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AIDE MEMOIRE

WESTERN GHATS FORESTRY PROJECT
FIRST ODA ANNUAL MONITORING MISSION: 12-21 OCTOBER 1992

1. The monitoring mission was undertaken by a team from the Overseas Development Administration of the British Government (ODA), to the terms of reference and with the membership set out in Annex 1. The team are grateful to the Karnataka Forest Department (KFD) for all the arrangements made, and to Mr Ramchandra Chetty, Principal Chief Conservator of Forests (Management) for meeting them in Bangalore to discuss project progress. The team thank the project coordinator, Mr Yellappa Reddy, and his staff in the Planning and Monitoring Unit (PMU) for giving the team so much of their time. The team are particularly grateful for the comprehensive arrangements made for the visit to the project area, Uttara Kannada (UK) Circle, and the extensive time made available by all the members of the UK Planning and Monitoring Cell (PMC), and by the territorial DCFs, ACFs, RFOs and other staff of KFD. The team was disappointed it was not possible to meet the UK Circle Conservator. A detailed itinerary, and list of those met, is set out at Annex 2.

2. A list of agreed milestones by which to measure progress over the coming year is set out at Annex 3. Individual milestones are discussed further below. The list of milestones will be incorporated into a revised Project Framework (PF). The PF is ODA's basic tool for monitoring progress and will be a key document for the next monitoring mission. The revised version of the PF will be presented by the ODA's Forestry Field Management Office (FFMO), at the first meeting of the Circle level committee (see paragraph 27 below).

3. The mission team was glad to note the signature on 8 October of the exchange of letters between the Government of India (GoI) and the British High Commission in New Delhi, which confirmed the British and Indian Governments' agreement to the project. They hoped that GoI and the Government of Karnataka (GoK) would now move quickly to issue the necessary orders giving full and final sanction to the project and the activities and expenditure planned under it, if at all possible by the end of November 1992.

Progress since the 1991 ODA Appraisal Mission

4. This mission took place some twenty months after the ODA appraisal mission of January 1991, which agreed the terms of the project with KFD, as set out in that mission's aide memoire and in the final project document dated April 1991. During the intervening period the process of securing the necessary approvals, and staff changes in KFD and in ODA, have resulted in some aspects of the project plans needing to be clarified. The team had found the mission helpful in this context in reaching a common understanding with KFD staff. The rest of this aide memoire sets out that understanding, together with a programme of actions focused primarily on the first year of the project, to initiate project activities.

5. The aide memoire from ODA's January 1991 visit set out four prior conditions for any reimbursement by ODA of costs incurred on the project by KFD. These are set out in paragraphs 6 and 7 below.

6. The first was a GoK order authorising the principles for joint planning and management of forest reserve resources in a manner consistent with the approach set out in the final project document. The team are pleased to learn of the good progress being made in drafting this order. They understand that there is no complete draft available but the project coordinator has made them aware of the order in broad terms. They note in this context the following points:

a. The importance of completing and promulgating the order soon, and if at all possible by the end of December 1992;

b. The need for a consistent approach between the order and the project document. The team understand Joint Forest Planning and Management (JFPM) to be a three stage process within the project. The preliminary phase involves consultation with local people on the designation and delineation of all forest zones in the project area. At that stage, areas designated as zones 1 or 2 will be identified for management by KFD, while retaining appropriate rights and privileges for local communities in zone 2. No further work will be required under JFPM. The middle phase for other zones will include negotiation of arrangements setting out the extent and nature of local groups' rights to and management of specific areas of land. These negotiations will culminate in agreements with local groups as reflected in the micro-plan for each area. These first two phases constitute joint planning. The last phase of JFPM will be the implementation of the management arrangements so negotiated. It should be emphasised that the speed of setting up and implementation of JFPM agreements will necessarily be determined by the requirements of the process, and not according to pre-assigned targets.

c. For successful negotiations under JFPM, KFD need to work with the specific groups of people making use of any area of forest. These groups are unlikely to conform to revenue village boundaries. The team therefore records the importance of flexibility in determining the nature of the local group(s) with whom KFD negotiates.

d. Women should have the same terms for representation within local JFPM committees as they do for zilla parishads.

e. JFPM agreements need to be adapted to local conditions. The team therefore considers there should not be a standard model for such agreements but that there should be a checklist of issues to be addressed in any agreement.

7. The other three conditions specified the committees to be established at divisional, circle and state level. The team understands that the necessary order has been issued, but that the committees have not met pending the order authorising the project. This can now issue, and the team therefore hopes that the circle and state committees can become active very soon. They urge KFD to ensure that they have both met by the end of December 1992, and meet regularly thereafter. The team notes that the nature of the work of the Divisional Consultative Committee suggests these committees should start functioning as JFPM begins in August 1993, but not earlier.

Circle Management

8. The team notes that the KFD Uttara Kannada Circle now comprises only the five divisions of Haliyal, Honnavar, Karwar, Sirsi, and Yellapur, and that it is intended to move the Circle headquarters to Sirsi. The team welcomes this closer identification between the Circle management and the project, and stress the role and responsibility of the Circle Conservator in the project. They note the importance of ensuring that all Circle level staff, and particularly the Circle PMC, are co-located in proper office accomodation and have appropriate living accomodation. The team notes the various provisions made within the project for equipping the PMC, and believes it essential that these provisions be used as soon as possible to provide PMC staff with a fully functioning office. Inter alia this should include:

a. Full staffing, with the appointment of an ACF (Database) and the support staff set out in the project document;

b. Vehicle provision, including two new cars and a jeep for the PMC;

c. Computer facilities for all PMC staff, including the ACF (Database), which should be IBM-compatible;

d. At least one telephone line.

The team consider these facilities should all be in place, at latest, by end December 1992. The team stresses the importance of full support to the PMC from other circle staff, pending the installation of these facilities.

9. The PMC have a crucial role in the project as set out in the April 1991 document. The team believe it important that this role be fully spelt out, and that the PMC be given the responsibility and delegated authority to undertake it. To promote this the team urge that job descriptions be drafted, by the PMU, in collaboration with the Circle Conservator, which set out the individual roles of PMC staff in Circle Management and their authority to act on all matters relating to their role in the project. In particular the job descriptions should make clear their authority to communicate directly with divisional forest staff in UK, and to communicate directly on technical matters with the PMU Bangalore. Job descriptions should be discussed with the FFMO and agreed by end December 1992.

10. The DCF (Working Plans) who is based in Dharwad, and his division, are responsible for developing working plans for UK Circle. The DCF (Working Plans) is a member of the PMC. In the longer term he should be co-located with the rest of the cell, but, his division will remain in Dharwad for the time being. The team recognises the practical reasons for this, but stresses the importance of good, frequent communication between his division and the rest of the PMC, once they are in Sirsi. The team is glad to record their common agreement with PMC members on this point. The suitability of this arrangement should be looked at again by future annual monitoring missions.

Project Activities

11. In order to turn the April 1991 document into activity on the ground, it is essential that the PMU and PMC understand clearly their tasks, both for the next few months, and for the financial year April 1993 to March 1994. While those tasks will relate to the plans in the April 1991 report, those

plans need to be reviewed to assess their continuing relevance. To this end, the ODA requested before the first monitoring mission a report along the lines shown in Annex 4. The essential complement to this activity statement is a budget statement, setting out clearly planned spending for the 1993/94 financial year. It is not possible for project staff to work effectively until these statements have been agreed, and they consequently know where they stand. The team urges very strongly that [illegible]vide activity and budget statements for 1992/93 and 1993/94 as soon as possible, and in any event by the end of November 1992. The team notes that, no claim for reimbursement of local costs can be considered by ODA until a budget has been agreed for the year to which the claim relates. It is therefore normal practice to allow ODA the opportunity to review the proposed budget, as was the case, for example, under the Karnataka Social Forestry Project. Because the papers are not available to ODA during this mission, the mission team specifically empowers the FFMO to review the budgets for 1992/93 and 1993/94 and let KFD have a reaction within two weeks of receiving the drafts.

12. Planting and other operational activities make up 71% of planned in-India, project expenditure. The project plan assumes a level of planting in UK Circle starting at 7,500 hectares and increasing by 500 hectares each year to a level of 9,000 hectares in years four and five of the project. This compares with 6,000 hectares of planting undertaken in the current year. By project end, planting in UK Circle may therefore have increased by fifty per cent over the current level. It is the team's understanding that, because of the delays in approval of the project, KFD have made other arrangements to finance planting for 1992/93 in UK. The team authorise the FFMO to agree with KFD staff on arrangements to transfer planting costs in UK from 1993/94, together with associated preliminary costs in 1992/93, to British funding as far as possible, as set out in the project document.

13. The team recognises the difficulties project staff have operated under until now. However, final project approval should improve their ability to function effectively. In particular, the team considers it crucial that a report on the year's progress, together with appropriate activity and budget statements, are available for the next mission, on the lines of Annex 4. This should enable ODA to agree a budget with KFD for future years (ie:1994/95 and later), without which reimbursement of local costs by ODA in those years will not be possible.

