fine people who violate their rules, they may only recommend

to the Department of Forests that they be punished. The committees may, however, frame their own rules on many issues related to forest management and the duties of members.

In **Myanmar**, products from the community-managed forests can be shared among the community members. No royalties are levied for products harvested for domestic consumption. The community groups have the right to establish plantations and market products from them.

In **Nepal**, the FUGs have rights over all forest products (except those specifically banned), and they can make their own rules on such issues as organization and punishments.

### **C.3.7 Gender**

Policy instruments from **Bhutan** make no specific mention of gender related issues.

The 1994 Forest Policy of **Bangladesh** clearly states that more women will be encouraged in programmes such as homestead afforestation, rural tree farming, and participatory forestry.

In **China**, women's participation in compulsory tree planting activities has been significant. For example, in 1991, nearly 120 million women participated in the national compulsory tree-planting campaign and the construction of shelterbelt systems, planted 700 million trees, and established 150,000 green project bases with a total area of 7.05 million *mu*. Women have been participating actively in reforestation programmes in **Yunnan** and **Tibet**, as in the rest of China. Women members of the People's Consultative Conference in Tibet have an important role in formulating policies on participatory forest management. In Tibet, women's participation in the collection and marketing of forest resources such as wild edible mushrooms and medicinal herbs is being promoted as part of the changes in forest policy.

**Himachal Pradesh** has a clear focus on the role of women in joint forest management. At least one woman from each household is

registered as a member of the general house, and at least 50 per cent of the members of the Executive Body have to be women. In **Jammu and Kashmir**, although different groups are represented in the executive committee, there does not appear to be any focus on gender. In **Uttarkhand**, women have not been given mandatory membership in the *Van Panchayat* committee, despite the fact that they are the important actors in forest product collection. In one of the projects being implemented in the region, the criteria for site selection for joint forest management have been developed to ensure that poor or assetless people and women receive their share of benefits.

**Nepal's** Forestry Act of 1993 does not have any gender-specific policies, although the Master Plan for the Forestry Sector of 1988 did propose a quota for women members of the user group executive committees.

In **Pakistan**, some projects have formed women's organizations to promote women's involvement in natural resource management and community development work. One example of this is the Aga Khan Rural Support Programme. In the Siran Forest Development Project, joint forest management committees have only elected male household heads from the community and Forest Department staff as members.

### **C.3.8 Equity**

Participatory forest management programmes in the Chittagong Hill Tracts of **Bangladesh** identify tribal slash-and-burn agriculturists as the main participants in the programme. Clearly delineated forest land is being set aside for these groups for permanent settlement. In other areas of the country, landless farmers are given priority in the programmes.

The guiding principles of **Bhutan's** Forest Policy include equity issues as a major consideration.

Policies have been formulated by the **Chinese** Government to promote poverty alleviation

and the development of community forestry. At the beginning of the 1980s, 18 regions were identified as national poverty-stricken areas using the average net income as an index. Fifty-eight per cent (73) of the counties in **Yunnan** have been identified as "national-level poverty counties." The Tentative Regulations for Forest Policy, which were formulated by the Autonomous Regional People's Government of **Tibet** in 1985, have stressed that poorer communities and households must be given more attention by the local government and the Forestry Department. In Tibet, poor villages and individual households in forest areas have been given more support by the local government in the management of state-owned forest resources since the middle of the 1980s.

In **Himachal Pradesh** each group of 10-20 disadvantaged households is represented in the executive committee for joint forest management, and this gives some scope for disadvantaged groups to put forward issues of concern in the committee. In **Jammu and Kashmir**, there is no specific reference to equity, although different groups are represented in the executive committee. In **Uttarkhand**, one of the criteria for the selection of villages for implementation of joint forest management projects is a high degree of economic and financial equity. Similarly, preference is given to poorer groups whose livelihoods traditionally depend on forest products (i.e., resource-poor and vulnerable groups). The guidelines also suggest that stakeholders and individual households who could have an adverse effect on the subsistence-based use pattern of poorer and vulnerable groups and/or on the sustainable management and development of forests should not be included.

The needs of various interest groups for special forestry products are recognised in community forestry in **Nepal**, but these have not been effectively implemented in the field. The need for a suitable action plan to enhance the participation of women and disadvantaged groups in decision-making has been identified as a key issue.

#### **C.4 The Role of Government Institutions in Participatory Forest Management**

All the government forestry departments at various levels provide technical and financial support for various participatory forest management activities.

The **Bangladesh** Forest Department provides technical and financial support for reforestation activities.

In **Nepal**, the government supports local institutional formation, registration of the forest management committee (of Forest User Groups), and also subsidises reforestation activities and undertakes training of FUGs.

In **Jammu and Kashmir**, the Forest Department can cancel registration of the forest management committee, and the Block Forester or Forest Guard is a member of the forest management committee. The Forest Department has the major decision-making role. It prepares the annual plan, agreements are drawn up with the village committees, and filed work is initiated in consultation with the committee.

In **Uttarkhand** the Forest Department has to mark trees in participatory forest management areas and ensures their disposal through the Forest Corporation. When forest products are to be auctioned, confidential estimates must be prepared by the Forest Department.

#### **C.5 Human Resource Development**

In **Bangladesh**, massive awareness raising is being undertaken for afforestation, protection, and utilisation of forests and forest products. There is a clear policy goal of strengthening the Forest Department to achieve the objectives and goals of the Forest Policy, and a Social Forestry Department is being established. Strengthening of the research, education, and training institutions related to forests to achieve the policy targets is also one of the major objectives of the policy. However, as yet, the Bangladesh Forest Department has not implemented

a 'scientific approach to human resource development'.

**Bhutan's** current policy stresses the need to strengthen the efficiency of forestry sub-sector institutions and to involve and train local people in proper resource utilisation.

Human resource development is an important part of forestry development in **China**. In **Yunnan**, a close relationship has been identified between the educational level of forest managers and their success in forest management. Thus, raising the educational level of those engaged in collective and individual forest management should result in an improvement in forest management and maximise the economic and ecological benefits from forestry. In **Tibet**, a large investment has been made in forestry education to enhance the training of forestry professional staff in forestry research.

In **Himachal Pradesh**, in view of the vision statement 2000 AD and the objectives for the development of training schools in the department, there is a clear emphasis on developing suitable curricula for forest guards and deputy rangers with a focus on social/participatory forest management. Special refresher courses are being designed between 1996 and 2000 AD for Range Officers and IFS Officers, as envisaged in the training agenda plan of the vision. The vision statement for 2000 AD has proposed that the Forestry Training School, Chail, supported by the Sundernagar Forestry Training Centre and the Forestry Training Centre, Kuthar, be established as the best participatory forestry training centre in the Himalayan region.

The Forest Policy of 1990 of **Jammu and Kashmir** has identified strengthening of the communication and extension wings of the Forest Department and the Social Forestry Wing as high priority activities. It has also identified the need to set up a Forest Research Institute to address various forestry-related problems, including social forestry. The State Forestry Action Programme (SFAP) of 1995 in Uttar Pradesh, of which **Uttarkhand** is a part,

emphasises participatory forest management. The broad objectives of this plan involve a change in the Forest Department's activities from a policing/regulatory role to a role in which communities are treated as equal partners in forest management. The plan also aims to change the management system of the Forest Department, so that it becomes client-oriented and adaptable, with decentralization of decision-making and improved planning, monitoring, and evaluation capabilities. Thus the SFAP mentions appropriate human resource development linked to role definition, skill-gap analysis, as well as appropriate human resources' planning and management.

The **Myanmar** Forest Policy of 1992 has clearly identified forest research, forestry planning, intersectoral coordination, and institutional strengthening as major components of forest sector development. Strengthening of educational and training facilities and both quantitative and qualitative human resource development through organizational structure review and the introduction of incentive mechanisms have been articulated in the policy. In recent years, the Central Forestry Development Centre has introduced courses on community forestry for rural communities. However, the syllabuses in other forestry institutions that train foresters are mostly oriented towards basic bio-physical sciences and technical forestry.

**Nepal's** Master Plan for the Forestry Sector of 1988 identified human resource development as one of the major supportive programmes for the forestry sector. The other four programmes also have an impact on human resource development as they deal with institutional reforms, forestry research and extension, resource information and planning, and monitoring and evaluation.

Both the Action Plan of the Forest Policy of 1991 and the draft Forest Sector Policy of 1988 of **Pakistan** have identified forestry research and education as important components. Strengthening of forest extension and institutional development are also identified by both the policies.

### **C.5.1 Human Resource Development for Participatory Forest Management**

In **Bangladesh**, a number of university and training institutions has started to offer courses on social/participatory forestry. The Institute of Forestry at Chittagong offers an elaborate course on social/participatory forestry. Khulna University offers courses on social/participatory forestry separately from its degree programmes. The Sylhet Forest School also has a very good coverage of social/participatory forestry with subjects like sociology, agroforestry, and social forestry included in the curriculum as compulsory subjects. The Forest Guard training at the Sylhet Forest School has also revised its curriculum to emphasise participatory forestry and extension.

The Forest School at Rajshahi was established under the first Community Forestry Project of **Bangladesh** in 1985 to impart training on social and community forestry to forest extension workers. Courses on social/participatory forestry programmes have also been introduced at the Chittagong Forest School.

In **Bhutan**, the Bhutan Forestry Institute offers a one-year basic forestry course, primarily for forest guards, which includes courses on social forestry. The Natural Resources' Training Institute (NRTI) at Lobesa offers a three-year diploma course in agriculture, animal husbandry, and forestry. For foresters, part of the course also includes social forestry.

Forestry education and training institutions in **Himachal Pradesh** are undergoing rapid change to reflect the focus on participatory forest management. A beginning was made when a new participatory forest management oriented training curriculum was developed in a two-week workshop in November 1995 at the Sundernagar Training Centre. However, different institutions are at different stages of curriculum change.

The university and colleges in **Jammu and Kashmir** have not incorporated any curricu-

lum on participatory forest management, nor have any of the training institutions run by the Forest Department. In **Uttarkhand**, the Forestry and Van Panchayat Training Institute at Haldwani has been training Range Officers and Van Panchayat *Sarpanchs*. The course content for both Range Officer and Forest Guard training in the Forest Guard schools in Almora and in Dehradun do not include participatory management of forest or participatory rural/rapid assessment techniques. However, the Uttar Pradesh Forestry Project envisages several job-specific and site-specific training programmes under its human resources' development component during the next four years.

In **Nepal**, appropriate changes have been made in the curriculum of the Institute of Forestry to train students in participatory forest management (PFM), although PFM topics still constitute only 13 per cent of the course. Similarly, the training section of the Ministry of Forest and Soil Conservation also imparts various types of training on PFM, as do various donor-funded community forestry projects. The Department of Forests has five Regional Training Centres. They carry out central level, regional level, and district level training. The Regional Training Centres have been supported by the Community Forestry Training Programme to address the overall needs of community forestry in the country. The Regional Training Centres carry out regular training needs' assessments to make the training more fruitful.

In **Pakistan**, the curricula in forestry courses traditionally included watershed management, range management, logging, engineering, social forestry, and a small course on wildlife, fisheries, countryside recreation, sociology, and public administration. With the shift away from traditional protection forestry to participatory forestry, during 1985-95, forest education at the Pakistan Forestry Institute (PFI) in Peshawar and forestry schools has undergone considerable change. The present syllabi of the B.Sc. Forestry and M.Sc. Forestry courses taught at the PFI reflect this change.

