



LEARNING TO ADAPT

Managing Forests Together in Indonesia

**Trikurnianti Kusumanto, Elizabeth Linda Yuliani,
Phil Macoun, Yayan Indriatmoko and Hasantoha Adnan**

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FOREWORD

To the Indonesian people forests are very dear. Not only because they provide food and income for over a hundred million people in rural and urban areas, but also because they form the foundation of the diverse cultures and beliefs that form the country's wealth. Notwithstanding this, people have badly treated the forest in many places. The country's forest cover is declining rapidly with forest resources decreasing dramatically. Over time, the government, non-governmental sector, local communities and forestry commercial sector have tried out new programmes and policies with the aim to better manage and protect forests. However, one thing seems to have hampered such attempts: the different groups or institutions are too proud to recognise their shortcomings and to learn from each other.

When the Center for International Forestry Research (CIFOR) asked me in 2000 to become a member of the Indonesian Advisory Committee for a research endeavour on a forest management approach called Adaptive Collaborative Management (ACM), I could not refuse. For it was an urgent time in which we were seeking ways to learn in all modesty from past failures and from each other in order to build a better future for the nation's forests and people.

This book offers an opportunity for readers to hear about the experience of Indonesia's ACM research team. I am convinced that the team's specific experiences can become a source of reference for forestry practitioners, decision-makers and other interested readers in developing alternative strategies for forest management.

Emil Salim

Professor of Economics at the University of Indonesia and
former Minister for Population and the Environment

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Our research work would not have been possible without the consistent support of the District Government Planning Office, the District Head Office and the District Forestry Service in Bungo (Jambi, Sumatra), as well as the District Government Planning Office, District Forestry Service and the District Legislative Assembly in Pasir (East Kalimantan). Among the many people engaged in our research, our particular thanks go to Iskandar Basri, Dewi, Mustaphal Hadi, Budi Hartono, Usman Hasan, Dedy Irawan, Jasumbai, Mawardi and Safrizal in Bungo, and Muhamad Amin Ahmad, Abu Bakar Mahidin, Abdul Azis Maulana and Romif in Pasir.

Our research in Sumatra and East Kalimantan was funded by the Asian Development Bank (ADB) as part of CIFOR's 'Planning for Sustainability of Forests through Adaptive Co-Management' project, implemented during 1999-2002. The publication of this book, however, is made possible thanks to support from the Multistakeholder Forestry Programme (MFP), a forestry reform programme co-managed by the Indonesian Ministry of Forestry and the UK Department for International Development (DFID). We also recognise the support of the International Development Research Centre (IDRC) for having supported part of our fieldwork in 2001. We wish to acknowledge Muhammad A. Mannan and Sivaguru Sahajananthan from ADB and Yvan Biot from MFP for their support. The views expressed in this book, however, are those of our team alone and do not represent the views and policies of the donor agencies.

As part of the global ACM research, our team was fortunate to have received intellectual guidance from our International Steering Committee. Our sincere acknowledgements go to Peter Frost, Don Gilmour, Irene Guijt, Renato de Rueda, K.B. Shrestha and Yunita Winarto.

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In CIFOR Ravi Prabhu and Carol J.P. Colfer tirelessly guided our team intellectually and organisationally. We could not have been more fortunate than to receive direction from the persons who paved the groundwork for ACM in CIFOR. We are deeply thankful to both. To ACM team members from around the world, in particular Herlina Hartanto and Cynthia McDougall, we express our thanks for having shared with us their time, thoughts and perspectives. Indonesia team member, Stepri Hakim, was responsible for the Pasir site and thus made a major contribution. However, he was unavailable to join us in writing this book.

In developing this book invaluable reviews of drafts came from Carol Colfer, Ravi Prabhu and Moira Moeliono from CIFOR, and Dani Wahyu Munggoro and Tetra Yanuariadi from the NSC. We are grateful for their critical comments. We further acknowledge the editorial guidance from Olivia Vent and Antonio Frio for their excellent work. As part of a series of publications about ACM research in Asia, the book's layout, only slightly modified, has followed the Philippines version. We therefore thank the Philippines ACM research team for the use of this version as basis for the layout of the present book. Our thanks go also, last but not least, to Rahayu Koesnadi, Gideon Suharyanto, Atie Puntodewo and Ahmad Yusuf for their assistance in the production process of this book.

Bogor, February 2005

ABOUT THIS BOOK

What is Its Aim?

This book aims to support field-based facilitators and project staff who assist local communities and other groups in managing the forest. It draws on the experience of a team of researchers from CIFOR who worked together with community facilitators from three Indonesian partner non-governmental organisations (NGOs)¹.

The team conducted its research on an approach that is called *adaptive collaborative management* (ACM). The research process took place from 2000 to 2002 and was carried out in two Indonesian sites: Jambi province in central Sumatra and East Kalimantan province.

Similar research was conducted in Bolivia, Brazil, Cameroon, Ghana, Kyrgyzstan, Madagascar, Malawi, Nepal, the Philippines, and Zimbabwe. As in the case of Nepal and the Philippines, the Asian Development Bank funded the Indonesian research.

This book shares the team's experience and the findings of their research.

What is in This Book?

The book blends the team's concrete experiences with more abstract concepts in relation to ACM. It is divided into four parts.

Part One: Introduction

Chapter 1 gives an overview of what ACM research is about and highlights the questions we wanted to answer.

Chapter 2 discusses the origins of ACM as an approach and provides the reader with some theoretical background for applying ACM.

Part Two: The Context

Chapter 3 describes the context in which the research took place, with special attention to 'collaborative forest management' in Indonesia. It details how

collaborative forms of forest management emerged and what challenges they have faced.

Chapter 4 describes the sites where we applied ACM and discusses the team's assessment of why collaboration and 'adaptiveness' in the sites were limited before we began our fieldwork.

Part Three: The Practice

Chapter 5 shares our team's experience in assisting local groups in applying ACM to improve people's livelihoods.

Chapter 6 pinpoints the challenges we faced when we applied the ACM approach, followed by a discussion of its strengths and limitations as we experienced them.

Chapter 7 presents the lessons we learned from doing participatory action research about ACM.

Part Four: Implications and Conclusions

Chapter 8 discusses the implications of our research results for forestry programmes in Indonesia.

Chapter 9 offers some conclusions we have drawn from doing research about the ACM approach in Indonesia.

Who Can Benefit From This Book?

This book is intended for use by local community workers, staff of field-based organisations like NGOs, extension workers of government agencies (especially the forest service), trainers, and other interested readers. Because of their daily engagement with local people in the management of forests, they can use this book as a reference, as a tool in the facilitation of local community action, or simply as an account of our experiences.

The book is structured in such a way that one can read it sequentially, from chapter to chapter, as a story told by us, or delve into individual chapters as a basis for thinking about new methods, tools, or concepts related to forest management. We hope that readers will not only enjoy reading the book, but also feel inspired by it to seek new ways of working with local groups in forest management.

LIST OF ACRONYMS AND ABBREVIATIONS

4Rs	Rights, Responsibilities, Returns and Relationships
ACM	Adaptive Collaborative Management
ADB	Asian Development Bank
BPD	Badan Perwakilan Desa (Village Representative Body)
C&I	criteria and indicators
CBFM	Community-Based Forest Management
CIFOR	Center for International Forestry Research
DAS	District Agricultural Service
DFID	Department for International Development
DFS	District Forestry Service
DPS	District Plantation Service
FAO	The Food and Agriculture Organisation of the United Nations
GPS	global positioning system
HKm	Hutan Kemasyarakatan (Community Forestry Programme)
ICDP	Integrated Conservation and Development Project
IDRC	International Development Research Centre
IIED	International Institute for Environment and Development
IPPK	Izin Pemanfaatan dan Pengelolaan Kayu (Permit for Timber Use and Management)
ITTO	International Tropical Timber Organization
LATIN	Lembaga Alam Tropika Indonesia (Indonesian NGO)
MFP	Multistakeholder Forestry Programme (a forestry reform programme co-managed by the Indonesian Ministry of Forestry and the UK Department for International Development)
NGO	Non-Governmental Organisation
NSC	National Steering Committee
NTFP	Non-Timber Forest Product
PAR	Participatory Action Research
PMDH	Pembinaan Masyarakat Desa Hutan (Forest Village Community Development)
PRA	Participatory Rural Appraisal
PSHK-ODA	Pusat Studi Hukum dan Kebijakan Otonomi Daerah (CIFOR's partner institution)
PT	Perseroan Terbatas (Ltd., Limited)
RAAKS	Rapid Appraisal of Agricultural Knowledge Systems
RECOFTC	Regional Community Forestry Training Center for Asia and the Pacific
SFM	Sustainable Forest Management
ToT	Training of Trainers
UK	United Kingdom
YGB	Yayasan Gita Buana (CIFOR's partner institution)

Part One

Introduction



There is an increasing need to enhance the quality of forest management in many places around the world. This need often arises from disagreements among interest groups who use the same forestland and forest resources. Although it is generally agreed that this problem should be tackled through better collaboration among competing groups, there are many questions about how to go about it in practice. This book tries to answer some of them. It shares the experiences of our team in Indonesia with an approach to collaboration called adaptive collaborative management (ACM).

Part One provides an introduction: Chapter 1 gives an overview of what the ACM research is about and highlights the questions we wanted to answer while Chapter 2 details the origins of ACM.

1

ABOUT ACM RESEARCH





It is incredible, that is, if things are what they seem, if there is not a secret hidden somewhere.

Rebecca West, journalist, in *The Strange Necessity* 1926

In early 2000, when researchers from around the world met at CIFOR headquarters to establish the ACM Group, Indonesia was experiencing social turmoil. Waves of changes were felt at all levels of society. The economic crisis in the previous years, the dramatic toppling of the autocratic leadership of President Suharto two years earlier and the bottled-up frustration of the people about the corrupt government spurred processes of change.

As the changes rippled down to affect the Indonesian forestry picture, windows of opportunities opened for improving forest management. For a long time, the forests had been managed in an unsustainable and unfair way that largely benefited privileged groups in the country.

As part of the new international ACM group, the Indonesian team thought that research on ACM could not have begun at a better moment. What most appealed to us was that there remained the question, with all the emerging opportunities for changes in Indonesia, what direction the changes would take.

A lack of *learning together* among different interest groups was evident in forest management in Indonesia. This condition did not encourage collaboration or stimulate the groups to take decisions and management actions together.

We believed that collaboration and learning were urgent in the Indonesian context. Changes were occurring that had encouraged different groups to come



The remaining forest in Jambi (central Sumatra) as shown here is a common view throughout Indonesia.

forward with their respective claims on the same forest, however, it was hard to say if the changes would move forward for the betterment of the forest and the people, or just the opposite.

Our team expected that ACM could provide different interest groups the means to learn together as a basis for improving management strategies in a collaborative way. By doing research about ACM we were interested in finding answers to the following three questions:

1. Can collaboration among stakeholders in forest management be enhanced by processes of social learning that lead to improved human well-being and forest conditions?
2. What approaches centred on social learning and collaborative action among stakeholders can be used to encourage sustainable forest management?
3. In what ways does social learning in ACM affect social, economic and ecological functioning?

Our research was participatory action research (PAR). This means that we both observed what others did with the forest and we searched for ways to better



Local groups acted as action researchers side-by-side with our team.

manage it. Thus, our team and the local groups acted as action researchers. This activity was a new experience in doing research for us.

Our participatory action research operated at two levels. At one level our team facilitated different groups to collaborate and learn together. At another level we observed the collaborative and learning processes that were taking place. Figure 1 below depicts this. Collaborative and learning processes occurred in the centre of the circle. At certain times, we ‘located’ ourselves inside the circle—as facilitators of learning—and at other times outside the circle as observers.

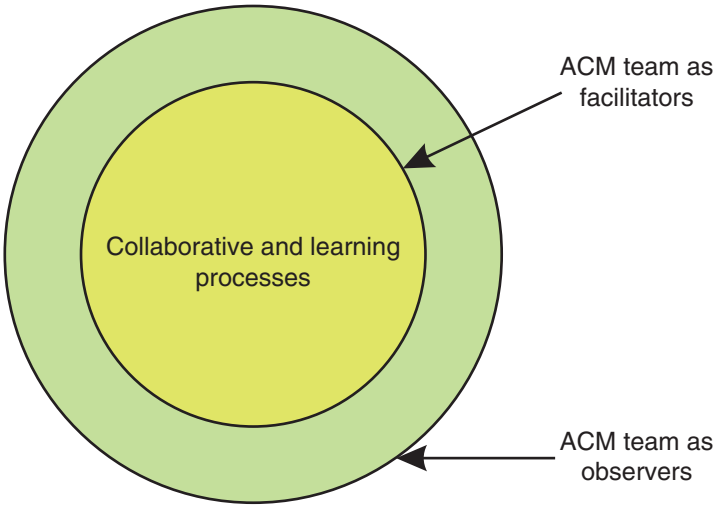
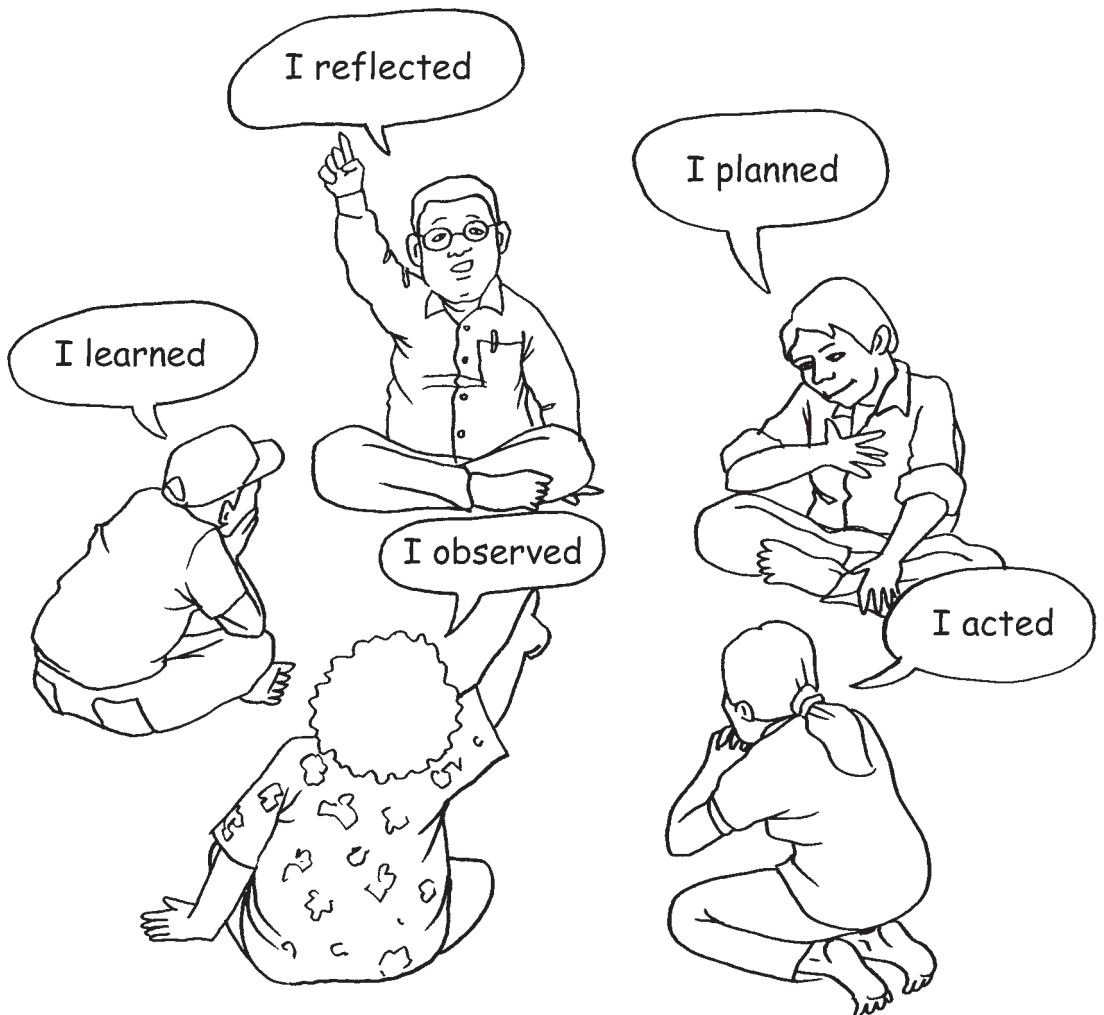


Figure 1. The ACM team’s dual role in participatory action research

2

ORIGINS OF ACM





Eventually the eukaryotes learned an even more singular trick. It took a long time –a billion years or so– but it was a good one when they mastered it. They learned to form together into complex multicellular beings. Thanks to this innovation, big, complicated, visible entities like us were possible. Planet Earth was ready to move on to its next ambitious phase.

Bill Bryson, receiver of the Aventis Prize for science books 2004

The ACM approach refers to a process that aims at encouraging stakeholders to work together to plan, implement, observe and learn from their previous plans. To adequately describe the ACM approach, its key processes and elements, we need to consider the origins of ACM: *adaptive* management and *collaborative* management.

In this chapter, we describe the main characteristics of each of these separate concepts and explain why and how we have combined them. It also tries to provide a simple understanding of the theories behind the ACM approach, including its central components and ‘heart and soul’ processes, and how they can be implemented.

ADAPTIVE

from ‘adaptation’, the process of adapting or adjusting to suit new conditions.

COLLABORATIVE

from ‘collaboration’, the act of working together, united labour, co-operation.²



Dynamic interactions between people are likely to stimulate adaptation and collaboration.

Adaptive Management

People working in natural resources management and ecology often face uncertain, dynamic and complex conditions where social values, policies, and

the biophysical environment are continuously and rapidly changing. Despite these uncertainties, they have to make decisions and implement their plans, even though adopting plans based on uncertain information can often lead to ineffective decisions.

A possible solution to this dilemma is to apply a management approach that includes adjustments of decisions in a systematic and continuous way. The process of making adjustments occurs as new information is gathered and learning takes place. This idea of adaptive management emerges when people recognise the importance of dealing with uncertainty by designing interventions to facilitate learning.

Adaptive management is a way for stakeholders to proceed responsibly in the face of uncertainty. It allows frequent improvement through repetitive processes illustrated in Figure 2.

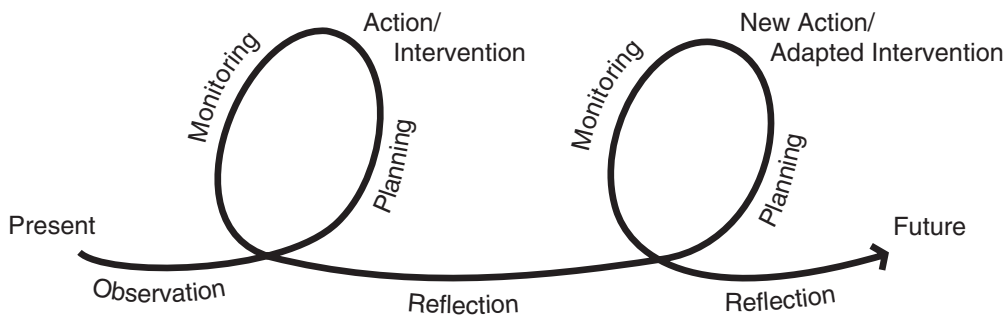


Figure 2. Repetitive process of adaptive management

The process begins with reflection, which identifies fundamental problems, opportunities and issues. The results are then brought forward as important factors to consider for planning, followed by action to achieve the objectives. During planning, stakeholders also design how they expect to monitor whether their plans are meeting their objectives, and how effective their plans are. The results of monitoring are then used in an *evaluation/reflection* process that seeks to:

- look at the causes of ineffectiveness, and the strengths and weaknesses of previous decisions;
- assess whether the goals continue to be relevant;
- identify any changes—like fire, new policies, demographic changes—throughout the whole social and natural resources system that require *adjustment* to the plans; and
- consider next steps, with possible modifications to the plan and goals.



Local natural resource management involves complex and dynamic natural and social systems.

The key to the success of adaptive management is *learning from past experiences in order to plan for a better future*. The repetitive processes described above require stakeholders to assess the effectiveness of their plans and actions. Inevitably, they become aware of changes they are enacting in their environment. With these steps, they can adjust to the constantly changing environment.

However, a single individual or particular group (for example, forest managers or policymakers) can perform the repetitive processes without involving other groups. This can be a drawback, resulting in little participation by important stakeholder groups. If this happens, it can lead to a *top-down planning and decision-making system and lack of learning processes among stakeholders*. Therefore, it is indispensable that all stakeholders adopt this approach collaboratively.

Natural resources management practitioners across the globe have realised that the commonly accepted practice of making decisions in a top-down manner has been a major cause of failures in many natural resources management projects. Top-down decision-makers who did not have a proper understanding of local conditions were responsible for making most of the policy decisions in such systems.

Box 1. Top-down decision-making system

When we refer to a top-down system, we are talking about a decision-making structure in which the decision-makers are usually far removed from the impact of their decisions. The decisions, then, are made by the actors at the top of the hierarchy (for example, government representatives) and are imposed on the actors further down the hierarchy (for example, forest user groups).

Collaborative Management

Similar to the adaptive management approach, collaborative management is not a new concept. Collaboration in resource management has existed in many countries and various forms for decades. In Indonesia, however, this form of forest management is more recent, having emerged in the late 1990s. A more detailed description of the history of collaborative management in Indonesia is provided in Chapter 3.

The term ‘collaborative management’ is often used interchangeably with co-management, participatory management, joint management, shared management, multi-stakeholder management or round-table management. In its original form, collaborative management involves participatory processes where all relevant stakeholders are actively involved in management activities, including developing a joint vision and jointly learning and adapting their management practices. Collaborative management, however, has its potential drawbacks and forest managers should take note (Box 2).

Box 2. Potential drawbacks of collaborative management

- Forest managers use the term ‘collaboration’ interchangeably with ‘participation’. This can be problematic when they perceive ‘collaboration’ as a mere invitation for local communities and groups to ‘participate’ in the implementation stage. The problem is that the local people are not actually engaged in determining how to assess problems and how to make implementation and monitoring plans.
- Forest management objectives, methods, and plans thus remain in the realm of outsiders. If these outsiders do not know much about the local context and tend to see problems from their own perspectives, project designs may not meet local needs and may lead to project failure.
- The potential for collaborative management (i.e., creating opportunities for different interest groups to learn together and to negotiate), cannot be attained if ‘participation’ does not mean self-determination of the groups.

Keys to successful collaborative management are:

- 1) Important stakeholders not only participate in implementation (or action), but also in all management stages: reflection, planning and monitoring.
- 2) Building effective local skills, interests and capacities that can adjust to dynamic and rapid changes after the project ends. One way for stakeholders to improve their ability to respond to change is to undergo continuous and structured cycles of learning that help them *adapt* their management approaches.



The engagement of relevant stakeholders, including local communities, throughout the implementation could help build local capacities. This picture shows how local people take part in a vegetation analysis of their customary forest.

ACM: Combining Adaptive and Collaborative Management

Adaptive collaborative management (ACM) combines principles of both adaptive and collaborative management in order to build on their respective strengths and overcome their individual constraints (Figure 3).

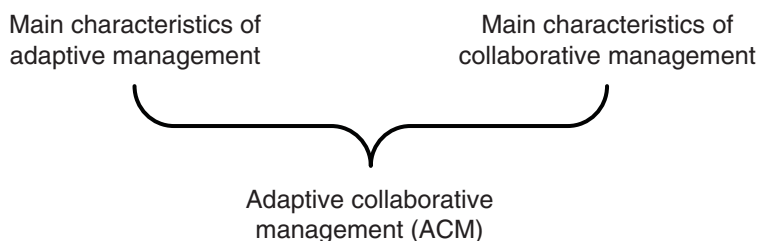


Figure 3. Combining characteristics of two concepts to form ACM

As mentioned at the beginning of this chapter, ACM is an approach that encourages stakeholders to work together to plan, observe and learn from their previous plans. It is important to point out that the ACM process is characterised by conscious efforts among stakeholders to continuously communicate, collaborate, negotiate and seek out opportunities to collectively learn about the impacts of their actions.

Box 3. Our definition of adaptiveness and collaborativeness

ADAPTIVENESS: ‘capacity of something or someone to respond in an active and positive manner to external or internal factors’.

COLLABORATIVENESS: ‘voluntary participation of stakeholders in the management process, and especially in the learning process’.

It is important to note that collaborativeness does not refer to any particular forest management arrangement. It does not dictate terms regarding the type of stakeholders involved, or the division of roles and responsibilities. In terms of ultimate success and ethics, collaboration would necessarily depend on the participation of those stakeholders who are key players in an area, notably those who have been historically excluded.

Elements of ACM

There are three broad processes involved in the ACM approach (Box 4). These are characterised by the following elements:

- Effective communication and information flow within the members of the group, or between different groups;
- Active participation and wider representation in decision-making and negotiation of all important stakeholders;

- Presence of mechanisms to deal with conflicts, rapid changes/surprises and uncertainty;
- Intentional learning and experimentation;
- Institutional willingness (i.e., attitude) and capacity (i.e., skills and resources) to learn and respond to learning;
- High mutual respect/trust and transparency;
- Shared knowledge/skills;
- Collective planning, decision-making, action and monitoring, including attention to relationships within and between human and natural systems.

Box 4. Three broad processes involved in the ACM approach

ACM is composed of adaptive cycles carried out collaboratively, involving all key stakeholders. A simplified view of ACM comprises three broad processes:

1. Stakeholder interaction;
2. Communication and learning among stakeholders; and
3. Joint or collective action, resulting in changes or adjustments to management.

How do we facilitate an ACM process?

Before facilitating an ACM process, we start with the following questions:

- Who should be involved in the process?
- Who are the stakeholders in forest management in this area?
- Were there any significant changes in the forest conditions in the past, and if so, why?
- What are the recent key problems that have caused forest loss?

Getting the right answers to these questions and having a deep understanding of the local context are essential to all facilitators who are going to promote ACM. Therefore, at the earliest stage, facilitators need to:

- *Build trust and partnership.* Build good partnerships between facilitators and stakeholders, and among stakeholders. Trust building is an important step because without trust in the facilitators, stakeholders may not share their views freely, leaving important information and problems hidden.
- *Understand the local context.* Identify relevant stakeholders in the site including their roles, responsibilities, and authority, as well as local historical trends. Some tools to identify relevant stakeholders are given in Annex 1 and Annex 2.



Box 5. Stakeholder analysis

The analysis is aimed to identify the key actors or stakeholders in the system, and to assess their respective interests in that system. Some methods and tools for stakeholder analysis can be found in Annex 1 and Annex 2.

After gaining sufficient understanding of the local context and trust among the involved parties, the facilitators can then organise meetings/workshops to identify the key problems faced by local stakeholders in managing their forests.

At that point, a meeting/workshop is held to plan jointly how to deal with those key issues, followed by action, monitoring and evaluation, reflection and adjustment to a new plan. Key stakeholder groups whose roles and interests are relevant to the issue are involved in this meeting.

All the steps involved in ACM processes are described in Figure 4 on page 19.

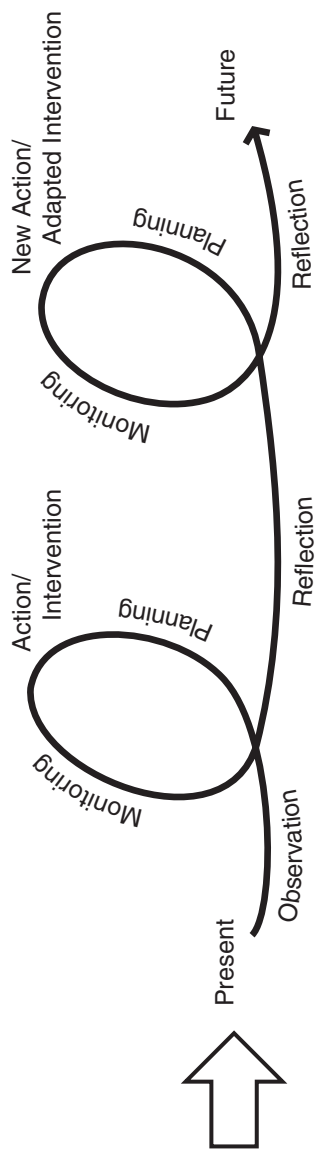


Figure 4. Main steps of the ACM process

ACM and criteria and indicators

In the early stages of the ACM process, the community and/or other stakeholders may express many expectations, problems, frustrations, etc. This may make it difficult to prioritise key issues/problems. Therefore, it is important always to remember the main objectives.

In CIFOR's view, ACM aims to promote sustainable forest management (SFM). To frame activities so that they contribute to achieving SFM, we need first to identify the key issues that define or contribute to SFM, and then in turn determine what activities or outcomes are most likely to contribute to achieving SFM. This provides a framework of goals and activities or results across social/economic, policy, ecological and production issues, and thus forms the basis for defining criteria and indicators (C&I) of sustainable forest management.

C&I are one among many tools that can be used to help identify key local problems, opportunities and issues and develop monitoring systems. More importantly, C&I can identify the obstacles to achieving the desired conditions. This includes trying to understand causal relationships among problems, by drawing a problem tree, for example. Box 6 shows some references for developing C&I.

Box 6. Some references for developing C&I

The following tools can help users develop and assess C&I of sustainable and equitable forest management:

C&I Toolbox

A series of guidelines and software which were developed during the CIFOR project on Testing Criteria and Indicators for Sustainable Forest Management. 1999. Downloadable at <http://www.cifor.cgiar.org/acm/pub/toolbox.html>

Criteria and Indicators of Sustainability in Community Managed Forest Landscapes: An Introductory Guide.

Ritchie, B., McDougall, C., Haggith, M. and Burford de Oliveira, N. 2000. CIFOR, Bogor, Indonesia.

ACM and social learning

As noted earlier, the key to a successful adaptive process leading to management improvement is social learning among stakeholders. Social learning is the kind

of learning that takes place within a group of people, rather than learning experienced by each individual separately.³

Indicators of whether or not social learning is taking place include changes in the group's knowledge, perception, behaviours, action, etc. Other indicators might be appropriate in other locales, for example, ways in which the group examines new information or reacts to the new information.

To catalyse stakeholders to learn and to help ensure that social learning takes place, three components are needed:

- Issue(s) or a focus;
- New ideas or information;
- Platforms (forum and basis) for communication.

ACM and facilitation

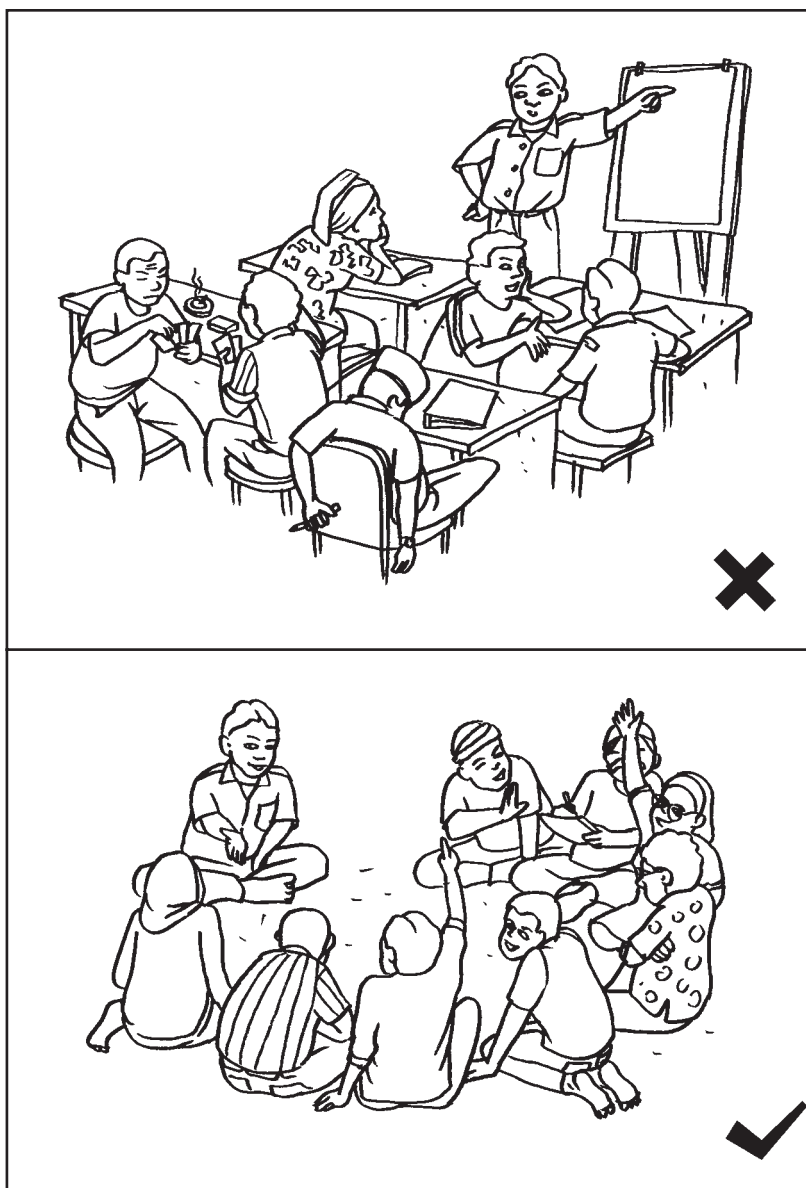
Facilitation plays an important role in promoting social learning through constructive interaction.⁴ In a situation where there is high conflict or competition among stakeholders over the use of forest resources, facilitation is crucial in bringing stakeholders together and generating interaction through open and free discussions.