14. The main project activities during the coming year will include the training and development of key project staff, including those to form JFPM teams, and the preparation of those teams for work in the field. The schedule of activities depends first on KFD signing an agreement with MYRADA to provide training skills to KFD. The team asks that the proposed agreement be shown to the FFMO in draft, for comment, as soon as possible, and urges that it be signed by the end of November 1992. Other activities would include:

a. a study tour, to visit successful examples of JFPM elsewhere in India, for the PMU, PMC, the Conservator of UK Circle and his territorial DCFs, together with key MYRADA trainers, which the FFMO will arrange by end December 1992;

b. the appointment of at least three of the divisional level DFOs(JFPM) by end of December 1992;

c. initial workshops with MYRADA for the key KFD staff should be complete by end of March 1993;

d. a detailed training programme for JFPM staff should be agreed between the PMU, PMC and MYRADA by end of April 1993;

e. at least half the RFOs(JFPM) should be in post by end of April 1993;

f. at least half the JFPM teams should be operational in the field, with support from MYRADA, by October 1993; and,

g. all senior territorial staff should have been trained by end October 1993.

15. One of the key indicators of progress with JFPM will be the way planting reflects the findings of joint planning in zones 1 and 2 (see paragraph 6b) and JFPM in other zones. The team considers this should begin to happen by the 1995 planting year, and that all planting in UK should be based on the JFPM process by project end.

Financial Arrangements

16. The team notes that claims for reimbursement of planting and other costs are due to be submitted quarter by quarter in arrears through the GoK. The team recommends that the PMC and PMU discuss each quarterly claim with the FFMO before it is submitted to GoK, in order to ensure that its form and contents are appropriate, thus speeding its processing by GoK, GoI, and ODA. This is standard practice in other ODA-funded Indian projects with Field Management Offices.

Livestock

17. During the visit to UK Circle, a pressing issue which was raised by many local people and KFD staff, and evident also to the team, was the pressure put on forest resources by livestock. The project proposes that KFD seek advice on the subject from BAIF. Nevertheless, the team is concerned to ensure that this arrangement will provide an appropriate solution bearing in mind the objectives of JFPM. The team therefore propose that the ODA Livestock Adviser visit Karnataka, as soon as possible, they hope in November 1992. His terms of reference would be to discuss the problem with UK Circle staff, including the PMC, and the PMU, and with the suggested consultants, BAIF. In light of his discussions he may propose amendments to the terms of reference supplied to BAIF, or other additional sources of advice as he considers necessary.

Oxfam JFPM Support Project

18. At the time of appraisal, both ODA and KFD staff were concerned about the feasibility of JFPM in those locations, probably the majority, where there would be no immediate benefit to local user groups from the JFPM process. In recognition of this concern, it was agreed to explore the possibility of a separate, but supporting, project which would explore ways to work with local groups to address the problem. A project has since been agreed with Oxfam (India) in Hyderabad; a copy of their project proposal is at Annex 6. Both ODA and Oxfam expect this project to start slowly, and to develop in close liaison with KFD. The FFMO will discuss with KFD arrangements for liaison with Oxfam in this area.

Information Systems

19. The team agreed with PMC and PMU staff on the importance of developing appropriate systems of management information to enable them to monitor progress in the project. The first step in determining the requirement for any additional system is to review the forms of information already being collected and available. The team recommends that such a review be undertaken and that in light of it, and the consultancy report on management information, the PMU and PMC should prepare a preliminary requirement, discussing it as necessary with the FFMO, by March 1993. This requirement would be reviewed in light of further progress and a revised requirement agreed by March 1994.

20. The team recognised the role that a comprehensive Geographical Information System (GIS) could play in assisting project monitoring. The team agreed that KFD should discuss with the FFMO the recommendations of the consultancy on GIS, and agree a strategy and timetable for implementation.

21. In order to ensure adequate baseline data is available the team agreed the following steps. Aerial photographs completing the cover of UK Circle will have been taken by end of December 1992. On that basis, maps of the circle should be ready from the Dharwad Working Plans division, showing four forest classifications, with 1991 census data on population superimposed, by end May 1993. Separately, and by the same date, the PMC, and in particular the ACF (Database) once appointed, will collate information on the type and source of other relevant material covering the environment and socio-economy of the circle, including that from other government departments, zilla parishads, and NGOs.

22. One project output is expected to be enumeration and inventory of forest resources. The team agreed that this task should be addressed in two steps. The first step will be for the DCF (Working Plans) to compile a summary of forest areas and their dates of enumeration. The second step will be to develop a strategy to collect additional information following zonation. The team suggest that progress on this work be reviewed during the next monitoring mission.

23. The team notes the importance of informing forest user populations about the project and welcomes the PMU intentions in this respect. It is important to identify appropriate means of communication for ensuring that the poorer and illiterate sections of the population are fully aware of the project and its approach. ODA is willing to provide local consultancy specialist advice on this matter, and fund the production of necessary materials.

Research and Training

24. Research is provided for in the project, including arrangements for restructuring the management of KFD's interests in research to form the Forest Research and Training Institute (FoRTI). As an initial step a number of consultancies have been commissioned, the reports from which are either with the PMU or will be shortly. A common theme of the consultancies is the need for proper direction of research within the framework of the project. The team endorses this finding, and recommends that KFD establish a Research Committee in Bangalore, to be chaired by the Conservator of Forests (Research), and including other representatives of KFD (including the PMU and PMC), the FFMO, and other outside institutions interested in research. The initial task of the committee would be to draw up a strategy for research

within the framework of the project, and against which specific research activities can be commissioned. The strategy would ensure that FoRTI's role was put in the context of, and consistent with, the broader picture of forestry and other relevant research in India. The team has asked the FFMO to suggest an initial draft of terms of reference for this committee by end of November 1992. Because of the complexity of the issues arising in designing a strategy, the team recommends a further consultancy to review the scope of proposed research proposals, consider institutional issues, and set out a plan for ensuring integration across the various components of the research programme. In light of this work, the consultants would assist the Research Committee both to draft a strategy and to finalise its terms of reference and composition.

25. The project also provides for a number of overseas training awards, as summarised at Annex 5. These awards will enable key project staff to improve the skills needed to meet the challenges of JFPM. Some of the awards have already been taken up, but the team urges KFD to develop a strategy for use of the remaining awards for discussion with the FFMO by end of March 1993. This strategy needs to take account of project development; in which context the team notes that the role of the divisional DFOs(JFPM) is very important during the next year, and therefore none should be sent for overseas training in the coming year. The team is glad to note that some project staff already have appropriate overseas training. They emphasise that staff who go, or have gone, for overseas training under the project must be posted to the project on their return. Such trained staff within the project are crucial for rapid project progress. The FFMO will continue to press GOI to process training award nominations promptly.

Role of the Forestry Field Management Office (FFMO)

26. The FFMO has been established within the British High Commission in New Delhi to coordinate all British assistance with forestry in India. It is responsible for day to day liaison with project authorities, and for providing ODA with information on physical and financial progress of projects. It is also a source of specialist advice on the disciplines covered by FFMO staff.

27. The team formally confirms that the FFMO are empowered to represent ODA on all project matters, between annual monitoring missions. The ODA will normally be represented by one or more members of the FFMO on the Circle level committee, as identified in the project document. As this will require their presence in UK Circle each quarter, the team expects that such visits would be combined with more extensive discussions with PMU and PMC staff on project progress, and a review made of progress against project milestones.

Future Monitoring Missions

28. As envisaged in the project document there will be annual ODA monitoring missions. However, in view of the complexity of the project, ODA may wish to make interim visits. The second mission, in about one year's time, will review progress on the project, inter alia against the milestones set out in Annex 3. That mission will also want to discuss with KFD the timing for:

a. starting activities in and location of the second circle to be taken up under this project.
b. appointment of the CCF Project Director.

29. The third monitoring mission is required by the British Minister for Overseas Development to review progress under the project and report back to her on it. The mission will therefore need to satisfy itself such progress is consistent with project objectives, and sufficient both to warrant ODA continuing to fund project activities and to agree to fund activities in the second circle.

R G Toulmin
ODA Team Leader
21 October 1992

ANNEXES

1. Terms of Reference for First ODA Annual Monitoring Mission
2. Itinerary and List of People Met
3. Milestones agreed during the October 1992 Annual Review Mission
4. Outline of statement of activities and budget required for future annual monitoring missions
5. Summary statement of overseas training awards provided for in the project document
6. Oxfam Project Proposal

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ANNEX 1

TERMS OF REFERENCE FOR FIRST ODA ANNUAL MONITORING MISSION

12-21 OCTOBER 1992

General

The Karnataka Forest Department's (KFD's) Western Ghats Forestry Project officially started on 1 April 1992 and the first ODA monitoring mission will visit India in October 1992. The mission team will comprise Mr G Toulmin (team leader), Ms MacDonald (South Asia Department, ODA), Mr P Wood (Forestry Adviser, ODA), Dr R Eyben (Principal Social Development Adviser, ODA) and Dr C Clift (First Secretary, Economic, BHC New Delhi). During their visit the team will be accompanied by the members of the BHC New Delhi Forestry Field Management Office (FFMO), Dr E Hanley and Mr I Napier. The team will conduct a joint review of progress with KFD personnel. In addition to reviewing project milestones, the team will offer guidance on the project's activities for the coming year. This will be based on an outline of proposed activities provided by KFD in advance. Arrangements for ODA support to the project through the FFMO will also be reviewed.

To achieve the above, the team will visit the project area of Uttara Kanara, hold discussions with KFD field staff, forest users, and other relevant organisations such as MYRADA, Oxfam and research bodies. They will also hold discussions in Bangalore with KFD and GoK staff. Before leaving India the team will produce an aide memoire outlining their main findings and recommendations. This will be discussed with both GoK in Bangalore and the GoI in Delhi.