## Comparative Overview of Status of Participatory Forest Management in the HKH

Issues	Bangladesh	Bhutan	China		India			Myanmar	Nepal	Pakistan
			Yunnan	Tibet	Himachal	J&K	Uttarakhand			
Forest Policy/ Legislation	National Forest Policy of 1994	1991, Revised Policy and Forest and Nature Conservation Act of 1995	Detailed Operational Regulations of the Forest Law of the People's Republic of China, 1986 the Major National Laws		The India National Forest Policy of 1988 State Forest Policy in 1980			Forest Law of 1992 and Forestry Policy of 1995	The Master Plan for the Forestry Sector 1988, and five year plans, Forest Act of 1993	Draft Forestry Sector Policy of 1998 and five year plans
Policy on Participatory Forest Management	Forest Policy of 1994	Draft Social Forestry Rules of 1996	Provisions for the Auction of the Tenure of Barren Mountain Areas in 1993	Forest Policies of 1994	The Government of India memorandum on 'Involvement of village communities and VAs in the regeneration of degraded forest lands, 1990 to the Forest Secretaries of all States and Union Territories' JFM Order in 1993			Forestry Policy of 1995 and Community Forestry Instructions' Notification in 1995	The Forest Act of 1993 and Forest Regulations of 1995.	Pakistan's national draft forestry sector policy 1998 is currently under discussion. NWFP's forest policy draft incorporating PFM, in 1997.
PFM Policy Highlight	Mentions the role of NGOs in promoting social forestry activities		Supports local population to utilise barren lands, particularly for income generation		Involvement of NGOs, communities paid by the Forest Department for raising nurseries, preparing land for planting and protecting the trees after planting. Focus on gender				FUG can be handed over any national forest (not just degraded forests). FUGs keep all income and products from the forest.	
Policy Level Support	Policy	Policy	Policy		Government Orders			Policy	Policy	
Area under Community Management	Government owned degraded areas, unclassified state forests	Degraded areas	Four categories of degraded sites ( <i>Sihuan</i> )	Degraded areas	Degraded areas : any protected forests, or lands vested with the Government under Himachal Pradesh Land Ceiling on Land Act of 1972 and village common lands (vesting and utilisation) under Act of 1974 can be managed under JFM Degraded forest areas in demarcated forests	JK degraded forest areas in demarcated forests Degraded forest areas Civil Forest or in Class-I and Class-II Reserve Forest lands can be managed as Panchayat (village) Forests.	on Civil Forest or in Class-I and Class-II Reserve Forest lands can be managed as Panchayat (village) Forests	Degraded reserved forests, mangrove	Any government owned forest lands	Degraded forests
Level of Institutionalisation	Projects	Pilot Sites	Institutionalised		Projects	Project	Project	In selected watersheds, the dry zone, and mangrove areas as projects	National programme supported by various donor projects.	Projects
Number of community Institutions		4			125 village committees	1240	5000 Van Panchayats 47 JFM		6020 Forest User Groups	
Forest Area under PFM		1152 ha			6005 ha	600 sq km	469362 ha under VP 16225 ha under JFM		403688 ha	
Land Tenure Status under PFM			State owned degraded forest land is leased for 30 to 50 years. Collectively owned <i>sihuan</i> land leased through auction for 50 to 100 years.		State Forest Policies are silent on the issue of granting tenurial rights to the communities	No provision for handing over any forest area to community or any other groups		Land allotted for 30 years	Normally, FUGs have five-year operational plans for forest management. Land ownership still with government	



### Comparative Overview of Status of Participatory Forest Management in the HKH (cont'd)

Issues	Bangladesh	Bhutan	China		India			Myanmar	Nepal	Pakistan
			Yunnan	Tibet	Himachal	J&K	Uttarakhand			
Management Unit/ Institutional Arrangement		Five or more households	Individual households, communes or any other legal entity (organisation)		One Village Forest Development Committee in one <i>tikka</i> or a village, registered with the territorial Divisional Officer	Village (Rehabilitation of Degraded Forests) Committee in each forest range, comprised of people residing at the edge of degraded forests. Village Plantation (Protection and Management) Committee	Village Forest Committee	Village/ Cooperatives	All traditional users, irrespective of political boundaries form a Forest User Group	
Executive Committee					Out of 9-12 members, minimum 5 members are to be from the village/ <i>tikka</i> , half of which have to be women, 1 from <i>panchayat antodaya</i> family, 1 from women member. Forest Guard of FD as a rep.	11 (2 women/ 2 SC/ST). Block forester or forest guard as representative of Forest Department in Village (rehabilitation of degraded forests) committee but for the Village Plantation (protection and management) committee, only two represent the village of four member committee	Will be constituted as per sub-section of Section 29 of the United Provinces Panchayat Raj Act of 1947		Decided by the Users	
Tenure of Executive Committee						One year	Micro-plans are made for five years		Decided by FUG	
Gender Representation					At least 50% of committee members have to be women and a female and a male of each household enrolled as a member of the general house.	One adult male and one female of each household as members of village (rehabilitation of degraded forests) committee. Executive committee to have at least two women members				
Benefit Sharing	15- 40% of final yield to participants, rest to government and others				Forest products like grass, firewood, leaf litter free to users. 25% of net sale proceeds of the final harvest to be put in village development fund	Communities are entitled to collect grass, fodder, dry and fallen wood free of royalty with the permission of the Block Forester. The committee, under consultation with all the members can share a minimum of 25% of the proceeds from the first major harvest of the plantation in kind or the sale proceeds of the produce among members after deducting the costs incurred by the Forest department	50% of the proceeds of the sale of forest products to a maximum of Rs 50,000 per year (after deducting cost of investment). Of the remaining 50% produce, 50% is distributed to the village community and 50% to community work	Participants keep the products and can also market them.	No benefit sharing with the government, FUG entitled to keep all the products and income.	

NOTE: The information for this comparative overview has been derived from the national and sub national studies on participatory forest management from Bangladesh, Bhutan, China, India, Myanmar, Nepal and Pakistan. Blank columns indicate that specific information was unavailable.

# **D** Strategic Issues for PFM in the HKH

*Exploring the Advantages, Alternatives, Obstacles, and Policy  
Implication*

The country presentations provided an appropriate backdrop to initiating discussions on identifying strategic issues for participatory forest management (PFM) in the Hindu Kush-Himalayas, particularly those that have implications for policies, programmes, and human resource development.

To facilitate discussion, five mixed-country groups were formed in which participants shared their experiences of PFM. Group discussions concentrated on certain key issues. Following a group discussion guideline, each group first examined what each member of the group considered PFM to signify. Next, the groups analysed the viability of PFM and examined alternatives. If they considered PFM to be a viable option, participants were asked to share their ideas about the advantages of PFM and how it could be made more effective, and to identify factors and causes that contribute to successful PFM, and factors and barriers that hinder it.

Each group presented the highlights of their discussion in a plenary session where they were discussed and collated. This section describes the major strategic issues identified for the development and promotion of PFM in the Hindu Kush-Himalayan region.

## **D.1 Strong Endorsement of PFM as a Viable Option**

There was a consensus that PFM was a viable option for sustainable forest management in the Hindu Kush-Himalayas. The emergence of policies on PFM in the countries of the HKH was

an indication that this had been recognised. Other options to meet national and local needs were also pointed out, and it was stressed that there was a need to translate these policies into sustained implementation.

## **D.2 Lack of Alternative Options for Forest Management**

No concrete alternative approaches to PFM for sustainable forest management were identified. The past custodial approaches by government institutions had not been very successful in maintaining the extent and the quality of forest resources, in meeting the needs of local communities, or in meeting the needs of the country. This underlined the strong endorsement of PFM by the participants for resource conservation, sustainable management, and community development.

As a future strategy, it was recognised that the involvement of local communities was critical and that there were a number of forest management models incorporating varying degrees of community participation. The example of Nepal was cited as a country where there are legal provisions to manage forests as community forests, leasehold forests, religious forests, private forests, or national forests. The diversity of PFM approaches in the HKH was recognised, as were the opportunities for cross-country learning.

## **D.3 Forest Types and Areas Appropriate for PFM**

With the exception of Nepal, all the countries of the HKH only implemented PFM in degraded

forest areas. This was identified as a very important issue for the future of PFM. It was felt that if the governments persist in only implementing PFM on degraded lands, then local communities would have an incentive to degrade existing forests. It was argued that handing over of good quality forests to local communities was an appropriate preventative measure against further forest degradation. The current policy framework that excludes well-stocked forests from being brought under community management systems needs urgent review.

#### **D.4 Equity and Gender**

Equity in sharing benefits and real participation of women and disadvantaged groups were emphasised as important factors in the success of PFM. Lack of concern for equity would lead to conflicts and undermine any collaborative work, whether within a community, between communities, or between communities and forest departments.

Attention to gender issues was considered very important for development in all the countries of the HKH, including development of PFM. Development of innovative strategies in improving gender relations and in promoting the role of women in decision-making on issues related to the governance and management of forests will continue to be high on the PFM agenda in the region. It was clear from the discussions that the participants attached great importance to this issue. The major gap between policy and practice on equity and gender issues was highlighted.

#### **D.5 Benefit Sharing Arrangements**

There is a diversity of arrangements for sharing forest products and income from forests between the government and the local communities in the countries of the HKH. In Nepal, the forest user groups retain all products and income generated, whilst in most other countries there is a sharing of benefits. Where benefits are shared, there is often inadequate clarity about whether it is the gross or the net benefit that is to be shared. A need for clarity

was felt, and there was a debate on what constituted a fair sharing arrangement. This issue is of great importance, and it is unlikely that the same approach will be effective in all countries. Stakeholders, and especially the local communities, will need to be included in negotiations on fair sharing arrangements. This has to be done with a sense of urgency, as the absence of clear benefit sharing arrangements could undermine the trust of communities and have a negative effect on the promotion of PFM.

#### **D.6 Human Resource Development (HRD) Challenges**

Capacity building through effective training for different stakeholders was considered to be very important. Traditional forestry training does not include bottom-up planning and does not address the training of local communities or the incorporation of social aspects in forest management adequately. HRD encompasses not only formal training but also a range of other activities that provide learning opportunities. The issue of motivation and incentives was considered very important, as well as that of changing the organizational culture so that organizations can be responsive to changing HRD needs and recognise, facilitate, and promote innovations.

The need to strengthen training institutions by upgrading their physical facilities and the need to improve the quality of trainers and material were also discussed. Shortage of trainers with adequate field experience was felt to be a great constraint to HRD, and the need to develop trainers from local communities was stressed. The need to improve formal forestry training at universities and other forestry schools was also highlighted. Most courses were felt to be too theoretical. It was noted, that in many cases, the curriculum had not been updated to reflect innovations in forest management.

#### **D.7 Attitude of Foresters**

The question of attitude was recognised to be closely linked with the training received and the institutional culture, including the history

of the forestry organizations. There is a need to change the traditional top-down attitude of foresters, which has been largely shaped by the custodial approach of forestry institutions, and to develop attitudes compatible with a more catalytic role that suits the concepts and approaches of PFM.

### **D.8 Sensitisation of Policy-Makers**

For policies to promote PFM to be appropriate, policy-makers must be aware of the current issues and concerns. Mechanisms to sensitise policy-makers needed to be developed. In many instances fear of failure causes people to underreport failure or only report successes, and this often results in a lack of true reflection on the appropriateness of policies.

### **D.9 Advantages of PFM**

The participants highlighted a number of issues pertaining to the improvement of the biophysical environment, better meeting of the needs of local communities, and effective resource generation and utilisation for community development.

#### ***D.9.1 Improved Forest Protection, Rehabilitation, and Management***

One of the major benefits highlighted was that PFM improves the protection and rehabilitation of degraded forests and helps to improve management of forest resources. PFM's role in enhancing a feeling of ownership and a sense of attachment to the resources amongst local communities was important for the sustainable management of forests.

#### ***D.9.2 Meets Subsistence Needs of the Communities***

Under PFM, communities themselves can set forest management priorities to produce those forest products that best meet their needs. Their subsistence needs can be met at a minimum cost and products can be obtained more easily. Increasing the quantity or range of forest products saves the time and labour of communities for obtaining these resources, and this

allows them to be involved in other productive activities.

#### ***D.9.3 Income Generation and Employment***

The role of PFM in increasing employment opportunities in plantation and other activities, such as forest product craft and trade, was considered to be a major advantage. Local communities can market surplus forest products and generate income which can be used for community development programmes. PFM also allows local community institutions to undertake other resource generation activities such as value addition and marketing, and they can mobilise other resources for community development.

#### ***D.9.4 Local Institutional Development***

One aspect of PFM is the evolution of community institutions to undertake PFM activities. Such local institutions are responsible for improving the participation of communities in planning, implementation, and monitoring and evaluation of programmes. Furthermore, they develop policies on institutions and resource mobilisation and gender and equity issues at the local level. The evolution and development of these institutions is thought to exert an influence beyond community forest management. The institutions are thought to have an overall positive impact on civil society; communities learn to work in groups, to have their say, to resolve conflicts, to negotiate with 'outsiders', to run effective organizations, to plan effectively, and to implement those plans. These are all important facets of overall community development processes, and local institutional development in PFM is considered to enhance these community skills and actions.

#### ***D.9.5 Efficient Resource Utilisation***

PFM was thought to promote the optimal and efficient use of available resources. This was thought to result from the collaboration between the government, local communities, and other organizations. As more resources become available for rehabilitation, protection, and de-

velopment activities, there is also better scope for ensuring accountability on the part of all the stakeholders involved.

### ***D.9.6 Improved Relationship between the Government and Local Communities***

PFM contributes to building a relationship of trust and confidence between the people, the forests, and the foresters. It results in a synergy from the pooling of knowledge from all stakeholders and facilitates information sharing and improved management of resources.

## **D.10 Factors for Successful PFM**

The key factors identified for successful participatory forest management included appropriate policies, rules, and programmes; recognising local communities' capacities; adoption of a participatory approach; appropriate institutional arrangements; human resource development; commitment to learning and sharing; and appropriate donor support.

### ***D.10.1 Clear and Stable Policy Support***

Strong policy support and a stable policy were considered to be of paramount importance for successful PFM. Frequent changes in policy could have an adverse impact on the sustainability of PFM programmes. Clarity in both policy and the legal framework was very important.

### ***D.10.2 Presence of Appropriate and Timely Rules***

Policy is only a statement of intent. The presence of appropriate and timely rules is essential to ensure PFM policies are implemented as properly planned programmes. In many of the countries policies are present, but there are no rules and guidelines to support them. The participants considered this to be an important issue for the future of PFM.