Box 7. A definition of facilitation

We define facilitation as the conscious process of assisting a group to successfully achieve its task while functioning as a group. It is important to note that facilitating is not chairing the group meeting, giving direction, nor lecturing.

Dominant parties should not be the only ones making decisions. Facilitators need to develop strategies, mechanisms and conditions that can help balance the power among stakeholders in order to:

- Promote good group dynamics and constructive communication;
- Allow equitable representation or equal opportunities for all groups to speak and to be heard;
- Ensure accountability of the representatives;
- Ensure that their thoughts/ideas are well considered in the decision-making process.



However, good representation and equal opportunities do not occur instantly. Promoting social learning through constructive interaction among interest groups can be encouraged by lifting barriers to communication to make it more open and responsive.⁵ For example, different levels of power and education can sometimes lead to psychological barriers (where marginalised groups may feel inferior and not confident enough to communicate with government officials). There should be some processes that build the capacity and confidence of the weaker groups in the following areas:



A facilitator helps to ensure that group processes are dynamic and communication between group members is constructive. This could ideally lead to learning among participants in which everyone's ideas are accounted for in the decision making process.

- Managing new information;
- Negotiation;
- Organisational and institutional competence;
- Problem solving.

Figure 5 briefly describes the roles that facilitation plays in promoting social learning. However, it is important to note that in reality, these roles may not necessarily follow a linear direction or be treated as simply as the diagram suggests.

All stakeholders and facilitators themselves should improve their capacity in the following areas that lead to collaborative forest management:⁶

- Conflict mitigation and political decision-making;
- Innovation and problem solving;
- Communication and relationship building;
- Capacity building and community organisational development.

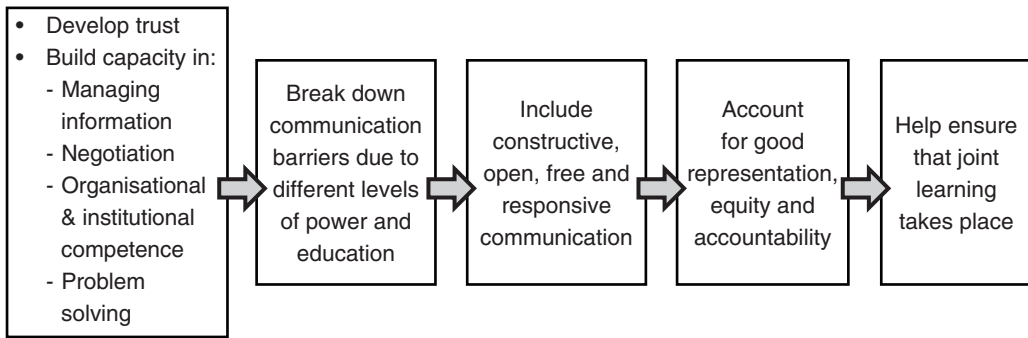


Figure 5. Roles of facilitation in promoting social learning

What added value can be expected from ACM in Indonesia?

Indonesia has known various participatory forms of forest management (cf. Chapter 3). The question thus arises what added value can ACM offer to forest management in the country. Our expectation was that ACM and our research would have the following merits:

- ACM facilitates different interest groups in self-organising for action and monitoring;
- It shapes conditions for conscious learning among groups;
- It helps in structuring learning;
- It improves the adaptive capacity of groups of stakeholders; and
- It enables the process of facilitation and the process of doing research to take place simultaneously.

ACM in practice

While this chapter attempts to provide the theories behind ACM, its practice is described in the following chapters. These illustrate how we applied ACM in reality, including the processes and outcomes in our two pilot sites in Indonesia. As our understanding of our research sites broadened, we made many adjustments to suit local conditions and stakeholder dynamics in our ACM implementation.

Part Two

The Context



The social turmoil that occurred in Indonesia at the turn of the 20th century also affected Indonesia's forests. A positive development was the emergence of collaborative forms of forest management.

Part Two begins with a look at what was behind this development, as it was the broad contextual setting for our research (Chapter 3). The challenges that these collaborative forms of forest management are facing are also discussed in this chapter.

Part Two then examines the local setting for the research. Chapter 4 describes the research sites, the people who live there, outsiders who became interested in forest resources, and the different groups' perceptions of forest use and management. Part of the local setting was the uncertainty that the communities and groups faced due to changes in livelihood conditions, social relationships, and policies. Chapter 4 also addresses these circumstances, and shares our assessment about the level of collaboration and 'adaptiveness' of the communities and groups in the research sites.

3

COLLABORATIVE FOREST MANAGEMENT IN INDONESIA





Your freedom and mine cannot be separated.

Nelson Mandela, world leader

As noted earlier, our ACM research began amidst an economic and socio-political crisis in Indonesia. Fostered by widespread demands for a more sustainable and equitable forest management, collaborative approaches to forest management emerged only shortly before we started our research. Since this condition became the very setting in which our research took place, we pay some attention to it in this chapter.

The History

Collaborative forms of forest management have evolved relatively recently, originating in the 1970s when the government began experimenting with community participation in forestry. The government was then confronted with increasing social conflicts between local people and forestry projects, as well as with public and international pressure for increased participation.

In the three decades that followed, various participatory forest management initiatives were developed and tried out. Besides the government, NGOs, activists, researchers and donors all played important roles in these initiatives. Over time, these evolved from initiatives in which local groups were merely ‘invited’ to participate in implementation activities to ones that gave them decision authority (cf. Box 2 in Chapter 2). In this evolution three stages can be broadly distinguished.

The three stages in which participatory forest management programmes evolved in Indonesia are: 1) improved access of local stakeholders to forest resources; 2) recognition of local forest management systems; and 3) increased authority in decision-making about forests.

1. Improved access of local stakeholders to forest resources

Among the policies and programmes in this stage, the important ones are those concerned with social forestry.⁷

The government’s Social Forestry (*Perhutanan Sosial*) policy and programmes are aimed at enhancing the socioeconomic conditions of local stakeholders. The policy was first implemented in the early 1970s on Java’s state teak plantations. It allowed local stakeholders to plant annual crops and non-timber trees in between the teak trees on the condition that they provided the labour for the plantation’s planting activities. Initially, the stakeholders were not permitted to harvest the timber, but more recently they have been able to benefit from the teak they themselves plant.



A general aim of most social forestry policy and programmes is the enhancement of the socio-economic conditions of local people by improving their access to forest resources.

In the 1990s, the early social forestry policy was modified and took the form of village community development programmes (*Pembinaan Masyarakat Desa Hutan* or PMDH) and community forestry programmes (*Hutan Kemasyarakatan* or HKm). PMDH does not allow much participation but requires the forest concessionaires to provide financial compensation to communities within their concession. HKm allows local communities and groups to manage degraded forestlands and creates economic opportunities for them. It provides the stakeholders with utilisation rights but the government has the authority to grant and revoke the rights at its discretion.

The role of the government in this first stage was important because it adopted social forestry in its mainstream forestry programmes and allocated resources for their development. The role of local NGOs, researchers, activists and foreign donors, however, were no less important because they provided the government with technical back up, critical evaluations, and financial support.

In 1999, in the spirit of decentralisation, a national policy was issued that allowed for the benefits from timber harvesting to be shared between forest corporations

and local communities and groups. Nonetheless, local stakeholders do not have much to say over the amount of benefits to be shared.

2. Recognition of local forest management systems

This second stage represents a shift in focus from large-scale plantations towards community-based forest management (CBFM).

From the mid 1980s until the early 1990s, field studies were initiated to develop understanding of the diverse local forest management systems throughout the archipelago. Supported by foreign funds, forest service field staff were assigned to investigate the local systems. These early studies provided a knowledge base for the government to develop its social forestry policies and programmes.

In 1998, the government recognised the authority of the local customary community of Krui (South Sumatra) to manage an area within the state forest zone. This policy, called the Special Use Zone (*Kawasan dengan Tujuan Istimewa*), recognises the management rights of the Krui community and also provides utilisation rights.

Numerous CBFM initiatives have likewise been implemented throughout Indonesia, largely funded by foreign donors and implemented by local NGOs. These particular initiatives have been advocated by NGOs, activists, researchers and donors for widespread adoption.

3. Increased authority in decision-making about forests/partnership in forest management

Policies and programmes that aim at an increased authority of local groups in decision-making about forests have emerged relatively recently. In 1999, the government-owned State Corporation Perhutani initiated an experiment supported by a foreign donor and facilitated in the field by local NGOs.

The experiment was envisioned in order to develop a more genuine partnership between the enterprise and local groups. Unlike earlier social forestry programmes, the project involved local groups not as mere workers on the teak plantations but as partners with greater decision-making power. The role of local NGOs in mediating between the State Corporation and local groups has been indispensable.

Challenges of Participation and the Shift Towards Collaboration

In spite of the good intentions of government programmes employing participatory efforts, the results have not been as many expected. The unsustainable and inequitable use of forests has largely continued. Several challenges confronting participatory approaches are behind their limited success.

Participatory efforts have often assumed that local stakeholders form homogenous groups who share a common interest in the management of forests. The reality on the ground is often quite different. Communities and other local groups have generally differing, if not conflicting, interests in forests. Yet many participatory efforts are insensitive to differences among groups, lack the means to handle conflicts, or do not have the tools to stimulate collaboration. A common challenge confronting participatory approaches is thus their *inadequacy to deal with different claims on forests through collaboration*.



Seminars, meetings and workshops that deal with participatory efforts in forestry are many: this one was a national level workshop about social forestry during which local communities, government, NGOs, research institutions and donors reflected on four years of forestry reform, held in September 2002.

Furthermore, despite their participatory label, many efforts remain top-down in nature and inflexible to changes and uncertainties at the forest management level. They basically serve the state or those with enough power who usually get what they want. Hence, while changes and uncertainties at the forest management level call for flexible management styles, management decisions remain the exclusive privilege of professional forest managers and the government. A second

challenge of participatory approaches is thus their *inflexibility to accommodate changes and confront uncertainties*.

These challenges have influenced the evolution of participatory approaches in Indonesia, and continue to do so even at present. A recent development in this process is the shift of earlier approaches that were incapable of addressing different forest claims, changes and uncertainties to more collaborative forms of forest management.

Current government decentralisation efforts and increasing market forces have been important factors behind this shift. They have made the involvement of a wider array of interest groups in forest management necessary. Besides, new interest groups and changing relationships among groups have made collaboration an urgent need.

Figure 6 shows a continuum of participatory initiatives in forest management.

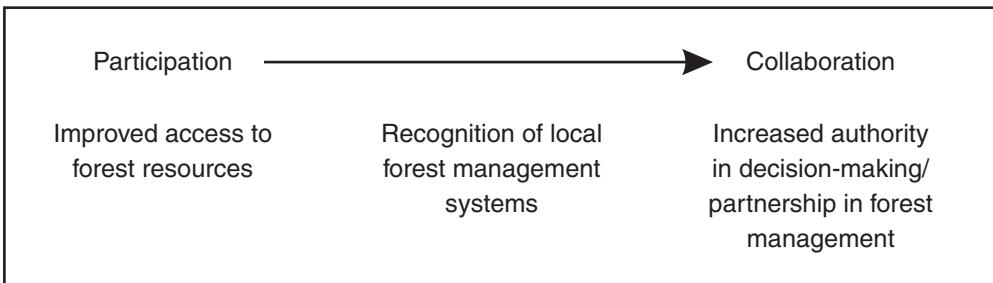
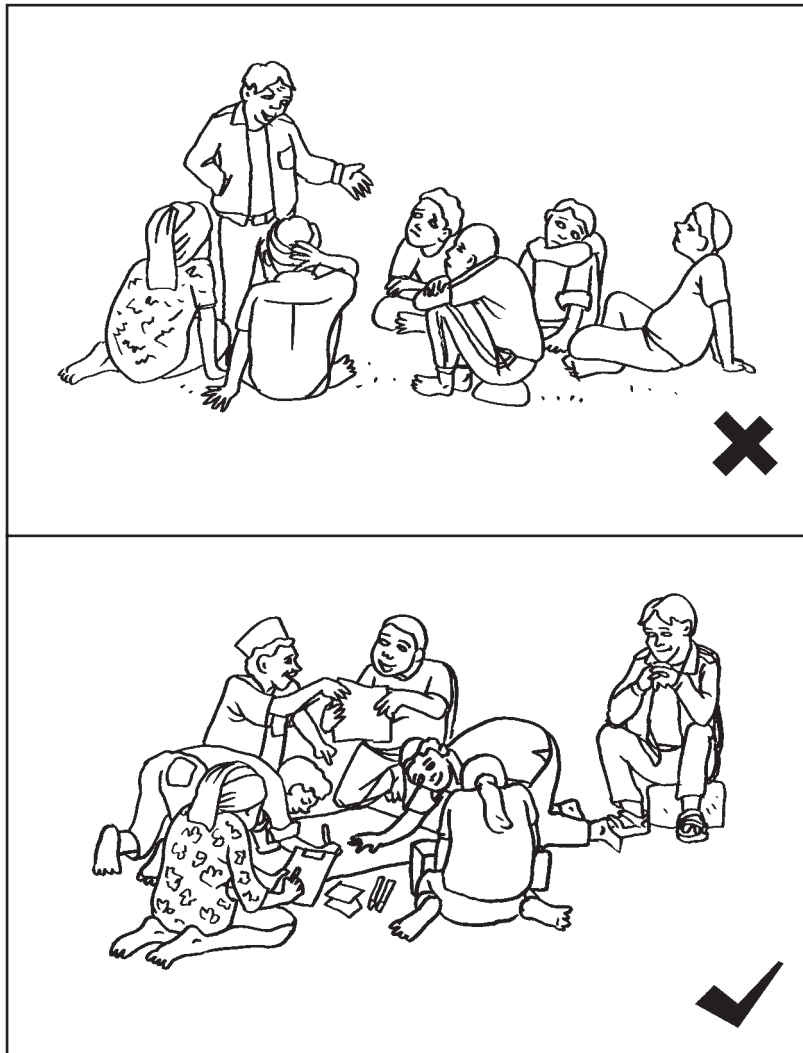


Figure 6. A continuum from participation to collaboration in forest management

Challenges to Collaborative Forest Management

The shift from participation to collaboration is a positive development in the search for improved forest management. However, it is not yet clear if collaborative forms of forest management can effectively tackle the challenges that earlier approaches failed to address.

Collaborative forest management in other Asian countries (like Joint Forest Management in India, Community Forestry in Nepal, and Community-Based Forest Management in the Philippines) has experienced similar challenges. Even though they are long established, programmes in these countries have also faced problems in adequately giving attention to the social processes during implementation. This, in turn, has affected the rights of self-determination of local groups and generated inequitable distribution of resources.⁸



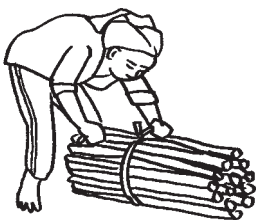
We have seen from the evolution of local participation in Indonesia's forest management that trial-and-error learning among interest groups has taken place. This is true, even today. The pace of learning has been slow, and despite the learning, participation is seen primarily as a means to ensure that the forest is a source of income and wealth for those who have power.

We believe that one thing in particular has hampered learning: the frame of reasoning of those who are social-politically strong has remained the same over time. The control over forestland and forest resources has been kept in the hands of the power holders because they do not want to lose the comforts that arise from being in power. Thus, learning has largely been *unreal*: it has not led to sustainable changes.

4

OUR RESEARCH SITES





It is because he is a conscious being that man is not only 'in' the world, but 'with' the world.

Paulo Freire, philosopher, scientist and reformist

After an extensive search for a research site our team selected two locations: Baru Pelepat village in Jambi, central Sumatra and Rantau Layung and Rantau Buta villages in Paser, East Kalimantan (Figure 7).

Now we have shared the broad context for our research, the present chapter presents the local setting. It describes the research sites, the stakeholders and the uncertainties that confronted them, as well as the level of ‘adaptiveness’ and collaboration of the local communities and groups.

4.1 The Forest and the Stakeholders

The forest and the people

We could easily see from the landscape that the forests in both sites had been exposed to various human activities: fallow farming, forest gardening, commercial logging, and in the case of the Jambi site, some oil palm plantations and resettlement areas. Dipterocarp forests, known for their high-value timber like *meranti* (*Shorea* sp.), surrounded the villages.

On entering Baru Pelepat, the Jambi site, we saw that the area was significantly covered by secondary forest that had evolved over time due to local communities’ rotational farming and to large-scale logging. Small patches of primary forest could still be found on the higher and hilly parts of the area.

Baru Pelepat is 65 kilometres east of the Kerinci National Park, one of the four largest conservation areas in Southeast Asia. The village is inhabited by 557 people and covers a total area of 7,265 hectares. The site, located in the upper reaches of the Pelepat River, forms part of the water catchment area of downstream agricultural, plantation and urban areas. Pressure from commercial logging of such tree species as *meranti*, *Parashorea aptera*, and *balam* (*Palaquium* sp.) had been high. Faunal biodiversity is high.

The other site, the adjacent villages of Rantau Layung and Rantau Buta, is situated between the Lumut Mountain and the Kasungai River, about 202 kilometres west of Balikpapan. It is a kilometre away from the Lumut Mountain Protection Forest, which was designated in 1993 by the government as protection forest. Both villages are part of an area where large-scale logging companies operated. Rantau Buta and Rantau Layung cover an area of 18,913 and 16,546 hectares, and are inhabited by 210 and 85 people, respectively.

Like in the Jambi site, forests here are mainly secondary. We witnessed that the forest follows a typical mosaic landscape pattern. It is interwoven with dry

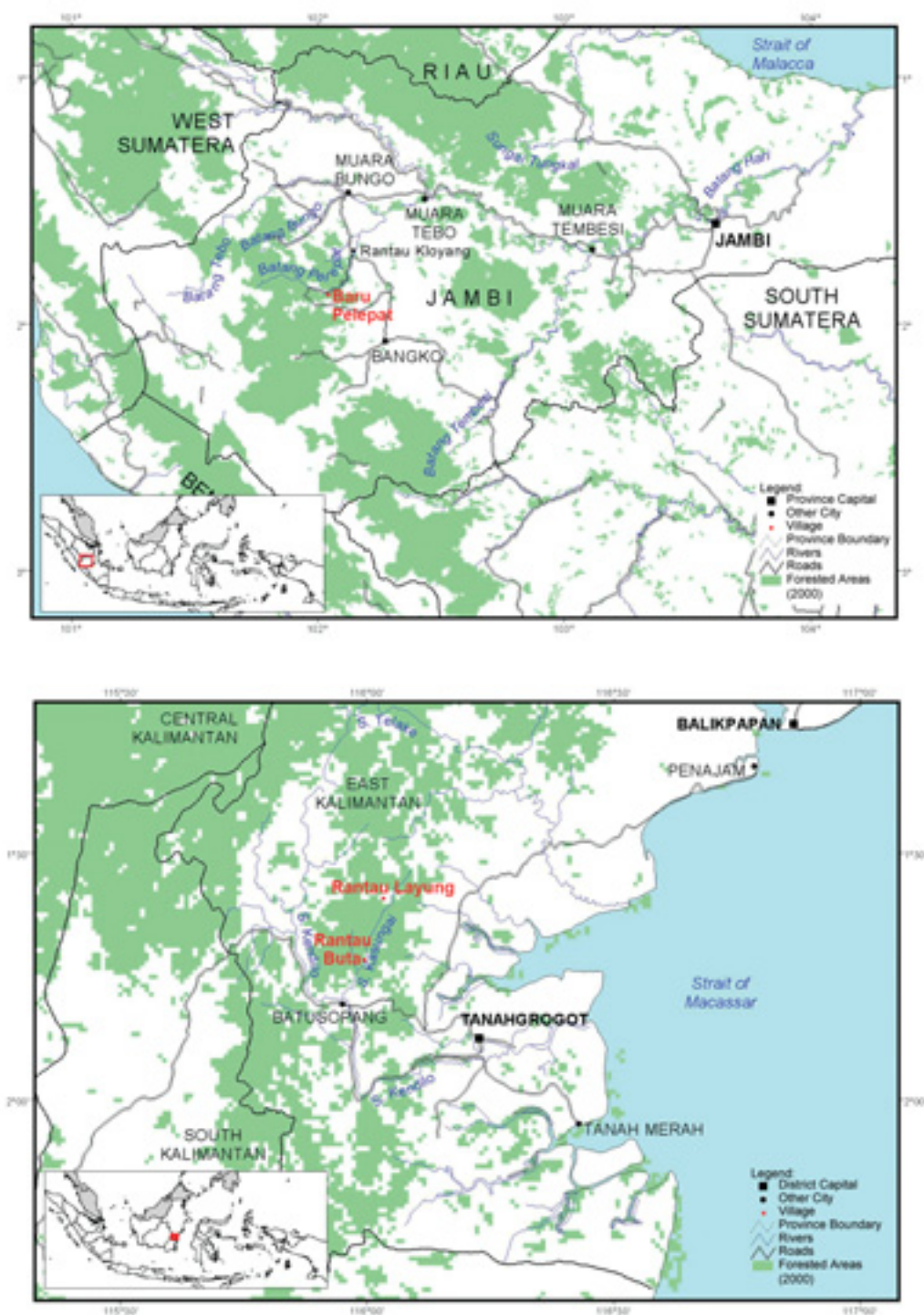


Figure 7. Our research sites



A common view at our Jambi site: a wooden house surrounded by a garden and a plot with food crops, while patches of secondary forest can be seen on the hills behind.

agricultural fields and forest gardens of local communities and areas of large-scale logging. Primary forests are found along the border of the Protection Forest. The vegetation here includes *wayan* (*Aglaia tomentosa*), *terap* (*Artocarpus elasticus*), and red *meranti* (*Shorea leprosula*). The common animals are deer (like *Cervus unicolor*), swift birds and reptiles.

Like in many Indonesian forest areas, the people in these three villages rely heavily on the products and services provided by the forest, bushlands, dry fields, rubber or forest plots, and home gardens. Socially, the inhabitants of the villages are diverse. They belong to different ethnic groups. To some extent the sites' social structures are typified by inequalities of wealth, gender and power. Different individuals or groups in the community have different social status. An example of such a structure in both sites is the 'higher' social status of the customary elite compared with other community members, which often meant that the elite was perceived to have more rights to make community decisions (cf. Box 1 in Chapter 2).

Different views of people about the forest

Given the diversity of the people in our research sites, it was not surprising that the assorted groups within these communities have different views regarding the use of the surrounding forest and lands.

Different groups or individuals assign different values to their forests as:

- sources of food and income;
- fuel and material input for agricultural production; and
- property or investment for present and future generations.

Here are some examples of how views about the use of forest resources differ among different groups or individuals.

Wealthier members of the communities view the forest in terms of their own interests. They stand to benefit from commercial exploitation of the forest by outside logging companies that have little interest in the community. These members collaborate with the outsiders by providing labour to the companies in logging activities. Meanwhile, the financially poorest members of the village rely on the forest mainly as a way to make ends meet by, for instance, collecting fruit, tubers, and game. These very poor members of the village are the nomadic *Orang*

Rimba in Jambi and the women of Pasir.



Forest: a source of food and income for local communities.

Another example is from the Jambi site. Here, different views exist between the original community residents and settlers from other regions of Sumatra and from Java. The original people are of *Minangkabau* descent who came from West Sumatra and are believed to have lived in the area for more than 100 years. The settlers came to the area through a government resettlement project in 1997. This project gave them land to build their houses on and to cultivate.

To the *Minangkabau*, the forest is a source of food and income. They clear different parts of the forest

each year to plant rice, other annuals and rubber, and harvested products from the forest like timber, rattan and fruit.

The settlers, on the other hand, view the forest and bushland as a source of fuel and material input like bamboo poles or rattan baskets for the agricultural activities that they carry out on their private landholdings. They grow their food and tree crops on the land allotted to them.

The arrival of these new community members increased the number of resource users in Baru Pelepat while at the same time making the community more diverse. In addition, their different views contributed to the lack of a common vision within the community regarding the use of the forest and other natural resources.

Another example of how people look at forests differently is demonstrated in Pasir. Descendants of Aji Sulaiman, a local ruler who reigned over the Pasir Kingdom in the 19th century, claim to have authority over forest areas that include the two research villages. However, when our team did the fieldwork, we found that the district government exercised official authority over the use and management of the forest. In this case, different people or institutions had different perceptions about who had authority over the same forest area.

Defining our stakeholders

The different groups or individuals in the communities had diverging opinions about how the natural resources in their villages should be used because they used the resources in different ways and attached different values to them. Yet they were in fact using the same resources. In other words, the future of each group or individual depended on what others used, decided upon and did. There was *interdependence* among them. Social scientists have described this dependence on each other by saying that the groups or individuals belong to *one system*.

In our case, we call these groups or individuals ‘stakeholders’. We define ‘stakeholder’ in Box 8, while Box 9 presents the stakeholders that we identified

Box 8. A definition of stakeholder of the forest

A stakeholder of the forest is an individual, a social group, an institution, a community, or an aggregation in society that has a ‘stake’ in the use and management of the forest. As such, a stakeholder affects and/or is affected by the decisions and actions of others connected to the forest system.

Box 9. Stakeholders in the community

Baru Pelepat Village, Jambi

- Nomadic *Orang Rimba* (women and men)
- Original community (women and men)
- Settler community (women and men)
- Village elite
- Youth
- Customary institution
- Village government
- Religious institution
- Women's groups

Rantau Layung and Rantau Buta Villages, East Kalimantan

- Farmer groups (women and men)
- Youth (women and men)
- Forest workers (all men)
- Elderly (men)
- Village elite (formal government officials and customary leaders)

in the community in the two sites. In the fieldwork, our team made use of various approaches to identify stakeholders. These approaches are provided in Annex 1. Annex 2 contains references for those who wish to know more about these approaches.

New stakeholders: The outsiders

Community stakeholders were many and each of them claimed to have some say over the same village resources. However, as our team learned along the way, stakeholders were not limited to only those groups and individuals in the community. Outsiders also appeared and showed interest in the village resources. Community members told us that in the course of time the number of stakeholders from outside the community had increased and put further pressure on the village's natural resources. This development was most obvious in the Jambi site.

Until about 20 years ago, the surrounding forest and lands provided the Baru Pelepat community with ample natural resources. At that time only the *Minangkabau* people lived in the community. They relied on a customary form of group control to regulate the use and management of these resources.

Starting in the mid 1970s, outsiders became interested in harvesting forest products in the village area, particularly timber. This began on a small-scale (e.g., by individuals from neighbouring villages), but over time activity intensified to include large-scale commercial operations. Companies were given formal licenses

by the government to log the forest in the area. Outside operators consistently trespassed on land that the community thought was theirs (Box 10 shows the stakeholders in our sites that were from outside the community).

The community then found that their customary institutions had limited capacity to halt this and to monitor the boundaries of the village resources. Also, the communities found little support from the government in guarding their resources against the intruders. In contrast, the government often sided with the companies by giving them concession rights over large parts of the forest that the communities regarded as theirs. Thus, the use of the forest and other natural resources became uncontrolled and as a result many stakeholders began to treat the forest as if it were an *open access* resource, taking the attitude that if it was going to disappear anyway then they had better get what they could while it was still there.

Although different stakeholders operated in the same area, they had different ways of taking decisions about the forests because they operated according to different management systems. The local forest management system was primarily directed at fulfilling human needs, which formed an integral part of that system. On the other hand, the formal forest management system was primarily developed to generate income for the companies and government while largely ignoring community needs. It used management rules and techniques that were developed in the companies' headquarters or government offices without taking much account of local conditions and needs.

Box 10. Stakeholders from outside the community

Baru Pelepat Village, Jambi

- Neighbouring hamlet of Lubuk Telau
- 6 other neighbouring villages
- Forest workers from neighbouring villages
- Sawmill owners and forest workers
- ICDP/NGO/Kerinci Seblat National Park staff
- Sub-district government
- District government
- Logging companies (Inhutani V, Koperasi Lamusa)
- ACM team

Rantau Layung and Rantau Buta Villages, East Kalimantan

- Neighbouring villages (Kasungai, Batu Kajang)
- Forest workers from neighbouring villages
- Sawmill owners
- Sub-district government
- District government
- Logging companies (PT Telaga Mas, Teguh Maronda Prima, PT Majau)
- ACM team

Different interests resulting from government policies

Decisions and policies that were made by the government thus did not always match the ways in which the local community used and managed the natural resources in their village area.

We already saw such a mismatch in the above example. The government provided formal licenses to companies that operated in Baru Pelepat, not recognising the community as rightful resource users. When we entered the village, the community recalled how four large-scale logging companies had been logging the forest in their area since the mid 1970s. The overlap of operating areas (large-scale logging companies and communities) was due to a government policy in the early 1970s that designated large forest tracts throughout the country as *Hutan Negara* (state forest) for control by the state. The government largely ignored local communities who had lived for generations in and around those forest areas and had drawn livelihoods from the natural resources there. In Baru Pelepat around 60 percent of the village area is state forest.

Two other examples of a mismatch between policies and local forest resource use deserve attention. In Pasir, a district government regulation in 2000 provided individual farmers with rights to harvest forest products from their own land.⁹ Through contractual agreements, the Rantau Buta and Rantau Layung



Most forested landscapes have been cleared, as can also be seen in many other parts of Indonesia.

communities ‘collaborated’ with commercial companies who bought the harvested products. Although intended for the community’s benefit, the policy became a means for the companies and village elite to further their own interests. They did this by urging the farmers to ‘collaborate’ with the companies and apply for such harvesting rights. In practice, this venture resulted in very lopsided benefits in favour of the companies and the village elite. The community farmers were left with an insignificant proportion of the benefits.

We saw yet another example in the Jambi site. In the 1980s, the government introduced the nationwide policy of ‘uniform villages’.¹⁰ Under this policy, a village government could be appointed only when approved by the district government. The policy also determined the size and coverage of the village areas without considering areas previously occupied by local communities. Although the policy was revoked in 2001, it has had far-reaching consequences for the *Minangkabau* group. The policy did not allow for locale-specific institutions—like Baru Pelepat’s customary institution—to govern community life and natural resource use. In addition, a part of the group that lived further downstream had to become part of another village, affecting existing social bonds in the *Minangkabau* group.

Since early 2001, when the government began implementing a policy of decentralisation, many people have expected positive changes in the communities. The policy has meant among other things that community institutions are given authority over forest management in their village areas. But there has been a lack of government support for the implementation of decentralisation. As a result, the communities in both sites have been left on their own to deal with the complex challenges that this decentralisation posed.

The existing customary institution in both sites was neither effective at playing the necessary coordination role nor in advocating recognition of the community’s rights of control over natural resources with the formal government. In addition, this institution was weak in creating equitable access for all the stakeholders in the community. Women, the most marginalized section of the community, and in the Jambi site the nomadic *Orang Rimba* and settlers, were hardly involved when decisions were taken about the use of natural resources. Their interests were barely represented. Like in many local communities in Indonesia, the local institution was not well-equipped to deal with diverse opinions of different groups. Community decisions were generally taken by a handful of influential male community members.

As indicated above, overlapping stakes in the forest and old ways of decision-making about natural resources suggested a need for a fresh look at how the forest should be used and managed, at both community and government levels.

4.2 The Context for Learning: Facing Uncertainty

Our team saw that there was a particular condition that confronted the stakeholders when the learning and action activities of ACM began: a condition of uncertainty. As this condition clearly set the scene for the ACM activities, it warrants further attention.

But first, what does uncertainty actually mean? What makes a situation uncertain? Over time, the communities in both sites had to face changes in the natural and social environments on which their livelihoods depended. Along with these changes they experienced increasing doubts about their future. As they were steadily confronted with new and unexpected developments, it was difficult for them to predict the future and, hence, to plan. In other words, they faced *uncertainty*. We found three main sources of uncertainty, each linked to: 1) people's livelihoods; 2) social relationships; and 3) government policies.

Box 11. A description of 'uncertainty'

People who perceive themselves to be in uncertain circumstances find it difficult to know beforehand what will happen. They cannot identify the factors that will eventually decide what is going to occur. The future is then hard to predict and, hence, to plan.

Changes affecting people's livelihoods

The stakeholders of Baru Pelepat and Rantau Buta and Rantau Layung were particularly concerned about the changes affecting their livelihoods. While the contribution of the forest and forest products to people's livelihood was seriously declining, very few alternative livelihood sources were available. This was particularly the case for the *Minangkabau* and the nomadic *Orang Rimba* in Jambi, and the *Dayak Adang* in Pasir.