Terms of Reference

The main objectives of the team will be to:

1. Assess progress against the initial project milestones, as set out in the Project Document dated April 1991. Particular attention will be paid to:

   - The establishment of appropriate organisational structures.
   - The provision of an appropriate legislative framework for Joint Forest Planning and Management (JFPM).
   - The establishment of the requisite committee structure for the implementation of the project.

2. Review arrangements for the implementation of JFPM and agree a plan of operations for the next year.

3. Assess the nature, extent and appropriateness of the JFPM training to be provided by MYRADA.

4. Agree a work programme and budget for the next year, based on an outline document produced by KFD.

5. Review the pre-project training provided, the use of trained personnel by the project, as well as the present and proposed training schedule.

6. Review the various consultancy reports submitted to the project, the responses to these and decisions about resulting implementation. Particular attention will be paid to the following reports:

   - Proposals for a Management Information System (MIS).
   - Proposals for a Geographical Information System (GIS).
   - Arrangements for the commissioning of research on social and environmental issues.
   - Arrangements for the commissioning of forestry research and tree improvement.

7. Review arrangements for research activities generally, with particular reference to opportunities for collaboration with other research projects receiving ODA funds.

8. Review arrangements for the control and financial monitoring of project implementation.

9. Review arrangements for consultation and liaison between KFD and the ODA FFMO relating to project implementation.

10. Review the structure and working of the FFMO in relation to the implementation of the project and agree a programme of work for the next year.

11. To consider any other aspect of project design and implementation as appropriate.

12. To make comments and recommendations on any of the above as necessary.

13. To revise the Project Framework to reflect the foregoing.

14. To review the work of the parallel project operated by Oxfam and to make appropriate recommendations for future activities.

Forestry FMO
BHC New Delhi

23 August 1992

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ANNEX 2

ITINERARY AND LIST OF PEOPLE MET DURING OCTOBER 1992 MONITORING MISSION

I. ITINERARY:

Sun 11 October	Flights IC 186 Delhi-Bombay and IC 163 Bombay-Goa, arrived 1500. Meetings with full team. Overnight hotel, Goa.
Mon 12 October	Left by road for Karwar in Uttara Kannada Division, Karnataka. Met by Mr Venkatesh, DFO. Visits to fuelwood depot and degraded forests. Overnight at Jog Falls rest house.
Tue 13 October	Field visits to villages in morning, acacia plantations and fuelwood headloading. Visit to Bala Koppa, teak and mixed plantation site, and to artisans using bamboo. Meeting with forestrers and guards at Manemane, thence to Yellapur, and meeting with MYRADA representatives. Overnight at Yellapur rest house.
Wed 14 October	Party divided into two groups to visit villages following visit to Manchikeri Range Office (Mr S Gowda, RFO). Afternoon visit to Arbail Ghat to view Zone 1 and other forests, followed by evening meeting with RFOs at Yellapur range rest house. Overnight at Yellapur rest house.
Thu 15 October	Travel to Tattihalla centre for meeting with ACFs and DCFs. Lunch, followed by travel to Dandelli for meeting with Planning and Monitoring Cell staff. Overnight at Dandelli rest house.
Fri 16 October	Visit to Hakkal lands, under shifting cultivation lease dating from 1890. Travel to Goa. Team meetings in afternoon. Overnight hotel, Goa.
Sat 17 October	Team meetings and preparation of aide memoire in morning. Midday flight IC 574 to Bangalore, arriving 1830. Overnight hotel, Bangalore.
Sun 18 October	Team meetings and preparation of aide memoire. Meeting with Oxfam (India). Meeting with Social Development APO.
Mon 19 October	Discussions with KFD staff in Aranya Bhavan, Bangalore, and with GOK officials. Toulmin departs for Delhi. Remainder of team overnight hotel, Bangalore.

Tue 20 October	Meeting with MYRADA and KFD staff at MYRADA offices. Team departs for Delhi on flight IC 404, arriving 17.15. Eyben departs for London. Overnight hotel, Delhi.
Wed 21 October	Individual duty calls in morning. Meeting with MoEF officials in afternoon. Evening reception to meet officials, NGOs and donors. Balance of team departs for London.

II. LIST OF PEOPLE MET

KARNATAKA FOREST DEPARTMENT:

Ramchandra Chetty, Principal Chief Conservator of Forests (Management)

Project Monitoring Unit, Bangalore

A N Yellappa Reddy, CF, Project Coordinator
Jayanarasimha Raj, DCF

Project Monitoring Cell, Dharwad/Sirsi

K Yekanthappa, DCF (JFPM)
S Venugopal, DCF (E/P)

Working Plans Division, Dharwad

K N Murthy, DCF
M R Mutgi, ACF

Karwar Division

D A Venkatesh, DCF, Divisional Forest Officer
B Gopal Naik, ACF, Ankola Sub-division
G G Shetty, ACF, Karwar Sub-division

Honnavar Division

M T Machan, ACF, Kumta Sub-division

Sirsi Division

K Ramakrishna, DCF, Divisional Forest Officer
S H Naik, ACF, Sirsi Sub-division
S P Raju, ACF, Siddapur Sub-division

Yellapur Division

B Shivana Gowda, DCF, Divisional Forest Officer
G S Hegde, ACF, Yellapur Sub-division
V R Naik, ACF, Mundgod Sub-division

Haliyal Division

M N Narayanswamy, DCF, Divisional Forest Officer
H P Prakash, ACF, Alnavar Sub-division
K K Naik, ACF, Haliyal Sub-division

Wildlife Division, Dandelli

T K Kawari, DCF
Krishna Udapudi, ACF

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Forestry Training School, Tattihalla

Abhiyu Singh, DCF

MYRADA:

Aloysius Fernandez
Kiran Mandanni
George D'Souza

UTTARA KANNADA ZILLA PARISHAD:

Immediate past President

MINISTRY OF ENVIRONMENT AND FORESTS:

Samar Singh , Additional Secretary
S S Rizvi, Joint Secretary
A Kshetrapal, Joint Secretary
Ranjit Isar, Joint Secretary
I A Khan, Director (IC)

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ANNEX 3

MILESTONES AGREED DURING THE OCTOBER 1992 ANNUAL REVIEW MISSION

By the end of November 1992:

1. GoI and the Government of Karnataka (GoK) to issue the necessary orders giving full and final sanction to the project and the activities and expenditure planned under it.
2. The ODA Livestock Adviser to visit Karnataka.
3. Agreement with MYRADA to be signed.
4. Proposed terms of reference for the research committee drafted by FFMO.
5. An activity and budget statements for 1993/94.
6. FFMO to review the draft budget and let KFD have a reaction within two weeks of receipt.
7. Claims for reimbursement of planting and other costs to be discussed with FFMO and submitted quarter by quarter.

By the end of December 1992:

8. Complete and promulgate GoK order on JFPM.
9. Circle and state committees to have both met, and meet regularly thereafter.
10. All necessary PMC staff and facilities in place.
11. Job descriptions for PMC staff should be agreed.
12. A study tour, to visit successful examples of JFPM elsewhere within India, organised by the FFMO.
13. Appointment of at least three of the divisional level DFOs(JFPM).
14. Aerial photographs completing the cover of UK Circle to have been taken.

By the end of March 1993:

15. Initial workshops with MYRADA for the key KFD staff should be complete.
16. An initial management information requirement agreed.

17. A strategy for use of overseas training awards.

18. A detailed training programme for JFPM staff to be agreed.

By the end of April 1993:

19. At least half the RFOs(JFPM) should be in post.

By the end of May 1993:

20. Maps of the circle to be ready.

21. Information on the type and source of other relevant material covering the environment and socio-economy of the circle.

By the end of August 1993:

22. The Divisional Consultative Committees to start functioning as JFPM begins, but not earlier.

By the time of the next ODA annual mission, due for October 1993:

23. A report on the year's progress, together with appropriate activity and budget statements.

24. At least half the JFPM teams should be operational in the field, with support from MYRADA.

25. All senior territorial staff should have been trained.

After the next ODA annual mission:

26. A revised management information requirement agreed by end March 1994.

27. Planting begins to reflect the findings of JFPM by the 1995 planting year.

28. All planting in UK should be based on the JFPM process by project end.

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ANNEX 4

OUTLINE OF STATEMENT OF ACTIVITIES AND BUDGET REQUIRED FOR ANNUAL ODA MONITORING MISSIONS

GENERAL

1. The statement is intended to cover:

   - Achievements to date in relation to the project's Immediate Objectives, as set out in the Project Framework, as well as progress on project milestones.

   - Proposed activities and expenditure in the year ahead.

2. The statement will form the basis for discussions and recommendations which the mission will make about the project's activities in the following year. To ensure this, the statement will need to be supplied to the mission before their arrival in India.

3. It would be advantageous for the statement to be prepared in such a way as to enable it to also serve as the basis for KFD's submission to GoK for project related funds for the following financial year.

CONTENTS

4. It is intended that the statement should cover the following:

   i) Outline of activities and achievements to date, including:

      Organisational structures

      Planting

      Training

   ii) Proposed JFPM activities, including zonation.

   iii) Future programme of planting in the project area.

   iv) Proposed training programme, covering the following areas:

      JFPM

      India-based training

      Overseas training

   v) Proposed capital expenditure

   vi) Consultancies envisaged

   vii) Externally commissioned and in-house research activities

   viii) Projected pattern of expenditure for the above items.