Mechanisms to periodically review policies, rules, and programmes, to ensure the appro-

priateness and timeliness of government actions, were indispensable for successful PFM.

### ***D.10.3 Recognising People's Capabilities***

The emphasis on people and their capabilities was considered to be one of the most important aspects of successful PFM policy and programmes. The most important factors were people's involvement in the decision-making process from the planning stage to programme implementation and recognition and respect for traditional and indigenous knowledge. This recognition requires a change in the traditional attitudes of foresters who tend to value 'scientific' knowledge above 'traditional' and 'indigenous' knowledge and to consider local people to be a 'problem' rather than a part of the 'solution'.

### ***D.10.4 Stakeholder Participation and Community Involvement***

The thrust of PFM is on involving local communities and empowering them to enhance their decision-making role in local resource management. The need for their involvement in the very first stages of planning was emphasised. The PFM stakeholders do not just constitute local communities and the government, but also include others like non-government organizations and private businesses. These were identified as important allies in providing diverse services. Innovative strategies for fostering stakeholder participation were considered a major factor for the success of PFM.

### ***D.10.5 Appropriate Institutional Arrangements***

Without appropriate institutional arrangements, PFM could not be viable. Appropriate institutional arrangements include both government institutions and local-level community institutions. Government institutions needed to have structures in place that ensured that government staff could be in regular contact with local communities and be able to support their initiatives. This was singled out as a major determinant for the success of

PFM. Similarly, robust community organizations needed to be in place at the community level to develop and enforce community norms, help in conflict management, and lead participatory development planning and implementation. The role of the community institutions as representatives of the community able to work with the government and other institutions was also highlighted.

#### ***D.10.6 Human Resource Development***

Adequate numbers of government staff with appropriate attitudes and skills are indispensable for the successful implementation and promotion of PFM. Local communities may also need to be trained in new skills related to organizational management, mobilisation of people, and technical issues for resource management, all of which are needed for PFM. For these, training needs' assessment and training centres may be required. Regular updating of the skills of trainers and regular assessments of the usefulness of training are also very important.

#### ***D.10.7 Learning and Communication***

A spirit of learning by doing and of communication were also considered key factors for success. Although countries can learn from the experiences of other countries, 'learning-by-doing' is the best approach to ensure that policies and programmes are truly suited to the situation of the country. Communication needs to be improved, and feedback systems to policy-makers and communication between foresters and communities should be emphasised.

#### ***D.10.8 Appropriate Donor Support***

In many countries, donor support had been important in providing resources, facilitating HRD, refining policies, and implementing PFM programmes. Yet, donors needed to be sensitive to a government's overall policy, and their actions should be transparent and accountable. The participants felt that some donors attempted to put undue pressure on the government to implement standardised

activities in all places, ignoring mountain specificities and not considering the appropriate level of funding. Disregard of appropriate timing and the appropriate level of scaling-up of programmes often leads to failure.

### **D.11 Barriers and Obstacles to PFM**

A number of barriers to effective PFM as identified.

#### ***D.11.1 Inappropriate Legislation***

Weak, complex, conflicting, and top-down legislation promotes confusion and leads to inappropriate PFM implementation. Lack of flexibility in rules to meet specific sociocultural conditions can also hinder PFM implementation. In many cases, other government acts and programmes need to be taken into consideration or even changed so that PFM policies and actions do not contravene these acts or programmes.

There should be appropriate policy guidelines and these should be backed by legislation. Legislation should be clear and simple. A stable forest policy, acts, and regulations are needed. Government legislation on PFM needs to be framed so that it complements other legislation.

#### ***D.11.2 Lack of Priority Given to PFM in National Programmes***

Inadequate priority given to PFM in national programmes leads to under funding, which results in inadequate human resource development and inadequate extension services. This remains a big obstacle for PFM in the Hindu Kush-Himalayan region.

#### ***D.11.3 Inadequate Focus on Changing Attitudes and Behaviour***

Most country strategies for HRD do not explicitly include changing the attitude and behaviour of government staff as a priority. Attitudes and behaviour underpin many activities as well as the relationships between government staff and

local communities. The lack of focus on change has many negative impacts on PFM and community development as a whole. There will have to be a change in the approach of foresters and policy-makers from the top-down traditional style to a bottom-up participatory mode of working. All stakeholders should be committed; the will of the government, bureaucracy, and the people is absolutely imperative for the success of PFM. Mutual understanding and respect should be developed between all the stakeholders in PFM, and there should be coordination and cooperation, not only between communities and the forest department, but also between different government departments.

A comprehensive HRD programme should be developed for PFM. This is not just a matter of training staff or local people, it also involves offering appropriate incentives so that the training is effective.

#### ***D.11.4 Failure to Address Complex Social Factors***

Many forestry policies and programmes only take into account the technical and bio-physical aspects of forestry. However, for PFM, social, institutional, and political realities also need to be considered. At the community level, social customs, such as gender issues, the caste system, and economic disparity within the community, often lead to inequitable benefit sharing and conflicts.

There is a complex range of stakeholders in participatory forestry and a need to involve the different groups of stakeholders in decision-making. NGO involvement in facilitating communication and supporting extension services has been very important in some HKH, countries. NGO involvement in communicating policy and implementing programmes at the grass roots' level, an area in which many governments have limitations, has been particularly important for the promotion of PFM.

#### ***D.11.5 Lack of Transparency***

A true spirit of trust and collaboration can only take root if transparency is maintained in deci-

sion-making by the government and local community-level institutions. When policies, rules, and legislation are made without wider consultation, important issues are often ignored and this leads to conflict.

Many communities do not follow the rules, guidelines, and management plans, and there is a lack of transparency in their activities. These can lead to a disappointment with PFM and undermine its promotion. Lack of information and awareness at various levels exacerbates such situations.

#### ***D.11.6 Lack of Conflict Resolution Mechanisms***

If there are no appropriate conflict management mechanisms to deal with any conflicts that arise, this will seriously undermine programmes. Conflict resolution mechanisms need to be easily accessible, cost effective, timely, and consultative. As yet, none of the countries has any specific rules or programmes to address this issue.

#### ***D.11.7 Lack of Site Specific Planning***

Inflexibility in the rules, regulations, and programmes can mean that a programme unsuitable to a place is forcibly implemented. This insensitivity to site specificity will cause the programme to fail. This is particularly true in a widely diverse mountain region like the HKH.

#### ***D.11.8 Lack of Recognition of Usufructory Rights***

Lack of recognition of local usufructory rights leads to conflict between local communities and the government. This undermines a good working relationship between the stakeholders and PFM cannot flourish under such circumstances.

#### ***D.11.9 Lack of Security of Tenure***

Lack of clearly articulated security of tenure over land and products being managed by local communities under PFM can be a

disincentive for local communities to participate fully in PFM activities. This remains a major issue in the countries of the HKH region.

### **D.11.10 Poor Involvement of Women**

Whilst the important role of women in natural resource management in the HKH region is well understood, practical policies and programmes to enhance their role, particularly in decision-making, remain elusive. This is an issue being faced by all the countries in the region and, without adequate emphasis on this, PFM is unlikely to be truly successful. PFM should make participation more effective by undertaking programmes for the empowerment of women and disadvantaged groups.

### **D.11.11 Inequitable Benefits for the Poor and the Disadvantaged**

The success of PFM should not be measured simply in terms of the protection and regeneration of forest resources, but also in terms of whether or not it meets the needs of local people. In many cases, studies have shown that the poor and the disadvantaged do not necessarily benefit from overtly protection-oriented PFM. It is important to recognise this, and PFM programmes need to be sensitive to the needs of the poor and disadvantaged.

Alternative income generation is very important, especially for the poor and the disadvantaged, since the gestation period from planting to harvesting is long. Alternative income generating activities need to be implemented as part of the PFM programme in such areas.

## **E.1 Background to HIFCOM**

The Hindu Kush-Himalayas are home to well-known systems and other resources that provide life support not only to mountain communities but also to those in the plains. Currently, unrelenting pressure on the forest resources in the region is leading to declining biodiversity and threatening the whole ecosystem.

Upland forests play an important role in meeting communities' subsistence needs and contribute to mountain agriculture. In addition, they protect soils and river systems that ensure the productivity of agriculture in the plains. Continuing resource degradation in the mountains has led to growing concern and a sense of urgency to search for strategies that can ensure sustainable management of mountain resources.

have witnessed the emergence of participatory forest management (PFM) as a prominent approach. While the terminology differs from country to country, the issues and challenges for institutions are similar, and most national institutions charged with the responsibility for forest management are facing new measures of change. Sustainable PFM programmes have been found to be more successful when the forest-dependent people in the protection and management areas are given a prominent role. Forest professionals have increasingly to manage the expectations of local people who are willing to create a policy and an institutional environment that gives local communities more control over their own resources. There is a prominent need for forest professionals who play a major role in promoting and protecting forests, to provide the impetus for future change in forest management in their respective countries.

### **E.1.1 The Emergence of HIFCOM**

Consultations, an end analysis of the status of participatory forest management in the Hindu Kush-Himalayas by ICMOD in 1995 involved both a diversity of approaches to community



# **E** Facing the Institutional Challenge of HIFCOM-The HKH Forum for Forest Conservation & Management

*Emergence of a Regional Mechanism to Promote Participatory Forest Management*

One of the major objectives of the workshop was to “broadbase the concept of HIFCOM with all the countries of the Hindu Kush-Himalayas” in addition to the founding member countries of Bhutan, India, and Nepal. To achieve this objective, a series of sessions were designed as part of the workshop. These sessions included plenary presentations on the background and objectives of HIFCOM, sharing the process of institutional development and the mission statement, seeking endorsement for the concept of HIFCOM, and identifying country specific issues and a regional plan of action for HIFCOM. This section provides a synthesis of these sessions.

## **E.1 Background to HIFCOM**

The Hindu Kush-Himalayas are home to watershed systems and natural resources that provide life support not only to mountain communities but also to those in the plains. Currently, unrelenting pressure on the forest resources in the region is leading to declining biodiversity and threatening the whole ecosystem.

Upland forests play an important role in meeting communities’ subsistence needs and contribute to mountain agriculture. In addition, they protect soils and river systems that ensure the productivity of agriculture in the plains. Continuing resource degradation in the mountains has led to growing concern and a sense of urgency to search for strategies that can ensure sustainable management of mountain resources.

Government efforts alone are not sufficient, and solutions must be sought in the context of people’s participation in forest management. Local communities have a symbiotic relationship with forests and should be partners in forest development efforts. For this reason, almost all of the countries of the Hindu Kush-Himalayas have witnessed the emergence of participatory forest management (PFM) as a potential approach. While the terminology differs from country to country, the issues and challenges for institutions are similar, and most national institutions charged with the responsibility for forest management are facing new paradigms of change. Sustainable PFM depends on the establishment of collaborative relationships between forest dependent communities and the forest departments involved in the protection and management of forests.

Forestry professionals have increasingly begun to recognise the role of communities and are willing to create a policy and an institutional environment that gives local communities more control over their own resources. There is a prominent need for forest professionals, who play a major role in promoting and protecting forests, to provide the impetus for future change in forest management in their respective countries.

### **E.1.1 The Emergence of HIFCOM**

Consultations on and analysis of the status of participatory forest management in the Hindu Kush-Himalayas by ICIMOD in 1995 revealed both a diversity of approaches to community-

oriented forest management in the HKH region and a tremendous opportunity for learning and sharing between countries. Although some countries had national forums for developing the process of institutional change, there were no regional mechanisms that offered opportunities for inter-country learning. ICIMOD hosted a workshop in Chail, Himachal Pradesh, India, on the theme of 'Participatory Forest Management: Coping and Managing Change' in June 1995 to address this issue. This workshop was organized in collaboration with the Department of Forest, Farming and Conservation, Government of Himachal Pradesh, India, and brought together senior and middle-level forestry and related professionals from the three countries of Bhutan, India, and Nepal.

A diversity of institutions was represented at the workshop, including government departments, projects related to community forestry, and bilateral projects. Participants also came from international and government organizations and from forestry training institutions. The workshop focussed on the processes of change from conventional to participatory models of forest management and the kinds of institutions that are required to support this changing paradigm. The workshop participants concluded that the process needed to be analysed at personal, professional, and institutional levels in order to develop appropriate strategies that could nurture and encourage change.

One of the objectives of this workshop was to "explore the merit of establishing a regional forum, owned and driven by foresters, to promote and strengthen participatory forest management in the Hindu Kush-Himalayas." The concept of a regional mechanism was endorsed at this forum by all three countries and was named HIFCOM—the Hindu Kush-Himalayan Forum for Forest Conservation and Management.

### ***E.1.2 The Process of Building Ownership***

The institutional process of HIFCOM started with the selection of a regional committee in June 1995 which was drawn from the found-

ing member countries of Bhutan, India, and Nepal. Several national and regional consultations and workshops, and country specific and regional committee meetings have been held over the last few years. HIFCOM sub-country chapters have been created; and HIFCOM members have participated in the performance of sub-national and national studies on the status of participatory forest management.