For these groups, the forest had always been an important way to meet subsistence needs and fill food gaps during hard times. Furthermore, the decline in the forest area decreased the possibilities available to the people who clear the forest to start rotational agriculture. The declining availability of forest products also influenced the community's agricultural production. People were increasingly constrained in finding farm inputs from the forest such as litter for mulch, fodder or grazing area for livestock, and wood for farm utensils. Finally, many households were experiencing lower incomes. Normally, income came from the sale of



Uncertainties in sustaining livelihoods have resulted in an open access situation. Community members often say 'Cut the tree before outsiders do'.

products like rattan and timber, engagement in wage labour, or the sale of items like fibre mats and baskets made of raw materials from the forest. Figure 8 gives an idea of the declining availability of forest products in our sites, including local scenarios for the future.

Changes in social relationships

Changes in the relationships between individuals, groups and/or institutions were another source of uncertainty confronting the community stakeholders in both sites. Sometimes, this uncertainty arose because the character of existing relationships changed, while in other instances it resulted from new relationships. The Jambi site illustrates both kinds of uncertainty.

When the *Minangkabau* people were the only inhabitants of Baru Pelepat, their local customary institutions regulated the use of natural resources, the rights and duties of community members, as well as the relationships among community stakeholders. This regulatory role changed in the early 1980s when the government's 'uniform village' policy ruled that customary institutions had to share authority with a formally appointed village government (see also page 50).

Further complicating this situation was the dissatisfaction many community members felt towards certain customary leaders who, in their opinion, were engaged in selfish behaviour. Thus, just when it needed to be strong, this customary institution was beginning to lose the respect and authority it had enjoyed for so long. As a consequence of the weakening of customary control over community life in Baru Pelepat, the behaviour and action of many residents became unpredictable and unreliable. As a result, relationships were difficult to build and maintain (see Box 12).

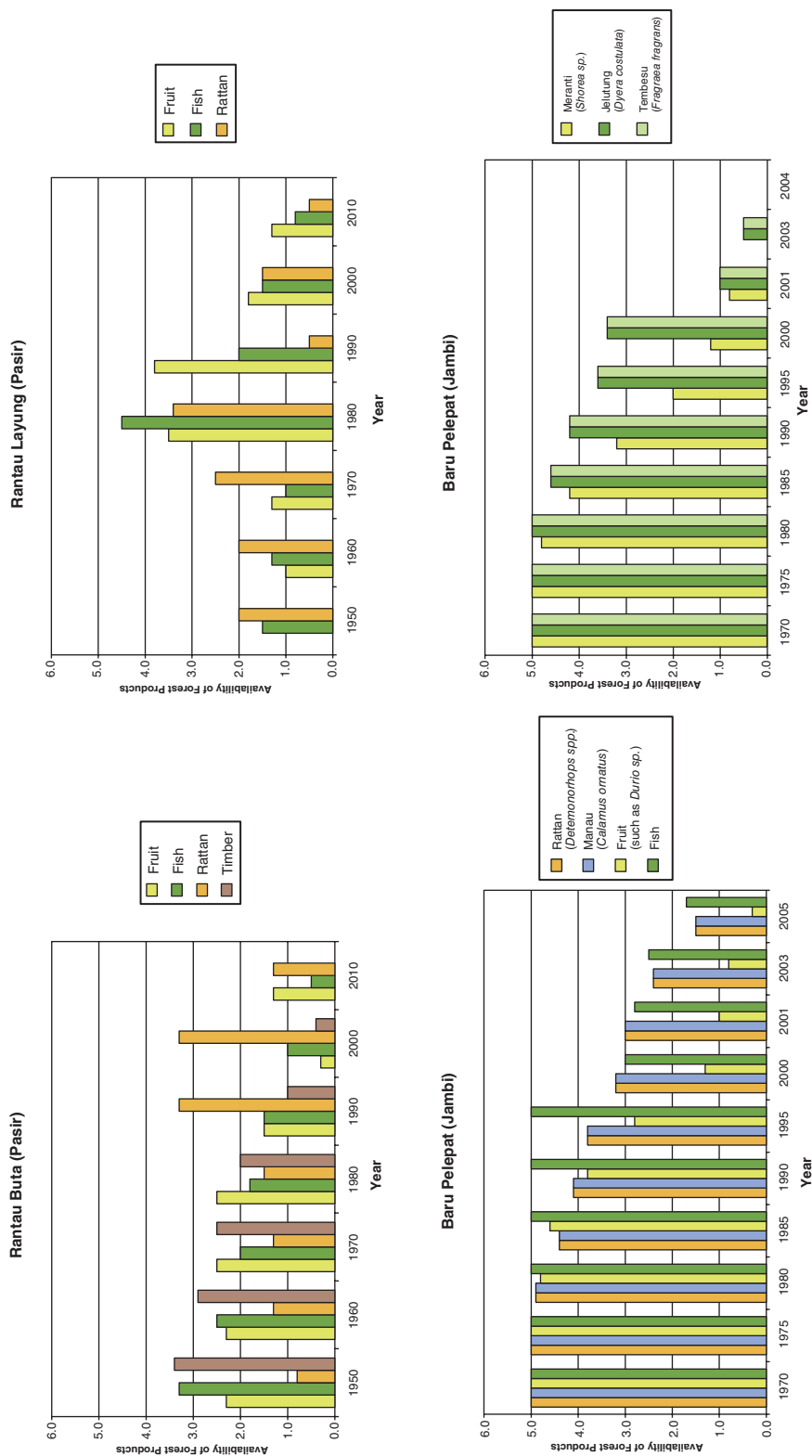


Figure 8. Declining availability of forest products in the two sites as seen by community stakeholders
(key: 5 = optimum availability; 0 = completely depleted)

Box 12. Uncertainty about how others would behave or act

One night, shortly after our team came to Jambi, a small group of men gathered at the house of the village headman till far after midnight. They discussed an event a couple of days earlier where a prominent member of the community was caught poaching valuable timber from the community forest without prior consent from other community members. Though all agreed that this man had done something wrong, no one had the courage to hold him accountable for his deed, as he was an influential person in the community. At the same time, there was no effective authority in the community that could charge this man.

These men were not certain what to do as it was hard to assess what the consequences would be if they accused the man of wrongdoing. Moreover, it was difficult for them to predict how the man would react and if their efforts would result in retaliation on the part of this man. They struggled with the question of what would affect people the most: the loss of material and financial opportunity due to the stolen timber, or the 'emotional loss' that would occur if the 'poacher' decided to react in a way that would negatively affect the community. It was not unthinkable that if these concerned community members embarrassed the 'poacher' in some way, he could do whatever he liked in return.

Meanwhile, the 1997 government-supported settlement of other ethnic and social groups in the village created *new* social relationships. The differing world views and social norms of the different stakeholder groups often led to ambiguous situations where the intentions of others were unclear and their behaviour unpredictable. Also, conditions of uncertainty emerged since stakeholders could not easily assess how others would behave or act.

Changes brought about by government policies

Over time, the community stakeholders in the two sites had to deal with uncertainties stemming from the social, economic and political consequences of government policies. As noted earlier, the government policy declared that the forest surrounding the villages was state forest while the communities considered it theirs. This meant that both the community and government claimed the right to use this forest. For the communities the forest was seen as an important source of livelihood. On the other hand, the government saw it as a resource to be exploited. Thus, since the mid 1970s, forest concessions were granted to commercial loggers—companies, cooperatives and individuals alike. It was not until some 15 years ago that the communities began to feel the pressure on the forest and to worry about the harvesting of the forest by outsiders (see Box 13).

Box 13. Uncertainty because of policy

Four logging companies have operated in Baru Pelepat since the first company began operating in the mid 1970s. In the search for valuable timber, these companies extracted logs from extended parts of the forest area surrounding the village. The community was ignored throughout this time. No one could remember being given any prior notice regarding these forest operations, let alone being asked for their consent.

From informal conversations with company workers the villagers understood that the companies owned government permits to log the forest. They were told that the forest being logged was under the control of the state and anyone wishing to use the forest must therefore get approval from the government. The villagers had always thought that the forest belonged to their customary community. As the logging went on and large volumes of timber continued to be harvested the villagers grew anxious. They worried about where this logging would lead, and what future there would be for the community and future generations if the forest was no longer there.

The communities of Rantau Buta and Rantau Layung had almost the same experience as the community in the Jambi site. When the forestry minister decided in 1993 that a part of the Lumut Mountain forest was to become a formal Protection Forest, the communities were not involved, nor were they informed that such a decision would be taken. One day that year, as some of the community members recalled, they found some boundary markers implanted in their forest gardens, which indicated that a part of their gardens had become Protection Forest. The loss of a main source of living caused feelings of uncertainty among the community members.

In Baru Pelepat, this overlap of state and local tenures also left the door open for a part of the communities' communal land to be converted into a resettlement project area under the auspices of the government.

In 1985, Baru Pelepat became an administrative unit within the hierarchical government administrative system. Under this policy village governance became the responsibility of a new village government, and the customary institution was relegated to the sidelines. As part of this new administrative structure the village boundaries were officially re-set, resulting in the existing *Minangkabau* community being split into two separate groups. One of these parts was merged with a neighbouring village community. Understandably, this rearrangement weakened the social cohesion within the village's *Minangkabau* community.

Lastly, the government policy of decentralisation implemented since early 2001 has also helped foster novel and uncertain conditions in the village communities in both sites. Under decentralisation, village communities were expected to take on the responsibility of managing and creating their own resources, as well as contributing to local social and economic development. The Pasir and Jambi communities felt that they received only limited assistance from the government to meet all the new demands that came with this new level of responsibility.

4.3 Why There Was a Lack of ‘Adaptiveness’ and Collaboration

We observed that there is a need for mechanisms that enable stakeholders to adapt old views and behaviours to new changes and to collaborate. After settling ourselves in the sites we soon found that these were lacking. Let us take a closer look at why this was the case.

Lack of ‘adaptiveness’

We observed that the lack of ‘adaptiveness’ applied to sets of different stakeholders as well as to individual stakeholders. The first is exemplified by the communities, government agencies, and logging corporations in Pasir, while the latter by the customary leaders in Jambi.

We found several explanations for the lack of ‘adaptiveness’ in the sets of stakeholders. First, there was *no identifiable mechanism in place that could help the stakeholders learn as a group from their actions* in using and managing natural resources. They could thus not evaluate the effects of their actions or the decisions that had already been taken. Deliberate monitoring hardly ever happened and the stakeholders received little feedback from the system on which they could base their decisions to take subsequent actions. Each stakeholder group made decisions and took action according to its own management style, rarely sharing information and knowledge with others.

Secondly, local institutions in the communities and in the government, such as the customary institutions and the district agencies, were weak in coordinating the various systems of resource management. Therefore, there was *no structural basis for the different stakeholders to act in a coordinated way* when confronted with complex social and natural changes. Due to weak coordination, which was evident at the community and district levels, stakeholders could not systematically assess the changes and seek strategies to deal with them.

Another related problem was the *uneven distribution of information among stakeholders*. This, in turn, did not support information feedback. An example is the limited information flow between the nomadic *Orang Rimba* and outside small-scale investors. Each had its own system of management and rarely shared information. On the other hand, village loggers and outside small-scale investors shared information intensively because they were both part of the large-scale logging management system.

The lack of adaptiveness among individual stakeholders was caused by their preoccupation with familiar, and sometimes comfortable, ways of seeing the social and natural environment. Consequently, little space was left for learning new ways. Usually, such stakeholders were those who, for a long time, had the privilege of governing the community or society, such as the customary leaders and the government.

Limited collaboration

We found shortly after our community entry that limited collaboration was due to several factors. First, in both sites *relationships were weak* among different stakeholders, as well as within stakeholder groups. There was little trust among stakeholders while social networks that are necessary for some collaboration were lacking. The following factors were behind the weak relationships:

- Relationships between decision-makers and other stakeholders were mostly based on *authority relations* (e.g., the relationship between customary leaders and other community members and between communities and the district forestry agency). Such relationships were likely to be fragile as they left little room for trust and mutual respect.
- *Different socio-cultural backgrounds* of stakeholders in the sites resulted in limited communication among them.
- *Historical background*. For example, the Pasir communities were historically involved in political movements, which generated distrust within the government towards them.
- *Legal and policy context*. For instance, since the government's resettlement policy allotted holdings to settlers, the original inhabitants felt dismayed about the settlers' presence.

We likewise observed that *weak communication* among stakeholders was yet another explanation for their limited collaboration. Although weak communication was also due to weak relationships, we think it is important to make it more explicit. We saw that different stakeholders not only had different capacities of



This picture shows a common atmosphere during meetings when our team first came to the site. Group processes tended to be less dynamic and women were likely not to be well represented, if at all.

communication, but were also considered differently by others in communication. Some stakeholders were perceived to be more capable to communicate with than others.

For instance, in both sites when we began our fieldwork, women were perceived as less capable to communicate with, not so much because they lacked knowledge but because the culture values women that way. Many believe that the women's main role is to take care of the family and to raise children. The women were therefore regarded as having little knowledge about matters other than those related to the household and the family. For this reason, women were barely involved when important community decisions were made.

Finally, we found that the weak coordination role of local institutions explained the lack of collaboration in the sites. This in turn led to *a lack of a structural basis for the stakeholders to collaborate.*

Part Three

The Practice



Part Two described the context in which our team carried out its research and applied ACM. Part Three shares our experience in using the ACM approach in facilitating joint learning among communities and groups in the research sites. It begins by describing the way we assisted local communities and groups in applying ACM and assesses its outcomes (Chapter 5).

We then discuss the challenges we confronted when we applied ACM, and the strengths and limitations of the approach as experienced by our team (Chapter 6).

Subsequently, we share the important lessons we have learned from applying ACM, including the added value that ACM can offer for Indonesia's forest management (Chapter 7).

5

BRINGING ACM INTO PRACTICE





*Go with the people:
live with them
learn from them
love them
start with what they know
build with what they have.
But of the best leaders,
when the job is done,
the task accomplished,
the people will say:
'We have done it ourselves.'*

Lao Tzu, the Taoist sage

The preceding chapter detailed the context in which our team applied ACM. This chapter shares our experiences in applying the approach in practice and assesses the outcome. These experiences were largely related to the shaping of conditions where stakeholders can learn together to adapt the ways they manage the social and natural environment.

5.1 How We Shaped Conditions for Multi-stakeholder Learning

When our team became involved with the communities in the two sites, the villagers had experienced uncertainties as a result of the disappearance of their forests, changing relationships among community stakeholders and implementation of government policies. The stakeholders were motivated to learn how they could better deal with these uncertain circumstances and improve their livelihoods, and accordingly asked our team for assistance.

As mentioned earlier, learning is at the heart of ACM. When we use the word ‘learning’ we are describing the efforts of stakeholders to make sense of the world around them, as well as the processes through which they obtain ideas and form new knowledge. Because this learning takes place in the context of social interactions among stakeholders, the learning is called ‘social learning’. This kind of learning occurs when individuals or groups with different views interact and an exchange of ideas and knowledge takes place. In this way, old views may be adapted or new ones created.

Box 14. Description of ‘learning’

‘Learning’ happens when people try to make sense of the world around them. When individuals or groups with different views come together, one can speak of ‘social learning’. Old views may then be adapted or new ones created because of an exchange of ideas and knowledge.

There are three important activities involved in shaping conditions for learning among stakeholders (see Figure 9):

- Preparing for learning;
- Organising learning;
- Facilitating learning.



Figure 9. Three important activities in shaping conditions for learning

Preparing for learning

The main goals of this activity were to:

- *build rapport* with the site stakeholders;
- *know the context* in which the learning was going to take place; and
- *identify the issues* that the stakeholders wanted to tackle together.

Preparing for learning may be more important in fieldwork where ‘outsiders’ are involved (such as in our research) but less so where ACM only engages local stakeholders. Nevertheless, we believe that there is a particular feature in this activity that is critical for both situations, i.e., the identification of learning issues. In the field we distinguished the three different activities as less separate and sequential than they might appear. These three activities overlapped in the process and needed five to eight months to implement in our two sites.

As a first activity in preparing for stakeholder learning, we did our utmost to develop trust and rapport with the communities and other stakeholders from the very start of our fieldwork. We did this by becoming part of their daily activities. Besides, our interactions with them in the other two preparatory activities—knowing the context and identifying issues—gave us a chance to build good relations and trust. In this regard, we were much helped by our locally based NGO partners whose field staff spoke the local language and knew the local customs. It took our team four to six months to build good relationships with the stakeholders and to develop effective ways of communicating with them.

The second activity was to develop our knowledge about who were the key stakeholders of the sites, their relationships to each other, and their respective stakes in the forest. Although our site selection studies already provided

information about the stakeholders prior to community entry, we still needed to collect more details. In this regard, we employed a variety of stakeholder identification approaches and tools (Annex 1 and Annex 2). In addition to some knowledge about stakeholders, we also developed some baseline knowledge of the context where the learning and action by the stakeholders were to take place. The baseline information that we developed covered the biophysical, socioeconomic, policy, and institutional aspects of the site. In doing this, we made use of a variety of participatory and more ‘conventional’ data collection methods.

Lastly, we assessed together with the stakeholders their learning needs by identifying the problem issues that they wanted to tackle together, or the questions they wished to answer in the learning process. In our baseline data collection about the sites, stakeholders had provided some basic information about problem issues but it was important that assessments should come from the sites’ stakeholders themselves. We realised that preparing for learning was critical for further processes and deserved adequate time and care. As noted earlier, this activity is also important in situations where no ‘outsiders’ are engaged in ACM and only local stakeholders are involved.

We soon found that in both sites urgent problems revolved around the declining availability of forest resources, which was negatively affecting people’s livelihoods.



Becoming part of people’s daily activities is an important way for rapport building and to learn to know the local context.

Prioritising problem issues together with the stakeholders, however, was difficult in the presence of different social groups and individuals who each had their own views of how to improve livelihoods (Figure 10). We realised that the reality was very complex. The social relations among the stakeholders formed an intricate and interconnected pattern in which the behaviour and actions of one stakeholder had consequences on the livelihood of another, and *vice versa*.

We jointly carried out with the community stakeholders the assessments of the many livelihood problems that confronted them. These varied for each group of stakeholders. It took our team almost six months to assist the stakeholders in both sites in selecting problems they wanted to address. This process took a lot of time since all stakeholders had their own perspectives and valued the importance of problems in their own ways. Often, they were not even aware that others saw and valued things differently than they did.



Figure 10. From identifying problem issues to prioritising them is a BIG step

We often found that in situations where a number of different stakeholders were dealing with the same problem, different stakeholders defined it in different ways and might even have thought up unique solutions (Box 15). This was because each stakeholder group viewed the problem through the filters of its own unique experiences and history, as well as its own future goals. Box 16 shows the process by which the stakeholders, assisted by our team, identified their learning issues.

Box 15. Different perceptions of the same problem and different solutions to solve it: An example from Jambi

The *Orang Rimba* saw the rampant devastation of food crops by pigs as a problem that was external in origin. The pigs came from distant localities where forest resources had decreased. The pigs searched therefore for new habitats. The village community, on the other hand, saw this as being caused by community members who cleared the forest in dispersed locations. They thought that if they had done this in groups, which they used to do in the past, the pigs were less likely to haunt dry fields grouped into one area.

The *Orang Rimba* believed that the solution should be hunting the pigs, whereas community members opted for starting dry fields in grouped localities. This is an example of how different groups in search of solutions see one and the same problem from different angles.

Box 16. The process of identifying learning issues

To identify learning issues, we facilitated joint meetings for different stakeholders in each of the five hamlets that make up Baru Pelepat village. In Pasir, a similar process took place. Using focus group discussions, we talked with community members about the livelihood problems they considered important to tackle and wanted to see improved.

Some groups, such as women, were not used to speaking in large meetings so we gave them the opportunity to first share their opinions in smaller, less threatening situations. The issues identified in these smaller meetings were then communicated to everyone in wider hamlet meetings. These meetings were usually held on Friday afternoons as by this time most of the men had returned from the forest where they worked as loggers for 3-5 days each week.

These large (and not so large) group meetings were complemented by numerous informal encounters we had with the villagers. These encounters helped develop a better understanding about the stakeholders' aspirations and conditions they wanted to see improved.

Organising learning

The purpose of this activity was to lay down a structural basis that could help us in organising our fieldwork. As our team carried out fieldwork in the two sites, we tried to understand the conditions necessary for stakeholders to jointly learn

from their natural and social environment. We also attempted to search for the underlying principles that could be used to organise the learning activities so as to encourage these conditions. Along the way we identified four such principles:

- Stakeholders must have *ownership* of the learning;
- All relevant stakeholders must be *represented* in the learning activities;
- Learning must take place by means of *experience* (or learning must be experiential); and
- Learning must happen by means of *communication* (or learning must be communicative).

The next step was to come up with organising arrangements that could serve as ‘spaces’ where these learning conditions could be created and which were grounded in the above four principles. We called these arrangements *platforms*¹¹ for organising learning (Box 17). Examples of platforms from the sites were the women’s savings and loan group activities in Jambi, the district workshop for prioritising learning issues in Pasir, and the negotiations between village communities regarding shared village boundaries.

Box 17. Platform for organising learning

A ‘platform’ is an organising arrangement where the conditions for learning among stakeholders exist. It helps to organise activities that promote joint learning and are grounded in the following four principles:

- Ownership of the learning by the stakeholders
- Representation of all stakeholders
- Learning from experience
- Learning by means of communication

Principle 1: Ownership of learning

From our own previous experience in working with local communities we were sure of one principle: for learning to be effective the stakeholders involved had to take *ownership* of the activities. The challenge of the present fieldwork, however, was that stakeholders were diverse. Each had a different view of how to manage natural resources. We had made a good start by having the stakeholders themselves identify the problem issues that should be collaboratively addressed. But if different stakeholders were to have ownership over their learning process, the learning activities needed not only to help each stakeholder develop relevant knowledge, but also help all stakeholders as a group meet ‘collective’ learning goals.

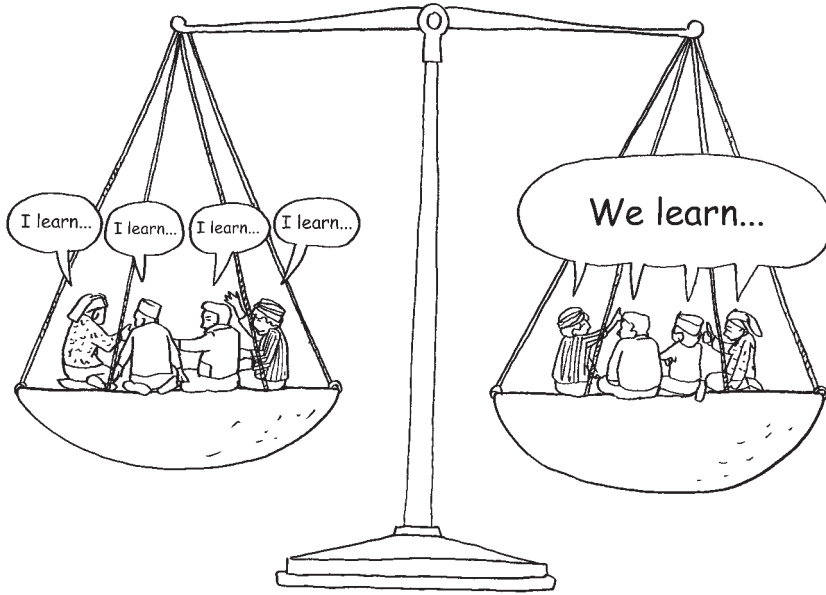


Figure 11. Balancing individual and collective ownership of learning

It was thus important to focus on not only learning that was meaningful to each individual stakeholder (*individual ownership*) but also to all stakeholders as a group (*collective ownership*). However, our team realised more and more that when a group of stakeholders learned together, sufficient care had to be paid to the learning of individual stakeholders. When speaking of multi-stakeholder learning, we were not only dealing with collective processes, but also with individual stakeholder processes of learning. Multi-stakeholder learning activities should therefore be balanced and promote both the learning of individual stakeholders and of the stakeholders as a group.

An example of the need for individual learning is the case of Jambi's customary leader. Because of personal interests the man often seemed to find it hard to accept other people's views. He had to learn to better understand and respect the views of people with a lower social status than he has. In addressing this, our team paid special attention to the man's individual learning needs by developing knowledge and awareness about the notion of leadership and the need to listen to people if he wanted them to see him as their leader.

What Principle 1 meant for the actual fieldwork

To achieve both individual and collective ownership, our team believed that learning activities should be centred on the problem issues that were of close concern to each of the stakeholders and at the same time relevant to all as a group. The question of *prioritising* problem issues by the group as a whole thus

became very important, if not essential. The diversity of views needed to be learned by everyone and subsequently *problem perspectives had to be reframed*. This meant putting problems seen from various perspectives into one shared frame. Box 18 illustrates an example of how we organised learning in Jambi to reframe perspectives. Box 19 shows what issues were prioritised.

Box 18. Reframing perspectives

One of the problem issues affecting livelihoods in the Jambi site was that the settlers resented that they were not included when community decisions on natural resources were made. The customary leaders and original members of the community, the *Minangkabau* people, were the ones who held the power and made most of the decisions.

From the *Minangkabau's* perspective it was logical for them to have the most authority as they had lived in the village the longest and as a result had a right to their more privileged position. For them, the problem was not so much the lack of participation by settlers. They believed that the settlers could not understand the *Minangkabau* group's advantageous position.

In order for learning to be meaningful for these stakeholders we developed activities that revolved around the issue of community representation, in which both perspectives were regarded as equally important. These activities made it possible for the settlers to start the process of learning why the *Minangkabau* group and traditional leaders treated them differently. Likewise, the activities focused on the need for the *Minangkabau* and traditional leaders to understand why the settlers felt they needed a stronger voice.

By organising learning activities that encouraged the different social groups to make sense of each other's perspectives and to critically assess their own thinking, space was created for a positive exchange of views and adaptations of old views.

Box 19. Prioritised learning issues

Learning issues in Jambi

1. How to obtain acknowledgement of the community's customary area from neighbouring communities and government?

Learning issues in Pasir

1. How to obtain recognition for the communities' customary area from government, neighbouring communities and logging companies?

Continued to next page

Learning issues in Jambi

2. In what ways can the community's organisational and institutional capacities regarding the management of natural resources be enhanced? How can representation of the diverse community stakeholders be improved, including that of women? In what way can collaboration between the traditional and formal village government be enhanced?

3. What strategies can be developed to improve community livelihoods?

Learning issues in Pasir

2. How to improve the capacity of local institutions?

3. What alternatives to logging can be developed for improving community livelihoods? Is improving access to rattan markets a viable option? Is utilising a past shifting cultivation area another alternative?

Principle 2: Representation of all stakeholders in learning

Alongside our fieldwork, we increasingly realised that all who could affect or be affected by actions in the social-natural system at hand should be involved in the learning activities. For if learning did not engage them all, there would be little chance of dealing effectively with the management problems of the system. Learning would not be system-wide.

However, because stakeholders were many, it was not feasible to include them all and we could only organise learning for their representatives. At the same time we needed to make sure that, although involving only their representatives, all stakeholders would own the learning. In other words, working with representatives meant that mechanisms should be put in place that ensured that the results of learning reached all stakeholder members. This had its implications for the actual fieldwork.

The principle concerning representation may perhaps be the most important key for developing platforms as organising arrangements for learning. Ignoring this principle could mean that learning will not lead to significant changes in the system because certain stakeholders active in it are excluded.



Figure 12. Many people from which a small group is selected to participate

What Principle 2 meant for the actual fieldwork

We thus had to ensure that field activities reached all relevant stakeholders and at the same time were manageable. One way of doing this is to organise activities according to a theory called *nested platforms*.¹²

When we started the fieldwork we were not aware of the existence of such a theory, but realised later that what we were doing fitted quite well in this theoretical framework. For the two sites, this arrangement can be visualised as depicted in Figure 13.

This figure, which illustrates the case of the two sites, shows that decisions made at the district government level or outer layer (e.g., the issuance of a policy that regulates forest harvesting) influence actions at the community level (middle layer). On the other hand, community actions affect district level decision-making. For example, excessive forest harvesting by community stakeholders may make district level decision-makers decide to implement a more restrictive monitoring system. The two levels interact through two-way feedback. The centre of the circles is the level where learning activities were organised for representatives of the key stakeholders.

Our team was active at two levels:

- at the centre of the circle, where we organised learning activities for representatives of the key stakeholders—community stakeholders and, in the Pasir case, community stakeholders and logging companies; and

- across the district and key stakeholder levels, where we conducted similar activities for representatives of the local community, logging companies and district-level decision-makers.

There are two more implications of this principle: the question of how to select representatives, and how to ensure that mechanisms are put in place so that learning reaches all stakeholders.

Principle 3: Learning from experience

Through a survey of relevant literature we learned that for learning to be effective it has to be organised so that it creates opportunities for the stakeholders to form new knowledge from experiences. Such learning is often called *experiential learning*. It is based on the notion that people are themselves the richest source of information for building knowledge.

Some learning theorists and practitioners assert that people, in particular adults, rather than by being shown or told what to learn, can best develop knowledge by finding out themselves what to learn.¹³ The active conduct of learning experiences encouraged the stakeholders to go through a process of discovery and knowledge building.

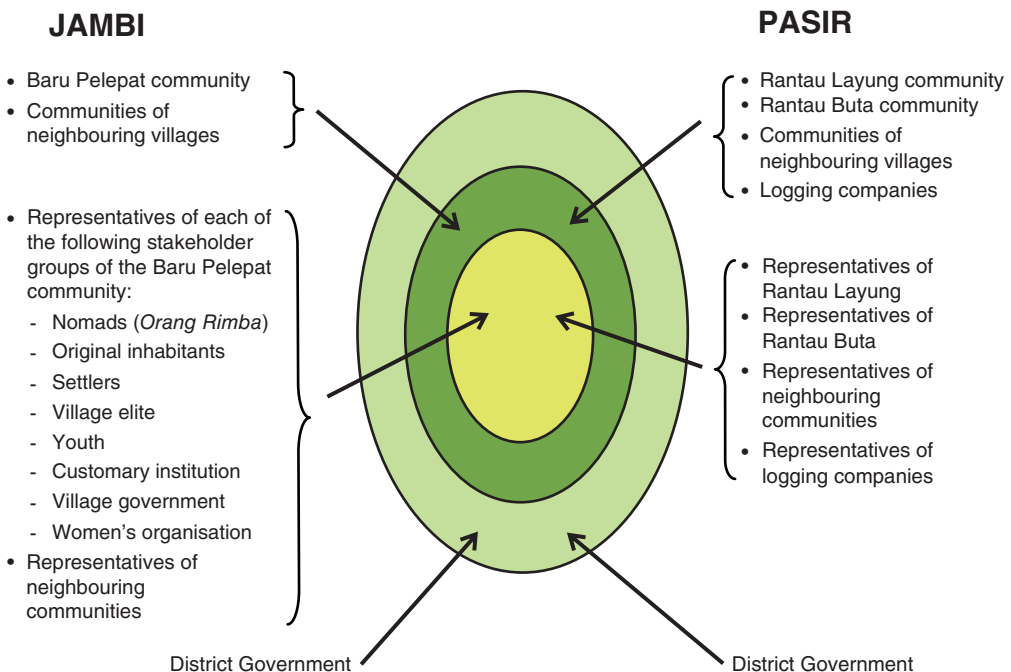


Figure 13. Organising learning for stakeholders in 'nested' platforms

What Principle 3 meant for the actual fieldwork

As mentioned previously, we adopted a participatory action research (PAR) approach to encourage stakeholders to improve their natural and social environment (cf. Chapter 1). From our fieldwork we experienced that this methodology was effective in making the concept of experiential learning operational.

This was, we believe, due to two particular reasons:

- PAR offered a framework that guided our team and the stakeholders to structure and systematise the process of learning. Because they were conducted iteratively, the stages of observation, planning, action and reflection proved to be a good basis for building experiences.
- Because of their reflections throughout the PAR cycle, stakeholders were encouraged to actually learn from experience. It always remains a question if new experience will lead to new knowledge or to an adjustment of old ways of valuing and acting. Our assumptions are more unshakable than most of us recognise. PAR, as attested by our fieldwork, made experiential learning more reflective and hence a stronger ground for actual learning.

Using PAR as a guiding framework, we assisted the stakeholders to tackle the learning issues they had prioritised. Before proceeding, though, let us review the iterative process of PAR. As Figure 14 shows, processes of learning to address a certain issue occur over time, from the present to the future. These processes involve repetitive stages of observation, planning, action, and reflection. Note that we have not separated out the monitoring process, as described in Chapter 2.