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ANNEX 5

SUMMARY STATEMENT OF OVERSEAS TRAINING AWARDS PROVIDED FOR IN THE PROJECT DOCUMENT

		TYPE OF TRAINING	LEVEL
MANAGEMENT			
	PMU/PMC	Social & economic planning	MSc
		Training & extension management	MSc
JFPM			
	Circle	DCFs/ACFs (5 per Circle)	Short
TRAINERS			
		DCFs (2) i/c Tattihalla college	MSc
		ACFs (8) at Tattihalla college	Short
		Upgrading of technical knowledge	Short
RESEARCH			
		Visits by Librarian & computer people	Tour
		Researcher upgrading	MSc/PhD
		Strengthening for social science institutions	Short
		Strengthening for social science institutions	PhDs

ANNEX 6

PROJECT PROPOSAL

WESTERN GHATS

JOINT FOREST PLANNING AND MANAGEMENT

SUPPORT PROJECT

OXFAM UK/IRELAND

FEBRUARY 1992

This is an application for ODA funding to enable Oxfam to carry out a project in support of the Joint Forest Planning and Management (JFPM) Process of the main Western Ghats Forestry and Environmental Project, in Karnataka, India.

The scope and nature of Oxfam's possible contribution has been worked out over the past eighteen months in close discussion with representatives of Non Governmental Organisations in Karnataka, senior officials of the Karnataka Forestry Department and with staff of the Overseas Development Administration. These discussions have involved Oxfam staff both here in the United Kingdom and in India.

Oxfam's role would be to facilitate the involvement of local NGOs or other groups in the JFPM process. The main project proposal itself stresses the importance of involving NGOs in order to achieve the overall objectives of the Western Ghats Project. It is widely accepted that any measures which seek to reduce pressure on areas of ecological significance and reduce environmental degradation are only likely to succeed if local communities are actively involved and the needs of poor and marginalised groups are meaningfully addressed.

BACKGROUND

The Western Ghats Forestry Project of the Government of Karnataka plans to maintain the ecological balance and the environmental stability of the Western Ghats and to rehabilitate and protect the major forest resources of the region, initially in Uttara Kanara District. Simultaneously the project aims to assure the sustainability of the living standards of those people whose livelihoods currently derive, in whole or in part, from the forest. Clearly these objectives are closely interlinked. It is very important that existing forest users whose livelihoods derive from the forest fully participate in the planned joint planning and management (JFPM) process. If they are to actually encourage the process of sustainable management of the forest resources. Forest users particularly the poorer groups must understand the short and long term benefits which should accrue to them from this project. Management agreements between user groups and the Karnataka Forestry Department (KFD) will give these communities a stake in sustainable management of forest resources.

However the JFPM process will inevitably be a fairly complex task. The concept will be new for most forest user groups. They may not be clear how to negotiate equitable and responsible agreements with the KFD. They will need to be able to effectively exercise the usufruct and other rights negotiated in the agreement. And in certain areas the forest resources will not permit the forest users all the immediate benefits they would hope for.

Oxfam believes it could have a role in supporting the poorer user groups to participate effectively in the JFPM process. Oxfam has

25 years of experience working in Karnataka, supporting anti-poverty programmes run by a wide variety of voluntary agencies. These programmes have included agricultural, community health, credit, non formal education, skill development and income generating schemes. Though Uttara Kanara District has not been a priority area for Oxfam till now, we believe that we could use some of our experience in these sectors to work with voluntary agencies and community groups in the district.

OBJECTIVES

The broad objective of Oxfam's JFPM Support Project would be:

> To sustain and improve the status of poor people, and particularly women, tribals, the landless and other disadvantaged groups, whose livelihoods currently derive, in whole or part, from the Western Ghats forests.

To realise this Oxfam's immediate objectives would have four main elements:

- To compliment efforts in the main project to promote awareness of the purpose and practice of joint forest planning and management;

- To enable local people, and particularly disadvantaged groups, to acquire the skills and understanding of technical issues in order to be able to negotiate with KFD on an equal and responsible basis;

- To explore and facilitate the development of alternative sources of income generation, particularly where local pressure on forest resources is most acute;

- To encourage forest user groups to derive maximum benefit in terms of production and marketing from the forest resources to which they will have access to under JFPM.

As both the Western Ghats Forestry Project and the JFPM Support Project are still at an early stage it is rather premature to prepare a detailed plan of the activities which Oxfam would support. Much would depend on the relationship which develops between Oxfam and the KFD, Myrada, local voluntary agencies and local communities and the specific requests which we receive. However we would anticipate that the activities would include some or all of the tasks itemised in Appendix A.

The outcome would be, in the short-term:

1) Greater environmental and ecological awareness among all categories of forest user groups - those who live in the forest and those who live outside;

2) Awareness among poorer forest user groups of the purpose and practice of JFPM and of the benefits that should accrue to them;

3) Effective participation by poorer forest user groups in the JFPM negotiation process;

4) Equitable JFPM agreements where the economic interests of disadvantaged groups are ensured;

and, in the medium term:

5) Improved income opportunities for existing marginalised forest dwellers;

6) Formation or strengthening of community associations or cooperatives of artisans and other forest user groups;

7) Upgrading of skills of artisans and other forest user groups.

8) Planning of selected income-generation schemes for groups of forest users whose natural resource base is in decline.

Project Mechanisms

The principal mechanism for delivering the project would be through grants to local NGOs, managed by Oxfam's office in Hyderabad, which for internal administrative reasons is responsible for the area covered by the JFPM Project, Uttara Kanara. However there would have to be close liaison and coordination with the Karnataka Forestry Department, which would be done in consultation with Oxfam's office in Bangalore.

Funding and Administrative Arrangements

Funding to Oxfam Hyderabad would be through the normal channels for AllOxfam (India) Trust Funds to ensure the compliance with the Government of India's Foreign Contributions Regulations Act. Funds would be received by Oxfam UK and Ireland and disbursed to Oxfam (India) Trust, Delhi which in turn would recruit the funds to Oxfam (India) Trust, Hyderabad. Oxfam (India) Trust Hyderabad will maintain the accounts for the project. They will be submitted quarterly to the ODA via Oxfam in Delhi and Oxford. Oxfam UK and Ireland will make a quarterly requisition of funds to the ODA depending on needs which at this stage are difficult to assess. Brief quarterly progress reports and a fuller annual report will be submitted to ODA.

BUDGET

While detailed budgets will be worked out quarterly and annually the following provides a tentative budget for the project for a three-year period:

Administrative Costs: staff time, office support:	£10,000
2 Monitoring Visits and coordination work from Oxford	£ 5,000
Support for Community Development Work:	£29,000
Support for Skills Training and Income-Generation Schemes:	£38,500
Production of Educational Materials:	£ 5000
Training Costs:	£10,000
Consultancy costs	£ 7,500
Total	£105,000

STAFFING

Primary responsibility for implementation of the project will be with existing Oxfam staff who cover Northern Karnataka for the Oxfam, Hyderabad Office: one regional representative and two project staff. In addition, however some consultants may be retained for particular assignments and the possibility of having a project base in Sirsi will be considered. Great care would be taken to maintain close coordination with KFD, Myrada and others involved in the main Western Ghats Project, both to avoid duplication of effort and to ensure that the work of Oxfam's partners is informed by relevant scientific and sociological research data, which is to be commissioned as part of the main project. Depending on what research is being undertaken by the main project, Oxfam's consultants might address some of the following areas:

- identification and survey of disadvantaged forest user groups;
- gender needs assessment of forest user groups;
- facilitation of flow of technical information from the KFD and research institutions to voluntary agencies, community/village level groups and forest users;
- feasibility studies of skills training and income generation schemes;
- training in community development, non-formal education and income generation schemes.

Reporting

Oxfam will provide annual reports on the project and accepts that as with joint funded projects ODA shall have the right to ask for more frequent reports and that projects supported may be visited by ODA monitors as necessary.

Accounting Procedures

Oxfam will submit its annual audited accounts to the ODA for examination. Procedures adopted will be the same as for joint funded projects.

PROJECT INDICATORS

It should be recognised as this is an area with few grass roots organisations or established NGOs, the project costs initially will go towards the identification of potential partners to work with some of the poorest communities and tribal groups in U.K. The project will give particular emphasis to obtaining the participation of women. Oxfam will spend the first nine months of the project building up, or, in the case of the Siddis, strengthening contacts. Once individuals or groups have been identified, the project officers will work with them to develop a programme of work. Consideration would be given to assessing the project's performance at a mid-term review.

The JFPM Support Project should be seen as a "process" project and so the progress of the project should be assessed in terms of the following criteria:

- community outreach

How successful Oxfam's partners have been in terms of encouraging local communities to understand and discuss the JFPM process will have to be judged not so much (at least in the initial phase) in terms of numbers but in the quality of the contacts. Oxfam would rather see a strong start to work among a particular community than to spread the project too widely, too soon.

- popular participation

The extent to which the poorest, most disadvantaged groups have been contacted and their informed participation in the JFPM process has been facilitated.

The optimum result would be if members of these groups were to form or become part of user groups and local level joint management structures. But there would be intermediary stages which might be useful indicators of whether progress was being made - for example if individual members of these client groups were to attend JFPM meetings as observers.

- increased awareness of limitations to the resource base

We might judge the extent to which Oxfam's partners have helped the client groups begin a process of analysis of their use of natural resources, the ways in which such use might change (or with depletion of natural resources be forced to change) and how they might diversify and seek other ways of sustaining themselves and their communities. This might be assessed in terms of the types of meetings held, the subjects discussed and levels of participation.