In August 1995, a national planning meeting was held in Nepal in which professionals and policy-makers from Nepal were informed about the concept of HIFCOM. In September 1995, HIFCOM's First Regional Executive Committee meeting was held and the Mission Statement endorsed. It was also decided to draft a HIFCOM regional constitution. A sub-national workshop in Jammu and Kashmir was organized in February 1996. The Second HIFCOM Regional Executive Committee met in New Delhi in India in January 1997 to discuss and review the draft constitution. The workshop in China is part of the process of ensuring that forestry professionals take on the ownership and leadership for the institutional development of HIFCOM.

### ***E.1.3 HIFCOM Mission Statement***

The Mission Statement for HIFCOM was developed and adopted at the 'First HIFCOM Regional Executive Committee Meeting' which was held in Kathmandu, Nepal in September 1995: The statement is:

"HIFCOM is a regional institution committed to promoting and strengthening participatory forest management in the Hindu Kush-Himalayan region. HIFCOM is mandated to the holistic management, conservation, and sustainable development of all types of forests, including wastelands. HIFCOM will aim to strengthen the capacity of local, national, and regional institutions in establishing participatory approaches in forest management".

HIFCOM aims to provide a regional forum in which forestry and related professionals from the countries of Afghanistan, Bangladesh, Bhutan, China, India, Myanmar, Nepal, and Paki-

stan have the opportunity to share their experiences in coping with and managing change related to participatory forest management. HIFCOM is designed to offer a forum for discussion of strategies and lessons related to the change from conventional forest management systems to participatory forest management approaches.

### E.1.4 HIFCOM's Institutional Structure

HIFCOM's Executive Committee meeting, held in Kathmandu in September 1995, proposed the institutional framework as given in Figure 1.

This framework envisages a HIFCOM regional executive committee drawn initially from the national level committees in Bhutan, India, and Nepal. The national committees are mandated to establish HIFCOM in their respective countries, while HIFCOM Regional will focus on cross-country needs and issues.

At the first meeting, Action Plans were drawn up for HIFCOM-Nepal and HIFCOM-India. These Action Plans involved organizing national meetings to disseminate information on the concept, objectives, and role of HIFCOM in these countries, seeking legal status, and beginning the process of institutionalisation.

The Director General, Department of Forests, His Majesty's Government of Nepal, and the Inspector General of Forests, Ministry of Environment and Forests, Government of India, formally agreed to become Patrons of HIFCOM.

### E.1.5 HIFCOM's Theme of Institutional Change

During a Planning Meeting held under the aegis of ICIMOD in April 1995, a group of forest professionals met to discuss the impact of the institutional change implied in the shift from custodial forest management to participatory forest management. A diagram was evolved to portray the three levels of personal, individual, and institutional change (Figure 2).

Forestry professionals operate at a three-core level. Personal and professional beliefs are the most immediate, and these have been depicted in the inner core. Foresters normally express their personal and professional concerns through the institutional environment within which they work, that is the forest department. And whatever their internal or personal beliefs, they are bound by a set of systems and rules. The internalisation process needs to start at the personal level and expand to the institutional level. The process of transformation has to be

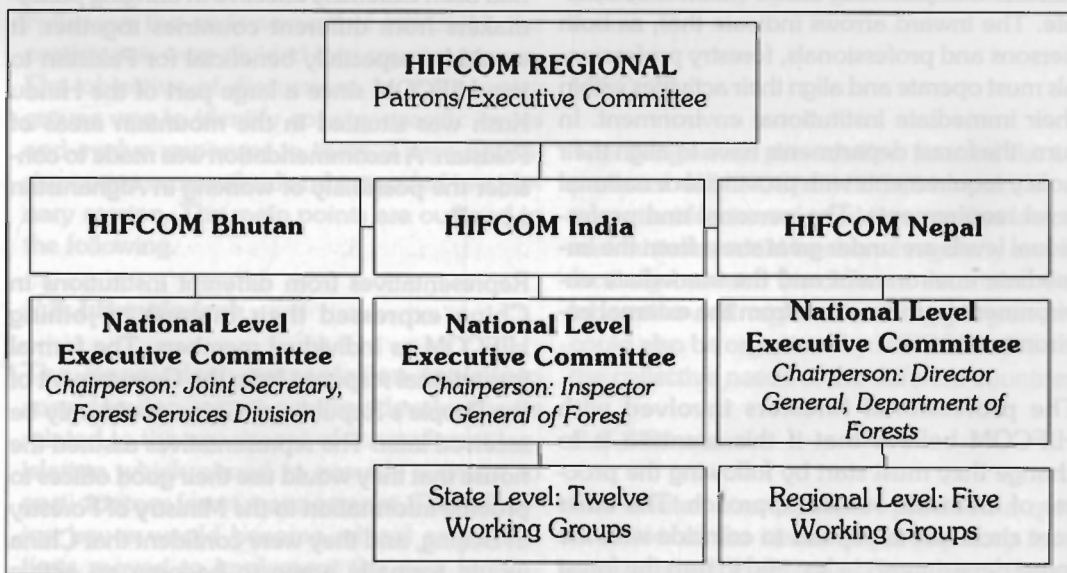
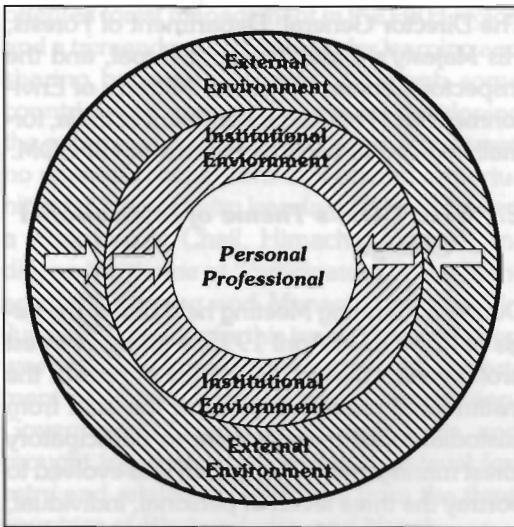


Figure 1: Institutional Framework



**Figure 2:** Three Levels of Institutional Change

an inside-outside, rather than outside-inside, one. Ideally this process of change should be demand driven. At a wider level, Forest Departments do not operate in isolation. They operate and interact with all the other sectors of government and a diversity of institutions. The external environment within which the forest departments operate also influence the institutional environment.

If foresters are to follow an inside-outside approach, then they must look at the levels of stresses and pressures under which they operate. The inward arrows indicate that, as both persons and professionals, forestry professionals must operate and align their activities within their immediate institutional environment. In turn, the forest departments have to align their policy requirements with provincial or national level requirements. The personal and professional levels are under great stress from the immediate environment and the immediate environment is under stress from the external environment.

The professional foresters involved with HIFCOM believe that if this scenario is to change they must start by following the process of an inside-outside approach. The inner core circle has to expand to coincide with the forest department circles, and in turn the forest department circle must expand to coincide with

the external environment. In this way all three levels would operate in one big circle in which all four components are in harmony: personal, professional, forest department, and external environment.

HIFCOM aims to provide an opportunity for all the professionals committed to this concept of inside-outside principle centred leadership and change to achieve their aim

## **E.2 Strong Country Endorsements for the Concept of HIFCOM**

The country representatives present at the workshop were unanimous in endorsing the concept of HIFCOM as an innovative and important institutional mechanism. They agreed that HIFCOM could not only assist in meeting the national objectives being pursued by different countries, but could also have a role in encouraging sharing and learning between the different countries of the Hindu Kush-Himalayan region.

Bangladesh expressed a keen interest in becoming a partner of HIFCOM and participating in all future programme activities.

The representative from Pakistan said that HIFCOM, so far under the umbrella of ICIMOD, had been extremely effective in bringing policymakers from different countries together. It would be especially beneficial for Pakistan to join HIFCOM since a large part of the Hindu Kush was situated in the mountain areas of Pakistan. A recommendation was made to consider the possibility of working in Afghanistan as well.

Representatives from different institutions in China expressed their interest in joining HIFCOM as individual members. The formal institutional response from the Government of the People's Republic of China could only be received later. The representatives assured the house that they would use their good offices to provide information to the Ministry of Forestry in Beijing, and they were confident that China would formally agree to become an active member of HIFCOM. The Chinese participants

stressed that their participation in the workshop had been extremely valuable, and they felt that HIFCOM could provide important learning opportunities that would contribute to improved forest management in the mountain areas of China.

Myanmar expressed an interest in becoming a member of HIFCOM and felt that since Myanmar was in the initial stages of implementing participatory forest management they could benefit greatly from HIFCOM. The formal assent for Myanmar would be sent later after due discussions with senior forestry professionals.

Representatives from the countries of Bhutan, Nepal, and India, who had been involved in the founding of HIFCOM, reiterated their desire to continue their involvement and welcomed the endorsement of HIFCOM from the countries of Bangladesh, China, Myanmar, and Pakistan. These statements laid the foundation for broadening the basis of ownership and concept of HIFCOM so that it could emerge as a truly regional institutional mechanism to fulfil the goal of participatory forest management in the Hindu Kush-Himalayas.

### **E.3 Country Specific Issues and Responses**

Following the endorsement of HIFCOM, the participants were divided into country groups. The objective of discussions in the country groups was to identify country-specific issues and evolve responses to them. These discussions were summarised and presented in a plenary session. The main points are outlined in the following.

#### **E.3.1 Bangladesh**

The Bangladesh presentation took into consideration recent positive developments related to the enactment of a new forest legislation which aimed to provide support to participatory forest management. The following issues would become critical as institutions moved to implement the new legislation.

#### The Attitude of Foresters

While some professional foresters supported the concept and practice of community-oriented forest management, there were others who needed to change their traditional perspectives and attitudes. An institutional reform process was in progress, and a social forestry wing would be established with professionals oriented to support participatory forest management.

#### Policy and Legislation

Substantial work had already been carried out in Bangladesh, including a review of existing policies and legislation. In order to ensure that implementation took place and that participatory forest management was a success, it was important to continue to sensitise policy-makers so that potential barriers could be removed.

#### Need for a Comprehensive Human Resources Development Plan

There was a need to develop a comprehensive human resource development plan and to provide priority to training and capacity building. The institutional mechanism for training had already been incorporated in the institutional reform process and was expected to be approved formally by the government in the near future.

#### HIFCOM

The Bangladesh presentation stressed the importance of HIFCOM. HIFCOM would be an important forum and would ensure that lessons and mistakes could be shared regularly and effectively between the different countries. Collaborative and regional training programmes could also be organized by HIFCOM based on the collective needs of the different countries.

#### **E.3.2 Bhutan**

The Bhutan country report provided a quick overview of the status of participatory forest management in Bhutan. Since participatory forest management was in the pilot stage in

Bhutan, it was stressed that there were many opportunities for learning from within the region which could benefit professional foresters from Bhutan. The following were identified as the key issues.

#### Need to Simplify Policy and Legislation

While policies and acts related to social forestry had recently been approved, there was still a need to simplify these instruments. These rules have already been drafted and will be approved in the near future.

#### Need to Change Attitudes

Change in attitude was an important factor, and it had to start at the individual level and then spread to the institution. Awareness and opportunities for interaction with similar institutions in the region would assist in changing attitudes and widening perspectives. There is a need to be proactive through workshops, seminars, and forums.

#### Human Resource Development

Capacity building and training has to be an ongoing process to ensure there are sufficient adequately trained people for successful implementation of participatory forest management.

#### HIFCOM

The role of HIFCOM could be to disseminate experience and information among member countries and assist in the organization of workshops, study tours, and training. HIFCOM may also consider offering scholarships to outstanding and deserving foresters in the region.

### ***E.3.3 People's Republic of China***

The group from China reflected on and reviewed the present situation in relation to community-oriented natural resource management in China. The existing policies, rules and regulations, current projects, and the institutions involved were discussed in detail. The following issues were identified.

#### Policy Environment

One of the key issues in China is the policy environment which includes the planning system of the department of forests and the management system of government. Substantial discussion and reflection were required to ensure the creation of an enabling policy environment for the success of participatory forest management.

#### Capacity Building and Training

There was an urgent need to initiate programmes that would enhance the capacity of community institutions, scientists, and managers in participatory forest management. Training on concepts and tools for participatory methods was essential. The focus of training must give priority to frontline staff.

#### Demonstration and Research

There was a felt need to enhance demonstration activities and to undertake research so that lessons and failures could be identified and disseminated widely. It was also important to ensure that information was delivered to those who really need it.

#### Information Exchange

This was identified as a major issue. The group felt that information exchange needs to be strengthened substantially between the mountain provinces of China as well as between the different countries of the Hindu Kush-Himalayan region.

#### Attitudinal Change

This problem was reiterated, and the urgency and importance of changing attitudes stressed. A change in attitude and belief was essential to ensuring the success of participatory forest management programmes.

#### Process Documentation

Learning from experiment and experience would only be valuable if these processes were

documented. It was necessary to enhance process documentation and to build a new capacity for the process documentation of research, demonstration, and innovation.