These processes were essentially the learning activities we organised for our stakeholders in addressing the issues they had identified (see Box 19 on page 66). Of these learning issues, we would like to share three experiential learning activities that we organised for the stakeholders. These involve solving a land boundary issue, improving village governance, and improving livelihood through

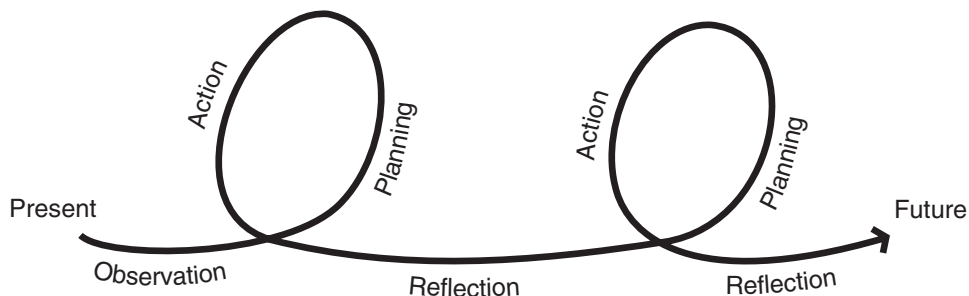


Figure 14. The various learning processes used in solving local issues

the use of areas earlier tilled by shifting cultivators. The first two issues are described in Box 20 and Box 21 below, while the other one is shown in Annex 1. See also Figures 15 and 16, respectively.

Box 20. Mapping boundaries together: An example of experiential learning

Observation. One of the priority problem issues addressed by the Rantau Buta and Rantau Layung communities in Pasir concerned the boundaries between Lumut Mountain Protection Forest and their villages. They refused to accept the forest boundaries for several reasons. One boundary line crossed the community's customary area. Other lines were either very close to or quite far from the village boundary, generating confusion among villagers about which of the lines was the right one. The communities were never consulted during the determination of these boundaries; their village heads were not even informed. Our team suggested that the communities bring their concern to the district government.

Because our team promised to assist the communities to meet with the district government, they felt confident to see the government representatives with whom they hardly interacted. This would be the first time for them to interact with the government to convey their disagreement. Although they were uncertain how the government would react, the communities were excited to meet the decision-makers.

In the workshop that we conducted for stakeholders, all parties, including the government, were very interested to see the boundary issue resolved. They agreed that participatory boundary marking should be carried out.

Plan 1. During the workshop, participants planned for a joint survey. They agreed that the best way to do this was for the communities to carry out the survey, assisted by our team. Subsequently the data collected would be compared with those available at the District Forestry Service (DFS) office.

Action 1. Together with our team, the communities conducted the survey and collected coordinate points of the forest boundary lines, pictures of boundary stakes and signposts, as well as information about the land that was affected by boundary lines. After the new coordinate points were entered in an area map, the results were submitted to the DFS to be matched with the data available there.

Reflection 1. After comparing both kinds of data during a joint meeting, the DFS acknowledged that of the two boundary lines, the boundary farthest from the village was the correct one, rather than the one closest to the village. The discrepancy

Continued to next page

between the two lines was due to a mistake of a DFS field staff who could not find the right lines during a maintenance survey, and placed the maintenance lines in an approximate location too close to the village.

The communities were satisfied that there was clarity about the Protection Forest boundaries. At the same time, they realised that having clear village boundaries was important, among other things to anticipate action for future conflicts.

Plan 2. Encouraged to map their village boundaries, the communities of Rantau Buta and Rantau Layung planned together to invite the villages of Kesunge, Sungai Terik and Uko to join the mapping activities. They envisioned this meeting to provide an opportunity for discussion of boundaries according to their customary rules. The meeting would then be followed by a field survey to collect data for the map.

However, the people thought they were not skilled enough. They thus planned to obtain training to learn mapping skills.

Action 2. The communities of Rantau Buta and Rantau Layung attended the planned meeting, but representatives of other villages were not able to come. Nonetheless, the two communities thought that they could start the activities without the others. Those other villages might become interested later, when they saw they could gain something from the activity: clear village boundaries and mapping skills.

The earlier planned training course was held. It included how to operate global positioning system (GPS) instruments, data processing, and how to convert the data into a basic map.

Reflection 2. Upon reflection, no significant problems seemed to have emerged. The communities believed that this was because the two communities belonged to one customary system and had therefore similar values. This made communication easier.

Plan 3. The two communities made a plan to conduct a joint survey.

Action 3. Assisted by our team, the two communities conducted the field survey. The survey group consisted of customary leaders and a few other representatives from both villages. During the field survey, they discovered that many spots in the area were new to the representatives of both villages. A basic map that they brought with them helped them so they did not get lost. There were no significant problems for the groups so they agreed on shared boundary points.

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Reflection 3. During reflection, representatives of both villages gave their confirmation to the other village that they agreed about the boundaries surveyed. Both communities realised that having clear boundaries was very important in dealing with future conflicts.

Observation. Shortly before, the two communities heard that two logging companies had entered their village area. The two companies operated in two different villages: PT Majau operated in Rantau Buta, while PT Wanatani Makmur Sejati in Kesunge. The fact that the boundaries between the two villages were not clear had also caused conflict between the two companies.

Plan 4. Rantau Buta and Rantau Layung made plans to follow up the village boundary mapping. According to the plan, the village head of Rantau Buta would visit neighbouring villages and propose that they jointly map the village boundaries in the area. However, they decided to put on hold the actual joint fieldwork because the issue of the two conflicting companies was more urgent.

Plan 3.1. (As follow up of the observation under Reflection 3). The village head of Rantau Buta planned to meet with the village headmen of neighbouring villages, in particular that of Kesunge, to inform them about the conflict between the two companies. It was important that all villages in the area be informed about this.

Action 3.1. The village head of Rantau Buta met with other village heads and that of Kesunge. It was the area of these two villages about which the two logging companies had disagreed. Soon the village headmen followed up the meeting by approaching the DFS and the two companies.

Reflection 3.1. The different parties agreed that it was urgent to make a joint visit to see where the boundaries between the two villages were to clarify points of disagreement.

Plan 3.2 Following reflection, the two communities, the two logging companies and DFS planned together to conduct a field survey. The costs of the survey would be borne by the two companies.

Action 3.2. The survey was jointly conducted as planned.

Reflection 3.2. The survey revealed that the two companies operated in the area of both villages and not separately in each village as they had thought. The joint mapping made this clear. All parties agreed that the two companies would give financial compensation to the two villages.

Box 21. Strengthening village governance: Another example of experiential learning¹⁴

To improve village governance, local stakeholders of Baru Pelepat village in Jambi needed to understand and be aware about representation in community decision-making. Community stakeholders went through a process of learning to choose their representatives to sit in a village body. The political nature of the process required us, as external facilitators, to assist the stakeholders give meaning to unfolding power plays and build understanding about changing political conditions.

Here we describe the present learning cycle in a different way compared to the previous example. In the PAR cycle shown in Figure 16 we can see the different learning loops consisting of the various stages of observation-action-planning-reflection. The description that follows refers to the three 'social forums' we conducted to create learning among stakeholders. These social forums also provided the means to monitor learning processes among stakeholders. The three mechanisms were: an election committee, community stakeholder meetings and community-wide information dissemination.

Election committee. The communities authorised the election committee to act on their behalf. As committee members came from each of the village's five hamlets, proper representation in the election committee was conducive to community-wide involvement.

Assisted by our team, the election committee assumed several tasks: developing election procedures; registering eligible voters disseminating information; raising funds as necessary; and preparing, implementing and monitoring the election itself. In PAR terms, the activities carried out by the election committee can be considered as the 'observation' and 'action' components of the observe-plan-act-reflect cycle.

Stakeholder meetings. The second mechanism consisted of regular meetings among stakeholders organised by the committee. The meetings reflected on the actions that had been taken, reported progress, discussed emerging issues, passed relevant information to and from the wider community, and made joint plans for follow-up action. Our team's role was to support the committee in facilitating communication among those participating at the meetings. This activity can be considered the 'reflection' and 'planning' components of the observe-plan-act-reflect PAR cycle.

Community-wide information dissemination. The third mechanism was an informal communication structure that evolved among the villagers. The members of the election committee became the key informants for those seeking information. As members were chosen from each of the five hamlets, information flows became

Continued to next page

community-wide. Often, the committee members' homesteads served as meeting places where people spontaneously gathered to exchange information about the election. People initiated information channels that were predominantly informal in nature. Informal processes (rather than only processes during the formal meetings, or those that were deliberately established, such as the stakeholder meetings) appeared to be important in the learning processes.

To our surprise, community monitoring of the political process came about naturally as election preparations progressed. People began actively to seek information through their interactions with one another, to assess situations that unfolded based on information 'collected', and to organise themselves deliberately in order to seek strategies for dealing with changing conditions.



Joint fact finding in the field, such as displayed here, helped in checking existing knowledge and assumptions. This picture shows how Pasir farmers and a forest agency staff member paid a joint visit to the field to check out a past shifting cultivation area that the farmers wanted to utilise for the generation of additional income.



The community stakeholders in Baru Pelepat went through a learning process to choose their village representatives. This young woman was about to put her ballot in the ballot box.

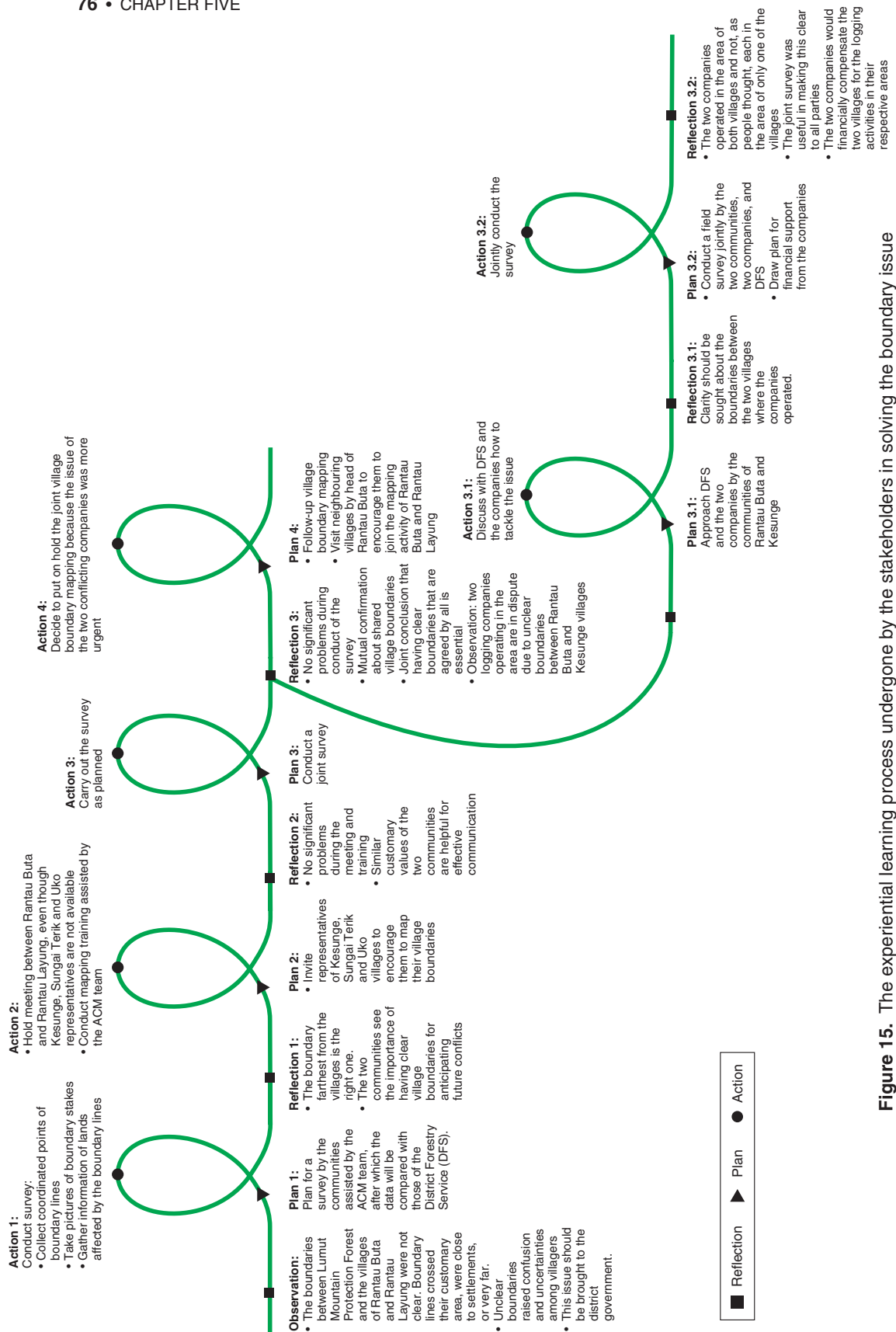


Figure 15. The experiential learning process undergone by the stakeholders in solving the boundary issue

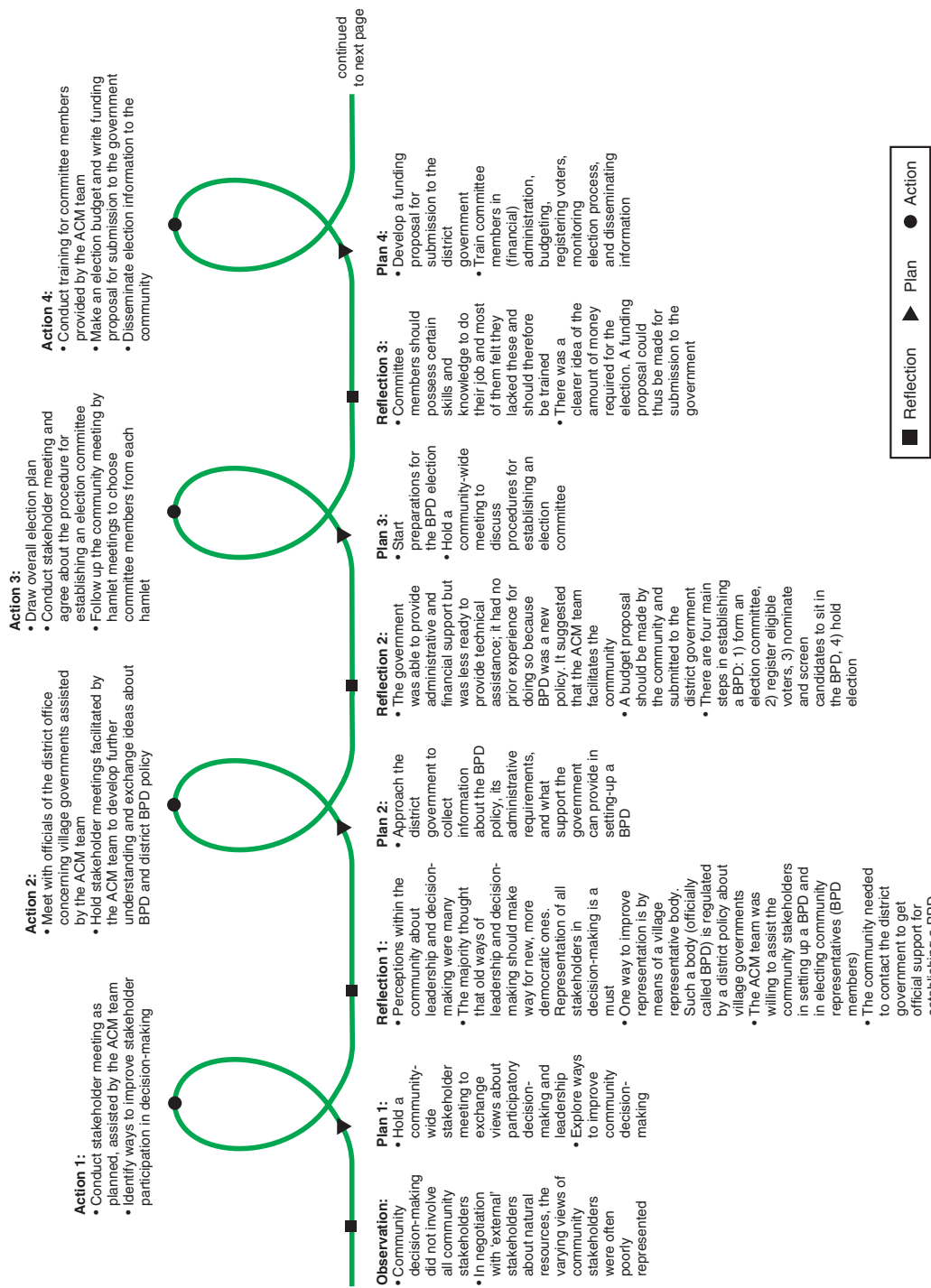


Figure 16. The experiential learning cycle of improving local governance

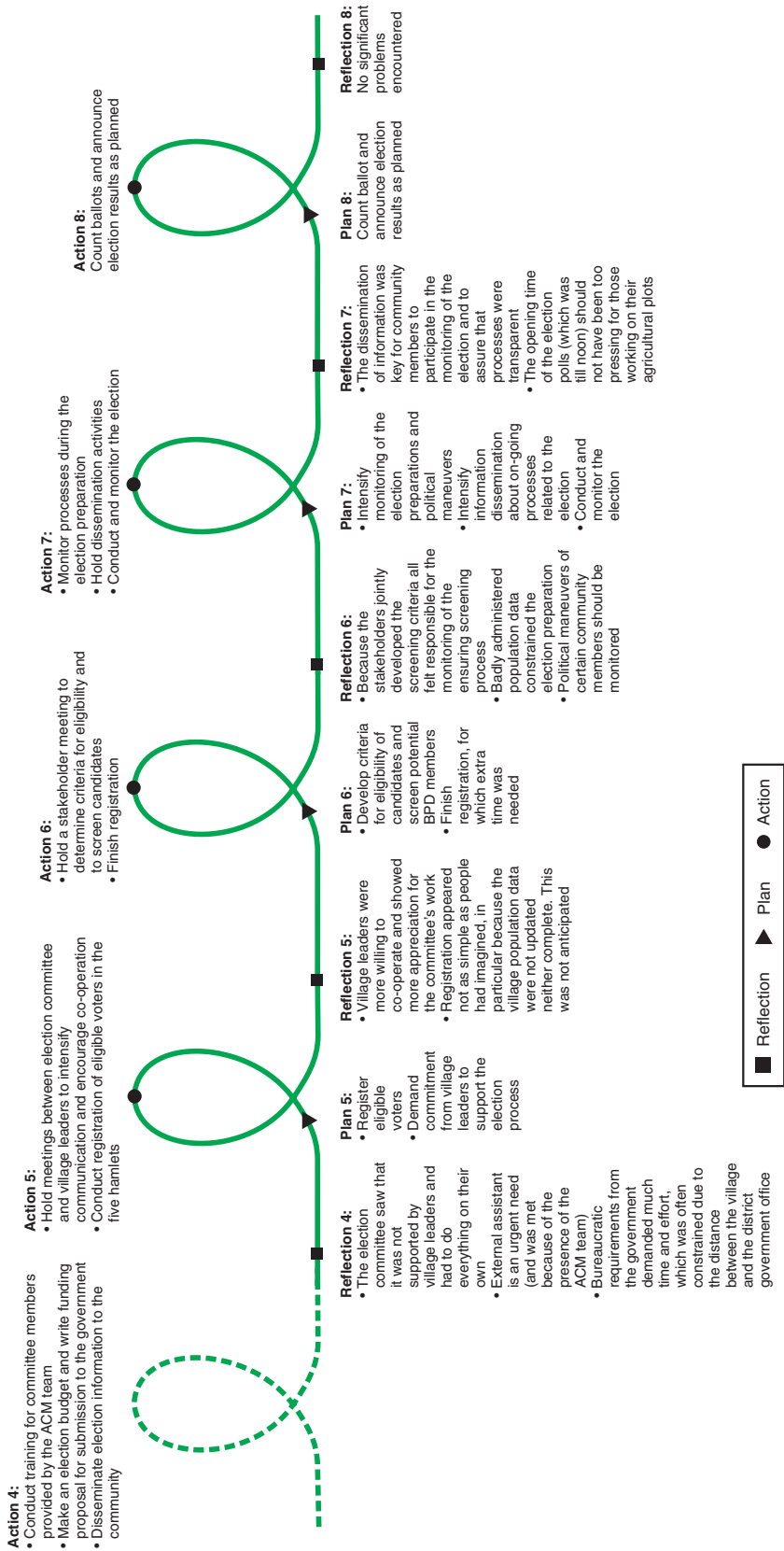


Figure 16. The experiential learning cycle of improving local governance

Principle 4: Learning by means of communication

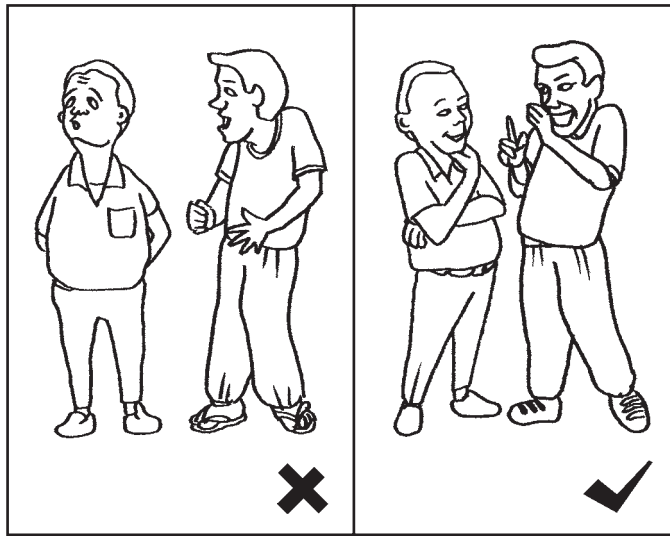
As we worked with the site stakeholders it became clear that a final important principle that shaped conditions for learning was that the activities were *communicative*.



Communicative activities were those that helped the stakeholders to express their views to others in verbal, non-verbal or symbolic terms. Communicative activities were in the form of dialogues or meetings where groups communicate by means of drawings, metaphors or role-plays. Field activities of this kind allowed for the communication of differences between stakeholders and helped them develop a deeper, shared meaning of the problems they faced. These activities also helped the different participants learn new ways of expressing their views to others. Because of the interactions and communication with others they came across new knowledge, discoveries or 'aha!' situations. The interactions not only stimulated feelings of enjoyment from the exchange of ideas and information but also sometimes led to fresh ways of looking at things.



Role plays, such as these, are among the tools that can encourage different stakeholders to express their views.



A key aspect of this principle was that communication was *fair*. In other words, every stakeholder had the right to understand what others were saying and to be understood by others. Where learning conditions stimulated fair communication, a balanced exchange of knowledge and information among the stakeholders followed.

What Principle 4 meant for the actual fieldwork

Along the way our team not only increasingly realised the importance of this principle but also became more and more skilled and knowledgeable in applying this to field activities. At first we thought that having the stakeholders identify and prioritise problem issues would suffice for them to jointly tackle the issues. After all, we then believed, once people knew what to talk about—the problem issues at hand—communication would automatically follow. However, we saw that this did not always apply. The stakeholders needed to have some *common* way to share their ideas and views.

Figure 17 shows the seemingly simple communication process: the sender sends her/his message to the receiver; upon receipt of the message—in its original, undistorted form—the latter gives feedback to the first. Once feedback is sent to the initial sender, we can talk of ‘two-way communication’. *Isn’t that simple?*

It was in fact not really that simple. In the field we came across factors that interfered with communication among stakeholders. The most obvious ones were as follows.

- Stereotyping, where stakeholders associate other stakeholders with preconceived perceptions (Box 22).
- Preoccupation with a special agenda, where stakeholders select only those messages that are in line with their own interest. For example, initially the Pasir forestry officials could not accept the communities’ suggestion to revisit set boundaries. The officials were preoccupied with their own agenda: keeping boundaries of the Protection Forest intact.

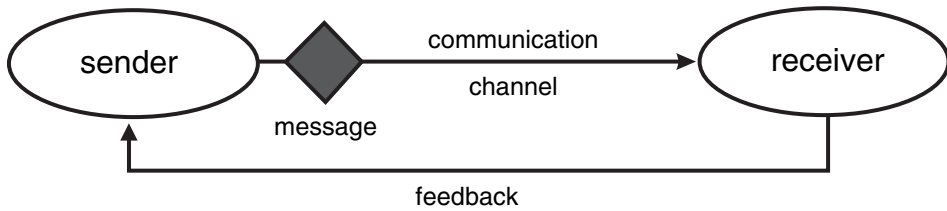


Figure 17. The seemingly simple communication process

Box 22. Examples of stereotyping

Pasir:

- The government always sides with companies rather than giving support to communities.
- Communities do not see the importance of protecting forest resources and should thus be educated.

Jambi:

- Settlers are only interested in advancing their own group.
- Original *Minangkabau* people are not cooperative.

- Social status or position, where stakeholders respond to the social status of others, rather than to the message sent. Communication was likely to be affected where power imbalance between the sender and receiver of the message was quite skewed, for example, between the customary leader and women in Jambi.

Factors that hinder communication can be called ‘noise’; they affect the way we receive messages. The result may then be that ‘distortion’ of the message initially sent by the sender occurs, so that the receiver doesn’t get the message in its original form.

We then organised activities that used communication as the key means to share knowledge and views. At the same time, we tried to handle the above-mentioned communication hindrances by:

- creating an atmosphere of mutual trust, respect and confidence among group members;
- preparing the less articulate stakeholders in larger encounters to communicate their opinions, and effectively respond to messages;

- preparing the more dominant stakeholders to listen better and analyse messages prior to forming opinions;
- assisting as a spokesperson for particular stakeholders.

Facilitating learning

So far we have discussed the main principles underlying how we organised learning for stakeholders. In this section, we will outline how we, as *facilitators*, actually encouraged people to learn. As this kind of learning involved processes where stakeholders interacted with each other in a social setting, we will refer to it from here on as *social learning*.

The *way* we facilitated the learning process was far more important than any facilitation tool or method. It affected in a direct way the social processes among the stakeholders that in turn led either to learning or none at all. In other words, to what extent our facilitation successfully encouraged learning depended greatly on *how we performed* as a facilitator. We had to realise as carefully as possible how our facilitation affected learning processes and why this was so.

In facilitating social learning our team was guided by five simple questions: *who* needed to be facilitated; *what* learning needs were obvious; *how* were they to be facilitated; *when*, and *why* was learning likely to take place (in other words, what motivated the participants to learn?).



Who?

Knowing *who* was to be facilitated was at the very heart of our facilitation work. The way we dealt with this question affected the extent to which learning among stakeholders took place.

During the early stages of our fieldwork we had identified stakeholders so that we knew with whom we would be dealing. This was, however, only initial information on the variety of individuals, social groups and institutions whose learning was to be facilitated. Over time, this baseline information needed to be revisited and our knowledge refined. Groups were fluid and not as fixed as we initially thought. Individuals ally with those in other groups and form new stakeholder groups at later stages. The variety of stakeholders changed over time, and we had to be alert and sensitive. Boxes 9 and 10 show the variety of stakeholders that we found early in the process and which we had to reassess from time to time.

We found it extremely important to remain alert to why such changes took place, and why individuals and groups who had a stake in the forest changed. We gradually realised that this had much to do with changing interests and, with this, the power plays among different individuals and groups. It is thus important to note that *knowing who* has much to do with *knowing who had something to say*, and *who did not* since this affected the processes of learning.

Knowing *who* should participate in the learning activities was not enough. We also needed to understand the reasons behind different stakeholders' decisions to use the natural resources in certain ways, as well as the relationships that existed among these stakeholders. To gather this information, which was essential background for our facilitation work, we used a framework that was focused on the stakeholders' *rights*, *responsibilities*, *returns* from the forest, and *relationships*.¹⁵ Annex 2 presents this information for the Jambi case as an example.



Knowing *who* was to be facilitated was at the very heart of our facilitation.

Knowing *who* was engaged in the social learning was also important for our team as a basis for organising learning activities. For in social learning, individual stakeholders affect the way others learn, and care must be taken to ascertain when given sets of stakeholders can learn together with others, or when it is better for them to learn separately.

What?

Once we established who should be involved in the learning processes, we naturally need to ask *what* learning these stakeholders would need. From our earlier assessment of the level of ‘adaptiveness’ and collaboration, we had some basic idea of why it was hard for stakeholders to adapt old ways of thinking and acting, or to collaborate effectively with each other. This gave some guidance to knowing what the learning needs of the stakeholders were.

We needed, however, to have a more concrete basis on which to ground our facilitation. We, therefore, did some literature search about social learning and tried to match what we found there to what we observed in the field. As we searched through the literature and brought the stakeholders together to learn, observe, plan, act, and reflect within the PAR process, we found a particular definition of social learning helpful to make this concept operational for the facilitation work. According to this definition social learning can be understood by linking it to four different dimensions of the meaning of ‘social’:¹⁶

- *Knowledge development by a given stakeholder group.* In the field we found this process happening particularly when a group reflected on prior action or made plans as a basis for new action or upcoming interaction with other stakeholders.
- *Communication and relationship building among stakeholders.* We observed that alongside the iterative learning activities, the stakeholders built a sense of interdependence and, in turn, respect for each other. Trust gradually developed among them. Improved communication and relationships then led to the sharing of knowledge, which often formed the basis for joint action.
- *Knowledge sharing among stakeholders.* When the stakeholders were learning together, an exchange of views took place. This became the basis for new understandings of the stakeholders as a group. In this process the different stakeholders brought their knowledge and other capacities into the process of sharing.
- *Political processes.* We saw that political processes encouraged a stakeholder group to build its strategic capacity, for example, its negotiation abilities in determining village boundaries.

We observed that these processes not only emerged as the stakeholders learned to adapt and collaborate along the way, but that these also became fertile ground

for further social learning. We therefore thought that these four social processes could become the basis for knowing *what* stakeholders needed to learn, and used them to guide our actions as shown in Box 23. The village boundary mapping and negotiation activities carried out by the communities in Pasir and Jambi with neighbouring communities and government officials are a good example of how we incorporated these four learning needs into our facilitation.

Box 23. Examples of the four learning needs of stakeholders

1. *Developing knowledge of one's own stakeholder group*

The community's knowledge about their village boundaries was developed through field checks and geographical data collection. The team provided training on how to use a geographical positional system (GPS) instrument to measure geographical positions. In this way, an opportunity was created for the community to learn about the geographical positions of their village boundaries. This knowledge was then used as the basis for negotiations with neighbouring communities.

2. *Building communication and relationships with other stakeholders*

The joint field visits and reflections encouraged neighbouring communities to learn to listen and talk to each other. In other words, they were learning how to communicate and build relationships. In most instances the customary rules were used as the basis for this communication. This was possible because the neighbouring communities had very similar rules. When verbal communication became too abstract we suggested that all parties involved jointly pay a field visit to see what the reality looked like.

3. *Sharing knowledge with other stakeholders*

The knowledge about village boundaries that was developed by the village communities was shared among them. Initially the flow of information and knowledge was from the communities we facilitated towards the neighbouring communities; however, later in the process the other communities started to contribute to the information and knowledge sharing. Each individual community recognised that the other communities possessed valuable knowledge that was complementary to their own. The sharing of knowledge was facilitated during formal meetings, informal encounters, and fact-finding in the field.

4. *Developing the strategic or political capacity of stakeholders*

For this learning need, an example is taken from Jambi. As a result of negotiating with their neighbours the Baru Pelepat community learned how to build its strategic or political capacity. We helped encourage this kind of learning by facilitating reflection on the negotiation process, the outcomes of the negotiations, and the lessons learned. Box 24 gives an example of how the community's negotiating capacity improved, and with this, its strategic capacity.

Box 24. Improving strategic capacity in negotiations

During a negotiation meeting about village boundaries with representatives of Sungai Beringin village, two Baru Pelepat customary leaders had a dispute: the one thought he knew the traditional rules better than the other. After returning from the negotiations and upon reflection, the two leaders swore that this should not happen again as it had embarrassed Baru Pelepat. They believed: '*seekor ayam hanya bisa dipotong sekali saja*' (one can slaughter a chicken only once). The men learned that they must not make the same mistake again and before going to the negotiation table the Baru Pelepat negotiators should agree among themselves first what and how to negotiate.

How?

As regards the *how* of facilitating social learning among stakeholders, below we share three key aspects based on our field experience.

Alongside our facilitation, we found that two ways of learning helped stakeholders adopt new behaviours and ways of thinking, as well as to be more open to communication and collaboration with others: learning that was *investigative* and *reflective*. We observed that learning is likely to give positive outcomes (cf. Chapter 5.2) if these two kinds of learning follow each other repeatedly (Figure 18).