In the second phase of the project (that is when the work programmes have been more fully developed after the first 12 months) Oxfam might wish to call upon the services of one of ODA's small-scale enterprise technical advisers, to discuss with local partners and target groups possible income-generating schemes. (A summary of Project Milestones can be found in Appendix B.)

APPENDIX A

DRAFT OUTLINE OF PROJECT ACTIVITIES

Months 1-9

. Identification/survey of the poorest forest user groups. These would include:
- Siddi farmers/forest dwellers who number 8-9000
- Gowli livestock farmers who depend on forest grazing
- fuelwood headloaders, primarily but not exclusively, the Malakivokkals of the coastal belt;
- small farmers and agricultural labourers, particularly Scheduled castes;
- cane and bamboo workers, particularly but not exclusively, the Medar community;

Surveys of all/any of these groups would also consider the role and needs of women in forest based family economies.

. Identification of credible voluntary organisations which could participate meaningfully in the JFPM . Analysis of their strengths, weaknesses and training requirements.

. Identification of other community groups/associations both at geographical (village/hamlet) level or functional level (e.g. associations/cooperatives of bamboo workers, milk producers etc.).

. Identification of specific geographical areas within the district where there appears to be most need and opportunity for any Oxfam supported intervention.

. Facilitation of publication, translation and dissemination of educational materials on:
- sustainable management of forest resources and the biomass needs of local population;
- the purpose and practice of JFPM.

. Support to voluntary agencies, community groups and educational institutions for educational programmes on JFPM through village meetings, use of audio-visual materials etc.

Months 6-12
In addition to continuation of the above, additional activities could include:
. Support to voluntary organisations (if such organisations can be identified) in order to cover their staff costs for a few community development workers: (1) to work with poorer groups on schemes such as non formal education and thrift and credit and, (2), to continue educational programmes on JFPM to enable proper user groups to participate fully in JFPM negotiation and implementation.

2. Training for such voluntary agencies in
- community development, including gender needs assessment
- income generation schemes
-technical aspects of sustainable forest management and biomass needs of rural poor.

Months 12-36
Continuation of the above activities and
1. Identification of villages and/or groups of forest users who are facing a decline in their natural resource base and hence a loss of income in their traditional livelihoods.

2. Identification and feasibility studies of possible skill upgrading schemes and/or alternative income-generation schemes for such groups.

3. Skill and financial management training in income-generation schemes.

4. Planning of selected income-generation schemes for funding by Government Departments, financial institutions and, where appropriate, Oxfam.

5. Monitoring of on-going income-generation schemes.

APPENDIX B

Summary of Project Milestones

By Month 9
1. Completion of identification and survey of some of the poorest forest user groups.

2. Completion of identification of potential voluntary agencies and community groups with whom Oxfam could work.

3. Initial educational programme/discussion with villagers on FPM started in a few selected villages.

By Month 12
1. Support for community development workers in selected voluntary organisations/community started.

2. First round of training programmes for voluntary organisations/community groups completed.

By Month 18
1. Identification and feasibility studies on skills development/income generation schemes completed.

By Month 24
1. Income-generation schemes underway.

ODA/KFD WGFP
MID TERM REVIEW/GENERAL BRIEFING PAPER
6-15 Feb 1995

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TERMS and ABBREVIATIONS

CF	Conservator of Forests (in charge of Forest Circle)
DCF	Deputy Conservator of Forests
FEVORD-K	NGO co-ordinating body, Karnataka
FoRTI	Forest Reserach & Training Institute, WGFP
GIS	Geographical Information System
GO	Government Order (usually about JFPM)
GoI	Government of India
GoK	Government of Karnataka
JFM	Joint Forest Management
JFPM	Joint Forest Planning and Management
KFD	Karnataka Forest Department
MoEF	Ministry of Environment & Forests, Delhi
MYRADA	Bangalore based NGO
PCCF	Principal Chief Conservator of Forests
PMC	Planning & Monitoring Cell, WGFP, Uttara Kannada
PMU	Planning & Monitoring Unit, WGFP, Bangalore
PPDP	Project Process Development Programme, WGFP
PPST	Project Process Support Team, WGFP
RFO	Range Forest Officer
RMST	Research and Monitoring Support Team, WGFP
WGFP	Western Ghats Forestry Project

1. INTRODUCTION

The WGFP is the largest process project supported by ODA in India. Process project are characterised by a focus on mechanisms and means rather than pre-determined outputs; on identifying and involving stakeholders as partners rather than as beneficiaries; on setting up objectives and finding solutions rather than implementing blueprints; on learning from experience rather than from assumption and theory.

WGFP is being implemented by KFD, who have a long association with ODA since the start of the Karnataka Social Forestry Project (KSFP). The original proposal from KFD was for a development project in the Western Ghats. This evolved into aproject focusing on people's participation, planning and management practices, as well as conservation and development activities. This switch of emphasis reflected the experience of KSFP as well as changing national policy and ODA's emphasis on process.

The major lesson of KSFP was that it was possible to achieve output targets without achieving social objectives as a result of focusing enough attention on (a) the process of working with people and (b) the internal management and organisational mechanisms of KFD. The project was written up in the language of being demand driven, yet the management and organisational structure was geared up to being supply driven.

2. PROJECT DESIGN AND STRUCTURE

In this section we set out the main elements of the project design. This is followed by an analysis of progress, issues and constraints, leading to proposals for the future.

Goals, Objectives and Components The original project document sets out four goals: Economics, Equity, Environment and Ecology -the 'four Es'. The Goals were not prioritised. The processes proposed to reconcile differences and co-ordinate action between these systems were twofold:

(a) a process of zonation, setting out areas where the primary, but not exclusive, objective was one of the 'four Es', Each zone was related to different clients, objectives and planning mechanisms.

(b) a process of organisational change in which:

i. decision making would become site specific and linked to local co-ordination and conflict resolution.

ii. organisational focus would shift from top down scheme-driven to bottom-up site-specific planning and, in particular

iii. the involvement of local people in decision making about forest planning and management.

Iv. the introduction of new technology in support of the new process and new techniques.

The link between clients/objectives and zones at the Circle level is set out in the following Table.

Client	Client Representative	Linkage	Responsibility (Manager)	Zone/Circle Activities
Society: ecology and Environ-ment	CCF) (Wildlife)	Expert opinion	Ranger/ Forester/ Guard	Zone 1: Conservation of Biodiversity
Economy	CF (Terrirorial) PMC (Economist)	Economic Analysis	Ranger/ Forester/ Guard	Zone 2: Conservation/ production
Village Community	JFPM Committee	Partici-patory Planning (JFPM)	Ranger/ Forester/ Guard	Zone 3 and 4: Protection/ Production
Farmer	Farmer	Individual Choice	Ranger/ Forester/ Guard	Zone 5: Private Forestry

In order to achieve these goals three Immedicate Objectives were set out in the original Project Framework. The first two:

To promote a process of institutional change in KFD

* To involve local people in decision making about forest planning and management

were recognised as a being central to the project design.

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Activities in support of the demand-driven approach and the institutional and organisational changes needed to support this appraoch were brought together into the main project component: (A) PROCESS AND ORGANISATION.

Activities this component at two levels: Circle and HQ. The Circle level activities included

i. Management development (planning and monitoring)
ii. JFPM arrangements
iii. Working Plans support

The project documentation did not specify in detail how these innovations were to be achieved, but set out principles and created space in which change could take place.

The third Immediate Objectives was:

* To minimise the furtherloss of forest cover and resources and to maintain the sustainable services the forests provide.

Activities in support of this objective were grouped under a component called (B) PLANTING. This was perceived as being of relatively lowerpriority; no immediate expansion in the area of planting was proposed. ODA funding for planting was seen as an enabling factor to ensure that process and organisation could proceed without conflict from other target-driven schemes.

The third component, entitled (C) RESEARCH/UNDERSTANDING, brought together research activities which were deemed necessary to improve understanding of the Western Ghats ecology and economy. This component subsumed a number of research proposals and had a wider brief to operated throughout the Western Ghats of Karnataka, rather than the specific territorial focus of the first two components.

Each of these components is reflected in the structure of the financial tables that formed part of the project document.

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2.1 Structure and Organisation

The project document proposed several organisational changes in order to introduce project activities. However, it was recognised that the formal organisational form would evolve out of the new functions that staff would be expected to undertake and that further modification would be necessary. The main organisational features are as follows:

a) Circle level

Uttara Kannada Circle was re-organised to cover the project area which had been limited to areas with rainfall 1000 mm. This would ensure that the project, and by implication the new management structures, would be coterminous with a KFD management unit. There was some re-organisation of Divisional boundaries, but Ranges were left unaltered.

Within the Circle a Planning and Monitoring Cell (PMC) was established to provide analytical and strategic support to the Conservator (CF) . The idea behind the PMC was to operate as a team and to support the introduction of new practices.

At the Divisional level the project established a parallel yet slightly subordinate structure for JFPM activities. Originally, under a DCF (JFPM) there were to be JFPM teams consisting of an RFO (JFPM), a community facilitator (not recruited) and the RFO (Territorial).

b) Headquarters Level

The Project Director (CCF level) was based in Bangalore and was responsible for overall project direction. To assist in this a Planning and Monitoring Unit (PMU) was established, consisting of:

Planner	CF
Monitoring	DCF
Sociology	DCF
Training	DCF
Accounting Officer	CAO

The purpose of the PMU was to provide overall co-ordination to project activities, to link between the project and the rest of KFD to support the development of a wider understanding of the Western Ghats and to plan for the second Circle.