### HIFCOM

A specific role for HIFCOM would be not only to assist with inter-country sharing and learning, but also to assist in establishing an institutional mechanism for inter-institutional sharing in China. Several options were suggested, and these included the possibility of forming 'HIFCOM Yunnan'. Key participants from Yunnan expressed an interest in initiating this process after the workshop. The process would include seeking formal support from the Ministry of Forestry in Beijing.

### **E.3.4 India**

The group from India identified issues at different levels which included the individual level, the institutional level, the state level, the national level, and the inter-country level.

#### The Attitude of Foresters

The consensus of the group was that the attitude of the forester is not at all fixed. On the contrary, it has changed with the situation. The attitude has generally been reactive, with foresters reacting to views and comments from outside the institution. More recently foresters have become proactive and responsive.

At the individual level, increased interaction, both horizontal and vertical, at all levels would assist in broadening and changing attitudes. The forest department will need to take a more active role in promoting participatory forest management.

#### Sensitisation of Policy-makers

The group felt that HIFCOM could play an important role in sensitising policy-makers towards the imperatives of participatory forest management. Policy-makers needed to be informed and educated about the advantages of intro-

ducing community-oriented natural resource management in mountain areas.

#### Policies and Legislation

Greater action needs to be taken at the national and state levels on the issue of policy and legislation. The policy needs to provide clear support for participatory forest management. It was important to ensure continuity in policies, as frequent changes would be detrimental.

#### Human Resource Development

Steps need to be taken at different levels on human resource development. At the individual and personal level, foresters need to improve their skills and knowledge about participatory forest management. Once they have acquired such knowledge and skills, it would be their responsibility to ensure that they share and communicate these with their colleagues. At the institutional level, it is important to ensure that human resource development is perceived as an important and core function rather than a peripheral activity. In this context training of trainers, training design, and management of training should receive a higher priority at both the state level and the national level. In addition, a database needs to be developed of individuals and institutions that can provide high quality training.

#### Positive Approach to Conflict Management

The preparedness of the department of forests to manage conflicts needs to be enhanced and developed. It is important to approach conflicts with a positive attitude at both the individual and the institutional level. An open-minded approach will be essential to ensure that conflicts are resolved as early as possible and at the level where they originate. The role of state and national-level institutions will be important when conflicts arise between different government departments. Key national and state level institutions need to be involved so that training on conflict management can be brought into the mainstream in ongoing programmes.

## Stakeholder Participation

It is critical to take appropriate steps to ensure stakeholder participation in forest management. Although the communities dependent on forest resources are the primary stakeholders, the forest departments with a responsibility for forest management are also important stakeholders. The process of identification of stakeholders needs to be institutionalised so that future conflicts can be prevented. Consultations at the national and state level need to be organized around the issue of stakeholder participation.

## Commitment for Equity and Gender Considerations

The personal level is the most important level for ensuring that disadvantaged and marginalised groups are not excluded from the gains of forest management. A forester will need to have a high level of commitment and appreciation to ensure equity and gender considerations are not compromised. This individual level of conviction will form the foundation for leverage of institutional commitment.

## HIFCOM

The group from India also felt that HIFCOM could play a pivotal role in the mountain states at both the state and national level. They noted that a large number of states that are not located in mountain areas have done interesting work on participatory forest management. This rich pool of experience should be accessed so that the mountain areas could benefit from their approaches and strategies.

### **E.3.5 Myanmar**

The broad goal of the action plan for development of participatory forest management in Myanmar is to enhance the role of participatory forest management in promoting sustainable forest management and the socioeconomic well-being of rural communities while maintaining the environmental value of forest resources.

To meet this goal three key objectives have been outlined:

- to initiate human resource development within the forest department and the local communities;
- to enhance the status of livelihood of the local communities ensuring them benefits from participatory forestry programmes; and
- to enhance the capacity of rural communities, especially women, to diversify and augment their incomes.

Recognising that Myanmar has a long tradition of community participation in forestry development, a new forest law approved in 1992 allows individuals or communities to establish, maintain, and harvest forest resources. A new forest policy adopted in 1995 highlights people's participation and public awareness. Community forestry instructions were also issued in 1995. Plans are currently underway to implement community forestry oriented projects, and it will be essential to develop a new orientation and approach to forest management. It is of paramount importance to strengthen the role of participatory forest management in sustaining forest resources in Myanmar. To achieve this a comprehensive action plan is urgently needed for the development of participatory forest management, covering the emergence of enabling conditions, institutional strengthening and capacity building, the promotion of socioeconomic well-being, the provision of economic information and market intelligence, and the development of a rural-based forest industry.

Myanmar plans to develop action plans to promote participatory forest management incorporating the following.

## Raising Awareness, Motivation, and Training Activities

Raising awareness on environmental issues will be targetted at primary school children and teachers. Training and strengthening of professionals in participatory forest management will be done at the local level.



### Strengthening of Forestry Resource Management Activities

A participatory planning approach will be promoted to strengthen forestry resource management activities, especially in the formation of Village Resources' Management Committees (VRMCs). PFM plans will be developed, and transfer of land or issuance of User Rights' Certificates to local communities will be undertaken.

### Income Generation Activities and Rural Credit Schemes

Recognising the need for rural poverty alleviation, credit committees will be organized for a rural credit scheme and income-generating activities will be identified.

### Promoting a Participatory Approach to Development

Endorsing the importance of a participatory approach to development, programmes and projects will be developed on the principles of participation and equity and focussing on income, employment, and meeting basic needs. Mechanisms will be developed to promote joint management of natural forests.

### Institutional Development

The Forest Department's institutional capacity will be enhanced to undertake reforms so that foresters develop a favourable attitude towards, and can work with, farmers and vice versa. Institutional development of local organizations and user groups will be a key area of work at the local level. Consolidation of forest resource management will be promoted through these groups.

### Research and Extension Support to Participatory Forestry

Adequate research will be undertaken to support the biological and socioeconomic aspects

of participatory forest management, and extension services will be strengthened to ensure close linkage between research, extension, and feedback.

### Promotion of Woman's Participation

Women's participation in all forestry activities will be improved. Women will be provided with employment opportunities. Training and workshops on gender issues will be organized.

### Legal Framework for Ensuring Rights and Securing Land Tenure

Work will be undertaken to abolish rules and regulations that discourage tree plantations on individual or communal lands and to promote security of tenure over land and resources.

### Establishment of Demonstration and Experimental Plots

Demonstration and experimental plots will be established under various community plantation programmes. These sites will serve as learning centres for upgrading the capability of communities in tree planting and implementing agroforestry practices.

### Establishment of Mechanisms for the Promotion of Joint Management

Mechanisms will be developed for sharing of benefits in Community Forestry programmes through preparation of statutory agreements and other legislative support.

### Monitoring, Evaluation and Reporting

Reliable monitoring and evaluation is particularly important for realistic assessment of the technical and institutional innovations associated with PFM. Effective monitoring, evaluation, and reporting systems will be developed to obtain timely, relevant, well analysed, and clearly presented information for the planning and management of participatory forestry programmes and to support institutional development.

### **E.3.6 Nepal**

The group from Nepal emphasised the need to focus on both the individual and the institutional levels. Appropriate activities could only be established if the institutional aspects were strengthened.

At the individual level, commitments made ranged from improving and sharing information, active involvement, ensuring reduced political interference, pursuing effective implementation of participatory forest management, and continuing to struggle against those forces trying to undermine participatory principles. It was necessary to involve all stakeholders and to contribute to a dialogue for continued review of policy legislation.

The group from Nepal also agreed to reform the HIFCOM committee and to finalise the constitution so that HIFCOM could be formally registered in Nepal. HIFCOM Nepal will seek the advice and approval of the government on the registration process so that HIFCOM can emerge as a formal institution and begin to play a proactive role in promoting and strengthening participatory forest management in the Hindu Kush-Himalayas.

The following issues were identified for future attention at the institutional and national levels.

#### Advocacy Role at the Policy Level

There is a need to play a professional advocacy role in the review of legislation, policy, and operational guidelines and to engage in a process that can propose constructive amendments.

#### Attitudinal Change and Reorientation

Encourage and support training and programmes that will lead to attitudinal change and reorientation, especially amongst professionals in the forestry and related sectors.

#### Human Resource Development

Support and improve existing human resource development programmes and focus on all aspects of the training cycle.

### **Equity for Disadvantaged Groups**

Support should be provided for the involvement of disadvantaged groups at all levels with a focus on ensuring equitable rights. A forum needs to be developed that can raise awareness about equity considerations in community forestry.

#### Conflict Management

Support should be provided to individuals and institutions involved in conflict management. Conflict management needs to be introduced into the mainstream in policy, practice, and human resource development.

#### Involvement of Women

Women's involvement in participatory forest management needs to be promoted, and women representatives should be encouraged to join the executive committee of HIFCOM.

### **E.3.7 Pakistan**

The Pakistan presentation took note of the positive changes in the realm of participatory forest management and identified the following issues.

#### Need for Compatible Attitudes

The existing bureaucratic attitudes are not compatible with the needs of participatory approaches, and both short and long-term measures are necessary to change this. In the short term, extensive training programmes will be needed for the staff of the forest department to sensitise them to modern and new concepts. In the longer term, there is a need to address fundamental issues of forestry education to ensure that a new type of social forester can be produced.

#### Need to Sensitise Policy-makers

There is a great need to sensitise all segments of society, but particularly politicians and policy-makers, in order to create a facilitative and supportive policy environment that is people-cen-

tred. Recently, organizations and pressure groups have been created that are able to discuss with politicians and policy-makers and assist in the formulation of suitable policies. There is a need for extensive sharing of information to encourage environmental journalism. Appropriate amendments and changes are required in the existing legislation. In the long-term, there is a strong need for comprehensive legislative reform.

### Human Resource Development

Although extensive work is currently being undertaken on participatory approaches to forest management in various countries, exchange of such information and experiences is inadequate. There is a need for a facilitative organizational mechanism, and HIFCOM seems to be an appropriate vehicle. Focal points need to be established in various countries and regions to facilitate the flow of literature and information. High quality trainers need to be identified and a core group established. These trainers need not come from the forestry sector; they could be from different disciplines and organizations.

There is also a need to provide short courses, including workshops and study tours, at the regional, national, and local levels. The existing education and training institutions should review and develop curricula. A reform in the forestry education environment is equally important. Demonstration is an important component of human resource development. Training and concepts that have been tested elsewhere in the region should be established at selected demonstration sites. Based on the principle of "seeing is believing," these sites will assist in the transformation process of forestry professionals.

### Conflict Management with Stakeholders

Multi-institutional collaboration and the concept of building triangular relationships between the forest department, local community institutions, and non-government organizations are an effective strategy for preventing and resolving conflicts. To involve stakeholders in partici-

patory forest management, it is important to identify the stakeholders first through proper stakeholder analysis. Another approach, which has been used in the North West Frontier Province of Pakistan, is that of 'forestry round tables'. This approach will be replicated in other parts of the country to provide an opportunity for open discussion.

### Involvement of Women

Policy support is critical for ensuring the involvement of women. Appropriate support is already provided in the new forest policies. The present rules of the department of forests do not discriminate on the basis of gender, but cultural barriers still need to be overcome. Efforts are also being made to ensure a gender balance through a process of institutional reform.

### HIFCOM

The group felt that HIFCOM could play a very important and constructive role in many of the issues identified. Documentation and sharing of existing experiences and approaches would also remain an important role for the organization. HIFCOM could facilitate exchange visits between professionals in the region. It could play a strong role both through organizing workshops and training programmes, and more particularly by initiating a newsletter on participatory forest management in the Hindu Kush-Himalayas.

### **E.4 HIFCOM Executive Committee Meeting**

After the critical issues had been identified in country groups and country representatives selected, the first meeting of the newly elected members was held.

The following executive committee members were present.

Mr S M Jalil, Bangladesh  
Mr B B Chhetri, Bhutan  
Ms Z. Hengfang, China (Observer)  
Mr Z. Baohua, China (Observer)  
Mr L. Quingkui, China (Observer)

Mr A K Gulati, India  
Mr M. Sein, Myanmar (Observer)  
Mr K B Shrestha, Nepal  
Mr R Ahmad, Pakistan  
Mr M Iqbal, Pakistan.

Mr I S Karki from Nepal sent his regrets.

The representatives from China and Myanmar were invited to the executive committee meeting as observers, rather than members, as they still needed to obtain formal clearance from their respective government institutions on the formal participation of their countries in HIFCOM.

The following decisions were taken by the executive committee.

Mr I S Karki, Director General, Department of Forests, Nepal, and Patron of HIFCOM, was selected unanimously as the new Chairperson of the HIFCOM REGIONAL executive committee.

Mr K B Shrestha, Deputy Director General, Department of Forests, Nepal, and National Coordinator, HIFCOM Nepal, was selected unanimously as the Coordinator of HIFCOM REGIONAL.

The executive committee endorsed the HIFCOM Mission Statement. It was agreed that changes to the mission statement would be tabled after the formal registration of HIFCOM REGIONAL.

The HIFCOM REGIONAL Constitution draft would be circulated to all national coordinators and observers to facilitate the process of registration of different national and sub-national HIFCOM chapters.