We facilitated the first by stimulating the stakeholders to adopt a curious attitude (Box 25), and the second by encouraging them to slow down the process of

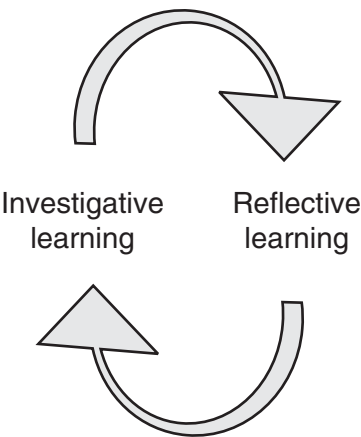


Figure 18. The *how* of stakeholder learning: investigative and reflective learning following each other repeatedly

thinking (Box 26). These two complementary ways of learning supported us in developing awareness with the stakeholders about how assumptions affected actions and mental models took shape. We therefore adopted these two aspects of the *process of learning* as a guide to knowing *how* to facilitate learning among stakeholders, at whatever points they were in the PAR process, whether making plans, acting, reflecting on actions, or making observations.

Besides knowing how to facilitate the learning process itself, we also needed the means or tools to do this. We made use of three types of methods¹⁷ in our facilitation: 1) stakeholders experienced things for themselves; 2) they observed what others experienced; or 3) they made ‘models’ (abstract, often simpler pictures) of real situations. Box 27 provides some examples that illustrate these three ways of facilitating learning.

Box 25. Motivating stakeholders to adopt a curious attitude

There are several ways that facilitators can encourage stakeholders to adopt a curious attitude:

- In discussing issues, start with general questions and go incrementally into more detail. This will make people gradually ‘hungrier’ for details and along the way more ‘analytical’.
- The more people are motivated to seek for details, the more cautious they become with making conclusions too quickly and the more open they are to what others are saying.
- Build on what people already know: activate the knowledge base that is already there. This can trigger them to improve their understanding of things in relation to what they already know. This can also help in checking assumptions. The question ‘we know a lot, but do we understand what we know?’ may help.

Box 26. Slowing down the process of thinking

As human beings we often tend to react instantaneously after hearing someone speak. Our prompt reactions or actions may have little to do with what is spoken by others. Facilitators of joint learning should encourage stakeholders to take time in interpreting messages and observations.

Slowing down the process of thinking is sometimes also called ‘climbing up the ladder of inference’. Some call this slowing down of the thinking process ‘mirroring one’s thoughts’. It helps to scrutinise assumptions.

Try it yourself and if you don’t see any result, you may need to clean up your mirror!

Box 27. Three ways of facilitating learning: Examples from Jambi

- *Building experiences:* To help improve representation in community decision-making, we facilitated a process in which the community stakeholders elected a village representative body. Some of the experiences we facilitated included: a workshop about village representation and leadership; the appointment of an election committee; the preparation of community stakeholders for the election process; the election of representatives, and the formal appointment of the elected representatives.
- *Observing the experience of others:* During a meeting among stakeholder representatives, a customary leader from a West Sumatran village was invited to share his experience in developing mechanisms that helped his customary institution and the formal village government collaborate in community governance.
- *Making models:* During a workshop, community stakeholders were facilitated to learn about the notion of representation. Participants were asked to do a role-play that showed what made a 'good' representative and a 'bad' one. The process of *modelling* of a representative encouraged participants to identify characteristics of a 'good' and 'bad' representative. By asking participants to express these characteristics in a role-play, they were encouraged to *formulate* these in common terms within reach of people's knowledge. The model served in this way as a source of knowledge that complemented people's prior experience or observations.

One last point merits attention. When we facilitated learning among different stakeholders the question of *how* to facilitate learning depended very much on *who* was being facilitated. In practice this meant that our facilitation needed to take into account the preferences of individual stakeholders as regards to how learning took place.

For example, we observed that in both sites women preferred a learning environment that was relaxed, informal, and not very structured; also, these women were less likely to speak up in bigger meetings. For these reasons learning for them had to use a *combination* of structured sessions and less structured encounters. Also, we often held *separate* sessions for the women to prepare them prior to larger stakeholder meetings.

When?

The question of *when* to facilitate learning is closely related to the previous three questions. We found ourselves asking *when* is the best time to facilitate *whom*, about *what*, and *how* will we do it?

In practice this meant that we had to develop sensitivity for choosing the right moment to facilitate different stakeholders. For example, in the case of the women stakeholders, they needed help in developing their knowledge and skills *prior* to participating in the wider stakeholder meetings (the *when*). These preparations focused on developing the women's basic knowledge and skills as regards analysis and communication (the *what*). During the joint meeting, the women were able to apply what they learned in the small meetings and practice joint analysis of problems and the sharing of knowledge through communication (the *how*).

Why?

Finally, to successfully facilitate learning processes in the field it was important for us to ask ourselves *why* should the stakeholders give up their limited amount of free time to learn with us. In other words, in order for us to understand our role as facilitators of learning we had to discover what motivated the stakeholders to learn. Our team observed three different motivating factors (Box 28), and based on this knowledge we facilitated each situation differently (Table 1):

- Stakeholders were motivated by external factors;
- Stakeholders were motivated by internal factors;
- Stakeholders were stimulated to learn by the interactive processes that occurred during the joint learning.

Box 28. Three motivations of stakeholders to learn together

1. External factor - The communities in Pasir initiated negotiations with the government and logging companies regarding village boundaries in an attempt to attain some control over the village's natural resources. They believed that if they could establish clear village boundaries, and get agreement on these boundaries, then their livelihood would be secured. In this situation it was the arrival of our team that triggered learning for change. The community's desire to improve livelihood conditions had been there before we arrived, but it was our facilitation that encouraged the community to do something about it.
2. Internal factor - People have the capacity to 'look into the future' on their own even in the absence of any external motivating factors. This is because human beings possess learning abilities, or cognitive capacity, that allows them to link past experiences or observations in given circumstances to similar situations that may occur in the future. In other words, people can look forward and see the consequences of things that have not yet happened. Some call this anticipatory learning and although everyone has this capacity, it can be improved through facilitation.¹⁸

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In Baru Pelepat we found ourselves facilitating this type of anticipatory learning as a way to help the villagers take on the new responsibilities resulting from the Indonesian government's policy on decentralisation, a policy which transferred some decision-making authority to the village level. In a workshop, we asked the villagers to discuss in groups what they would do if a private investor came to see them, and offered to collaborate in the harvesting of forest products. Figure 19 shows a drawing we used in this exercise to stimulate group discussions. In this case, we helped the participants to reflect on similar situations they had experienced or observed before, and we encouraged them to keep a clear focus on the future by providing information about what the future might bring. We provided information about, among other matters, government policies regarding village authority and the likely interest of private investors in forest harvesting. In other words, we assisted community stakeholders to develop their abilities to anticipate the future.

3. Interactive processes among stakeholders - Here, our role as facilitators was one that encouraged communication among stakeholders as a group. In other words, our role was to facilitate group processes.
 - In the presence of others, many individuals or groups tend to learn better. For example, because of their different history and experience, the original *Minangkabau* women were initially less confident speaking in public than the settler women. However, we observed that because of the presence of settler women, they became motivated to speak more often at the larger meetings. It was as if the latter thought: 'what settler women can do, we can do too'.
 - Groups with a diverse array of participants developed a richer understanding of the problems discussed. This was exemplified during the negotiation processes between the Pasir communities and government and logging officials. During these negotiations each different stakeholder enriched the discussion by adding its own particular perspective.
 - Stakeholders found it easier in a group to recognise whether the decisions reached were appropriate or not. As they usually found it easier to see the shortcomings of others than their own, they would correct each other. Also, as a group they remembered facts better so that options for decisions were more accurately assessed.

Table 1. Stakeholders' motivations for learning and corresponding role of facilitation

Stakeholders' motivation to learn	Role of facilitation
Desire to bring about change in the excessive logging by non-villagers (external motivation)	Trigger learning for change
Eagerness to know what may happen in the future (internal motivation)	Assist in developing stakeholders' abilities to anticipate
Interactive processes during the learning	Encourage communication among stakeholders, i.e., facilitate group processes

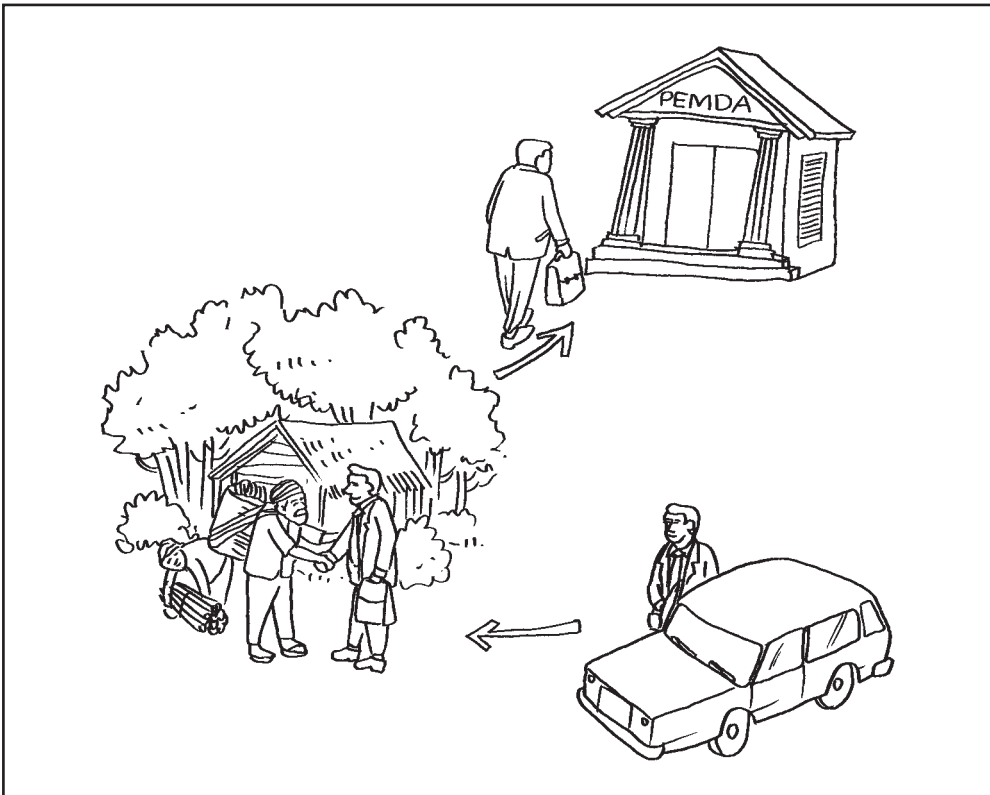


Figure 19. A drawing for evoking discussions among stakeholders (PEMDA = local government)

5.2 Outcomes of Learning

The stakeholders' main aim in both sites was to see their livelihood conditions improved. However, they found it hard to bring about livelihood changes in times of uncertainty because they were not sure how to predict and plan their future. It was still harder because there were no mechanisms that could assist the stakeholders in collaboratively tackling problems and jointly learning from actions and decisions. It was in such circumstances that the stakeholders began the various ACM action learning cycles.

As the stakeholders wanted first and foremost to bring about changes in their livelihoods, our assessment focused on *learning outcomes that have links to livelihood changes*. But first we need to refer to what has already been highlighted in the preceding chapter, namely, certain social processes emerged among stakeholders that generated changes in collaborative and adaptive behaviours. These, in turn, resulted in changes in people's livelihoods. These emerging processes can thus be called *change processes*. What were these?



To see what the outcomes were of the learning that our team facilitated, we focused our assessment on outcomes that have links to livelihood changes. Improved livelihoods was what the local stakeholders wanted to see as learning outcomes.

The processes of change

As seen in the preceding chapter, four processes emerged as stakeholders learned along the way: *knowledge development*; *communication and relationship building*; *knowledge sharing*; and *building strategic capacity* (or political capacity).

These processes led to changes in stakeholders' behaviours in that they adopted new ways of thinking and acting. Moreover, these processes not only emerged as the learning progressed, but became fertile soil for further learning. These emergent change processes can thus be thought of as 'spinning wheels' as shown in Figure 20. Change processes spun off as a result of social learning, starting small but gradually reaching wider areas. In what changes did these processes result?

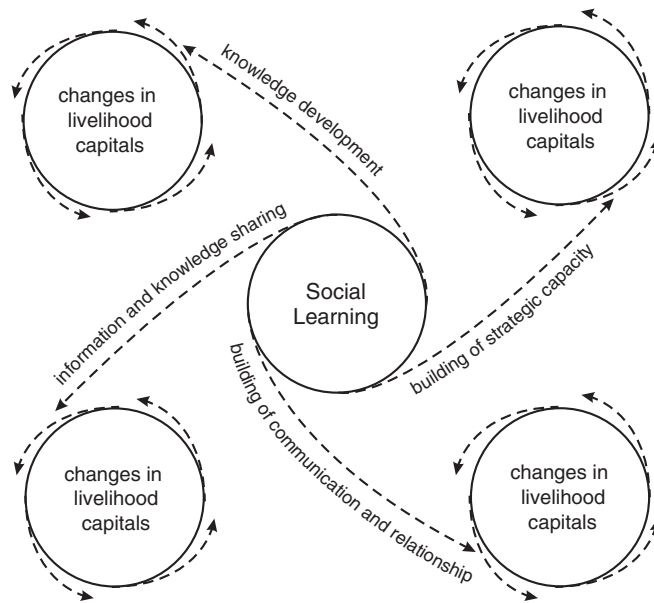


Figure 20. Spinning wheels of change processes induced by social learning

The changes

To determine whether learning resulted in livelihood changes, we found it helpful to use an analytical tool that is called the *sustainable livelihoods framework*.¹⁹ It states that in order for people to have a decent life they need to draw on resources—or capital assets—that enable them to carry out livelihood activities. The term 'capital' is wider than its more common use in the financial or economic sense and stands for a building element that is necessary to make a livelihood. There are five sets of capital:

1. *Human capital*: knowledge, skills, physical working conditions and health
2. *Social capital*: trust, networks and connections which support people's ability to work together
3. *Natural capital*: land, trees, water resources, fish, etc.
4. *Financial capital*: income, savings, loans
5. *Physical capital*: tools, equipment, animals, roads, services (water, energy, etc.)

It is obvious that since we began with the ACM action learning, human and social capital among the stakeholders in both sites have improved. First, the *human capital* was clearly enhanced. People's leadership skills increased, their technical knowledge and skills were enhanced, communication ability improved, negotiation abilities advanced, and individual motivations to act on problems were triggered. We noticed also that stakeholders with different social status developed the confidence to improve relationships with each other.

Changes in *social capital* were, however, even more noticeable. Trust was established among different stakeholders, which in turn, improved relationships and balanced power differences. The quality of existing social networks was enhanced, and new ones were established. Examples of these capital changes are given in Tables 2 and 3. The outcomes refer to the learning cycles that we used as examples in the preceding chapter of solving boundary issues and of improving village governance.

Less noticeable at both sites were changes in *natural, financial and physical capital*. We suspect that it takes a considerable period of time for such capital to form. Our research timeframe was too short for us to witness observable changes in these areas.



Among the ACM outcomes that were tangible were people's enhanced skills in the production of mats and baskets from rattan and bamboo, which they can sell at the local markets. These outcomes were linked to the learning issue that was focused on improving people's livelihoods by seeking alternative sources of income (see Box 19).

Table 2. ACM outcomes of the mapping learning cycle

Livelihoods Capital	Outcome
Human	<ol style="list-style-type: none"> 1. Developed mapping skills with community members, including the use of technologies such as GPS (i.e., reading, recording, and converting data from GPS to a basic map). 2. Developed knowledge with different community groups (women, youth and other groups) about the boundaries of their customary area. 3. Improved knowledge with community groups about which government agencies should be approached in addressing given issues.
Social	<ol style="list-style-type: none"> 1. Improved communication and network between communities, logging companies, and the government. 2. Enhanced trust among communities and outside agencies.
Natural	Not observable as of yet
Physical	Village boundaries
Financial	Not observable as of yet

Table 3. ACM outcomes of the learning cycle on strengthening village governance

Livelihoods Capital	Outcome
Human	<ol style="list-style-type: none"> 1. Developed knowledge regarding: government decentralisation policies on village devolution; democratic principles (knowledge developed especially with old power holders, e.g., traditional leaders); stakeholders representation mechanisms in village decision-making; development of village regulations; community leadership; participation in village decision-making; 2. Developed skills in decision-making; development of village regulations; leadership; organisational management.

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Livelihoods Capital	Outcome
Social	<ol style="list-style-type: none">1. Improved social institution and organisation<ol style="list-style-type: none">a. improved representation mechanismb. improved representation of community stakeholders.2. Improved mutual trust and reciprocity between original and settler communities (due to processes of interaction in various activities); recognition by men that women are potential and legitimate community members in village-level decision-making; acknowledgment by old power holders (e.g., customary leaders) about the need to relinquish long-retained power.3. Developed political awareness of community members.
Natural	Not observable as of yet
Physical	Not observable as of yet
Financial	Certain community members have gained financially when they became community-elected and district government-paid parliament members.

Nonetheless, we found some indication in the field of how social capital may affect the formation of other capital in the long run. Social capital could also be called ‘start-up capital’, i.e., capital that provides the basis for the development of other capital. Figure 21 depicts these possible links. Herein lies the central role of ACM facilitation.

Evolving a collaborative livelihood strategy

Being endowed with the five sets of livelihood capital does not necessarily mean that the livelihoods of the community stakeholders are ensured in a sustainable way. To ensure that the sets of capital actually result in livelihood outcomes— incomes, well-being, food security, resilience in facing social and natural shocks and sustainable use of the natural resource base—people must have a strategy.

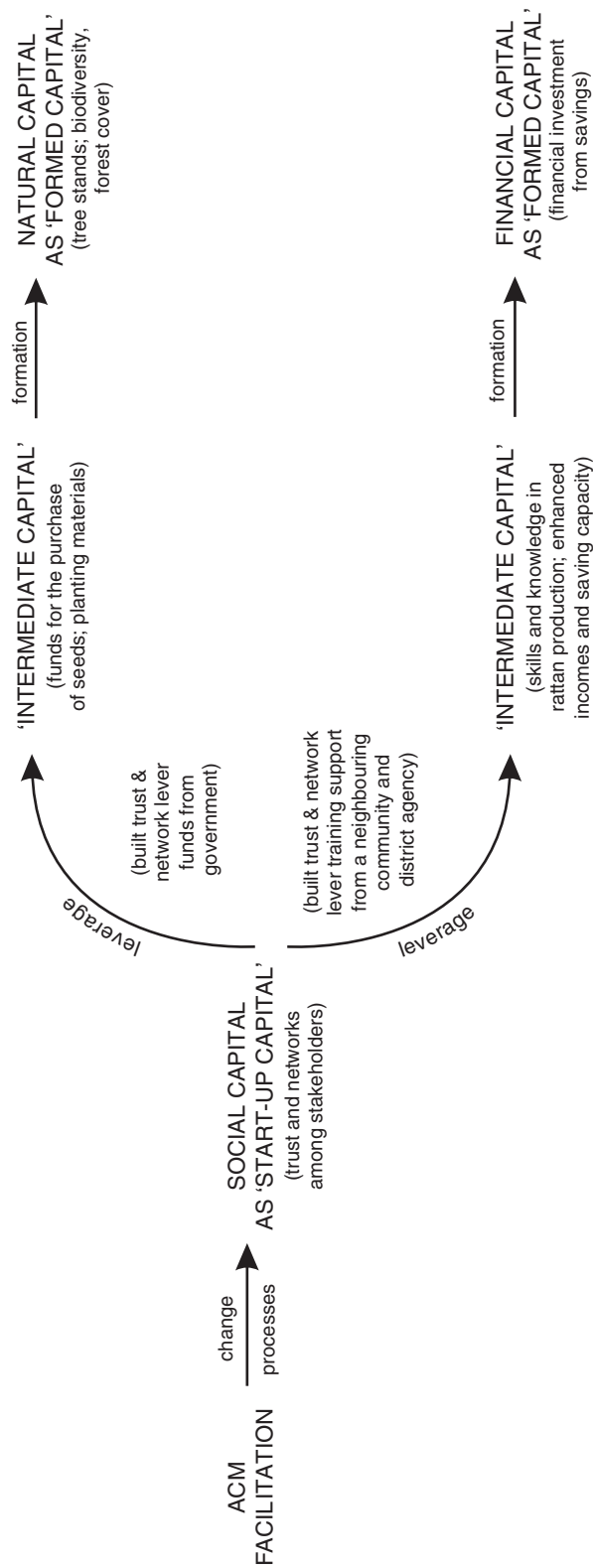


Figure 21. Possible links between social capital as 'start-up capital' and natural and financial capitals as 'formed capital'



ACM evidently contributed to the social capital build-up between different stakeholders.

Stakeholders need some targeting: how do they use their assets in order to achieve a sustainable livelihood? For example, will stakeholders choose to use financial resources to buy seeds and allocate human skills to work on the land, or do they prefer to put the money in the bank and work as labourers in the district capital?

ACM *increases the livelihood options* on which the stakeholders can draw for improving livelihoods. By contributing to the social capital build-up, ACM offers a *collaborative livelihood strategy* for stakeholders in order to improve livelihood prospects.

Development programmes that focus on the enhancement of people's livelihood, including participatory forestry programmes (cf. Chapter 3), tend to aim at improving incomes. ACM, however, goes beyond this. By offering a collaborative strategy it widens the range of livelihood options from which stakeholders can choose. ACM thus adds value to the livelihood strategies of stakeholders or households. 'ACM-inspired' livelihood strategies are more likely to achieve a wider array of livelihood outcomes, such as better incomes, but also increased well-being, reduced vulnerability, improved food security, and more sustainable use of natural resources (Figure 22).

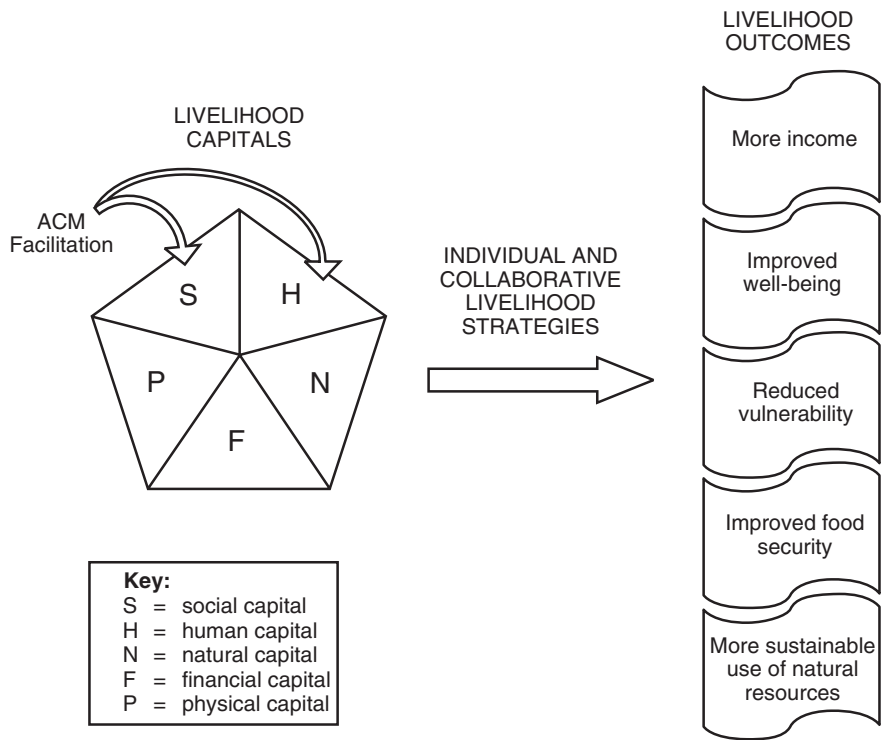


Figure 22. ACM adds value to livelihood strategies

6

CHALLENGES, STRENGTHS, AND LIMITATIONS OF ACM





*Withdraw, you that must withdraw
trembling with the fading of the fatamorgana
remain, you that must remain
in you is eternal metamorphosis.*

Sri Kusdyantinah, Indonesian woman poet, in a poem titled *Pancaroba* (Between the Seasons; translated by John M. McGlynn 1979)

In the preceding chapter, we outlined how we applied ACM in practice, describing how we shaped conditions for learning among stakeholders. This chapter identifies the challenges we faced and the strengths and limitations that characterise ACM as we applied it.

Challenges

Like many others who work with stakeholders in jointly managing natural resources, we were challenged by constraints that were more or less common to any fieldwork using a participatory approach. These included, for example, limited participation of people because they were busy making a living, or the dependence on ‘outsiders’ in carrying out activities. We noticed, however, that ACM had four other, more specific challenges, which are described below. Subsequently, we will discuss how ACM dealt with these challenges.

1. ACM was supposed to foster collaboration among different stakeholders, however, we were challenged by a serious *lack of social organisational capacity among different stakeholder groups*. Even where given stakeholder groups had the capacity to collaborate *within* their own groups, it did not necessarily mean that they were able to do so *with others*. Often, this had to do with the past. For example, stakeholders had little experience in connecting with one another, like the government and communities in Pasir, or the original inhabitants and settlers in Jambi.

This lack of organising capacity among different stakeholder groups became a challenge to us as facilitators of ACM for two reasons. When they evaluated problems, stakeholders tended to see things from their own narrow perspective, and were not aware of the wider scope or the views of others. This often meant that in searching for solutions people were likely to seek solutions only from their own perspective, without thinking to solve problems together. Collaborative solutions were not familiar among groups of different stakeholders.

2. A second challenge had to do with the learning aspect, which is at the heart of ACM. We were challenged by the question of *whether the stakeholders would be sufficiently motivated to maintain the newly adopted ways of thinking and acting*. If not, the learning that we facilitated was not sustainable.

Historically, the stakeholders knew of learning activities that did not result in long-lasting changes. For example, when we began in Jambi we were told that an extension worker had trained them in using new agricultural practices. However, shortly after the training, people stopped using the

learned techniques. The extension worker thought this was because they were not able to learn the new technologies. Our team believes, however, that it was because the knowledge was developed elsewhere and transferred to the site. In this case, knowledge transfer did not lead to local-specific learning that was meaningful to the stakeholders. Our team was worried that learning activities in ACM might have the same outcome.

3. We were further challenged by the question of *whether ACM would succeed in motivating stakeholders to learn in their complex, uncertain environments*. As the past showed, changes in the social and natural environment were considered so complex that these overwhelmed the stakeholders. The stakeholders as a group therefore had little idea of what and how to learn.
4. A final challenge we faced when facilitating ACM related to *differences of power or social status among different stakeholders*. We found that stakeholders with more power were less open to learn new, collaborative ways. They regarded those with less power as unworthy of collaboration and often considered them as not having legitimacy to sit at the table, to talk or be listened to.



Different power status among stakeholders was one of the challenges our team faced in facilitating ACM. This picture in some way reflects the difference in social status between the local community and official decision-makers.

ACM's Strengths

We now discuss the strengths of ACM as we experienced them. We call a given quality of ACM a 'strength' if it enabled us to successfully handle the challenges described above. 'Limitations' are those characteristics of ACM that were inadequate to support ACM in dealing with these challenges. Our team noticed that ACM offered the following strengths.

1. ACM has the capacity to *make social relations among stakeholders more systematic and organised*. It was obvious that sets of stakeholders in both sites had begun to organise themselves better. We think the factor that contributed to this improvement in social organisation was the repetitive nature of learning in ACM. Because of this, contact and communication among stakeholders intensified, in turn, affecting relationships between them. A stronger sense of interdependence on one another developed, as well as mutual appreciation and trust among them. An enhanced awareness of interdependence, in turn, encouraged the stakeholders to recognise others as legitimate stakeholders of the system. Improvements in social organisation were not confined to those activities that we facilitated, but happened also outside these settings.



A merit of ACM appears to be its ability to make social relations more systematic and organised: the women have proved to be the best organised stakeholder group now, internally in their own group as well as externally when dealing with other stakeholders.

2. Another strength appears to be ACM's capability to *help the stakeholders with developing understanding about complex phenomena*. Because of its phased nature, learning in ACM allowed for the breakdown of complex learning subjects into smaller, simpler pieces. This enabled the stakeholders to work jointly through the contradictions step by step, which in turn helped them gradually to make sense of complexities.
3. For learning in complex, uncertain circumstances to occur, the type of learning that is typical of ACM appears to be key: *learning by way of communication* (cf. Chapter 5.1). This sort of learning supported the development of a joint understanding by different stakeholders with varying perspectives.
4. ACM's ability to *deal with power imbalance* between stakeholders encourages power holders to recognise those with less power because of its emphasis on:
 - development of a better sense of interdependence, and in turn, of positive mutual appreciation;
 - making explicit the positive benefits that each stakeholder brings into the collaborative process; and
 - discussing substance rather than relational issues in learning activities.

Limitations of ACM

ACM also has limitations. Three particular limitations became apparent in the field.

1. ACM learning activities were often relatively time-consuming. For example, workshops usually needed at least one whole day and demanded time from those who were involved in their preparation and organisation. This meant that ACM was often more attractive to those who could afford to spend their time participating. Inadvertently, the less well-off stakeholders had therefore less chance to participate. ACM is a process of learning and therefore demanded time. Outcomes of this learning process were not always immediate or concrete. This was a common complaint we heard from stakeholders. Paradoxically, the poorer stakeholders were the ones who benefited least from ACM.
2. For our team, the conduct of ACM activities also meant much effort and time. The costs of bringing different stakeholders together to meet and interact were substantial. Moreover, time and other resources invested often did not immediately result in something tangible.

3. Lastly, where the power imbalance between stakeholders was *highly skewed*, we saw that learning did not lead to more inclusive views of the power holders. Apparently, circumstances with severely skewed power differences were not the right conditions for people to learn from each other. In such conditions learning in ACM only rarely transformed old ways into new views and behaviours.



A limitation of ACM as our team experienced it was that learning activities were time-consuming, both for the participating stakeholders and for the team. This often meant that ACM was less attractive to the poorer stakeholders because they found it hard to spend much time on the learning activities.

7

LESSONS LEARNED





*... if we are to recover social harmony and virtue ...
We must encourage social and material exchange among
equals ...*

Matt Ridley, zoologist and science writer,
in *The Origins of Virtue* 1997

Knowing the challenges of ACM as well as its strengths and limitations, allows us to draw some lessons. This chapter presents the lessons we have learned from our research. ACM is an unfolding approach and the lessons shared below also emerged along the way. Some have already been discussed in more detail in preceding sections.

1. From our research process we learned that ACM is able to assist different stakeholders to better organise themselves into groups with other stakeholders. Although a given stakeholder may have strong organisational abilities within its own group, it may have less capacity to link up and collaborate with other stakeholders. This was the case in our sites because different stakeholders had limited chances in the past to build relationships with each other. Learning together was lacking, for example, between the government and the communities in Pasir, or between settlers and the original inhabitants in the Jambi site. In less than two years, the *social organisation of sets of stakeholders* improved. This, in turn, improved the process of decision-making.
2. ACM is thus helpful in encouraging different stakeholders to link up and organise themselves with other stakeholders. The way ACM encourages different stakeholders to link up with each other is by promoting repetitive iterative learning. The repetitive steps in the participatory action research cycle support this kind of learning. The four principles ACM employs to organise stakeholders to learn together are: ownership of learning by the



Along the way our team learned about the way ACM affects forests and people.

stakeholders; representation of all stakeholders; learning from experience; and learning by means of communication.

3. A third lesson has to do with power relations among stakeholders. As outsiders we can easily overlook the power differences among stakeholders. When entering remote localities, it may appear as if local stakeholders live in peace and harmony, and that politics (power plays) are absent. We tend to think that politics only plays a role in the capital city, urban areas, or in parliament. However, conflicting differences are present in local communities too, although they do not always appear on the surface. This may be because the less powerful stakeholders keep silent or we do not hear their voices. People may also pretend that there is no conflict. As outsiders we may lack the tools to listen to the voiceless.

ACM was helpful for making us, outsiders, sensitive to the power differences among stakeholders. It makes power differences more explicit. However, at the same time ACM facilitates the stakeholders in handling power differences. Conflict situations are 'steered' (managed) by the social processes that emerge among the stakeholders.

4. As shown in Chapter 6, ACM activities are time-consuming and the poorer stakeholders may benefit less from these activities compared to other stakeholders. Precautions are necessary so that poorer stakeholders benefit equally from ACM.
5. Another limitation is that where the imbalance of power between stakeholders was *highly* skewed, power holders were not encouraged to learn. They tended to retain old behaviours and not to be adaptive in learning new ways. Facilitators of learning need to think of creative ways to encourage these stakeholders to become more open and learn from others.
6. A final lesson learned concerns the *added value* of ACM to the specific context of forest management in Indonesia. From what we have learned about ACM's merits, we believe that ACM can add three specific values to the way the country's forests are being managed:
 - a) ACM enables sets of different stakeholders to *organise themselves for action and monitoring* related to forest management;
 - b) ACM stimulates stakeholders to *learn systematically and consciously* from each other and from the natural environment so as to *adapt to unfolding changes* accordingly; and
 - c) ACM provides a way of forest management *where facilitation (of learning) and investigation (or research) go hand in hand and are mutually reinforcing.*

Part Four

Implications and Conclusions



Based on the lessons learned from the ACM research, Part Four highlights the implications of these lessons for forest management in Indonesia (Chapter 8), and reports our conclusions from doing research about and applying ACM (Chapter 9).