The PMU was also intended to implement and co-ordinate a number of HQ level activities, some of which were ultimately intended to be grouped institutionally into the new FoRTI. These included:

Research activities associated with the 'four Es'
Tree improvement research
Establishment of a GIS

Headquarters activities also involved a number of linkages with other CCFs/CFs within KFD in particular:

CF (Research)	for the establishment of FoRTI, execution of research activities and the implementation of tree improvement studies
CCF (Working Plans)	for the development of remote sensing
CCF (Wildlife)	for the development and implementation of suitable management and monitoring activities for Zone I areas
PCCF	for the overall direction and development of a policy framework

(It is important to note that in this context a CCF has direct access to Government and is, in effect, in charge of an independent budget).

2.2 Direction and Policy

2.2.1 Committees

There are a number of committees to steer activities at different levels.

Project Steering Committee

Chaired by the Development Commissioner and containing a wide range of representatives from GoK Departments, as well as representatives of NGOs, research interests and the ODA. The Committee has overall responsibility for project implementation and policy recommendations. It has now been proposed that an Empowered Sub-committee be formed which will have direct powers to authorise expenditure.

Research Committee

This will oversee the implementation of the research strategy of the project. Committee has been proposed but not yet confirmed by Government.

Circle Advisory Committee

Chaired by CF with official and NGO representation

Divisional Working Committees

Chaired by DFO and composed in the same way as the Advisory Committee.

Range-Level Committees

It has recently been proposed that there should be Range level Committees.

2.2.2 Links with ODA

The primary contact is with the OFO, which was established to ensure the flexibility needed in supporting a process project of this scale was available to KFD and to enable changes to be made on a continual basis. A close partnership covering all aspects of the project was seen as central to project success.

2.2.3 Consultancy Support

The project design emphasised the use of consultants as a means of bringing about change, introducing new ideas and as a means of KFD utilising specialist skills. The contracting and management of locally engaged consultants by KFD was seen as an important tool of the new management strategy. In addition, the OFO was charged with organising sustained consultancy inputs from overseas. Overall this has resulted in the following on-going arrangements:

Support to JFPM training	Circle	MYRADA
Support to Management Process Change	Circle	PPST/Om
Support to Research Management	HQ	RMST
Contracts to local research organisations		ISEC,UAS, IDS etc

Individual consultancies for operational advice or services, including

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NRSA	Aerial photography and mapping of Uttara Kannada Circle
Project Management	TeamUp
Fire Protection	Strategy and activities accepted
Gender	Basis for strategy provided
Training	Strategy provided
Zone I Management	Programme being developed
GIS implementation	Strategy provided

Special studies have been carried out as follows:

Livestock	Workshop held and links to JFPM established, research identified
Social Development	Report from APO provided, feeding into JFPM activities and training.

2.2.4 Training and Visits

A regular programme of training in UK institutions has been organised under TCTP. Ranging from short courses to year-long MSc courses. Senior staff have also visited UK for an individually tailored course. Specialist training has also taken place in India, including Forest Survey of India and ATI Mysore. Study tours to West Bengal have also been organised.

Outputs, activities and budgets

Project outputs have been reported in detail in the annual report for 1994/95. This strategic overview of theproject is designed to show how the outputs relate to the overall project design. Some of the outputs have been adjusted during the year, a panded and developed in the light of experience. These have not been formally assembled into a new LogFrame. This is now a priority activity.

Project budgets are set out for each of the components. These are discussed separately.

3. ANALYSIS: PROGRESS, CONSTRAINTS AND ISSUES

3.1 Introduction

The MTR provides an opportunity to reflect on progress and implementation to date and to update understanding about the project's vision and direction. This is particularly important

in a process project wherelearning and adaptation are explicitly recognised, but where day to day operational activity provides few opportunities to recognise overall progress and to reflect on future direction and strategy.

The issues analysed in this paper are from the continuous flow of development within the project. Many are complex issues that cannot be solved with a single decision and which are currently part of the on-going process of debate and dialogue, both within the project and within the Department.

3.2 Project Goals

Project goals and objectives have been the focus of considerable debate since the start of the project. Concern over the relative priority of each of the 'four Es' often arise. There was an attempt to reconcile the objectives into a single statement using the TeamUp approach. This was not satisfactorily completed and the goals and objectives remain as originally stated.

The TeamUp workshop to redesign the project was not successful. The major problem was not the TeamUp methodology; in fact as a training exercise it was very successful, introducing a wide range of KFD staff to the conceptual frameworks used by ODA and other donors. The major lesson to be learned was that a single objective team-focused approach works well when there is agreement about the goal, framework and strategy. The workshop attempted to develop single objective for what is effectively a programme.

This experience showed that it was not useful to focus on goal level reconciliation and prioritisation, since this prvented the development of a full LogFrame. In order to achieve the goals of conservation and sustainable development, the project purpose should be along the lines of:

> To promote a process of institutional change in KFD, and in particular to involve local people in decision making about the planning and management of forest resources.

Following from this, each of the three project components will have its own LogFrame. These are:

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Process and Organisation
Planting
Research/Understanding

The overall project LogFrame will then become more of a programme LogFrame in the TeamUp idiom. In this it will be important to ensure that the re-defined Outputs are identified with accountable units. An outline LogFrame setting out this approach will be presented to the Review team.

When the component LogFrames are drawn up the emphasis will remain on:

> mechanisms to decentralise decision making to the lowest level possible, whilst providing guidelines, information and training to staff and ensuring that the interests of all stakeholders are recognized.

The project components are reviewed below.

3.3 Zonation Strategy

Substantial progress has been made with bio-physical zonation. This has been based on canopy cover data supplemented by data from aerial photography interpretation. Zone IV areas have been largely determined on the basis of degraded forest land with a canopy cover of less than 25% as specified in the GO on JFPM. Zones II and III have been considered as traditional production forest areas. Zone I has been provisionally specified as protected areas, undisturbed forest, steep slopes and river banks.

There are a number of policy issues which have to be addressed. These include:

a) Whether a 25% canopy cover criterion is sufficiently wide to allow many communities to be covered by JFPM provision. Such specificity gives no flexibility to the project when establishing VFCs.

b) Whether there is scope for a more active and collaborative involvement of local communities, through VFCs, in the management of Zone II and III areas where there is good forest

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c) Criteria for the delineation of Zone I areas and the possibilities for people's participation in Zone I management.

3.4 Process and Organisation Component

The objectives of this component are:

* the introduction of JFPM
* management process change

These are radical changes and although progress has been made there are still many unresolved issues and there is still a need to develop further the mechanisms and systems.

3.4.1 Introduction of JFPM

Issues:

- In order for JFPM to succeed it is essential that KFD develop into a learning organisation. The relationship with communities not only needs to be sensitive to the complexities and pressures found there, but also to be able to adapt and change as the needs and priorities of local communities change, often as a result of project activities. Inevitably there is some hesitancy and uncertainty in communities at present about the permanency of the new relationship, so that one indication of success will be a growth in new demands as the relationship strengthens.

- A good start has been made on the use of PRA, but it is only a start. Techniques will have to be refined to ensure that they are involving all elements of the community.

- The transparency of VFC activities must be ensured. This will entail review of the composition of the VFC, effective training, monitoring of experiencesand development of further guidelines on operation. Arrangements for adequately protecting existing rights need to be devised.

- How the funds accruing to the community are to be used is still unanalysed. How benefits are to be shared and how interests in the community are to be protected have all to be thought through and incorporated into guidelines. Similarly, there is

considerable scope for contracting VFCs to undertake work for KFD, including protection, maintenance and extraction activities. These areas need to be explored and pursued.

- There are already signs of sectional interest seeking to control VFC resources. As the assets created become more valuable the risk of them being appropriated becomes greater. It is not clear how far this can be prevented, but careful monitoring and further analysis remain essential.

- The whole issue of the participation of women in VFCs and the ways in which these meet their needs has yet to be pursued. Here again continued monitoring, analysis and improved approaches will need to be maintained.

- MOUs have not existed until very recently, which means that the full cycle of JFPM has not been experienced and tested. The situation is now changing rapidly and the lessons from this need to be captured and incorporated.

- Microplans must be responsive to community needs and not built on official approaches or policies. They need to demonstrate the kinds of benefits that will be offered and under what timescales so as to enable people to plan in relation to any change in resource availability. Ways need to be found to ensure the incorporation into microplans of local knowledge about management options.

- JFPM must avoid providing a technically determined package. However, to be fully responsive to community needs potentially imposes a major administrative responsibility on KFD and the project needs to clarify what can and cannot be delivered

- KFD will need to clarify the level of support that they can provide to VFCs on a long term basis. The needs of local communities will inevitably extend beyond what KFD can provide from within its own resources, and how far it can go beyond that, possibly in association with other Departments, needs to be agreed.

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Way Forward:

- A major initiative, the PPDP is underway with PPST support to focus on JFPM methodology, leading to development of 'best practice' guidelines. One of the key aims is to bring territorial staff more closely into the picture and establish mechanisms for reviewing practice and incorporating lessons.

- The revision of VFC composition to ensure open access and participation is being pursued. More effective participation by women and less dominant role for the Forester are priority issues. Any change will require GoK approval.

- Revision of project committee structure and other communication channels to ensure greater responsiveness to local needs is planned. There are now enough VFCs to build effective communications.

- KFD will pursue the issue of the scope for wider involvement of VFCs in forest management. With the changing emphasis on local level planning the prospects for an enhanced role of VFCs are good.

- Development of gender and poverty focused strategies to monitor and enhance effective participation of vulnerable populations and sections. This is currently being pursued following consultancy recommendations. Ways of working in association with the Department of Women and Child Development are being pursued.