HIFCOM national committees would draft their own constitutions and initiate the formal registration process.

All correspondence to HIFCOM national committees would be sent to the national chairpersons/patrons with a copy to the national coordinators.

All correspondence to HIFCOM REGIONAL would be sent to ICIMOD, Kathmandu, Nepal, till further arrangements were made.

The criteria for membership of HIFCOM national chapters should be compatible with the criteria evolved in the HIFCOM REGIONAL constitution. Any changes made to meet national and sub-national requirements should be discussed with HIFCOM REGIONAL prior to registration.

The Regional Coordinator was authorised to take whatever steps were necessary to initiate the process of accessing funds for the operation of HIFCOM.

The meeting closed with a vote of thanks to the outgoing executive committee chairperson, Mr. Mir Inayatullah, and the other members for their valuable contribution to HIFCOM.

## **E.5 Closing Ceremony**

Professor Yang Fucheng, President of the South West Forestry College, chaired the closing session. Professor Fucheng expressed his appreciation to all the individuals and institutions who had contributed to the success of the workshop. He also thanked the participants for their contribution and most of all for providing a strong commitment to HIFCOM. He said that this would go a long way towards helping HIFCOM emerge as a durable and effective mechanism to strengthen our common objective of meeting the needs of mountain communities and improving their quality of life.

Each participant was then presented with a lapel pin with the HIFCOM logo as a memento and reminder of the commitments made at the workshop.

# Annex 1

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# Annex 2

## Workshop Programme

### DAY ONE THURSDAY 7 MAY 1998

4:00 p.m. Arrival and Registration

5:00 p.m. **Plenary Session** (Welcome Session)

- Introductions
- Introduction of interpreters/support staff
- Presentation of Workshop Theme and Background to HIFCOM
- Sharing Workshop Agenda
- Housekeeping Announcements

7:00 p.m. Dinner

8:30 p.m. Cultural programme at South Asian Scenery Garden

### DAY TWO FRIDAY 8 MAY 1998

7.30 a.m. Breakfast

9:00 a.m. Arrival and Registration

10:00 a.m. **Opening Ceremony** [Formal Inauguration]

- Welcome address by Egbert Pelinck, Director General, ICIMOD
- Address by Mr Li Yucai, Deputy Administrator, National Forestry Bureau of China, People's Republic of China
- Address by Mr Huang Bingsheng, Vice Governor of Yunnan Province, People's Republic of China
- Address of Professor Ms Jiang Zehui, President, Chinese Academy of Forestry and Co-chair International Network for Bamboo and Rattan, delivered by Professor Guo Jianping, Chief Administrator, International Network for Bamboo and Rattan
- Welcome address by Professor Yang Fucheng, President South West Forestry College, Yunnan, China
- Address by Mr Chen Jihai, Director General, Forestry Bureau of Yunnan, China

## Remarks by Country Representatives

- Mr. S. M. Jalil, Chief Conservator of Forests, Department of Forests, Government of Bangladesh
- Mr. Sangay, Planning and Policy Division, Ministry of Agriculture, Royal Government of Bhutan
- Mr. Wen Haizhong, Director, Forest Policy Department, Ministry of Forests, People's Republic of China
- Mr. C. P. Oberai, Inspector General of Forests, Ministry of Environment and Forests, Government of India
- Mr. Myint Sein, Deputy Director, Department of Forests, Government of Union of Myanmar
- Mr. I. S. Karki, Director General, Department of Forests, His Majesty's Government of Nepal
- Mr. Rafiq Ahmed, Inspector General of Forests, Ministry of Environment and Forests, Government of Pakistan.

12:00 p.m. Lunch

2:00-5:00 p.m. **Plenary Session**

### Country Presentations

- Nepal
- Pakistan
- Bangladesh

5:30 p.m. Departure for National Minorities' Village

- Cultural Dances
- Dinner

9:00 p.m. Return to Hotel

## **DAY THREE SATURDAY 9 MAY 1998**

7:30 a.m. Breakfast

8:30-12 p.m. **Plenary Session**

### Country Presentations

- Bhutan
- India
- China
- Myanmar
- Formation of Four Groups
- Group Agenda and Guidelines

12:00 Lunch

3:30 p.m. Group Discussions in Four Groups

3:30 p.m. Tea/Coffee

4:00 p.m. **Plenary Session**

- Group Reports

6:00 p.m. Dinner

**DAY FOUR SUNDAY 10 MAY 1998**

7:30 a.m. Breakfast

8:45 a.m. Departure for Field Visits in Two Groups

4:00 p.m. Arrival at South West Forestry College

4:30-5:45 p.m. Welcome Address by Professor Yang Fucheng, President, South West Forestry College

- Introduction to South West Forestry College
- Visit to Bamboo Museum

6:00 p.m. Dinner and Cultural Programme by students of South West Forestry College

9:00 p.m. Return to Hotel

**DAY FIVE MONDAY 11 MAY 1998**

7.30 a.m. Breakfast

8.30 a.m. **Plenary Session**

- Introduction to HIFCOM
- Discussion

10:15 a.m. Formation of HIFCOM Country Groups

- Group Agenda and Group Guidelines

10:30 a.m. Tea/Coffee

11:00 a.m. Country Group Work

12:30 p.m. Lunch

12:30 p.m. **Plenary Session**

- Presentations from Country Groups and Discussion

2:00 p.m. HIFCOM General House

- Election of Country Representatives/HIFCOM Executive Committee Meeting
- Endorsement of HIFCOM Mandate

3:30 p.m. Tea/Coffee

4:00 p.m. Closing Ceremony of Workshop

- Chairperson's remarks
- Remarks by Country Representatives
- Vote of Thanks

**DAY SIX TUESDAY 12 MAY 1998**

- 7:30 a.m. Breakfast
- 8:30 a.m. HIFCOM Executive Committee Meeting  
Departure of Other Participants
- 12:00 p.m. Lunch
- 1:00 p.m. Departure of Remaining Participants

**DAY FOUR SUNDAY 10 MAY 1998**

- 7:30 a.m. Breakfast
- 8:45 a.m. Departure for Field Visit to Jang Gwom
- 4:00 p.m. Arrival at South West Forestry College
- 4:30-5:45 p.m. Welcome Address by Professor Yong Park and Forestry College
- Introduction to South West Forestry College
- Visit to Bamboo Museum

- 6:00 p.m. Dinner and Cultural Programs by students of South West Forestry College
- 9:00 p.m. Return to Hotel

**DAY FIVE MONDAY 11 MAY 1998**

- 7:30 a.m. Breakfast
- 8:30 a.m. Plenary Session
- 10:15 a.m. Formation of HIFCOM Country Groups
- 10:30 a.m. Introduction to HIFCOM
- Discussion
- Cultural Dances
- Dinner
- 5:30 p.m. Departure for National Institute for Forestry
- 9:00 p.m. Return to Hotel



# Annex 3

## *Conceptual Framework for Country Study\**

### **PARTICIPATORY FOREST MANAGEMENT IN THE HINDU KUSH-HIMALAYAS: IMPLICATIONS FOR POLICY AND HUMAN RESOURCES DEVELOPMENT**

#### **Introduction**

It is well recognised that forest resources play a vital role in contributing to integrated mountain development in the Hindu Kush-Himalayas. Over the last decade we have been witness to dramatic changes in approaches and strategies for sustaining forest resources in our mountain areas. A successful approach has been the emergence of participatory forest management in almost all the countries of the Hindu Kush-Himalayas. While the terminology used may vary from community forestry in Nepal to joint forest management in India and Pakistan and to social forestry in Bhutan and China the issues and challenges for institutions are similar. Most national institutions charged with the responsibility of forest management are facing new paradigms emerging out of changes in policy and practice.

Analysis and experience indicates that the introduction of participatory forest management has several institutional implications. Of these the two key areas which are critical to successful practice of community oriented forestry are in the realm of policy and human resources development. While considerable work has been done in this area there does not exist organised and analytical knowledge which can be shared on a comparative basis with institutions charged with the responsibility of managing upland areas of the Hindu Kush-Himalayan region.

It is to address this lacuna that the International Centre for Integrated Mountain Development (ICIMOD) has initiated a series of country studies titled: "Participatory Forest Management: Implications for Policy and Human Resources Development".

These case studies are also part of a pre-workshop process, which will culminate in a regional workshop in 1998 and bring together study authors and other policy makers and practitioners from the countries of Bangladesh, Bhutan, China, India, Myanmar, Nepal and Pakistan.

\* Editing has not been carried out, as this was the form in which the framework was distributed – ed.

## CASE STUDY PROCESS

The selection of appropriate individuals and institutions for these studies will be based on a desegregated approach for each country. Case study drafts will be reviewed by peer group professionals to ensure high quality outputs and relevance.

## CASE STUDY FRAMEWORK

This is in three parts:

- Part A This deals with policy and human resource development issues.
- Part B This addresses other issues, which need to be incorporated in the study.
- Part C This is for key facts and statistics. We plan to use this information to produce country fact sheets.

## PART A

### Policy

- Describe the existing policy, act, rules and legal instruments related to forestry in your country.
- Analyse to what extent these instruments are appropriate and suited to existing forestry trends and wider impact on natural resources. Provide a historical timeline of policy initiatives.
- Describe the current policy on community based forest management (Joint Forest Management/Community Forestry/Social Forestry) in your country. Please provide a historical timeline of major milestones.
- Describe the process of policy making in your country with specific focus on key institutions and individuals.
- To what extent is forest policy compatible with policies related to land use, industry, infrastructure and other needs; are there major conflicts and what impact do these have on the implementation.
- To what extent do the existing policy and acts provide space to community/social forestry; is it enshrined as a legal imperative within these instruments or is it through government or administrative orders
- Is forest policy centrally and federally evolved and administered; or is it decentralised to provinces/districts and other locations in the country
- Has the policy to promote community based forestry been implemented; please review the current status in terms of better quality of forest lands; better utilisation and management; increase in availability of local products for the community; increased participation of local communities in management of local resources; decision making, harvesting etc
- Who are the main stakeholders in initiating changes in policy— central policy makers, political office bearers, national and international donors, industry and the corporate sector, forest dependent people and communities, non government organisations, research institutions and universities, forestry professionals, others.
- Does the policy make any mention of mountain specificities or does it include the whole country regardless of terrain. What are the distinctions in policies for the plains and the mountain regions.

- What are the key implications of policy changes on forestry professionals and institutions? What approaches are being used to make the transition from custodial forest management to participatory forest management.
- What are the benefit sharing arrangements of forest products in your country?
- Is the policy clear on granting security of tenure to local communities? Please analyse.

### **Human Resources Development**

- Provide an overview of key institutions charged with the responsibility of human resource development. This should include name, status, mandate and details of courses offered.
- Please analyse the training courses offered and comment on the strengths of the learning opportunities offered.
- Indicate whether these institutions currently offer any learning opportunities related specifically to participatory forest management; are these aspects integrated into existing courses or are they offered as separate courses
- What are the strengths and weaknesses of these institutions in playing a potential role in strengthening and re-orienting institutions in participatory forest management
- Has there been any attempt to reorient and strengthen faculty to deal with issues related to participatory forest management
- To what extent are social, institutional and community oriented perspectives integrated in the courses offered by these institutions
- Describe briefly the process of curriculum revision in your country/province and in realistic terms how can attempts to integrate these changes be initiated
- What is the level of awareness amongst faculty about emerging needs of community oriented forest management and how can this be enhanced

**Note:** *These are only indicative questions. Please feel free to assess your own context and provide an overview of current state of institutions and their preparedness to respond to human resources development issues of participatory forest management.*

## **PART B**

This is an indicative framework we are sharing with all the case study authors. Please feel free to look at issues, which are critical and relevant to your own context and highlight them in the study. You can also utilise some of the facts and statistics, which are listed under Part C, when you write the paper.

### **Other Issues**

#### **1. Background**

This should provide a brief overview of the country/state and provide information on the physical location, extent of natural resources and the quality of community lands. Do also include information on population and other socioeconomic issues. Please try and define “common property resources” in your context. In simple terms we perceive them to be forest areas which are used by a collective community to meet individual and common needs and are governed by a set of rules and arrangements. For our paper we are focussing only on forest areas and the products they offer to mountain households.

## 2. History of Forest Management

This section will provide a historical view of forest management in the past. Focus on policy developments, which had an impact on the role of local communities.

## 3. Traditional/Indigenous Forest Management Approaches

In many of our mountain areas we still have traditional approaches to forest management. While these are informal community systems they have been effective in forest management. Please provide an overview of these systems and how they have responded to changing policy and the wider environment.

## 4. Role of Forests in Livelihood Strategies of the Mountain People

Forests or common property resources play an important role as providers of fuelwood, fodder, poles, food, timber and related products. In mountain areas the quality of forest lands also affects the productivity of agriculture and regulates the hydrological regimes such as ground water and springs. Please dwell on these issues to portray what the situation is in your area—please deal both with the present and the past.