8

APPLYING ACM WIDELY IN FOREST MANAGEMENT IN INDONESIA





*... the process does not end in the creation of new knowledge.
There must also be commitment to action that leads to
environmental and social conduct compatible with sustainable
development.*

Cecilia von Sanden and Graciela Evia from the Centro
de Investigación y Promoción Franciscano y Ecológico
(Uruguay) in Environmental Learning 1993

The lessons that our team learned from applying ACM in the two Indonesian sites have implications for the way forests are managed in the country. This chapter presents the implications that we think are important.

Why Bother about Learning in Forest Management?

As noted in Chapter 3, participatory approaches have developed on a trial-and-error basis and at a slow pace. Government efforts have generally remained top-down and too cautious to experiment with participatory approaches. Efforts have largely been based on frames of reasoning where there is limited space for new ways of thinking. Learning that can challenge such mental models is needed. Learning is an option for forest management but needs to challenge existing frames of reasoning.

We learned from our ACM research that such an approach can add value to existing forestry policies and programmes as it accelerates learning and activates knowledge, which is transformed to change through action. Conditions that support such acceleration can be created.

First of all, learning needs to be widened to include other forest management actors and local people rather than only administrators. Furthermore, networks or platforms for the *deliberate* and *strategic* exchange of information and knowledge need to be established. It is also important to link the sharing of knowledge and information to actions and on-the-ground experience.

Sharing the Work among Government, NGOs and Research Institutions

Current forest management problems are too complex and uncertain, and social and natural changes are too rapid for the government to face on its own. Sharing responsibilities in partnerships among government, NGOs and research institutions may eventually be more effective as each partner can bring its own knowledge, resources, and capacities to the process.

In our ACM practice, we see nevertheless that working together does not result in synergy unless the partners themselves define the conditions for partnership. It is thus important that partnership rules are developed among the partners, without any external pressure of any kind.

Inclusion of Stakeholders in Forestry Policy Development and Implementation

From working with stakeholders in the conduct of our ACM research, we notice that the identification of stakeholders using stakeholder analysis tools is necessary for any forestry programme. It is necessary particularly in determining how programme activities affect the various stakeholders and in turn how given stakeholders may affect our work. Nevertheless, identifying stakeholders in a proper way will remain a difficult issue.

It is important to carry out stakeholder analyses systematically, critically verifying the information collected. This process should be repeated periodically throughout the whole programme. Stakeholder analysis should be used dynamically and creatively to help programme implementers build sensitivity about power dynamics among stakeholders.

For the inclusion of stakeholders in policy development, deliberate consultations and other forms of stakeholder engagement should be integrated throughout the whole process. Given the limited time availability of local stakeholders, consultations should be organised to fit their daily schedules. Less 'visible' parts of the community, like women or the less well-off, should receive extra attention in the consultations. Field staff may be assigned to interact with them



It is important that programme planners and other office staff pay regular visits to field offices and hold meetings with local stakeholders, rather than make plans only from the headquarters.

more informally, and serve as sources of valuable information for programme planners. However, we still want to stress that programme planners need to see the importance of learning from the field in doing their job. The world out there is to be learned about—or needs to be brought closer—rather than to be contemplated only from headquarters.

In developing forestry policies or implementation plans, it is important to balance the different objectives of the different stakeholders. Several stakeholder meetings may be required to assist stakeholders to find some common ground. A next meeting can then be used to add to the commonalities already identified. Where there simply is no common ground to build upon further, a higher level authority may need to be sought to ‘intervene’.

The engagement of stakeholders in forestry programmes implies that programme implementers should encourage the stakeholders to build good relationships with one another. One condition that could support this is the provision of communication mechanisms for stakeholders to exchange information and knowledge, like forums and networks. Where relationships take form and flourish, they may eventually no longer need any support. Forestry programmes should invest in such communication mechanisms.

Aiming at Long-term Goals while Working with Short-term Objectives

A common complaint among forestry programme implementers is that because plans are often made at the central office, they usually are difficult to adjust. This often holds true notwithstanding the fact that these plans do not really fit local circumstances. Viewing plans as something final is common among programme planners, implementers, and field staff.

From our action research with stakeholders, we have learned that it is difficult to make plans that are final. It is not always clear how long-term goals in particular can be reached. When making plans, it is more realistic to see them as tentative. Adjustments of initial plans can be made along the way to accommodate unexpected developments. As long as the world turns, unexpected developments and surprises will always be there. Thus plans need to be flexible and open-ended, while yet focusing on long-term goals. When short-term plans are made for concrete activities during a given stakeholder meeting, the next meeting can evaluate the activities. Further, rather than using rigid rules to monitor the collaborative activities, one can aim at building constructive relations among stakeholders. The building up of such relations will create conditions for collaborative monitoring to develop naturally.

Adopting a Process Approach in Forestry Programmes

Most institutions and organisations initiating and implementing forestry programmes are staffed with knowledgeable and skilled people in the biophysical and technical side of forestry, but less so in fostering social processes among stakeholders. Generally, forestry programmes pay less attention to process outputs—such as trust among stakeholders—compared to those that are more tangible and easier to measure—such as the number of seedlings planted in forest gardens. Forestry field personnel are generally less well-prepared to facilitate processes.

Our ACM research showed that *process* is the key. In particular, relationships among stakeholders are important because they affect the natural and social environment. It is therefore recommended that forestry programme planners incorporate process indicators for the monitoring of plans and train field staff in the facilitation of processes.

We further suggest that government bureaucracies need to have flexible monitoring mechanisms. Enough space needs to be created for field staff to be granted more autonomy in dealing with emerging stakeholder processes, and thus enable them to accommodate evolving needs.

We have experienced from our research that the participatory action research cycle helped us organise the stakeholders to go through their process of learning. We suggest that forestry projects organise activities along a similar learning cycle.

Effective Multi-stakeholder Facilitation

Given their complex social and natural environment, forestry programmes must be equipped with a good basis for effective facilitation across stakeholder groups. Adequate staffing for the facilitation work is thus a must as facilitators provide the foundations for effective forestry programmes. Forestry programmes should therefore invest in quality facilitation and adequately appreciate the field facilitators' work.

A key characteristic that a multi-stakeholder facilitator needs is sensitivity to power relations among stakeholders. Tools and methods can help in doing the actual work but the skill of the individual facilitator is the best tool. This sensitivity can be developed over time as her/his experience grows.

Facilitators must have some indicators of *fairness* of processes among stakeholders. A key element of facilitation is how communication among stakeholders is



Quality facilitation is key.

encouraged so that a fair communication flow takes place among them. It is the facilitator's role to assist in this communication. The ones who have less capacity to communicate should be assisted to communicate their perspectives.

Another key facilitation element is the fostering of processes of joint decision-making. Based on our experience it is quite a challenge to facilitate the decision-making process. One tends all too easily to push the process in the direction(s) s/he wants the decision to be made. Effective multi-stakeholder facilitators must be good listeners, not only with their ears but perhaps more importantly also with their hearts.

In situations of conflict it is important to make very explicit that a facilitator has an independent position and does not side with any of the conflicting parties. At the same time all parties should know to whom facilitators are accountable. For example, do they work for a local NGO or for a national-level organisation? This makes it easier for the ones who are facilitated to judge the position of a given facilitator in relation to the whole process.

Several key elements of conflict mediation in forestry programmes are the following:

- Make assumptions explicit so that they will not hinder communication;
- Set the development of constructive relationships as one of the facilitation goals;
- Be clear to all parties where negotiation processes lead: the building of knowledge (*Why do we have preference for a given choice? How does our choice affect others and ourselves?*) or the making of choices (*What do we prefer to do?*); and
- Ensure that negotiation reaches out to all members of stakeholder groups and not only involves their representatives. Conflicts often involve group members, rather than only their representatives or leaders.

Committed Facilitators Urgently Needed!

Given the immense challenges that are involved in forestry programmes, committed multi-stakeholder facilitators are needed. Important criteria for such facilitators are:

- Willingness to do not only the job, but also to be a learner and to be open to adopt new approaches;
- Willingness to reflect critically her/his performance and style of facilitation; and
- Readiness for exposure to difficult circumstances in working with stakeholders.

Create Space for Learning in One's Own Organisation

Forestry programmes need to be founded on learning and process. Based on our experience, organisations promoting learning, however, must also practice learning within the organisation itself. The institutional environment must be conducive for an effective application of learning outside the institutional walls. It would be ironic if we preach learning but do not practice it ourselves.

Promoting organisational learning may not be easy however. Programme staff and departments are occupied with their own programme priorities, emails can be overwhelming, and communication mechanisms among departments are lacking. People also may find it hard to see the benefit of learning from colleagues.

To enhance learning in one's own organisation, institutional incentives need to be identified. Staff need to be convinced that from learning they will gain something. Organisations working on forestry should be creative in developing incentive structures and reward systems for their staff that promote learning, not only from the external world but also internally from colleagues and staff.

Research and Development

Several implications of our experience in applying ACM research for research and development related to forestry programmes merit attention.

First, we think that efforts need to be made to bridge the gap between policymakers' offices and project planners and 'real life' situations. People are busy, other activities take priority over fieldwork, or financial resources are lacking. Training and educational institutions could therefore take on the role of developing training materials, manuals, or tools for policymakers and project planners to effectively 'collect' experiences—e.g., from their field staff—to guide their work.

We have already mentioned that effective multi-stakeholder facilitators are urgently needed. A common assumption is that most field staff, either with government or non-governmental organisations, already possess the necessary capacity to use participatory methods in working with stakeholders. However, from our experience we see that facilitators who promote stakeholder learning need particular skills and capacities that are relatively new for organisations and staff working on natural resource management. Training of facilitators and training of trainers (ToT) should be conducted deliberately among the various institutions and organisations working on forestry.

Based on our own research, we have identified several issues that warrant further investigation. We need to know more about:

- Incentives and disincentives for learning and collaboration among the various forestry actors;
- How learning among stakeholders affects their natural environment, and *vice versa*;
- What skills, knowledge and attitudes multi-stakeholder facilitators need to be effective;
- What institutional culture is necessary to support learning in forestry, and to what extent bureaucracies can be reformed so that they support learning; and
- Lastly, what kind of leadership is needed at various levels of forest management to support learning in complex and uncertain environments.

Funding Joint Learning

The need for learning together or joint learning among stakeholders in forestry programmes implies the issue of funding. For (potential) donors it is important to realise that providing financial support to joint learning programmes differs

significantly from supporting other kinds of programmes as outputs may neither be immediate nor tangible. This means that long-term commitment to such programmes may be necessary as well as the formulation of project objectives in terms of process outputs.

Another implication is that creativity is needed to develop alternative tools of project accountability. For example, other means aside from project logical frameworks (logframes) could be used to monitor project progress. Budgets must be able to sufficiently accommodate needs that arise as results of learning activities.

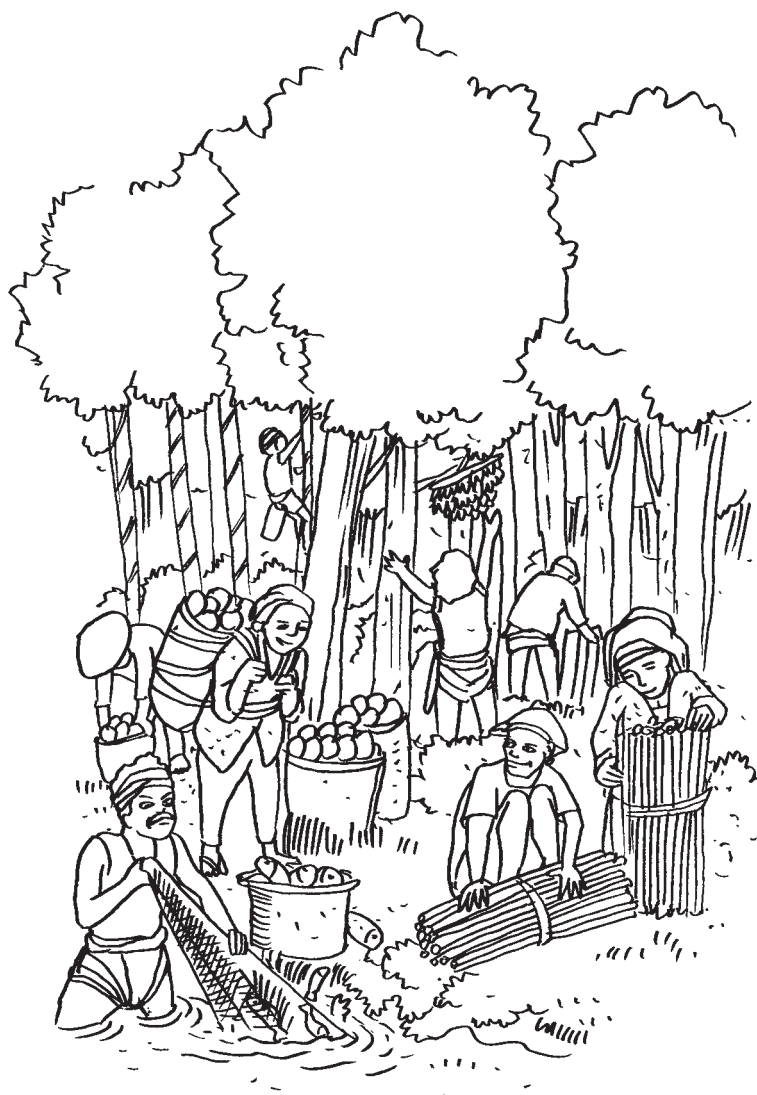
Donors should encourage organisations submitting funding proposals to earmark a sufficient portion of budgets for multi-stakeholder facilitation training and organisational learning. Funds for staff development and joint learning activities within organisations are often lacking among government and non-governmental organisations alike. Also, it is commonly assumed that most field staff are already capable in using participatory methods in facilitating stakeholders. The setting up of multi-stakeholder platforms and networks to support joint learning processes related to forestry issues is another important aspect that needs attention in funding learning programmes.



Learning activities at the local level may generate needs which should be sufficiently accommodated by programme budgets.

9

CONCLUDING REMARKS





As human beings, we are basically awake and we can understand reality... We find that, after all, we can handle our world, we can handle our universe properly and fully in an uplifted fashion.

Chögyam Trungpa, Buddhist teacher

As our fieldwork attests, an approach like ACM that stresses a deliberate, iterative process of learning has two essential merits. It encourages different stakeholders to learn from their actions and adapt their management strategies accordingly. It also motivates stakeholders to build constructive relationships among each other.

We do not have a recipe or tailor-made how-to guidelines for applying ACM or similar approaches. What we have attempted to share in this book is the way we did it so that readers can draw on our experience in developing their own guiding framework, which will evolve as the fieldwork progresses.

The key to such an approach is shaping the right conditions for stakeholders to learn together. In our experience such conditions can be created if the facilitation work is based on four principles:

- Stakeholders must have *ownership* over their learning;
- *All* relevant stakeholders must be *represented* in learning activities;
- *Experience* must be at the heart of the learning that we facilitate; and
- Learning must take place by means of *communication*.

These conditions will not emerge on their own. The role of facilitators is critical. To be effective, facilitators of learning should be good *listeners*, have a sense of *fairness*, and be able to encourage *processes of communication among stakeholders*.



Shaping the right conditions for stakeholder learning positively affects local conditions, including those related to forests.

Last, but not least important, facilitators must possess a *willingness to learn from their actions* in the facilitation of stakeholders, and accordingly, *to adapt facilitation strategies*.

As shown by our fieldwork, an approach like ACM that emphasises learning and process results in improvements of human capacities (human capital) as well as in constructive social relations (social capital) among stakeholders. Due to the limited timeframe of our research, we were not able to determine if ACM resulted in changes in natural, physical or financial capital. However, we have found some evidence that in the long run increased social capital fosters the formation of natural, physical and financial capitals.

Our experience has been a tremendously rich, albeit not always easy, search for new, collaborative ways of forest management. From this, we have drawn valuable lessons as action researchers who, together with local groups, learned from the joint fieldwork. Because of these lessons we know for sure that *learning and process do make a difference* for the way multiple stakeholders use and manage forests.

Now we have shared our experience, we are interested to hear yours as well!

ANNEXES



ANNEX 1

A FRAMEWORK FOR APPLYING ACM

This annex presents a framework you can use in applying ACM, which is based on our team's experiences. You should see this framework as an indicative guideline for assisting local stakeholders in jointly addressing local resource problems rather than as a ready-made manual. You have complete liberty to adjust elements of this framework to suit your personal needs and particular situation. Ideally, you should develop your own framework, which will evolve as your work with stakeholders advances. The key is that throughout the process of facilitation you consciously aim at creating the right conditions for stakeholders to learn together, experiment with (new) facilitation tools, critically reflect on your role as a facilitator of learning, and be open to adapt (or even throw away!) previous ways of facilitation, if ineffective.

The framework presented here provides the key steps for applying ACM as drawn from our experience. It can be used in entirely new activities and programmes or in those that have progressed for some while. In other words, there are no rules as to when you should begin facilitating learning among stakeholders. As our experience taught us, ACM potentially adds value to any situation in which stakeholders interact, no matter at what stage of implementation a programme is.

There are three kinds of activities for shaping the right conditions for stakeholder learning:

1. Preparing for learning
2. Organising learning
3. Facilitating learning


In the framework below the purpose of each activity is noted, their key steps and how to carry them out are described, and some tools or methods are suggested for putting the steps into practice. In Annex 2 you will find a 'tool kit' that contains descriptions of these tools or methods.


Activity 1: Preparing for Learning

The main **purpose** of this activity is three-fold:



- Build rapport with the site stakeholders
- Know the context in which the learning is going to take place
- Identify the issues that the stakeholders wanted to tackle together

In practice this means that there are three different steps, each corresponding to one of these three aspects.

Step	How to do it	What tool/method to use
<p>1. Building rapport</p> <p>As an ACM facilitator it is important that you develop good relationships with the local stakeholders as early as possible after entry in the site. This is particularly essential if you come from some place other than the site. Good relationships are fundamental for effective implementation of your programme intervention and indispensable for your job as facilitator.</p> <p>You need to be aware, however, that building rapport should be part of the entire intervention and is not only important in this early stage.</p>	<p>An effective way to build rapport is to become part of the daily engagements of the local stakeholders, whether they are community level stakeholders or officials and staff of government or forestry companies. To build relationships with the latter you need to interact not only on a formal basis during official appointments, but also in informal ways. You can, for example, invite them for a drink, a chat, or a game of badminton.</p> 	<p>For this stage of your programme, you basically do not need any tools. The facilitator in you personally is all you need. It is therefore necessary to be constantly aware of your role in relation to the site's stakeholders. Reflect constantly on this role! Focus your facilitation efforts on the development of positive relationships with the site's stakeholders. To achieve this you need to show respect, empathy and trust towards the stakeholders with whom you interact.</p>

Step	How to do it	What tool/method to use
2. Understanding the context 2A. The history of forest management <p>Present conditions of the forest and of the well-being of people benefiting from it, are partly influenced by the way the forest was used and managed in the past. It is therefore important that you develop a basic knowledge of the history of forest management.</p> 	<p>You can develop an idea of the history of forest management by collecting information on three aspects:</p> <ul style="list-style-type: none"> • Past changes and trends in the availability of forest resources. • The kind of conditions that stimulated these changes (e.g., <i>ecological</i> like pig pests; <i>economic</i> like the introduction of commercial plant species; <i>technological</i> like the use of synthetic rubber influencing prices of natural rubber; <i>socio-political</i> like wars among nations that demanded young farmers to join the army). • The way local communities, government, and other stakeholders responded to these changes. 	<p>Your informal encounters with the stakeholders are a good opportunity to collect information on the history of forest management. It is also helpful to collect information in a more systematic way.</p> <p>Before making your choice what method or tool to use, you first need to take account of the following points:</p> <ul style="list-style-type: none"> • Make sure that all social groups are represented in the data collection, including the women. Even if you haven't identified in more detail who the stakeholders are, from your early interactions you should have built some knowledge of who they are. It is important to realise that different stakeholders may have different historical experiences. • In particular the elderly among the stakeholders are a rich source for your historical fact finding. Besides, government or company officials who have been in the area for some time may be valuable sources of information for your investigation.

Step	How to do it	What tool/method to use
<p>2B. The key stakeholders, their interests and relationships</p> <p>The level of engagement of key stakeholders will affect the way the forest is used and managed. It is thus important to know who they are, what their interests are and how they relate to each other. Besides, knowing the key stakeholders is necessary to assure an equal distribution of programme benefits since you will then be able to take into account the needs of the less advantaged stakeholders.</p>	<p>To identify the key stakeholders of the site you can use the following key questions to guide you:</p> <ul style="list-style-type: none"> • Who is or is likely to be affected by forest management activities, either positively or negatively? • Who will, if participating, make forest management more effective (or: who will, if not participating, make it less effective)? • Who may oppose any forest management initiative? What can be done to encourage this (these) stakeholder(s) to cooperate? <p>Remember that stakeholders can either be individuals, groups of people, or organisations (like women's groups). Next, they can be either formal or informal, such as the forest agency or farmer groups, respectively.</p>	<p>There are various methods/tools for collecting data; most helpful are participatory rural appraisal (PRA) tools. You may want to use:</p> <ul style="list-style-type: none"> • <i>Semi-structured interview</i> • <i>Focus group discussion</i> • <i>Historical time line combined with participatory pebble distribution method</i> • <i>Historical transect of the landscape</i> • <i>Participatory resource and social mapping</i> <p>Among the various tools or methods to identify and investigate stakeholders, the following are helpful:</p> <ul style="list-style-type: none"> • <i>Who counts matrix</i> • <i>Venn diagram</i> • <i>Participatory card sorting</i> • <i>4Rs framework</i> • <i>Matrix of stakeholder disagreements</i> • <i>Direct observation</i> • <i>Participant observation</i>

Step	How to do it	What tool/method to use
<p>Stakeholder analyses are often used as the basis for designing programmes and are generally thought necessary for effective implementation. However, stakeholder analyses can also be used to assist stakeholders to understand the importance of other stakeholders in the same forest system. When doing your field investigations about the stakeholders, you may become aware that these investigations can help stakeholders to realise themselves the presence of other stakeholders and how this impinges on their lives.</p> 	<p>The next step is to develop knowledge about the varying stakeholder interests, as well as about the way they relate among each other. Important questions which you can use in collecting information are:</p> <ul style="list-style-type: none"> • How do stakeholders use and manage resources in the forest? • What goods and services do they get from these resources? • What are their rights over these resources, <i>de jure</i> (officially) and <i>de facto</i> (in reality or factually)? • What are the views of stakeholders about how others use and manage forest resources? • Do different stakeholders use and manage the same resources? If so, how do they relate to each other when doing this? <p>You can use different ways to collect information (either to identify stakeholders or their interests or relations), such as:</p> <ul style="list-style-type: none"> • Collect information from the stakeholders themselves • Collect information from knowledgeable individuals and groups about the stakeholders • Collect data from written records • Observe stakeholders and their interactions <p>Below is a list of the most commonly used ways you can choose from to identify and investigate stakeholders.</p>	

Step	How to do it	What tool/method to use
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Most commonly used approaches to identify stakeholders

- Identification by the stakeholders themselves:* Project staff spread information by means of the local media or during field visits and invite stakeholders to come to a meeting.
Risks: Those who have less access to media may miss the information. The less-educated and less well-off may not feel like coming forward. This may also happen with those who have a hostile attitude because of bad experiences with forest-related activities.
- Identification by other stakeholders:* Stakeholders identified at an early stage can become sources of information about other stakeholders. Usually, this approach is also helpful in getting an understanding about those who are seen as representatives by the stakeholders, or others who are important for consideration, as they are likely to be affected by the project.
Risks: Stakeholders may, when consulted about other stakeholders, prefer some and exclude others.
- Identification by knowledgeable individuals or groups:* Some knowledgeable individuals or groups can be a good source for identifying stakeholders. These individuals or groups may be village elders, women, forestry agency staff, or neighbouring communities.
Risks: Less 'visible' stakeholders may be under-represented.
- Identification by field-based staff of the project:* Staff who have worked and lived in the area for some time may possess valuable knowledge to assist in identifying stakeholders.
Risks: Staff may select the same individuals or groups with whom they have worked before. Women may be under-represented.
- Identification based on demography:* Social groups are systematically identified based on a set of demographic characteristics such as age, occupation and gender. Subsequently, groups that show similar interests are grouped with a larger group.
Risks: When using many characteristics, the number of stakeholders identified may become too large and, consequently, the implementation stage of the project becomes difficult to manage.

Step

How to do it

What tool/method to use

2C. The policy and institutional context

Laws, regulations, and rules influence the way stakeholders use and manage forests and relate to each other in forest management. This, in turn, affects people's well-being and forest conditions. As ACM facilitator, therefore, you should develop sufficient understanding about them.



You can develop a basic knowledge about the policy and institutional framework related to forest management by gathering information on the following aspects:



- The legal status of the forestland and forest resources in the site (e.g., state forest given in concession to a company, state forestland granted for community management, timber harvesting rights provided to local forest user groups, or private farmer forestland).
- Policies that pertain to forestland and forest resources in the site (both national and local level policies). These include also non-forestry policies that affect forest management (e.g., resettlement policy, agrarian policies).
- The ways policies influence the use and forest management of the forest by stakeholders.
- What government institutions are involved in the planning, implementation and monitoring of these policies.
- The ways communities and other stakeholders are engaged in the planning, implementation, and monitoring of these policies, if any.

To gather information related to policies, diverse tools are available. However, since each has strengths and weaknesses, it can help if you combine different tools for the data collection.

Some useful tools are:

- *Review of written documents*
- *Semi-structured interview*
- *Unstructured interview*
- *Focus group discussion*



Step	How to do it	What tool/method to use
<p>2D. The biophysical context</p> 	<p>You can use the list of questions below to guide you in collecting important environmental information:</p> <ul style="list-style-type: none"> • What is the present condition of forest resources (rattan, fruit, timber, etc.)? How does it compare to the past? • In what ways do people use these resources? What are the likely impacts? • What is the present condition in terms of forest biodiversity? • Are there any indications of forest degradation (such as soil erosion)? • How is the occurrence and extent of natural disasters (like floods and fires) in the area? What trends are there? 	<p>Tools that can be used for assessing the biophysical context are:</p> <ul style="list-style-type: none"> • <i>Focus group discussion</i> • <i>Pebble distribution method</i> • <i>Rapid biodiversity assessment</i> • <i>Criteria and indicators</i> 
<p>2E. The socio-cultural and economic setting</p> <p>Knowing the social setting is essential as it gives you an idea about the social, cultural and economic factors that affect forest use and management.</p>	<p>To understand the socio-cultural and economic context you should collect information about:</p> <ul style="list-style-type: none"> • What is the size of the population in the site? Do the site stakeholders see the need to balance this with the availability of natural resources? • What are the literacy rates and education levels of the site stakeholders, by age, gender, and ethnic or social groups? 	<p>Tools that you can use to collect information about the social context in the site are, among others:</p> <ul style="list-style-type: none"> • <i>Review of written records</i> • <i>Interview</i> • <i>Focus group discussion</i> • <i>Direct observation</i> • <i>Participant observation</i>

Step



How to do it

What tool/method to use





- What are the main livelihood sources in the site? What is the average income per household? What is the (gender) division of labour in a household?
- What does the forest mean to the different site stakeholders in a socio-cultural, economic, and ecological sense?
- In what way do the site stakeholders meet food needs? Is this linked to the way the forest is used and managed? Is a portion of the income derived from the forest used to invest in the forest? For production or conservation activities, or both?
- Who or which institutions in the site hold leadership and have control over the use of forestland and forest resources, as well as the distribution of their benefits?
- Are they respected by the stakeholders for playing this role? How do women see this?
- Do they represent the varying stakeholder interests in decision-making about resources? If so, in what way? Do the stakeholders feel that this is done in a fair way? How do women feel about this?
- Is there a conflict management mechanism that is accepted and considered effective by all site stakeholders?



Step	How to do it	What tool/method to use
	<ul style="list-style-type: none"> Do the site stakeholders interact and communicate with outside stakeholders? If so, through what mechanisms and do these represent the varying interests of the site stakeholders? How do people manage conflicts among stakeholders inside and outside the site when they arise? 	
<p>2F. Stakeholder collaboration and abilities to learn and adapt</p> <p>As ACM aims at fostering collaboration and learning among stakeholders, it is important that you have an idea about the level of collaboration among them and about abilities they may possess to learn and adapt to changes.</p> 	<p>To assess this context, important aspects about which you need to gather information are:</p> <ul style="list-style-type: none"> Are there any organisations or mechanisms (e.g., informal discussions, hamlet/community meetings, or stakeholder forums) where site stakeholders come together to exchange information and knowledge, make plans, and take decisions related to forest management? Does every stakeholder actively participate in such organisations or mechanisms? Do they voluntarily take part in activities? Do all have a fair chance to communicate their views and is communication considered important in the processes that take place in these organisations or mechanisms? Does information flow freely among stakeholders? 	<p>You can use the same tools as in step 2B and 2E.</p> 


Step	How to do it	What tool/method to use
<div data-bbox="173 256 521 723" data-label="Image"> </div> <p data-bbox="129 747 544 838">3. Identifying problem issues the stakeholders want to address collectively</p> <p data-bbox="129 864 555 1126">From the investigations you have carried out to this point, you should have developed some notion of the problems related to the forest that persist in the site. You can use this knowledge as a basis for assisting the stakeholders in identifying the problem issues that they want to address collectively.</p>	<ul data-bbox="586 252 1119 723" style="list-style-type: none"> • Do these organisations or mechanisms encourage stakeholders to jointly seek information? What do they do with the information obtained and do they act upon it? Is the information used to monitor decisions made and action taken? • Where such organisations are lacking, what factors are behind this (e.g., socio-cultural factors like different ethnicities or historical factor like past conflicts). • Where such organisations or mechanisms exist but communication among stakeholders is inhibited, information flows are limited or decision-making takes little account of stakeholder views, what factors are behind this? <p data-bbox="586 864 1127 1009">The way to assist stakeholders in identifying problem issues can vary and depends on the social setting where you implement your programme. Generally speaking, which way fits best in your situation will be determined by:</p> <ul data-bbox="586 1012 1115 1157" style="list-style-type: none"> • The diversity of stakeholders: i.e., the more diverse the more efforts are needed to capture all perspectives, which generally means that the more varied your tools should be for doing your job. 	<div data-bbox="1155 256 1696 830" data-label="Image"> </div> <p data-bbox="1155 864 1664 921">Examples of tools that you can use to assist the stakeholders in identifying problem issues are:</p> <ul data-bbox="1155 924 1673 1099" style="list-style-type: none"> • <i>Focus group discussion</i> • Various <i>PRA tools</i> like participatory mapping and transect walks • <i>Seasonal calendar combined with focus group discussion</i> • <i>Spider diagram</i>



Step	How to do it	What tool/method to use
<p>At this stage, it is important to recognise that:</p> <ul style="list-style-type: none"> • It is <i>not</i> you as facilitator who determines the problem issues but the stakeholders themselves. • Problem identification is an <i>iterative process</i> that needs to be repeated throughout the participatory action research (see Activity 2, Step 3 further down). 	<ul style="list-style-type: none"> • The level of education/literacy: i.e., in general terms the less educated/literate the less structured the method that you can use since less educated or literate stakeholders are commonly less familiar with structured ways of learning. <p>Whatever way you choose, you need to take account of the following:</p> <ul style="list-style-type: none"> • Focus your assistance to effectively <i>capture problems from the different perspectives</i>. Organise separate mentoring sessions for the less articulate groups if they want to identify and define problems without interference from other stakeholders. • Assist the stakeholders to approach problems in a <i>holistic way</i>: that is seeing problems in such a way that it includes the social, economic and ecological perspectives. • Organise sessions that use <i>visualisation and diagramming</i> as core elements in the learning process rather than verbal methods. Visual aids and diagrams help to facilitate communication among groups, and in the analysis of complex relationships. People are generally better able to understand pictorial representations of information than written information. Annex 2 gives some examples of visual aids or diagrams. 	