- Links between VFCs and the new Panchayat institutions will be pursued. The exact shape of the new system is not yet clear, but will be closely monitored. The development of VFCs will inevitably be shaped by the emerging role of these other bodies.

- JFM is a national phenomenon and the project needs to continue to draw on experience from elsewhere in India. In many areas new forms of organisation and approaches are evolving, so that the project needs to ensure that lessons from these other activities are incorporated into the project where appropriate. Links are already established with a range of bodies and those with other ODA forestry projects will be of particular importance.

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3.4.2 Institutional/Management Process Change

Management process change should be considered at two levels: (a) the Circle, and (b) Headquarters since the management requirements are substantially different.

3.4.2.1 Circle-level Management Process Change

The strategy for management process change is to start with site-specific planning. In Zone IV, this involves the process of identifying clients and the establishment of joint planning mechanisms leading to joint management. The same principle applies to other zones; rather than apply prescriptions prepared centrally, planning should be based on site conditions. Overall policy and direction is maintained through development of:

(a) **'Shared vision'**- the development and sharing of overall direction and strategy to all field staff,

(b) **'Principles'** - the development of guidelines (prepared in terms of principles rather than prescriptions).

(c) **'Skills development'** - to support field staff in the form of both professional and process training and in-service workshops. and

(d) **'Systems'** which will support this approach.

The outcome of this process change has not been finalised and will be developed through experience in the field. The attached figure sets out a tentative 'process map' and highlights the two main elements of the approach site-specific planning and strategic planning and monitoring.

Site-specific planning

So far a start has been made on site-specific planning with a plan to pilot the system in one range during this years planning cycle (ie to be completed before May). The approach has been to build upon experience of preparing treatment plans which were introduced by the CCF in 1993/4. In one range, a Computerised Range-level Management Information System (CoRMIS) will be introduced. Foresters will prepare site-specific treatment plans and using

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the planning parameters provided by the CF (known as the SSR) develop budgets. These will be entered into CoRMIS for aggregation into Range, Division and Circle budgets. Initially CoRMIS will be a database for tabular output, but ultimately will link to the emerging GIS provision, to allow outputs to be presented in map form. This data will be used for both budgeting and monitoring purposes. A reliable recording procedure is necessary since auditing and monitoring will be against the site-specific budget rather than a model or prescription.

Planned support to this process includes a series of workshops, refresher training as well as equipment for Foresters and Rangers. Further, arrangements will need to be established to ensure that 'best practice' is identified and shared throughout the Circle. This is an important element in the development of a learning approach. This is expected to lead to demand for research to address specific problems.

The present role of DFOs and ACFs will need to be reviewed in order to ensure the success of site-specific planning. The role of DFOs and ACFs is critical to the success of bottom-up planning systems-to ensure that field practice is cost-effective. A different approach to monitoring is required with an emphasis on problem solving rather than control and censure.

Strategic Planning and Monitoring

As well as bottom-up planning there is a parallel need for Circle and Division level vision, strategies and guidelines. This requires the development of analytical capacity at the Circle level, the role of the PMC. A detailed plan has not been developed for this element as yet, although this is to be focus of the next PPST consultancy visit.

Status and issues:

(1) The introduction of decentralised decision making and site-specific planning require considerable reorientation within the Forest Department. There has been strong recognition of the problems of the existing system in terms of inflexibility and appropriateness. There is also widespread understanding

within the Forest Department of the process change taking place throughout India. There is a strong endorsement from senior staff to move in this direction. Rightly there is also caution. The critical element at this state is to develop the methodology(path) to move from the existing system to the new system in such away that the final system reflects the needs of staff and delivers higher quality services. Also the time and resources required will almost certainly be higher than anticipated at this stage.

(2) The demand-led approach is the same in all zones. JFPM is the process by which the Forest Departments interacts with local communities, the outcome of which is an MOU and microplan. The treatment plan plays a similar role in other areas. (This has implications for Working plans-although it is too early at this stage to address this issue). There is a recent proposal to re-establish single control within the Division since this would ensure higher priority to JFPM procedures.

(3) Field level staff will have to devote more time and resources to planning than before. This requires an increase in the number of ranges and the provision of transport to Foresters.

(4) Monitoring and auditing arrangements are very important and will need to be developed. Auditing must be against site-specific plans approved by the DFO, rather than against centralised models.

(5) Training is a major requirement in order to develop professional skills.

(6) Networking at the local level and increased contact with outside organisations will be encouraged. Proposals have been made for range level steering committees to make this more systematic.

(7) Management staff should visit other institutions which have undergone a similar change in order to build up their own vision of the possible outcome of process change.

(8) Consultancy support to this process needs to be co-ordinate and consistent. A team approach, around agreed principles working with the Circle staff is essential. The primary focus should be on facilitation of the management process change, although technical expertise in forestry, JFPM, social development, ecology and economics may be needed.

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(9) Reporting systems. This approach to management change focuses on institutional arrangements for monitoring and evaluation and the development of MIS and GIS to support these arrangements. This approach follows an earlier attempt to introduce a more traditional project reporting system, which has been deemed to be inappropriate. However, the internal reporting system has been modified during 1993/4.

3.4.2.2 HQ level Management Process Change

The Project Director and PMU provide overall steer and co-ordination to the project including budgeting and finance, HRD and staffing and contracting of consultancy inputs. As well as these general responsibilities, the PMU is responsible for the startup of activity in the Second Circle.

Co-ordination and planning

(a) **Budgeting and finance**

The development of new planning and operational approaches requires a comparable revision of financial planning and budgeting. This has proved difficult to achieve in relation to the traditional procedures under which KFD has to operate. As a result of these constraints there has been a tendency to treat the financial planning tables in the project document as specified budgets.

The OFO has now agreed with the PMU a series of financial planning arrangements based on an integrated series of spreadsheets based on the original project document tables. These link annual budgets and quarterly reporting of expenditure to the overall project budget, which has itself been updated to reflect project experience to date. These arrangements are supported by revised reporting arrangements from the circle level to the PMU.

Future activities will focus on the strengthening of linkages to the evolving Circle level local planning procedures. Another priority will be the establishment of links to the revised project LogFrames, so as to feed financial planning information to project planning and monitoring.

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A major problem faced by the Project Director/PMU has been the lack of delegated authority to undertake expenditure in new areas, even when these are provided for in the annual budget. Permission for individual items has had to be sought from GoK and has not been forthcoming in most cases. The provision of such powers to the Steering Committee has been proposed and needs to be agreed as a priority.

A problem remains over obtaining agreement on the annual budget where there remain difficulties in changing the provisions in the original document.

Financial and budgeting arrangements are discussed in more detail in the annex to the finance briefing paper.

(b) HRD and Staffing

The original project design called for the project to be staffed mainly by transfer of staff from elsewhere within KFD. This has proved difficult to implement within the constraints under which KFD operate and a number of posts have proved difficult to fill. The creation of new posts, combined with the move of the Circle HQ to Sirsi, placed a severe strain on office and residential accommodation, further adding to the problems of building effective teams.

Postings are not fully under the control of KFD, which has constrained the PMU's ability to pursue a rational approach to capacity building. As a result there has been some doubt about the viability of the initial intention of building up areas of specialist expertise within KFD in relation to research, training, GIS etc. However, it now seems possible that specialists will be contracted in to fill these posts. GoK has imposed restrictions on recruitment which further constrains staff planning. The inability to hire specialists on short term contracts is a limitation that has particularly affected the research field.

Second Circle

The PMU is responsible to prepare for the introduction (selection and startup) of the second Circle. Criteria for the selection of the second Circle were agreed and investigations pursued accordingly. From this

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Shimoga Circle has been selected and a programme of preparations is being prepared. Preliminary training of Shimoga staff has taken place and the operational structure will incorporate the experience of Uttara Kannada. In particular, the organisation of JFPM activities will be different, involving closer integration with the existing territorial staff structure.

Other Headquarters Activities

Headquarters staff are responsible for:-

(a) Research:

This brief is wider than just the project Circle. Demand is from the research community. The number of potential contracts is very large; there is little previous experience in KFD to manage such contracts and there is a belief that the research institutions do not have the capacity to implement. Although the original proposals have been curtailed in some cases, there is still pressure not to drop any research because it is prescribed in the document and because of the interest from the research community.

(b) Training

This component also has a brief throughout the Department, yet the project authorities only have limited influence over this area. A training consultant has reported. Decisions are needed as to future direction.

Like most Forest Departments, KFD has control over the training of its most junior staff, Forest Guards and Foresters. The training of all other staff is regulated by the Centre. New approaches require a much wider training capability and a number of ways forward have been identified in the training strategy proposals.

(c) FoRTI

FoRTI was identified in the project design as the vehicle for meeting these needs of research and training.

Institutionally research falls under the umbrella of the Research Wing, under the CF(Research), which has the responsibility for carrying out research for KFD. The project documentation did not set out more than the principles under which the research activities

of the project were to be managed. The main principle was to separate the demand for research from the supply of research services. However, it has not been possible to establish working arrangements in line with this principle. The idea behind FoRTI was to build up the Research Wing's capability to carry out certain types of research.

KFD are now proposing to move forward with the creation of FoRTI as outlined in the project document. Work would be focused on two campuses: Doresanipalya and Gungeraghatti. Initially FoRTI would be headed by a CF (Research) within the project. Staff and infrastructure, currently under KFD's research wing and working in Dharwad and Mercara Zones (under which Uttara Kannada Circle falls) would be transferred to the new FoRTI. Ultimately, KFD intends to merge KFD's Research Wing with FoRTI, outside the project and it will be headed by a CCF (Research).