## 5. Status of Community Institutions

In most areas community institutions remain informal while in some areas there exist formal institutions. Please provide a detailed overview of the role, quality, kind, number of institutions. Focus specially on involvement and leadership of women and institutions, which are based on issues of equity and involve marginal communities. Their role in influencing policy, forest department plantation programmes, conflicts etc needs to be detailed here. We need to present arguments backed by figures if possible on the role of local institutions in forest management.

Please address the following questions:

- Are these institutions effective
- Are they present in sufficiently large numbers
- What are their strengths and weaknesses
- Do they address equity issues
- Do they involve women and marginal groups
- Are they sustainable institutional mechanisms
- Can they handle conflicts
- What is the level of their technical skills
- Is there any measurable impact of their work on forest resources
- What is their level of understanding of sustainability
- How do they resolve issues of basic needs versus over exploitation

## 6. Historical Timeline of Policy for Forest Management

<u>Year</u>	<u>Name of Policy/Act/Rules</u>	<u>Remarks</u>
1900		
1932		
1980		

1988 ♦  
 1992  
 1996

Please give a Historical Timeline with your analysis of its impact specially on community resource management.

**PART C**

**Fact Sheet**

**Basic Facts**

**Name of Country/State/Province**

Location: Please Give Longitude and Latitude

Bordered By: Please Give Location and Border Countries/States

**Population**

	<u>Total</u>	<u>Men</u>	<u>Women</u>	<u>Percentage Increase/Decrease</u>
1950				
1960				
1970				
1980				
1990				
1996				

NOTE: Please give for whole country and also for mountain areas in your country.

Please give additional information if any. In some areas men migrate to the plains. In case such information is available please provide. These years are suggestive. Please use data as per census years available. We are interested in picking up trends related to population.

**Administrative Facts**

No of Districts :

No of Hill/Plain Districts :

Percentage of Population in Hills/Plains :

**Natural Resources:** (In the country and in mountain areas)

Land Use

Agriculture

Forestry

Barren/Degraded Lands

Other Uses

Please give figures as available. It would be useful to have data over the last thirty/forty years. Our experience indicates that area under agriculture is declining in some areas.

## **Status of Deforestation** (In whole country and in mountain areas)

Area

National Forest

Reserved Forests

Village Forest

Private Forest

Protected Areas/National Parks Rangelands/Grasslands:

Please give figures and information on the quality of forest resources and deforestation and plantation efforts. Is degradation a trend in your country/state.

**Status of Rangelands/Grasslands:** Please provide figures and other qualitative information.

## **Socio Economic Information**

Number of Persons above Poverty Line

Number of Persons below Poverty Line

## **Status of Forest Based Industries**

Please provide information on logging/timber cuts; major forest products; paper industry; number of persons employed by forest industries. Please attempt to identify and analyse trends for mountain areas over the last 30-40 years.

## **Education**

Literacy percentage for Men and Women

Number of Children of School Going Age/Number

In School/Dropout Rate etc.

## **Health**

Number of Hospitals/Beds per 1000 Population

Accessible Services Available

Drinking Water Status/Access Percentage

## **Community Management Status**

Number of Forest User Groups/Women's Group/*Van Panchayats*

Area under their Management

Other Related Information

We hope you get an idea of what we are attempting to do. We are trying to gather figures which will provide historical trends and outline key policy developments. As indicated earlier please feel free to add depending upon information and your own context.

**Note:** Please send us a map of your country/state. This should be a clear map with bold lines so that it can be reproduced.

# 4

## Annex *HIFCOM Constitution\**

### CONSTITUTION OF THE HINDU KUSH-HIMALAYAN FORUM FOR FOREST CONSERVATION AND MANAGEMENT

HIFCOM  
1998

**Preamble:** Conscious of the urgency for the holistic management, conservation and sustainable development of forests, and to help communities with forest resources conservation and management activities in the Hindu Kush-Himalayan Region, and being convinced of the need to establish an organised body in association and in collaboration amongst the related nations in the Hindu Kush-Himalayan Region, it has been decided to establish an institution under the name of Hindu Kush-Himalayan Forum for Forest Conservation and Management (HIFCOM) to be located in Kathmandu, Nepal and it has also been decided to operate such institution under the provisions prescribed in this Constitution .

#### Chapter 1 PRELIMINARY

##### 1. Short Title and Commencement

- 1.1 The name of this Constitution shall be "The Constitution of Hindu Kush-Himalayan Forum for Forest Conservation and Management, 1998".
- 1.2 This Constitution shall come into force from the date of its approval.

##### 2. Definition: Unless otherwise stated herein, in this Constitution:

- 2.1 "Institution" shall mean the Hindu Kush-Himalayan Forum for Forest Conservation and Management (HIFCOM).
- 2.2 "Committee" shall mean the Executive Committee of the Institution.
- 2.3 "Meeting" shall mean Regional General Assembly Meeting, Extraordinary Regional General Assembly Meeting or Special Regional General Assembly Meeting of the Institution.

\* Published/legal version – no editing has been carried out for inclusion in this volume – ed.

- 2.4 "Chairperson" shall mean the Chairperson of the Committee.
- 2.5 "Vice-Chairperson" shall mean the Vice-Chairperson of the Committee.
- 2.6 "General Secretary" shall mean the General Secretary of the Committee.
- 2.7 "Secretary" shall mean the Secretary of the Committee.
- 2.8 "Treasurer" shall mean the Treasurer of the Committee.
- 2.9 "Office Bearers" shall mean the Chairperson, Vice-Chairperson, General Secretary, Secretary, Treasurer and the members as well.
- 2.10 "Fiscal Year" shall mean a one-year period starting from the first day of January to the last day of December (calendar year).
- 2.11 "Himalayan Hindu Kush Region" is comprised of the upland areas of the following eight countries: Afghanistan, Bangladesh, Bhutan, China, India, Myanmar, Nepal and Bangladesh.

### 3. Name, Structure and Seal of the Institution

- 3.1 The name of this Institution shall be "Hindu Kush-Himalayan Forum for Forest Conservation and Management; in short it shall be called "HIFCOM".
- 3.2 This Institution shall be an autonomous organisation with an indivisible responsibility.
- 3.3 This Institution shall have its own seal.
- 3.4 This Institution shall be entitled to have and own movable and immovable assets, to use and make transactions with such assets.
- 3.5 This Institution as an individual shall be entitled to file petitions in court and the same shall apply in case of individuals or institutions who may wish to file petitions against it in court.

### 4. Office of the Institution

- 4.1 The Headquarters of the Institution shall be located at Kathmandu District in Bagmati Zone, Nepal.
- 4.2 The Institution shall be entitled to set up regional, national, state and/or district level offices as required, and shall conduct its affairs there. The office bearers or staff at such offices shall be determined as per the decision of the Executive Committee Meeting from time to time.

Notwithstanding the provision made under the clause 4.2 above, the Executive Committee shall be entitled to initially determine the numbers and positions of office bearers or staff and this shall subsequently be put to the Regional General Assembly Meeting for endorsement.

## **Chapter Two AIM AND OBJECTIVES**

### 5.1 Aim of the Institution

HIFCOM is a regional institution committed to promoting and strengthening participatory forest management in the Hindu Kush-Himalayan region. HIFCOM is mandated to the holistic management, conservation and sustainable development of all types of forests, including wastelands. HIFCOM will aim to strengthen the capacity of local, na-



tional and regional institutions in establishing participatory approaches in forest management.

## 5.2 Objectives of the Institution

To fulfil this aim, the following objectives have been set forth as below:

- 5.2.1 To preserve and manage forest resources in the Hindu Kush-Himalayan region.
- 5.2.2 To help local communities in the Hindu Kush-Himalayan region through natural resources conservation measures.
- 5.2.3 To pursue other alternative strategies for the protection of environment in the Hindu Kush-Himalayan region.
- 5.2.4 To exchange ideas, knowledge, co-operation and experiences amongst the countries of the Hindu Kush-Himalayan region.
- 5.2.5 To enhance the spirit of inter-country co-operation in areas of common interest amongst the countries in the region.
- 5.2.6 To work mutually in co-ordination with other concerned organisations in the region.

## **Chapter Three MEMBERSHIP**

6. The following criteria must be fulfilled in order to obtain membership to the Institution:
  - (a) Professionals from the field of forestry and allied fields, including social, natural and human science disciplines.
  - (b) Mentally sound.
  - (c) Having no criminal record.
7. Patrons: The Patrons of HIFCOM are the Inspector General of Forests, Ministry of Environment and Forests, Government of India, the Director General of the Department of Forests, Nepal, and the Joint Secretary, Forestry Services Division, Ministry of Agriculture, Royal Government of Bhutan. As more members join HIFCOM, the office holders in equivalent positions could be invited to become ex officio patrons.
8. Types of Membership: The Institution shall have the following categories of members:
  - (a) Founder Member: The Interim Executive Committee members shall become the Founder Members.
  - (b) Regional General Assembly Member: Each national HIFCOM chapter shall select two (2) members from its national executive committee to serve as Regional General Assembly Members.
  - (c) Institutional Member: Institutional membership may be given to the governmental or non-governmental organisations and institutions which are prepared to co-operate with the Institution for attaining its objectives.
  - (d) Honorary Member: The Institution may give honorary membership to the representatives of organisations, associations or institutions and to other individuals who have made an outstanding contribution to the Institution in its efforts to achieve its goals and objectives.

9. Membership Fee and Membership Procedure:

9.1 Regional General Assembly Members: Regional General Assembly members' fees will be paid by the national HIFCOM chapters. Failure to pay the fees will result in revocation of the voting rights of the national chapters.

9.2 Institutional Membership Procedure and Fees: Any institution willing to become an institutional member of this Institution as per this Constitution, shall have to complete an application form as prescribed by the Executive Committee and submit the application to the General Secretary along with the recommendations of two Regional General Assembly members. The admission fee, the membership fee and any other fees shall be as prescribed by the Regional General Assembly Meeting from time to time.

However, if the Institution deems appropriate to give Institutional Membership to any institution, the application procedure mentioned above need not to be followed, and the fee in such instance shall be as prescribed by the Regional General Assembly Meeting.

9.3 The Institution reserves the right in matters of granting membership on the applications that may be submitted as per the provisions mentioned under clause 9.2.

9.4 Institutional members shall have no voting rights.

9.5 Membership fee for a calendar year shall have to be paid by the end of the month of December. In case the fee is not paid within the stipulated period, the dues along with prescribed penalty shall have to be paid within the month of April of the next year. Failure to comply with this payment period, will lead to termination of membership. In order to regain membership, the prescribed membership procedure shall have to be followed again from the beginning.

Term of Membership: Regional General Assembly members shall serve for a term of not less than two (2) years.

Membership shall be considered invalid under the following circumstances:

- (a) In case the statements submitted for the membership prove to be false.
- (b) In case of failure of timely payment of the membership fee.
- (c) In case of proof on any activity or conduct of the member that goes against the norms and welfare of the Institution, upon the endorsement of the majority in the Regional General Assembly Meeting.

However, the member shall be given an opportunity to submit his/her clarification on the charges made.

- (d) In case of the acceptance of resignation from membership by the national HIFCOM chapter they represent.
- (e) In the event of death.
- (f) In the event of insanity.

## Chapter Four

### REGIONAL GENERAL ASSEMBLY AND EXECUTIVE COMMITTEE

#### 11. Regional General Assembly Meeting

- 11.1 The first general meeting shall be constituted comprising two (2) representatives of each national HIFCOM chapter. The Meeting which shall be convened to discuss and give assent to this Constitution shall be considered as the First Regional General Assembly Meeting of the Institution.
- 11.2 The Chairperson shall chair the Regional General Assembly Meeting. In the event of the absence of the Chairperson, the Meeting shall be chaired by the person nominated by the Regional General Assembly.

#### 12. Session of the Regional General Assembly Meeting

- 12.1 In general, the session of the Regional General Assembly Meeting shall be convened in the month of January. However, in case of special circumstances, a session of the Regional General Assembly Meeting may be convened upon 60 days notification by the Executive Committee.
- 12.2 Regional General Assembly Meeting shall be called by the General Secretary as per the instruction of the Chairperson.
- 12.3 The Executive Committee may invite national or foreign experts and representatives of different organisations, associations or institutions to the Regional General Assembly Meeting.

#### 13. Functions, Duties and Responsibilities of the Regional General Assembly Meeting.

- 13.1 The functions, duties and responsibilities of the Regional General Assembly Meeting shall be as follows:
  - 13.1.1 To approve the Annual Programme and Budget of the Institution.
  - 13.1.2 To give guidance to the Executive Committee.
  - 13.1.3 To elect the office bearers to the Executive Committee.
  - 13.1.4 To discuss the financial report submitted by the Executive Committee, and appoint an auditor to audit Institution's financial matters.
  - 12.1.5 To discuss and decide on matters presented in the auditor's report.
  - 12.1.6 To exercise other residuary power.
- 13.2 The issues to be discussed in the Regional General Assembly Meeting shall have to be presented in a form of written agenda.
- 13.3 As far as possible, the Regional General Assembly Meeting should make decisions with consensus. In the event consensus cannot be reached, the Chairperson of the Meeting may prescribe the mode to express the opinion of members either by raising their hands or by a secret ballot. Representatives of each national HIFCOM chapter must vote as one block. The decision made by majority shall prevail as the decision of the Institution.
- 13.4 At the event of equally divided opinion, the Chairperson can cast the decisive vote.
- 13.5 The General Secretary shall have to notify all the Regional General Assembly members by issuing a 60 (sixty) day notice prior to the date of commencement of the Regional General Assembly Meeting along with the date and venue fixed for the

Meeting. A presence of members from 50 (fifty) percent of the national HIFCOM chapters shall be treated as complete quorum for convening the Regional General Assembly Meeting.