Activity 2: Organising Learning


The **purpose** of this activity is to lay down a structural basis for organising your fieldwork. There are four principles you can use to organise learning so as to encourage the conditions necessary for stakeholders to learn jointly:


- Stakeholders must have *ownership* of the learning
- All relevant stakeholders must be *represented* in the learning activities
- Learning must take place by means of *experience*
- Learning must happen by means of *communication*

Step	How to do it	What tool/method to use
1. Ensuring ownership over learning activities by the stakeholders <p>It is logical that learning activities should be organised in such a way that they are meaningful for all stakeholders. However, the challenge for you as ACM facilitator lies in finding a balance so that the activities meet the learning needs of individual stakeholders as well as the stakeholders as a group.</p>	<p>You should organise activities that ensure that the concerns of each stakeholder are accommodated. At the same time the activities should address problems that are shared by the stakeholders as a group.</p> <p>To do this you need to take into account two essential aspects of learning:</p> <ul style="list-style-type: none"> • How to <i>prioritise</i> problem issues as a group for collective handling • How to <i>reframe perspectives</i>, i.e., putting problems from different perspectives into one frame 	<p>Among the many tools the following tools are given as example:</p> <ul style="list-style-type: none"> • <i>Brainstorming combined with preference ranking</i> • <i>Delphi technique</i> 

Step	How to do it	What tool/method to use
<p>2. Seeking representation of relevant stakeholders in programme activities</p> <p>All relevant stakeholders should be involved in the learning. However, because there are many you will only be able to work with their representatives. At the same time, the learning activities that you organise should reach all stakeholders and not only their representatives or leaders. You should therefore seek effective representation mechanisms for the learning.</p> 	<p>There are basically three steps that you need to assist:</p> <ul style="list-style-type: none"> • <i>Election of representatives</i> in a fair and transparent way. • <i>Setting up learning groups or learning organisations</i> where the representatives elected will ‘take a seat’ and be involved in the processes of learning. • <i>Initiation or improvement of communication mechanisms between representatives and the stakeholders they represent</i> (or constituents). These mechanisms are used to involve all stakeholders in the learning that takes place in the groups, although they are themselves not engaged in the learning groups. You can think, for example, of such activities as reporting back or consultation of representatives with their constituents. <p>When existing organisations are used for the learning groups or communication mechanisms, you need to make sure that mechanisms to elect representatives and foster accountability are in place and effective.</p>	<ul style="list-style-type: none"> • You can use tools that are mentioned earlier such as <i>focus group discussion</i> or <i>semi-structured interviews</i>. Whatever tools you chose, key is that as ACM facilitator you assist the stakeholders in <i>joint decision-making</i> throughout the whole process (see Annex 2). 

Step	How to do it	What tool/method to use
<p>3. Building experience within stakeholders by using participatory action research</p> <p>Real-life experience is the best teacher to build knowledge. Learning that builds on experience is called <i>experiential learning</i>. Participatory action research (PAR) provides guidance for organising this kind of learning. PAR does this by encouraging the stakeholders to make observations continuously, draw plans, take actions, and make reflections.</p> <p>You can use PAR to address each of the issues that have been identified before (Activity 1, Step 3).</p> <p>The boundary mapping and village governance issues were given on pages 71-78 as examples of an experiential learning cycle from our fieldwork. On the following page of this annex we give yet another example from the field.</p>	<p>Explain to the stakeholders why PAR is used to address the problem issues that they have identified. It is particularly important to make clear what their <i>role</i> is in it. This is easier said than done. For the stakeholders may not be familiar with participatory research, where they are the ones who determine what to investigate and in what way. If lacking in experience and self-confidence, stakeholders may object to taking up this new role. Show respect for their feelings, even if you don't agree with them. Explain that PAR is a process and that there will be chances for them to take on this new responsibility gradually.</p> <p>Describe in clear and understandable terms what the PAR process is—one that comprises observation, planning, action, and reflection. Stress that it is key that these steps are carried out <i>iteratively</i>. As facilitator you are the one who should motivate the stakeholders to do this.</p> <p>The <i>process</i> of each of the four steps is given in general terms below.</p>	<p>As ACM facilitator you have the freedom to develop your own tools or use existing ones for assisting the stakeholders throughout PAR. You need to develop your own 'tool kit' (like the one we provide as an example in Annex 2) so that with time you will be equipped with a collection of tools from which you can choose. Remember that for each local context you will need to assess whether or not a given tool is appropriate for use.</p> <p>Whatever tools you choose, it is important to be aware of the purpose of each PAR process and what tool(s) would best serve that purpose. Have clearly in mind what you want to achieve when choosing a tool. The choice will of course also be determined by the problem issue being addressed. For example, it will not make much sense using a Transect walk in the observation process if the problem issue is the lack of forest product markets. A more appropriate tool would be a visit to market centres in the area.</p> <p>Below are examples of tools that can be used in the respective PAR steps. It is best to combine several tools so that weaknesses of one tool are compensated by other tools.</p>

Step	How to do it	What tool/method to use
	<p>Observation: Stakeholders assess the problem issue being addressed, exchange ideas about its likely causes, and think through possible strategies to address it. It is also important to learn from past experience.</p> <p>Planning: In the early stage of PAR, the stakeholders develop a common agreed vision—an ideal state in a given point in the future (e.g., 3, 15 or 25 years from PAR start) after successful handling of the problem. They decide on a strategy to realise that vision and agree on a plan to implement and monitor the strategy. The stakeholders also agree on their respective roles and responsibilities, as well as on how to get and allocate the necessary resources.</p>	<p>It is also important to remember that throughout the PAR cycle you use tools to improve communication, including listening skills. Some tools are suggested in Step 4.</p> <p>Observation. Your role as facilitator at this stage is to assist the stakeholders in two main processes:</p> <ol style="list-style-type: none"> Making joint interpretations of observations Coming to joint definitions of issues based on the interpretations. <ul style="list-style-type: none"> Particularly helpful for the observation stage are <i>visual aids/diagrams</i>. Visual tools like maps, drawings, photographs and diagrams are powerful in assisting the stakeholders in interpreting what they see, hear, or feel during the observations. They also help in articulating and defining emerging issues. <p>Planning. Prior to the actual planning you need to assist the stakeholders in developing a shared vision in relation to the problem issue addressed. We want to mention four powerful tools for doing this.</p> <ul style="list-style-type: none"> <i>Brainstorming</i> <i>Vision scenario</i> <i>Pathway scenario</i> <i>Joint planning tool</i>

Step	How to do it	What tool/method to use
	<p>If PAR is already at an advanced stage, during planning the stakeholders determine what action to take next based on the lessons that have been learned in the preceding reflection.</p>	
	<p>Action: The agreed plan is carried out.</p> <p>Reflection: Stakeholders think through the results of the action, learn from these and the processes behind these. The lessons learned will be used to see whether the present strategy needs to be adapted. In other words, the reflection stage is used as a basis to monitor the current strategy.</p>	<p>Action. The problem issue being tackled, as well as the stage of the action research will determine the tools for the action step. An action tool can be a cross visit, for example, to learn in a neighbouring district about the implementation of innovative decentralisation policies. Another example is the joint mapping of village boundaries.</p> <p>Reflection. Tools at this stage should help the stakeholders in reflecting on <i>how</i> they observe, interpret, or perhaps ignore information. They should also help stakeholders recognise the way this is influenced by their personality and personal background.</p> <p>Helpful tools are:</p> <ul style="list-style-type: none"> • <i>Fact, opinion, rumour</i> • Boxes 26 provided some tips you can use to encourage the reflection processes: ‘<i>climbing up the ladder of inference</i>’ to scrutinise assumptions.

Step	How to do it	What tool/method to use
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Example of an experiential learning cycle: Improving forest-based livelihoods

Observation. Facilitated by our team, the communities in Pasir observed that a possible way of achieving this was to utilise the area surrounding the villages that used to be cultivated with crops through shifting agriculture. When the communities started this learning cycle, the area was almost entirely covered with *Imperata* grass and sparsely dispersed perennials like fruit trees. The long grass made it hard for people to cultivate the land. Even if replanting was possible, the soil was too poor to replant it profitably. Since population growth has reduced the land area available to the communities to practice shifting cultivation, the communities thought that making the land more productive was an urgent priority.

We suggested that the communities bring their idea to the district government to seek support. Our team promised to assist them in doing so. They were confident about approaching government officials even though they rarely interacted.

Plan 1. Shortly after, in a workshop facilitated by our team, the communities discussed the issue with the District Forestry Service (DFS) and other government agencies. The government's reaction was positive and all stakeholders agreed that they should tackle this issue together. Moreover, the DFS was surprised that communities could be that proactive and, without being asked, propose activities that fitted so well in the district forestry programme. The DFS suggested that the communities start the process by making plans at the community level for how to proceed. The government would then join at a later stage when necessary. The community and our team accepted the government's proposal and we discussed further details about the division of responsibilities.

Back home, the communities made a plan that included a design for the area to be replanted—what kinds of trees would be planted, how they would be planted, and how much planting material was needed. They then determined that they lacked skills and knowledge about the most suitable types of trees for rehabilitation activities and how to nurture them till harvest. Thus, they required training and also money to buy planting materials. The communities, though, could provide the labour, land and time. The plan encompassed the search for training opportunities and funds to buy seed and other necessities.

Action 1. The communities then began searching for a proper trainer, which was a new experience to them. Facilitated by our team, they contacted several district agencies, i.e., the District Agricultural Service (DAS), the District Plantation Service (DPS), and the DFS. They were willing to provide trainers on the condition that the community prepare the land needed for the training. This was not a problem for the communities. The communities also approached CIFOR for help with seeds and other planting materials.

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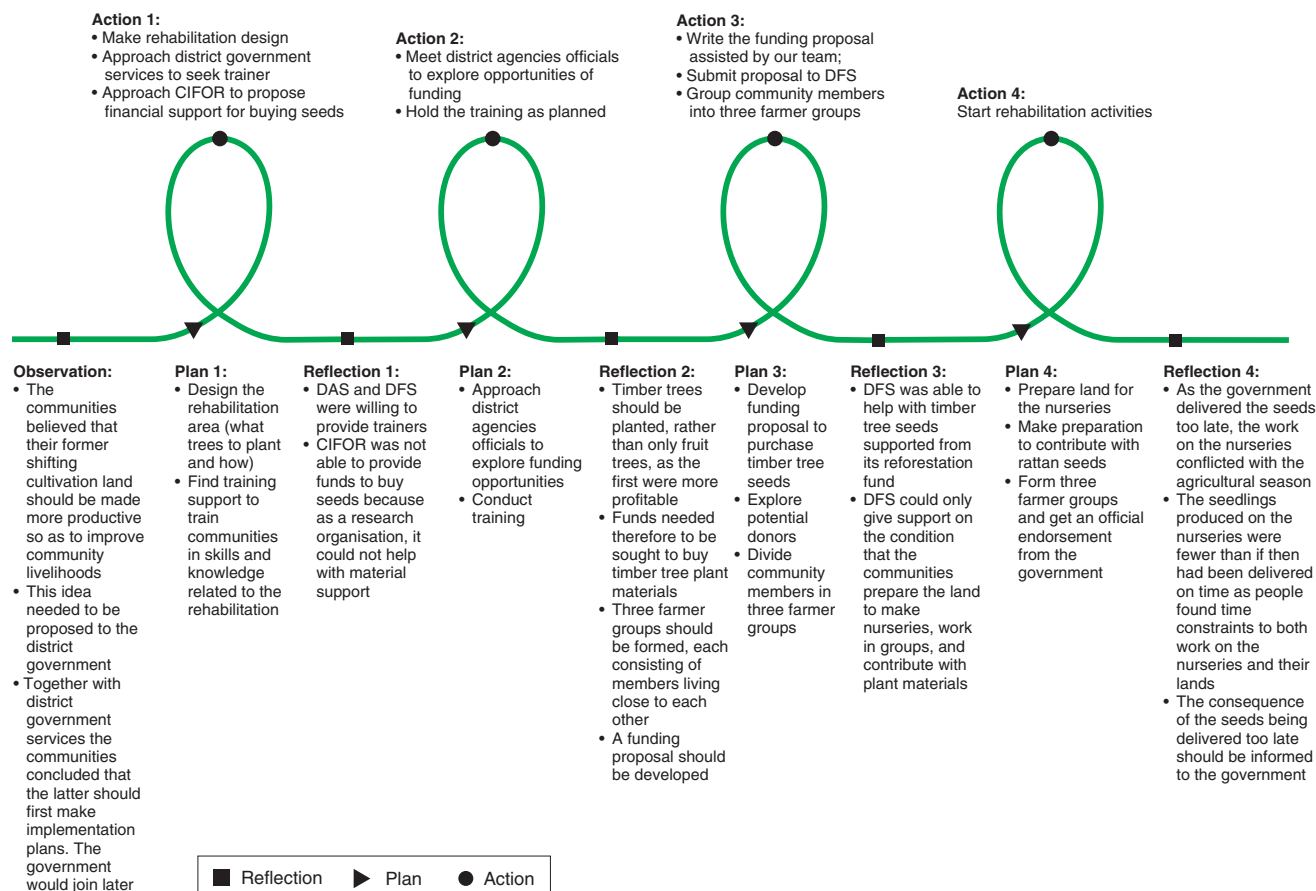
Step	How to do it	What tool/method to use
<p>Reflection 1. On reflection, the communities thought that things had gone well thus far. However, CIFOR informed them that as a research institution it could not provide support in the form of funds or project materials.</p> <p>Plan 2. A plan was then made to explore other sources of funding for the seeds. An exchange of ideas brought the communities to the idea of approaching the government, i.e., the DFS and DPS.</p> <p>Action 2. When the communities approached DPS, the agency agreed to provide the seeds and conduct training. A two-day training was subsequently held for members of the two villages.</p> <p>The DPS trainer was interested to see how motivated the participants were. During the initial training activity, however, people got bored. Our team suggested rearranging the chairs so that the participants would not sit in rows but in a circle so that the trainer could interact better with participants. The participants were encouraged to exchange their experiences in planting rattan. They learned how to make graftings, tend seedlings, and use fertiliser.</p> <p>It is worth noting here that how participants sit in a training room affects their participation. In this case, rearranging the seating in a circular manner provided better interaction between the DPS trainer and the participants. For our team this is a common way of doing things, but it was not the case for the DPS trainer. So this was a new learning experience for him as well in how to conduct a training in a different way.</p> <p>Reflection 2. The training was so successful that the communities wanted to start planting immediately after the training. They also were interested in planting timber species rather than only fruit trees. They thought they could generate more income from timber sales.</p> <p>The seeds that the DPS promised, however, were only fruit tree seeds. Thus they decided to develop a proposal to find funds to buy timber tree seeds. The training encouraged the communities to form three working groups, each consisting of villagers who lived close to each other. Each group would be responsible for one-third of the planting area.</p> <p>Plan 3. The above reflection was therefore followed by the plan to develop a proposal and form three working groups.</p>		
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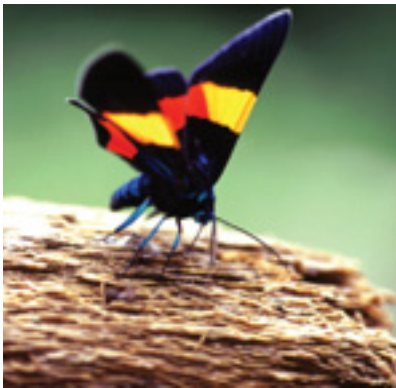

Step	How to do it	What tool/method to use
<p>Action 3. The ensuing action included the development of a proposal to fund the purchase of timber tree seeds and a search for potential donors. Together with our team, community representatives visited the DFS. We heard there that there was a chance of some funding through the DFS's reforestation budget. However, the funds would only be available by mid-2002. No other donors were found.</p> <p>The community members of the two villages grouped themselves into three working groups. During the action, the communities conveyed that they were willing to provide their own rattan seeds to supplement the other seeds. Further, during the action they were informed by CIFOR that it would support the transportation of the seeds from the district offices to the location.</p> <p>Reflection 3. The communities were happy that the DFS was able to fund their planned efforts. Nevertheless, they learned that their initial plan had to be adjusted. Since the money was from the government's reforestation fund, the communities had to meet certain requirements set by the DFS. The communities were required to prepare the land for starting a nursery and to form farmer groups, which then needed to be formally endorsed. Another requirement was that the communities had to contribute their own planting material. Since the communities had already planned to do this, the only difference really was that the DFS had to approve the plan formally. The DFS would provide the timber tree seedlings and other perennials, and materials like fertiliser.</p> <p>Plan 4. The communities prepared the land for their nurseries and created farmer groups, which were then formally recognised by the district government.</p> <p>Action 4. Finally, planting could be started. In the meantime, however, the agricultural season had begun and people found it hard to find the time to work on their agricultural fields and start the nurseries.</p> <p>Reflection 4. Although somewhat disappointed, the communities understood why the seeds arrived too late. Due to the time constraints, not as many seedlings were produced as they had planned. They wanted, however, to inform the DFS that because the seeds came too late, expectations were not fully met.</p> <p>The whole process of this learning activity is shown in the below figure.</p>		

Step

How to do it

What tool/method to use





Step	How to do it	What tool/method to use
<p>4. Organising activities with communication as a means of learning</p> <p>It is important that the activities you organise for the stakeholders emphasise communication as a means of learning and knowledge development. Such activities allow for developing a common meaning of the problems that are being faced and for learning new ways of sharing views. The communication process can then be a source of new insights and surprising discoveries.</p> 	<p>From your previous assessments, you have an idea what may hinder communication among stakeholders (e.g., negative stereotyping, selective agendas, or little self-confidence because of limited experience in communication with other stakeholders). Make a list of who needs what kind of assistance to improve communication abilities. Use this as a basis for organising communicative activities.</p> <p>To do this, create conditions of learning where there is no chance for ‘noise’ or distortions in messages to develop. In other words: <i>‘clear up communication channels’</i> so that messages can be sent and received undisturbed. Some tips were given in Chapter 5.1:</p> <ul style="list-style-type: none"> • Create conditions for mutual trust and respect • Prepare or assist the less articulate stakeholders in communicating their views • Assist stakeholders in improved listening 	<p>Tools which foster communication are for example:</p> <ul style="list-style-type: none"> • <i>Visual aids</i> • <i>Empathetic listening</i> • <i>Buying time for speaking and selling time for listening</i> 



Activity 3: Facilitating Learning

The main **purpose** of this activity is to *actually* encourage stakeholders to learn. Five simple questions can be used as a guide to facilitate learning:



- *who* needs to be facilitated?
- *what* learning needs do they have?
- *how* should they be facilitated?
- *when* should they be facilitated?
- *why* is learning likely to take place (or what is likely to motivate them to learn)?

Step	How to do it	What tool/method to use
1. Who needs to be facilitated Knowing <i>who</i> is to be facilitated is at the very heart of the facilitation. The way we deal with this question affects the extent to which learning among stakeholders will take place.	From Activity 1, Step 2B you should have built an initial knowledge about who the main stakeholders are in your site. Throughout your programme intervention this baseline knowledge needs to be reassessed from time to time. As facilitator you should thus continuously update your initial knowledge and see if the <i>variety</i> of stakeholders or the <i>composition</i> of stakeholder groups changes over time. Stakeholder interests may change or people may ally with other stakeholder groups or form new groups.	You can use the same tools as those in Step 2B. <ul style="list-style-type: none"> • A helpful tool that you can deploy to keep track of changes in stakeholder variety or composition is <i>process documentation</i> with which you keep periodical records of stakeholder characteristics and stakeholder relations. An example of a process documentation format is given in Annex 2. This tool can be combined with other stakeholder tools that help to organise collected information systematically, such as the 4Rs framework.
2. What learning needs do the stakeholders have Once you have established <i>who</i> should be engaged in the learning processes, you need to assess <i>what</i> kind of	During your context study about stakeholder abilities to collaborate and to learn to adapt (i.e., Activity 1, Step 2F) you already assessed what	<ul style="list-style-type: none"> • To identify the learning needs of stakeholders you can use the same tools as those used

Step	How to do it	What tool/method to use
<p>learning these stakeholders need. The identified learning needs will be used as a basis for the design of learning activities.</p> 	<p>factors contributed to a lack of ‘adaptiveness’ and collaboration among stakeholders. Categorise these factors according to one of the four following types of learning needs:</p> <ul style="list-style-type: none"> i. Knowledge development by a given stakeholder group ii. Communication and relationship building with other stakeholders iii. Knowledge sharing among different stakeholders iv. Development of strategic or political capacity of given stakeholders <p>For example, in our fieldwork two key factors underlying the lack of ‘adaptiveness’ and collaboration—uneven distribution of information and weak communication among stakeholders—fall in the second and third categories, respectively.</p> <p>Having done this you will have an idea of what learning needs need to be addressed and you can begin designing learning activities.</p> <p>Similarly to the who of facilitation, you need to reassess from time to time the stakeholders’ learning needs since these may change over time.</p>	<p>in Activity 1, Step 2B and 2E. Subsequently, you can organise these in a matrix in which the 4 types of learning needs are systematically displayed.</p> 

Step	How to do it	What tool/method to use
<p>3. How to facilitate the stakeholders</p> <p>The way you facilitate learning will decide if the stakeholders you facilitate will adopt new behaviours and ways of thinking, and become open to communicate and collaborate with others.</p> 	<p>There are two major ways you can deploy to stimulate stakeholders to learn together:</p> <ul style="list-style-type: none"> i) encouraging them to adopt a curious attitude —also called <i>investigative learning</i> ii) asking them to consistently reflect on assumptions and on the consequences of decisions and actions—also known as <i>reflective learning</i> <p>In aiming at effective learning, you should facilitate learning processes so that these two kinds of learning follow each other repeatedly.</p> 	<p>In encouraging the stakeholders to jointly learn—in an investigative and reflective way—you can make use of three types of tools:</p> <ul style="list-style-type: none"> • Tools that help in developing <i>stakeholders' own experience</i>. Examples are participatory mapping or visits to product market centres. • Tools that assist stakeholders in learning from the <i>experience of others</i>. Examples are cross visits or focused group discussions where, for example, people discuss the implementation of decentralisation policies in a neighbouring district and learn the experiences there. • Tools that can be used by the stakeholders to make '<i>models</i>'. These are abstract, usually simpler representations or pictures of real situations. Examples are role plays or computer simulations. <p>The question of <i>how</i> to facilitate is closely linked to the question of <i>who</i> is being facilitated, which in practice means that the tools you choose need to take into account the varying preferences of the different stakeholders.</p>


Step	How to do it	What tool/method to use
<p>4. When to facilitate the stakeholders</p> <p>This question means in practice that you should develop sensitivity for choosing the right moment to facilitate <i>different</i> stakeholders.</p>	<p>The question of when to do particular things in your facilitation is intimately linked to the previous three questions and you should ask yourself <i>when</i> is the best time to facilitate <i>whom</i>, about <i>what</i>, and <i>how</i> will you do it?</p>	<ul style="list-style-type: none"> For the <i>when</i> question you should use tools that assist you to build sensitivity in determining the right moments to encourage learning among the stakeholders. A useful tool in our experience is <i>process documentation</i>, which can capture changes over time in relation to the who, what and how of learning.
<p>5. Why learning is likely to take place (or what motivates stakeholders to learn)</p> <p>As ACM facilitator you should be aware of what motivates stakeholders to learn to adapt and collaborate. This is crucial for you to know what facilitating role is expected from you.</p>	<p>Throughout your programme intervention you should assess what motivates stakeholders to learn. There are in general three types of motivating factors:</p> <ol style="list-style-type: none"> External motivation (e.g., a desire to bring about change in the excessive logging carried out by others) Internal motivation (i.e., eagerness to know what may happen in the future) Interactive processes among stakeholders occurring during the learning 	<p>The tools that you need will depend on what kind of situations you need to facilitate:</p> <ul style="list-style-type: none"> Situations in which stakeholders are externally motivated: you will need tools that assist you in motivating the stakeholders to bring about actual changes. Examples are <i>pathway scenarios</i> or <i>co-learn</i>.

Step	How to do it	What tool/method to use
	<p>Examples of these motivating factors are also given in Box 28 on page 89.</p> <p>You will have to facilitate each of the three situations differently. Thus, the role that is expected from you differs for each situation.</p>	<ul style="list-style-type: none"> • Situations in which stakeholders are internally motivated: you can use tools that help you develop the ability of stakeholders to reflect and anticipate the future, such as <i>vision scenarios</i>. • Situations where stakeholders interact: you will need tools that encourage communication among stakeholders. Examples are: RAAKS tools. 

ANNEX 2

ACM TOOL KIT: AN EXAMPLE

This annex presents a collection of tools and methods as an example of a ‘tool kit’ that you can use to apply ACM. It describes the tools and methods, explains how to use them, presents some examples, and cites sources for further reading about the tools. You should regard this tool kit as a resource for getting ideas of possible sets of tools for applying ACM. It demonstrates that a tool kit can be a rich collection of many, diverse tools. Ideally, you should develop your own tool kit to suit your particular facilitation needs and context.

Tool/method	Description	How to use it/example	Further reading
Brainstorming combined with preference ranking	Brainstorming is the free, unconstrained listing of views or ideas without any evaluation or censoring. 	When facilitating a brainstorming session you need to encourage stakeholders to come with new, creative ideas, even the most 'absurd' or 'silly' ones. After listing them, each individual idea is compared with other ideas and ranked from most preferable to least preferable. For the preference ranking you may choose to use the <i>delphi technique</i> .	Source 1: <i>The Art of Building Facilitation Capacities. A Training Manual.</i> Braakman L. & K. Edwards. 2002. RECOFTC. Bangkok, Thailand. Source 2: <i>A Trainer's Guide for Participatory Learning and Action.</i> Pretty, Jules N., Irene Guijt, Ian Scoones & John Thomson. 1995. IIED Participatory Methodology Series. IIED. London, UK.


Brainstorming*)

Brainstorming is familiar among many practitioners but is used for too limited purposes. In forest management contexts brainstorming purposes can be: seeking *causes* of prevalent resource problems in the forest; looking for potential *improvements* of current conditions of declining resource availability; exploring marketing *options* of non-timber forest products (NTFPs); or making sense of the *reasons* why certain groups oppose collaborative solutions.

One fundamental of the brainstorming tool is that '*anything goes*', that is the free listing of perspectives without any evaluation or censoring. Brainstorming should also be accompanied by techniques that effectively conclude the brainstorming session, such as the effective clustering or prioritising of decision alternatives.


The role of an ACM facilitator is to guide group processes to explore and synthesize decision alternatives in order to arrive at a '*decision that works for everyone*'.



*) Adapted from source 1.


Tool/method	Description	How to use it/example	Further reading
<p>Co-learn</p>	<p>Co-learn is a computer software package that helps users navigate a range of tools and processes. It supports the joint management of natural resources by getting people to enjoy learning processes in groups. You can use this tool as a 'navigation aid' to assist stakeholders in planning and other learning exercises.</p>		<p>Source 3: www.cifor.cgiar.org/ACM</p>
<p>Criteria & indicators</p>			<p>Source 4: <i>The Criteria & Indicators Toolbox Series</i>. 1999. CIFOR. Bogor, Indonesia (also available in Indonesian, French, Spanish, Portuguese and Chinese; download: http://www.cifor.cgiar.org/acm/pub/toolbox.html).</p> <p>Source 5: <i>Criteria and Indicators of Sustainability in Community Managed Forest Landscapes: An Introductory Guide</i>. Ritchie, B., C. McDougall, M. Haggith & N. Burford de Oliveira. 2000. CIFOR. Bogor, Indonesia (also available in Indonesian, French and Portuguese).</p>

Tool/method	Description	How to use it/example	Further reading
<i>Delphi technique</i>	This tool can be used to sort, group and rank priorities.	Start with a brainstorming session to generate issues and write each of them on a separate card. Include <i>all</i> issues, except for duplicates. Agree with the group how the cards should be clustered and ranked.	See source 2 .
<i>Direct observation</i>	Your observations during encounters with stakeholders or of field situations are an effective tool for developing knowledge about the local situations where you carry out your job as facilitator.		
<i>Empathetic listening</i>	A tool to develop greater skill at truly listening to others.	Adapted from source no. 2: You can use this tool in meetings prior to sessions where people need to listen attentively to others. Ask participants to discuss a topic. Bring a heavy object to the exercise that can be held on the lap. Explain that people can only speak if they are holding the object; otherwise they should listen to the person speaking. Persons who have finished talking pass the object to someone else (either who requests to speak or not).	See source 2 .

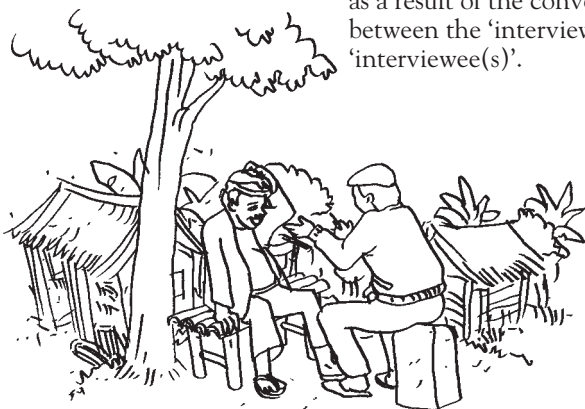


Tool/method	Description	How to use it/example	Further reading
<p><i>Fact, opinion, rumour</i></p> 	<p>You can use this tool to encourage stakeholders to make distinctions between facts, opinions and rumours so as to check on assumptions.</p>	<p>After the exercise, discuss how people feel holding the object or receiving it unasked or on request. The exercise encourages a listening attitude and encourages quieter people to speak. It makes the more dominant participants aware of the amount of time they use to speak while holding the object.</p> <p>Adapted from source no. 2: Facilitate a session where different stakeholders are represented. Let them present their respective observations of a recent event. Write or visualise these on a flipchart and ask participants to agree whether the observations are facts, opinions or rumours. You may also ask people for their opinions by having them write or draw these on cards. Facilitate the participants to crosscheck if information has been used differently (either as facts, opinion or rumour) and to seek answers why this is so.</p>	<p>See source 2.</p>


Tool/method	Description	How to use it/example	Further reading
<p>Focus group discussion</p> 	<p>You can use this method to guide you in facilitating a group of stakeholders in discussing one or more topics with a clear focus.</p>	<p>Invite a group of stakeholders to come together. The discussion topic depends on the purpose of your activity –e.g., collection of information about the history of forest management or a meeting where stakeholders reflect on the preceding action. Prepare beforehand a checklist that will help you stay focused on the topic. You should hold meetings with no more than 8-10 people to assure that everyone has a chance to speak. For mixed groups, make sure that relevant stakeholders are represented.</p> <p>You can also hold focus group discussions combined with other tools, for example, <i>participatory mapping</i> in which you assist the stakeholders in mapping activities followed by a group discussion.</p> <p>It is more effective if two persons facilitate the process: one leads the discussion while another keeps records of processes and outcomes.</p>	


Tool/method	Description	How to use it/example	Further reading
<p><i>Historical time line combined with pebble distribution method</i></p> 	<p>This tool helps in the identification of important events in the project area or the causes of resource changes.</p>	<p>Invite as many older people or long-term residents of the area as possible. Start by asking them to recall important incidents, such as ‘the war’, ‘the independence declaration’, or disasters. Continue to recall other, less obvious events. Don’t forget to include national and international level events that may have impinged on the lives of people.</p> <p>To collect information about resource changes, the <i>pebble distribution method</i> is useful for community settings. To do this, draw a table on a large sheet or on the ground. Write the names of important forest resources across the top of the table (the horizontal axis) and use the vertical axis to denote time by dividing it into periods of 10 years, for example. Ask participants to distribute 100 pebbles over the table. Numbers of pebbles represent the abundance of the resources.</p>	<p>Handbooks/manuals about how to use PRA tools. There are many of these, including those in national and local languages.</p>

Tool/method	Description	How to use it/example	Further reading
Historical transect of the landscape	This method can be used to determine the past and future trends of resource management and use.	Adapted from source no. 6: Ask people from the community or from your project area to sketch a transect of their area in the present situation. Then request the older people to draw a transect of that area as it was 20, 30 or 40 years ago. Assist the whole group to identify the differences between the two transects and what factors may have caused the changes over time.	Source 6: <i>The Grab Bag: Supplementary Methods for Assessing Human Well-Being</i> . Colfer, C.J. Pierce et al. 1999. The Criteria & Indicators Toolbox Series. 6. CIFOR. Bogor, Indonesia.
Interview			
Semi-structured interview	In this type of data collection only the topics are predetermined and questions arise during the interview as a result of the conversation between the 'interviewer' and the 'interviewee(s)'.	<p>When using this method you need to pay attention to two particular aspects:</p> <ul style="list-style-type: none"> • The context in which you conduct the interview as it may affect the responses given by the 'interviewees'; you should take account of who carries/carry out the interview, who is/are being interviewed, how it is carried out, where, and when. • Sensitive questioning: this includes non-directive questioning and probing of the responses. 	



Tool/method	Description	How to use it/example	Further reading
Unstructured interview	In this method of data collection only general topics are predetermined and unexpected ones can appear during the 'interview'. Unstructured interviews can well complement participatory observations (see below). It can generate valuable information, particularly when occurring within a stimulating atmosphere. Sensitive issues can be spoken out more freely than in more structured settings.	You can use unstructured interviews with individuals and groups as a tool to learn about their views on many things that have links to their lives.	
Joint decision-making	<p>Facilitating joint decision-making</p> <p>Joint decision-making constitutes a process of learning among two or more people to eventually arrive at a decision that works for everyone. Hence, facilitating joint decision-making can only be effective if facilitators deliberately put learning at the core of decision-making. To effectively enhance learning facilitators should:</p> <ul style="list-style-type: none"> • Have a clear focus on the <i>core values of joint decision-making</i>: shared responsibility for the consequences of decisions; inclusiveness of decisions; mutual appreciation for the individual views expressed; and active participation of all stakeholders. Thus, the facilitator does not provide the decision her/himself but rather guides the interactive processes that unfold along the way to eventually arrive at some decision point. <p><i>Continued to next page</i></p>		See source 1.

Tool/method	Description	How to use it/example	Further reading
	<ul style="list-style-type: none"> • Possess the appropriate <i>attitude</i>. This implies that process facilitators should have a sense of fairness so that the stakeholders consider facilitated processes fair. Facilitators should also be good listeners and show empathy. Having these merits, facilitators will be able to respond to processes appropriately. Having the appropriate attitude depends on personality and is more important than any facilitation or learning tool. Such an attitude can, however, also be developed within facilitators as they build their experience in working with stakeholders. • Shape the right <i>conditions</i> for stakeholders to learn new ways of joint decision-making. There are three important conditions. <p>Firstly, stakeholders need to feel encouraged to propose new, creative ideas, no matter how absurd these may sound. The more creative the group is, the more alternative decisions are proposed, and the more likely that a decision point is arrived at that is more than ‘just more of the same’.</p> <p>Secondly, stakeholders should be encouraged to take time to think: decisions must not be taken hastily. This enhances people’s ability to reflect critically on assumptions and old ways of thinking. In practice, developing an ‘attitude of curiosity’ among the stakeholders by asking the right questions at the right time can do this.</p> <p>Thirdly, the facilitation should aim at building constructive relations between the stakeholders. This focus is at least as important as the aim of arriving at a joint decision.</p>	<p><i>Continued to next page</i></p>	

Tool/method	Description	How to use it/example	Further reading
<p><i>Joint planning tool</i></p> 	<ul style="list-style-type: none"> • Be equipped with effective <i>tools</i> to facilitate group processes. Effective facilitation tools are those that encourage joint learning. Tools can include among others, participatory mapping, focus group discussion, brainstorming, community meetings, scenarios, role-plays, and computer-based simulation modelling. <p>There are many useful tools for the joint development of plans, e.g., community planning or PRA-based planning tools. However, because you work with different stakeholders, whatever tool you use it needs to include the different stakeholders' views. A key role for you is to assist stakeholders to <i>come to joint decisions throughout the whole process</i> (see joint decision-making).</p>	<p>The planning process comprises basically:</p> <ul style="list-style-type: none"> - Review the problem issue at hand; - Review the vision related to the issue; - Think through alternative strategies (you can use, for example, scenarios as a tool); - Draw an implementation plan; - Make a monitoring plan. <p>Note that this process may be less linear than this list of steps suggests. It is important that the stakeholders communicate to come to joint decisions through all steps. Remember also to stress that the plan developed is flexible and that throughout the action research it will be repeatedly reviewed and adjusted as the need arises.</p>	<p>Handbooks/manuals about how to use PRA tools. There are many of these, including those in national and local languages.</p>

Tool/method	Description	How to use it/example	Further reading
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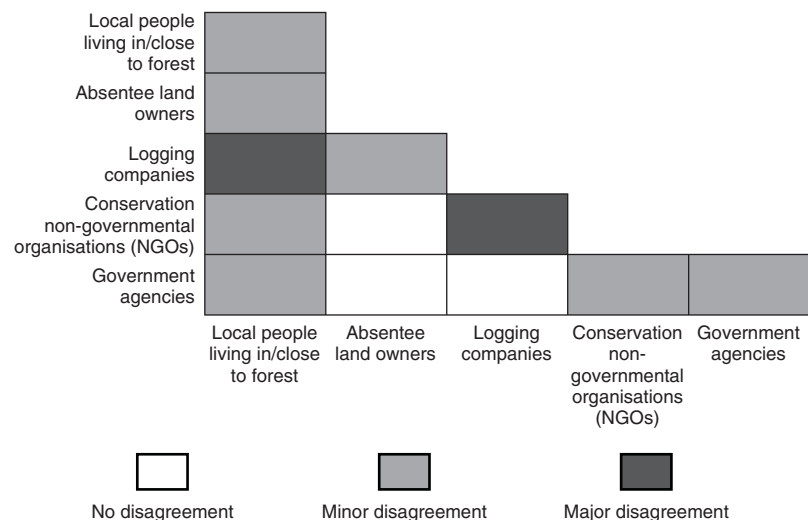
Matrix of stakeholder disagreements

A visualisation of the existence and extent of conflicts among stakeholders.

An example of a matrix that shows stakeholder disagreements is given below.

Source 7: *The Sustainable Forestry Handbook*. Higman S., S. Bass, J. Judd, J. Mayers & R. Nussbaum. 1999. Earthscan. London, UK.

Source 8: *Trees and Trade-offs: A Stakeholder Approach to Natural Resource Management*. Grimble, R., M.K. Chan, J. Aglionby & J. Quan. 1995. IIED. London, UK.



An example of a matrix indicating the presence and extent of disagreements between stakeholders

Tool/method	Description	How to use it/example	Further reading
<i>Participant observation</i>	Observations can explain matters that may not be obtained by using other methods and serve as a complementary tool for collecting information by means of, for example, interviews. By participating in activities, you can minimise the risk that people feel uneasy when being observed, and you can learn important things as you participate in their daily activities.	Engage yourself in activities of the stakeholders whose lives you want to understand. For example, if you want to know more about the extent of women's participation in community decision-making, take part in community meetings, observing while you participate.	

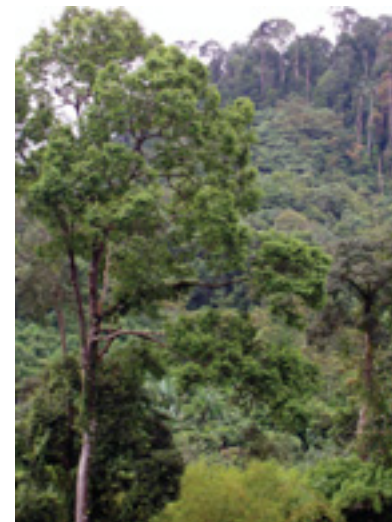


Tool/method	Description	How to use it/example	Further reading
<i>Participatory card sorting</i>	This method assesses stakeholder involvement in forest management and the level of interaction among them.		See source 6 .
<i>Participatory resource and social mapping</i>	You can choose this tool if you need to help stakeholders express their perceptions about the resources in the area. The mapping process and subsequent discussion encourages stakeholders to build a shared understanding about important problems and constraints and opportunities to improve current resource conditions.	Ensure that all stakeholders are represented in the mapping and ascertain that prior to the exercise participants clearly know its purpose, how to carry it out and what it is that they as a group want to include during the mapping (e.g., water sources, forests, settlements and how these are located in relation to each other). Encourage participation of all and observe how things progress. Let participants decide their own way of mapping but ask them to work on things one at a time (e.g., first land resources, then water resources and so on). Encourage discussion during the mapping process and continue a more focused discussion afterwards. For the latter you can use a <i>focus group discussion</i> .	Handbooks/manuals about how to use PRA tools. There are many of these, including those in national and local languages.



A village sketch drawn by Baru Pelepat community members

Tool/method	Description	How to use it/example	Further reading
Participatory transect walk	You can use this tool to obtain information about forest resources, land use, problems and opportunities. It can also be used to observe and talk about local issues. It encourages stakeholders to participate actively in the assessment process.	<ul style="list-style-type: none"> • Discuss with participants the transect line or route to conduct a transect walk, and work with them on a plan. The team should be equipped with the necessary methods and materials. • Make sure the team has a clear focus throughout the walk on what it seeks. • On return, work with the team to prepare presentations of findings. Encourage people to use non-verbal presentations like <i>drawings, diagrams or role-plays</i>. 	Handbooks/manuals about how to use PRA tools. There are many of these, including those in national and local languages.
Process documentation	This tool assists you in documenting ongoing observation, analysis, and reflection on your part as facilitator <i>through the process of writing</i> . It can also shed light on evolving understandings of the context in which you do your job as facilitator. It is crucial to getting the most out of your observations and experiences.	An example of a process documentation format is given below, but a daily journal is most common.	

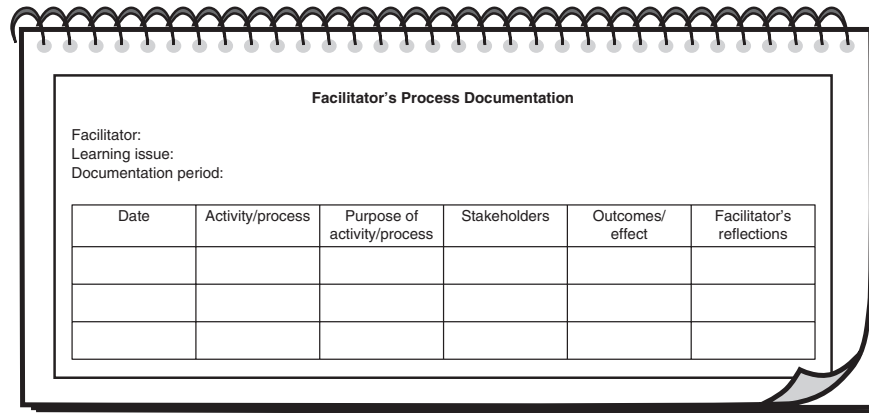


Tool/method

Description

How to use it/example

Further reading



The image shows a spiral-bound notebook with a form titled "Facilitator's Process Documentation". The form includes fields for "Facilitator:", "Learning issue:", and "Documentation period:". Below these is a table with six columns: "Date", "Activity/process", "Purpose of activity/process", "Stakeholders", "Outcomes/ effect", and "Facilitator's reflections". The table has four empty rows for data entry.

Date	Activity/process	Purpose of activity/process	Stakeholders	Outcomes/ effect	Facilitator's reflections

Rapid appraisal of agricultural knowledge systems (RAAKS)


The RAAKS tools are a set of tools that provides stakeholders a means to evaluate the ways they relate to one another. RAAKS is particularly helpful in looking at a problem from different perspectives.

The key objective of RAAKS is to improve knowledge and information systems –i.e., to improve the organisation, decision-making and exchange of information within stakeholder networks.

If you want to know more about RAAKS or use it, a resource box is available (see source 8) that includes guides for assisting a group of stakeholders to analyse relationships among them from different perspectives (called 'windows').

There are tools in the resource box you can use to facilitate the gathering and processing of information. A RAAKS process includes three intertwined learning processes: problem definition and system identification; analysis of constraints and opportunities; and articulating an action strategy.

Source 9: *Facilitating Innovation for Development*. A RAAKS Resource Box. Engel, Paul G.H. & Monique Salomon. 1997. KIT. Amsterdam, Netherlands.

Tool/method	Description	How to use it/example	Further reading
Rapid biodiversity assessment			Source 10: <i>Exploring Biological Diversity, Environment and Local People's Perspectives in Forest Landscapes</i> . Sheil D., R.K. Puri, I. Basuki, M. van Heist, Syaefuddin, Rukmiyati, M.A. Sardjono, I. Samsuudin, K. Sidiyasa, Chrisandini, E. Permana, E.M. Angi, F. Gatzweiler, A. Wijaya, & B. Johnson. 2002. CIFOR, Indonesian Ministry of Forestry and ITTO (also available in Indonesian, Spanish and French; download: http://www.cifor.cgiar.org/mla).
Review of written documents	Forest agencies, local non-governmental organisations, training institutions and other local agencies often keep useful records that can be used as reference in the collection of information. Written records are, for example, reports containing baseline data about resources, census statistics, data about conflicting groups, lists of license holders, policy documents and memorandums, research and project reports, and media coverage.	When collecting information from written records, you need to take heed of the fact that the available information may not always be accurate, complete, or updated. Besides, biases may have crept into the records.	
Rights, responsibilities, returns and relationships (4Rs) framework	The 4Rs framework is a helpful tool to assist you and stakeholders systematically organise information about stakeholder <i>rights, responsibilities, returns and relationships</i> into one framework.	Collect information about stakeholder rights, responsibilities, returns and relationships by using the guidance provided in Annex 1 (Activity 1, Step 2B).	Source 11: <i>Capacity to Manage Role Changes in Forestry: Introducing the '4Rs' Framework</i> . Dubois, O. 1998. IIED. London, UK.

Tool/method	Description	How to use it/example	Further reading
	<p>It can reveal possible imbalances in stakeholder roles in forest management.</p> <p>You can use the framework to organise information about stakeholders that you have collected yourself. It can also be deployed to encourage discussion among the stakeholders, as for example, to identify problems.</p>	<p>Transfer the information collected into a table as exemplified by the table below, presenting the case of our Jambi site.</p> <p>If you use the <i>4Rs framework</i> as a tool to encourage learning among stakeholders, it is advisable that you collect some baseline information about the ‘4Rs’ so that you are prepared for facilitating the discussion process.</p> <p>The below framework shows imbalances in stakeholder roles. For example, those with most stake in the forest (i.e., <i>Orang Rimba</i> and the original inhabitants) have limited legal <i>responsibilities</i> related to the management and protection of the forest. On the other hand, while the government has the <i>responsibility</i> to manage and protect the forest, they lack the means to do this effectively. <i>Responsibilities</i> should thus be transferred to those who have more stake in the forest.</p> <p>This means, however, that more <i>rights</i> should be provided and arrangements created for effective <i>relationships</i> between stakeholders. The framework shows other imbalances as well. The facilitator’s role is to assist stakeholders negotiate a more balanced 4Rs.</p>	




Tool/method	Description	How to use it/example	Further reading
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The 4Rs Framework for Jambi				
Stakeholders	Rights	Responsibilities	Returns	Relationships
Nomadic group (<i>Orang Rimba</i>)	<ul style="list-style-type: none"> Customary rights (for which recognition should be applied to the government) Limited formal rights, particularly because the group administratively does not belong anywhere 	<ul style="list-style-type: none"> Traditional management and protection of natural resources No formal, legal responsibilities related to natural resources 	<ul style="list-style-type: none"> Non-timber forest products (NTFPs) Crops and other forest goods Environmental services Homesteads Social security from patron-client relationship with some villagers 	<ul style="list-style-type: none"> Customary rights over land and forest resources not recognized by the state Weak relationship with villagers Weak relationship with public bodies Patron-client relationship with some villagers
Original inhabitants	<ul style="list-style-type: none"> Customary rights (for which recognition should be applied to the government) Limited formal rights 	<ul style="list-style-type: none"> Traditional management and protection of natural resources No formal-legal responsibilities related to natural resources Pay taxes 	<ul style="list-style-type: none"> Timber and NTFPs Crops Income and other forest goods Environmental services Benefits from land (including from grazing) 	<ul style="list-style-type: none"> Customary rights over land and forest resources not recognised by the state Poor with the government because traditional shifting cultivation is officially not recognised Poor with the government also because of allocation of customary land to settlers Poor with settlers because the latter were officially allowed to 'occupy' customary lands Interference by the state

Continued to next page

Tool/method
Description
How to use it/example
Further reading

Stakeholders	Rights	Responsibilities	Returns	Relationships
Settlers	Formal rights over registered land holdings under resettlement programmes (i.e., rights of inheritance and land transaction)	<ul style="list-style-type: none"> Develop agricultural land holdings under resettlement programme No formal-legal responsibilities related to forest resources Respect customary authority of original inhabitants over land and tree resources 	<ul style="list-style-type: none"> Annual crops from dry swiddens Crops and perennials from registered land holdings under resettlement programme 	<ul style="list-style-type: none"> Poor with original inhabitants because of occupation of customary lands Little commitment for resources management and protection, other than on their own agricultural holdings
District forestry agency	<ul style="list-style-type: none"> Rights to give permits concerning forest products (e.g., timber) Rights to arrest illegal users Rights to propose resource management procedures 	<ul style="list-style-type: none"> Implement government forestry policies, programmes, and management plans Arrest illegal users Control implementation of management plans 	<ul style="list-style-type: none"> Policy and programme objectives met Prestige (respect/fear) Recognition of authority Financial benefits 	Limited relationship with original inhabitants, mostly during incidental monitoring visits
NGO implementing the Integrated Conservation and Development Project (ICDP)	<ul style="list-style-type: none"> Rights to develop and manage park and bufferzone implementation plans. No legal rights to forest 	<ul style="list-style-type: none"> Develop and implement park and bufferzone management plans Coordinate with National Park agency with respect to project implementation 	<ul style="list-style-type: none"> Project objectives met Jobs 	<ul style="list-style-type: none"> Relationship with original inhabitants and settlers is limited to project activities. Official relationship with local government

Tool/method	Description	How to use it/example	Further reading
Scenarios	<p>Scenarios are useful for thinking about the future in creative, novel ways. Different from projections, scenarios do not necessarily depict the future as it will actually look. Scenarios are particularly helpful in complex and uncertain situations –i.e., situations that are hard to predict based on present trends. Therefore, creativity is needed to anticipate change. Below two types of scenarios are described: <i>vision</i> and <i>pathway</i>. Two other scenarios, <i>projection</i> and <i>alternative</i>, can be consulted in source 12.</p>		<p>Source 12: <i>Anticipating Changes. Scenarios as a Tool for Adaptive Forest Management. A Guide.</i> Wollenberg, E. with D. Edmunds & L. Buck. 2000. CIFOR. Bogor, Indonesia (also available in Indonesian and Spanish).</p> <p>Source 13: <i>Future Scenarios as an Instrument for Forest Management. Manual for Training Facilitators of Future Scenarios.</i> Nemarundwe, N. W. de Jong & P. Cronkleton. 2003. CIFOR. Bogor, Indonesia.</p>
Pathway scenarios	<p>This type of scenario assists stakeholders in thinking about ways to get from the present condition to a changed, more preferred condition.</p>	<p>Prior to making a <i>pathway scenario</i> you first need to assist stakeholders produce a <i>vision scenario</i> (see below). Then follow the steps below:</p> <ul style="list-style-type: none"> • Ask the stakeholders to imagine the ideal future conditions of, for instance, their village, natural resources or institutions. • Request them to compare the vision they have made and the present condition. 	

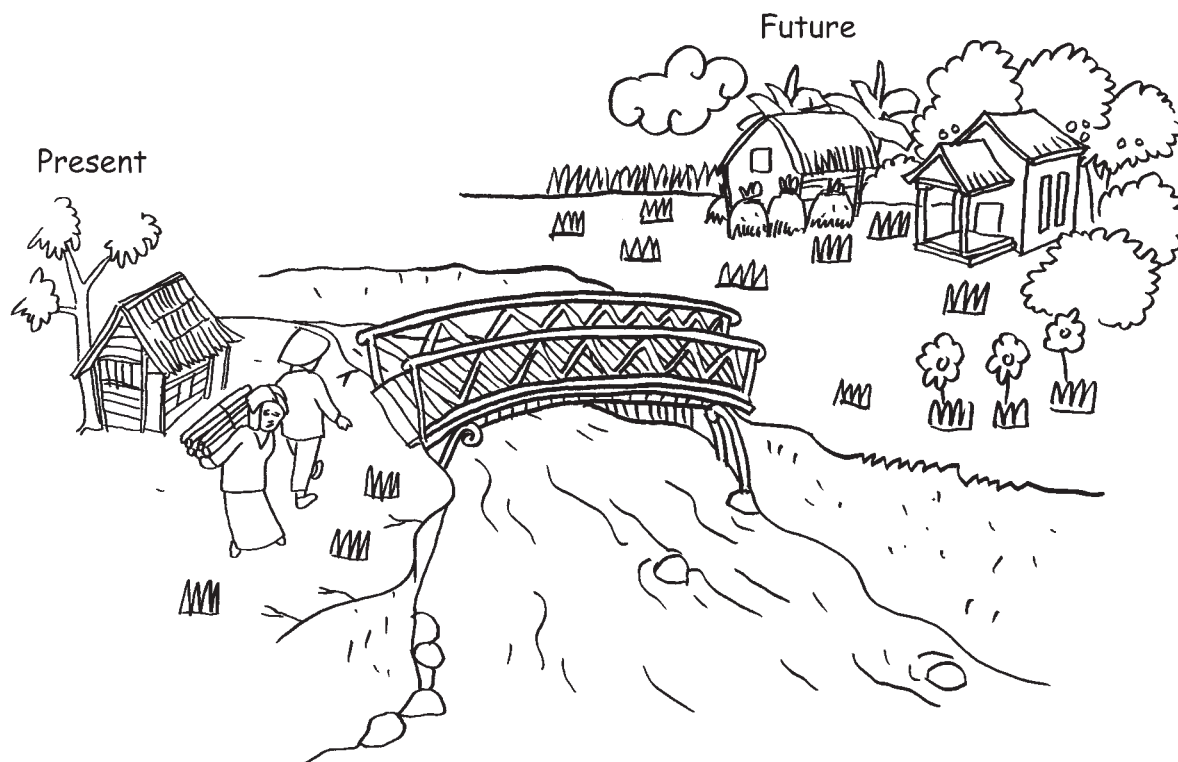
Tool/method	Description	How to use it/example	Further reading
		<ul style="list-style-type: none"> • Assist the stakeholders to identify the main constraints and opportunities to achieve their vision. • Work with them to brainstorm what strategy to use to achieve that vision, starting from the current conditions and given the constraints and opportunities. • Compare alternative strategies and identify action points. 	

Tool/method


Description


How to use it/example

Further reading

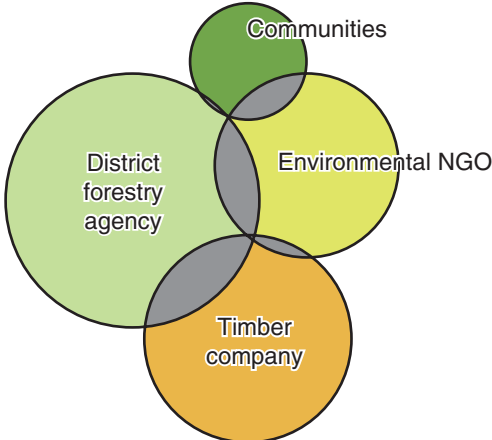


A drawing we used in the field for stimulating thinking about the future.

Tool/method	Description	How to use it/example	Further reading
<p>Vision scenarios</p> 	<p>This type of scenario helps stakeholders articulate their desires, develop awareness about the desires and encourages them to think that it is possible to achieve them.</p>	<p>Invite the stakeholders for a gathering and follow the below four steps:</p> <ul style="list-style-type: none"> • Ask them to imagine an ideal future or to identify what they wish to see changed in their lives, community, village or forests. • Encourage them to think individually about this desired future. This process can either be facilitated in the meeting itself or carried out in separate activities (e.g., <i>focus group discussions</i>, <i>consultation meetings</i> with government, or <i>village mapping</i>). • Ask the stakeholders to share their individual visions or future scenarios among each other. Encourage them to present their scenarios in a lively way in the form of <i>role-plays</i>, <i>pictures</i>, and the like. • Facilitate the stakeholders to identify the implications of each scenario, including those linked to action and resources (i.e., time, funds, skills, knowledge). Assist them to rank these in order of feasibility given 	

Tool/method	Description	How to use it/example	Further reading
<i>Seasonal calendar</i>	You can use this tool to encourage stakeholders to identify forest management patterns and trends that each of them follows throughout the year. It also allows them to identify management problems caused by lack of collaboration at given points of time throughout the year.	<p>available resources and to agree on the most feasible scenario or vision.</p> <p>Prepare prior to the exercise a template calendar. You can draw this on a large sheet or on the ground. Seasonal patterns and trends can best be illustrated by graphs drawn with coloured chalks or by using materials such as seeds, rice stalks or stones. Explain to participants representing all relevant stakeholders the purpose and process of the exercise. Ask the group of participants to complete the calendar by working on one variable at a time such as rainfall, fruit seasons, labour availability and the like. Encourage discussion during the exercise while you probe and check information.</p>	<p>Handbooks/manuals about how to use PRA tools. There are many of these, including those in national and local languages.</p> 
<i>Spider diagram</i>	This tool is helpful to think of issues in an interconnected and holistic way.	<ul style="list-style-type: none"> • Start with a key issue as central point to brainstorm on issues/themes/questions that have links with that central issue. • Write the issues on a flipchart, connecting the issues that are linked to each other by drawing lines between them. 	<p>See source 2.</p> <p>Source 14: <i>Participatory Systems Analysis - An Introductory Guide</i>. Lynam, T.J.P. 2001. Institute of Environmental Sciences, University of Zimbabwe, Harare, Zimbabwe and CIFOR, Bogor, Indonesia.</p>

Tool/method	Description	How to use it/example	Further reading
<p><i>Valuing listening and speaking</i></p> 	<p>This tool encourages stakeholders to value both listening and speaking. People may need to become more aware that it is generally easier to talk than to truly listen to others. This could be the reason why we have one mouth and two ears!</p>	<ul style="list-style-type: none"> Continue with the identification of connected issues until all possible links are exhausted. <p>Ask meeting participants to sit in a circle on the ground and give each participant eight tokens (like pebbles or cards) of two colours: two tokens have the same colour and the rest are of the other colour. Explain that with the first two tokens participants can buy time to speak and with the other six they can sell time for listening. Explain that each token has the same value. Let the stakeholders agree on a discussion topic. Every time someone wants to speak (s)he has to buy time by putting a token in the middle of the circle. After one has spoken, others may put one token in the middle if they feel they have listened well to what has been told. This simple game fosters people to think first before deciding to speak and to listen more attentively to others because values are attached to both the speaking and listening.</p>	

Tool/method	Description	How to use it/example	Further reading
<p>Venn diagram</p>  <p>A Venn diagram</p>	<p>This tool reveals linkages and relations among stakeholders (whether individuals, groups, institutions or organisations). Besides, it can help in determining power differences between them.</p>	<p>Request participants (representing all relevant stakeholders) to list all social groups, institutions, and organisations they know of in the area. After listing them, ask participants to cut out circles of paper, one circle representing each group, institution or organisation. The size of the circles represents the importance of the group, institution or organisation in the community or in the area. Ask participants to arrange the circles to indicate linkages between groups, institutions or organisations:</p> <ul style="list-style-type: none"> - no contact = separate circles - some contact/collaboration = some overlap - considerable contact/collaboration = large overlap - information passing between stakeholders = touching circles 	<ul style="list-style-type: none"> • Handbooks/ manuals about how to use PRA tools. There are many of these, including those in national and local languages. • Source no. 2.






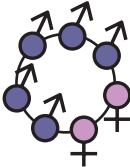
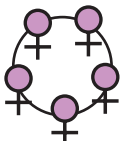
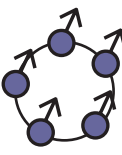



Tool/method	Description	How to use it/example	Further reading
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Visual aids/diagrams

Visual tools like maps, drawings, photographs and diagrams are powerful in assisting stakeholders to interpret what they see, hear, or feel. They also help in analysing complex relationships and articulating issues because people are generally better able to understand pictorial representations of information than written information.

See [source 2](#).

Tool/method	Description	How to use it/example	Further reading
At home	 Settler homestead  Minangkabau homestead	We wish to live happier. There are many shortcomings. There is not much money to buy cooking oil and other necessities. There is no money to go shopping or buy clothes.	
Outside the house	  Original settlements  Resettlements	We want to help parents in the home garden or rubber plot so that we, girls, can help in harvesting rubber.	
In the village	 Youth organisation  Women's groups  Community leaders	Those among the youth who have many community activities are mostly boys, not like the girls. The youth organisation established a co-operative but the girls are not engaged in it. We hope that we have the opportunity to become more 'educated' (through interaction with others, availability of reading materials, and the like). Most of the community leaders are men, while many women are actually capable too. Hopefully, men can acknowledge this.	
Outside the village	 Baru Pelepat  Jakarta  Abroad	We don't have any wishes here, as all that we desire is to improve conditions in the village.	

Simple visual symbols like on this flipchart were used during a session with female adolescents in Baru Pelepat to encourage thinking about the future

Tool/method	Description	How to use it/example	Further reading
Who counts matrix	<p>This tool can help you prioritise the stakeholders whose well-being is closely linked to forest management. The tool uses seven dimensions for assessing the links between stakeholders and forests:</p> <ol style="list-style-type: none"> 1) proximity to the forest 2) pre-existing rights to the forest 3) dependency on the forest 4) poverty 5) local knowledge 6) culture/forest integration 7) lack of power over the forest <p>The method involves a simple scoring technique for prioritising stakeholders in forest management actions.</p>	<p>Invite a mixed group of people from the community, organisations and government agencies. Ask them to identify the important social groups, institutions, government organisations in the area and put them across the top of a matrix. Put the seven dimensions along the left side of the matrix and request participants to rank the importance of each stakeholder along all seven dimensions. You can use a scoring system of 1-3 (1 = high, 2 = medium, 3 = low). Take the mean value of all 7 scores as an average score. Average scores lower than 2 indicate that groups are 'important', whereas stakeholders scoring above 2 are 'less important'.</p> <p>The example below shows the case of the Pasir site: the matrix suggests that among the diverse stakeholders, the communities and forest workers should be prioritised in forest management activities.</p>	<p>Source 15: <i>Who Counts Most? Assessing Human Well-Being in Sustainable Forest Management</i>. Colfer, C.J.P. with R. Prabhu, M. Günter, C. McDougall, N.Miyasaka Porro & R. Porro. 1999. The Criteria and Indicators Toolbox Series 8. CIFOR. Bogor, Indonesia.</p> 

The Who Counts Matrix for Pasir

Stakeholders / Dimension	Village Communities		Forest Workers		Timber company	District Planning Agency	District Forest Service	Environ- mental NGO
	Rantau Layung	Rantau Buta	Villagers	Outsiders				
Proximity to the forest	1	1	1	2	1	3	3	3
Pre-existing rights	1	1	1	2	1	2	1	3
Dependency	1	1	1	2	1	3	2	2
Poverty	1	1	2	2	3	3	3	1
Local knowledge	1	1	1	2	3	3	3	1
Culture / forest integration	1	1	1	2	3	3	3	2
Lack of power over the forest	1	1	1	1	2	3	3	2
Total	7	7	8	13	14	20	18	14
Average	1	1.0	1.1	1.9	2.0	2.9	2.6	2.0

ENDNOTES

- ¹ Yayasan Gita Buana, Pusat Studi Hukum dan Kebijakan Otonomi Daerah, and Yayasan Padi. The first two are based in Jambi (central Sumatra), while the latter is based in Samarinda (East Kalimantan)
- ² Adapted from Hyperdictionary online
- ³ Hartanto et al. 2003
- ⁴ Adapted from Buck et al. 2001
- ⁵ Adapted from Steins & Edwards 1999
- ⁶ Adapted from Buck et al. 2001
- ⁷ We see 'social forestry' as an umbrella description of the various forms of engagement of local communities or groups in forest management policies and programmes
- ⁸ See, for example, Sarin 1998
- ⁹ Called IPPK, *Izin Pemanfaatan dan Pengelolaan Kayu* (Permit for Timber Use and Management)
- ¹⁰ Village Governance Law (Undang-Undang 5 of 1979) was revoked with the implementation of the decentralisation law on January 1, 2001.
- ¹¹ Adapted from the notion of platforms as defined by Röling & Jiggins 1998
- ¹² See, for example, Groot et al. 2002
- ¹³ See, for example, Bawden 1991
- ¹⁴ Adapted from Kusumanto (forthcoming)
- ¹⁵ According to Dubois 1998
- ¹⁶ See Buck et al. 2001
- ¹⁷ Maarleveld & Dangbégnon 1999
- ¹⁸ See, for example, Wollenberg et al. 2000
- ¹⁹ See Carney (ed.) 1998

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The Center for International Forestry Research (CIFOR) was established in 1993 as part of the Consultative Group on International Agricultural Research (CGIAR) in response to global concerns about the social, environmental and economic consequences of forest loss and degradation. CIFOR research produces knowledge and methods needed to improve the well-being of forest-dependent people and to help tropical countries manage their forests wisely for sustained benefits. This research is done in more than two dozen countries, in partnership with numerous partners. Since it was founded, CIFOR has also played a central role in influencing global and national forestry policies.

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There is an increasing need to enhance the quality of forest management in many places around the world. This need often arises from disagreements among interest groups who use the same forestland and forest resources. This situation also holds true for Indonesia. Yet while it is generally agreed that the problem should be tackled through better collaboration among competing groups, there are many questions about how to go about it in practice. This book tries to answer some of them.

The book is about a learning-based approach to collaboration that is called Adaptive Collaborative Management (ACM). It draws on the experience of the Center for International Forestry Research (CIFOR) in researching and applying ACM in two sites on the Indonesian islands of Sumatra and Kalimantan. It presents the way in which a team of action researchers assisted local groups and institutions in jointly addressing local resource problems and the outcomes and implications for wider application in the country. The book blends the team's concrete experiences with more abstract concepts in relation to ACM that unfolded as the approach was applied.

This book aims to support community workers, field-based staff of organisations like non-governmental organisations (NGOs), government extension workers and project staff, and trainers. They and other interested readers can use this book as a reference, as a tool to facilitate local action, or simply as an account of experiences in applying a learning-based approach to forest management. The book can also be used as a basis for thinking about new methods, tools or concepts related to forests and for linking these to practice.

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