- 13.6 In case the quorum as mentioned under the clause 12.5 is inadequate for the first meeting, representatives shall wait for two hours before reconvening the meeting. In such a case, the quorum required shall be 33 (thirty three) percent of the total members, but not less than two (2) national HIFCOM chapters' representatives are required to hold a meeting.

#### 14. Executive Committee

14.1 The Regional General Assembly Meeting shall elect an executive committee from amongst its representatives in order to implement programmes of the Institution in accordance with its objectives and policy, and to exercise administrative supervision and control over the Institution's activities. The executive committee shall consist of not more than two (2) representatives from each national HIFCOM chapter, a maximum of 16 (sixteen) members as officer-bearers, as follows:

(a)	Chairperson	1	(One)
(b)	Vice-Chairperson	1	(One)
(c)	General Secretary	1	(One)
(d)	Secretary	1	(One)
(e)	Treasurer	1	(One)
(f)	Members	11	(Eleven)

14.2 The tenure of the Executive Committee shall be 2 (two) years. However, the executive committee shall continue to function until the new office bearers are elected, and the members shall be relieved from their posts in the following situation:

- (a) If the resignation jointly submitted by the executive committee to the Regional General Assembly Meeting is approved,
- (b) If the vote of no-confidence gets approved as per clause 25.
- (c) If the resignation is accepted as per clause 26.
- (d) If any office bearer is absent from an executive committee meeting up to three times without providing any notification.

#### 15. Meeting of the Executive Committee:

15.1 The Committee shall meet two (2) times every fiscal year, in the month of January (immediately following the Regional General Assembly meeting), and as decided by the executive committee. The Chairperson may instruct the General Secretary to call special meetings as and when required, upon specifying the need to call such special meeting.

15.2 In addition to the provision made under clause 14.1, the Chairperson shall have to call the Executive Committee meeting within sixty (60) days if the majority of the executive committee members submit a request in writing to the Chairperson to convene a special meeting.

15.3 The Executive Committee Meeting shall be presided over by the Chairperson, and in case of absence of the Chairperson, by the Vice-Chairperson. In the event of the absence of both the Chairperson and the Vice-Chairperson, the Office-bearer nominated by the majority of executive members shall preside.

- 15.4 Only the Agenda prepared by the General Secretary upon the approval of the Chairperson and circulated thirty (30) days in advance shall be discussed at the Meeting.
  - 15.5 If any executive member wants to bring any agenda item before the Meeting, he/she shall be required to inform the General Secretary fifteen (15) days prior to the date of the Meeting scheduled. The General Secretary shall have to bring up such an agenda item at the Meeting, and the executive committee can decide whether to include it or not.
  - 15.6 The Meeting shall make decisions on the basis of consensus as far as possible.
  - 15.7 The Executive Committee Meeting shall be convened only upon the presence of 51 (fifty one) percent or more numbers of office-bearers.
  - 15.8 The Committee may invite representatives from national or international organisations as experts.
16. Functions, Duties and Powers of the Committee: The committee shall exercise following functions, duties and powers, limiting itself to the framework of the Constitution
- 16.1 All types of executive and administrative power required for implementing policy and programmes as per the provisions mentioned in the Constitution and as per the directives of the Regional General Assembly Meeting.
  - 16.2 Power to control assets and treasury of the Institution, and to incur expenses deemed necessary by the Committee in order to achieve the Institution's aims and objectives.
  - 16.3 Power to form committees or sub-committees from amongst the committee members as deemed appropriate by the committee, and to delegate required authority to them, and power to change or dissolve such committees or sub-committees.
  - 16.4 Power to employ required personnel, supervise, control or dismiss them, and to prescribe terms and conditions of their work, remuneration and facilities.
  - 16.5 Power to prepare proposals and agenda items (including a no-confidence motion), annual report and budget to be put up to the annual Regional General Assembly Meeting.
  - 16.6 Authority to nominate any Regional General Assembly member or members of the Institution to represent at national and international conferences, seminars, meetings etc.
  - 16.7 Power to conduct any research study that the Institution may require, by assigning a member or a group of members from amongst the executive committee.
  - 16.8 Power to carry out other necessary functions required for achieving the objectives and welfare of the Institution.

## **Chapter Five**

### **FUNCTIONS, DUTIES AND POWERS**

17. Functions, Duties and Powers of the office-bearers
- 17.1 Every office-bearer shall have to bear joint and position-related responsibilities.
  - 17.2 Chairperson:
    - 17.2.1 To provide leadership to the Institution.
    - 17.2.2 To preside over the Regional General Assembly Meeting and the Executive

Committee Meeting and to cast the decisive vote in the event of equal voting at the meeting.

- 17.2.3 To implement and instruct to implement the decisions taken by the General Meeting and Executive Committee meeting.
- 17.2.4 To convene the Regional General Assembly Meeting and Executive Committee Meeting from time to time.
- 17.2.5 To exercise other authority prescribed by this Constitution.

### 17.3 Vice-Chairperson

- 17.3.1 To fulfil the duty and exercise the power of the Chairperson as Officiating Chairperson in the event of the Chairperson's inability to work, or in the event of the vacancy of the position of the Chairperson, or in the event of the absence of the Chairperson.
- 17.3.2 To perform functions and duties prescribed for the vice-Chairperson in this Constitution.

### 17.4 General Secretary:

- 17.4.1 To call the Committee Meeting as per the consent of the Chairperson.
- 17.4.2 To implement committee decisions under the general supervision of the Chairperson.
- 17.4.3 To maintain records of the written documents of the Regional General Assembly Meeting and Executive Committee meeting of the Institution, to maintain their safety and to take care of the property of the Institution.
- 17.4.4 To certify in writing the directives and decisions of the Institution.
- 17.4.5 To maintain records of the Regional General Assembly members of the Institution.
- 17.4.6 To perform other miscellaneous duties and functions as prescribed by this Constitution.

### 17.5 Secretary :

- 17.5.1 To help the General Secretary in carrying out his functions and duties.
- 17.5.2 To correspond on behalf of the institution upon the consent of the General Secretary .
- 17.5.3 To perform the duty and exercise the authority of the General Secretary in the event of his absence, vacancy of the position or his inability to work.

### 17.6 Treasurer:

- 17.6.1 To take complete responsibility of funds and accounts of the institution.
- 17.6.2 To maintain income - expenditure account of the institution.
- 17.6.3 To maintain the records of physical assets of the institution.
- 17.6.4 To recover fees to be collected on behalf of the institution.
- 17.6.5 To present annual income-expenditure statement and budget of the institution at the Regional General Assembly Meeting on behalf of the executive committee.
- 17.6.6 To make payments of the staff salary and other expenses incurred on behalf of the institution from time to time.

- 17.6.7 To maintain cash reserve not exceeding fifty (50) thousand Nepalese rupees for the contingency expenses.
- 17.6.8 To make expenditures required for the institution under the direction of the committee or the Chairperson, and to issue cheques as a joint signatory with the General Secretary.
- 17.7 Member: To help the committee in its activities and to perform other duties assigned by the committee.

18. Responsibility of the Executive Committee: The office bearers and the members of the committee shall be responsible to the Regional General Assembly Meeting collectively and individually.
19. Advisory Committee: An Advisory Committee may be constituted from among the Regional General Assembly members if the Regional General Assembly Meeting of the institution deems it necessary. The functions, duties, powers, facilities and tenure of such advisory committee shall be as prescribed by the Regional General Assembly Meeting.

## Chapter Six FINANCIAL PROVISIONS

20. Source of Finance: The financial sources of the institution shall be as follows, and shall be treated as the fund of the institution.
- 20.1 Membership fees from national HIFCOM chapters.
  - 20.2 Amount to be received from national governments, other national and international non-governmental organisations and institutions.
  - 20.3 Loan, grants and donations (donations to be collected upon obtaining permission as per the prevailing act related to obtain or collect donations).
  - 20.4 Amount obtained from any publication of the Institution.
  - 20.5 Amount obtained from any research study conducted by the Institution.
  - 20.6 Amount obtained in lieu of providing the services of national or international experts.
  - 20.7 Amount from other miscellaneous sources
21. Inventory of Current and Fixed Assets
- A complete inventory of the current and fixed assets and all other properties earned by the Institution shall be maintained and kept safely. Description of these shall be presented to the concerned institutions.
22. Handling of the Fund The fund of the Institution shall be kept under the responsibility of the treasurer. The treasurer shall operate the fund as per provisions made under this Constitution and as per the decisions and rules and procedures prescribed by the executive committee.
23. Audit: The treasurer shall prepare a complete income expenditure statement of the Institution and shall submit it to the Regional General Assembly Meeting. The statement of accounts shall be audited by the auditor appointed by the Regional General Assembly

Meeting. Such auditor must be registered in Nepal. The audited report shall be required to submitted to concerned institutions. The remuneration and facilities of the auditor shall be fixed by the Regional General Assembly Meeting.

## **Chapter Seven MISCELLANEOUS**

### **24. No Confidence Motion**

24.1 In the event of moving a no confidence motion against the office bearers of the committee of the Institution, signature of 25 (twenty five) percent of the total members, or not less than two national HIFCOM chapters, shall be essential. If such motion is to be against the General Secretary, the motion shall have to be submitted to the Chairperson, and if such motion is to be against other office-bearers including the Chairperson, it shall have to be submitted to the General Secretary.

24.2 The no confidence motion shall be discussed at the Regional General Assembly Meeting and if more than 50 (fifty) percent of the total number of national HIFCOM chapters, vote in support of the motion, it shall be passed by the Regional General Assembly Meeting.

24.3 The no confidence motion cannot be moved within 6 (six) months of the formation of the Executive Committee, and no such motion shall be valid against the same committee or the same office-bearer within 6 (six) months of rejection of such a motion moved earlier.

### **25. Arrangements related to the Resignation:**

25.1 Any-office-bearer or Chairperson or member of the committee or sub-committee wishing to resign from his/her position shall submit his/her resignation to the Chairperson of the executive committee, and the Chairperson shall submit his/her resignation to the Vice-Chairperson.

25.2 The executive committee shall have the authority to accept or not to accept any resignation. However, the decision made to this effect shall be informed at the Regional General Assembly Meeting.

### **26. Amendment of the Constitution:**

26.1 If the Constitution of the Institution is required to be amended, the amendment proposal shall have to be submitted to the Regional General Assembly Meeting and the amendment shall be made upon the endorsement of a two-third majority of the members present at the Regional General Assembly Meeting.

26.2 The Amended Constitution shall come into effect after the consent of the local authorised official.

27. Power to make rules and procedures: The executive committee may formulate rules and procedures in order to clarify the provisions of this Constitution and to attain its objective. However, such rules and procedures shall be validated only after the endorsement by the Regional General Assembly Meeting.

28. Delegation of Power: The Regional General Assembly Meeting has the authority to delegate its power to the executive committee, or the Chairperson of the Committee; the



Committee can delegate its power to the Chairperson or the General Secretary and the General Secretary can delegate his power to the Secretary.

29. Dissolution of the Institution: The whole assets of the Institution shall be taken over by His Majesty's Government in the event of dissolution of the Institution due to its inability to function in accordance with its Constitution or due to any other reasons.
30. Contacts with other Institutions: The contacts other institution shall have to be made through correspondence on the letter head of the Institution which should bear the seal and signature of the authorised office-bearer of the Committee.
31. Expert Services: The Institution is entitled to appoint national or international experts to carry out services required for the attainment of its objectives. Similarly, the executive committee is entitled to make necessary arrangements for providing experts' services to any national or international government or non-government organisations in the home country or in foreign country. The remuneration and facilities for carrying out or providing such expert services shall be as prescribed by the Committee.
32. Facilities: The Regional General Assembly Meeting is entitled to prescribe various facilities for the office-bearers as well as the Regional General Assembly members of the Institution.
33. Power to remove hindrances or impediments: The Committee shall have the power to remove hindrances or impediments without affecting the activities of the Institution. However any action to this effect shall have to be reported to the Regional General Assembly Meeting.
34. Validity of Work: Work performed by the Ad hoc Committee formed in order to function for the Institute prior to the commencement of this Constitution shall be treated as work performed under this Constitution.
35. If any matter provisioned in this Constitution happens to contradict with any prevailing Act and Law of the country, such matter shall automatically be treated as defunct to the extent of contradiction there of.

## Participating Countries of the Hindu Kush-Himalayan Region



Afghanistan



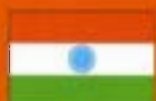
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