At present demand for research is still being led by the conventional research community. The way in which the project document incorporates and presents long established research agendas encourages this trend. The need for longer term research to enhance understanding of processes at work in the Western Ghats remains.

Operationally, it was intended that the PMU has funds to commission research on an contract basis. In theory there is no reason why this cannot be either an internal or an external contract; internal if using the Research Wing and external if carried out by outside agencies. A similar proposal, containing objectives, activities, budgets, responsibilities and deadlines would be needed in both cases. However, demand for research from within the project is, as yet, relatively weak. This is because:

* The process of articulating demand on the basis of site-specific planning has only recently started. A full cycle of experience is required before field staff are in a position to assess research need.

* The possibility of commissioning or carrying out adaptive research has traditionally not been available and

(d) Zone I management:

Again this component has a wider focus than other activities. However, this component provides a model for working with other

types of project activities. Currently implementation is the responsibility of the CCF (Wildlife) who is contracted by the CCF (WGFP) to carry out activities in National Parks and Sanctuaries. This model could be developed as a basis for the project carrying out activities in areas not under the control of project staff.

(d) Working plans and GIS:

Proposals have been made to introduce a GIS which will ultimately build up into a more comprehensive system to meet the wider planning and monitoring needs of the project and KFD as a whole.

The local planning approach and JFPM will ultimately lead to a revision of the Working Plan approach. However, that is a longer term objective which it is too early to address directly now. It will be kept continually under review and the emerging practice and experience will provide guidance on future proposals.

Issues:

The main overall issue affecting the various project components relates to the rationale for the component and its linkage with the main project objectives. The case for continuing these sub-projects depends on (a) their merit as an individual project and (b) on the scope for development of new procedures within KFD.

The skills needed for management change at headquarters level need to be identified and a programme prepared. Since most activities are implemented in other parts of the Forest Department or outside the Department, there is a need to develop capability for managing internal contacts, agreements, or MOU. There has been no attempt so far to introduce new processes into these relationships although there is considerable scope to develop internal contracts using the LogFrame and the TeamUp approach. At present, success depends on personal contacts in other parts of the Department rather than on a systemic arrangements.

The issues relating to each of these sub-projects have specific issues which are discussed elsewhere.

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3.5 Planting Component

3.5.1 The planting programme has progressed well in area terms. The major problem has been the restrictive nature of the economic models. Although these were originally agreed as being for analysis only, they have, in fact, been applied as planting prescriptions. Further, this problem has been made worse by the absence of any discretionary power for officers to deviate from the models. Statutory auditing arrangements require the AG to audit against these models and this has further resulted in inflexible application of inappropriate interventions.

Some progress has been made to change this situation. In Zone II CCF (WGFP) and CF(WP) have introduced the concept of the treatment plan, which is similar to the JFPM microplan in Zone IV. The treatment plan is the basis for the site-specific local planning approach now being introduced. However, formal agreement is required that the auditing authorities can and will use the treatment plan as the basis for their scrutiny. Secondly, the PMC will look again at the existing models and their use for planting purposes.

3.5.2 Experience has shown that the planting models have been misnamed as 'gap models' and cover a range of situations, including enrichment and restocking. However, in many areas of Uttara Kannada Circle there is now little scope for further planting, with many of the areas presently under a gap-planting regime essentially only requiring protection to allow natural regeneration. Gap C model has already gone and the scope for Gap A and Gap B is limited, and in most cases uneconomic and only marginally effective. Costs per hectare are likely to change as a result of recent critical re-examination of experience to date, resulting in revised budgeting guidelines.

3.5.3 A number of new possible priority treatment interventions have been identified by the CF and PMC, which are currently being examined. These include large areas of failed plantations including some by KFDC. Such alternative approaches are to be encouraged. The PMC will initially carry out the analysis and prepare guidelines, whilst field staff will implement using site specific treatment plans.

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3.5.4 The multi-purpose model was used to budget for and analyse the JFPM/Zone IV situation. However, as a result of JFPM staff being allocated their own planting targets and no MOUs and been signed, planting in Zone IV areas has often been through the application of the multi-purpose model. This has been in consultation with rather than partnership with VFCs and confirms how easy it would be to repeat the mistakes of the Social Forestry approach. With the finalisation of microplans and the signing of MOUs there will be scope for the expansion of JFPM planting. As a precursor of that it has been agreed that planting targets for JFPM staff will be abolished.

3.5.5 The project displaced all other schemes in the project area, including the FDF, in order to ensure the flexibility needed for process change. However, the long term intention of the project design was to 'disconnect' the planning and financing functions. It was initially envisaged that the 'disconnect' would be at the level of the Circle. With local level planning outputs coming to the Circle, the role of the Circle administration was to arrange funding for these plans. The time is now right to develop the operational mechanisms for 'disconnect'. A further imperative is that with the priority being given to Panchayats, which have ear-marked forestry funds, some mechanism is needed to ensure that activity is co-ordinate within the overall project strategy. This points to the level of 'disconnect' being set at the Divisional level. The relationship of the VFCs to Panchayats and the role of different funding sources are all issues that will need to be pursued as the scope of the various institutions evolves.

3.5.6 Associated with several of these items is the need to link expenditure with the maintenance of future benefit flows and with the help of a GIS, develop a forest resource accounting system at the Circle or Divisional level. Targets could then be set for the maintenance of given assets at a given budget.

3.6 Research/Understanding Component

The research agenda of 16 areas of investigation drawn up during the research workshop is a satisfactory way to carry forward the longer term understanding needs of the project. Nevertheless, more sustained progress needs to be made on commissioning and managing

the research activities indicated. This will pose a substantial management challenge that will need to be given an adequate priority. The establishment of the Forest Research Committee is the first step, followed by adequately resources management arrangements.

This system cannot fully address the information needs that will emerge from the enhanced sensitivity of JFPM activities and the local level planning initiatives currently being developed. Mechanisms will need to be devised to enable Circle level structures, including down to VFCs, to commission investigation to address problems arising from new activities and approaches. It is likely to be necessary to consider alternative and more flexible arrangements than those used for the mainresearch activities, possibly involving more local institutions. The funds for this work will need to be provided in Circle level budgets and the committee structure will provide participatory mechanisms for deciding priorities.

4. DIRECTION AND POLICY

Committees

The role of the Project Steering Committee has been limited and needs to be developed.

Control over project direction hasremained largely within KFD and has not been opened up to the extent envisaged in the original project design. The overall project Steering Committee has not been able to break away from the traditional role of symbolic overseeing and approval of items put to it. It has not become a government body to which project management are accountable. In part this is because of its composition, which reflects a broad range of, largely official, constituencies. As a result it has been constituted more as a consultative body than an executive one. A major element of process and organisation change is the development of a significant role for the Steering Committee at both the project and the Circle level.

The Steering Committee offers an opportunity to bring experience and ideas from elsewhere and provide a positive and beneficial influence on project direction. Further development might entail:

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(a) careful consideration of its membership, perhaps going outside the state in order to bring in field experience elsewhere, and outside the bureaucracy

(b) powers, including the ability to sanction innovative approaches and the authority to ask questions and seek clarification

(c) a plan of action to ensure that members are serviced with sufficient information, such as briefings, field visitsand papers to enable them to steer project direction. This is a role for the PMU. Such an approach would ensure that members do not see the committee as a means of representing their own sectional interests but develop a wider interest in project success.

The proposals for new committees at range level are positive and to be encouraged. The role and operation of the project's committees needs to be reviewed and strengthened, possibly through a facilitated workshop.

The Research Committee has not been formed-although this reflects concern about losing control to outside interests. The proposed membership for this committee is largely drawn from the research community and rightly there is concern that the interest of the research community will not align with project needs or priorities. The impasse here reflects the concerns within the project that externally driven research would have its own dynamic.

4.2 **Links with ODA**

These have been handled through the OFO in Delhi. This have involved frequent and often intense interaction. As the scale ofactivity expands increasing consideration will have to be given to whether to have a local office in Bangalore.

5. FOCUS ISSUES FOR MID TERM REVIEW

The following are issues mentioned in the above paper to which the project would like to draw the review team's particular attention

1. Hierarcy of LogFrames

This approach combines the characteristics of the original project design with the clear need for a comprehensive LogFrame against which monitoring can take place.

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2. **Local Planning Initiative**

This combination of site specific treatment plans and devolved decision making underpins the JFPM approach and offers the main mechanism for sustained adaptation with KFD. This needs to be clearly associated with a move to greater financial autonomy and more flexible auditing arrangements.

3. **Effective Participation**

Experience so far with the working of the GO, the composition of the VFCs and the structure of the project's committees indicates that the time has come for a review of these structures, leading to more effective participation by primary stakeholders.

4. **Developing Specialisms**

The original intention of KFD staff developing a wide range of technical specialisms to pursue institutional change is now in doubt. The source of technical support for KFD needs to be clarified, especially the possibility of recruiting specialists from outside the Department.

5. **Role of PMU**

The location of the PMU needs to be confirmed, Its role and responsibilities need to be clarified, particularly in relation to FoRTI and its responsibility for the relationship of the project to the rest of KFD.

6. **Steering Committee**

The role of this committee needs to be revised to give it a more positive input to the project. Linked to this is the issue of delegated authority and the ability of the project to undertake expenditure specified in the annual budget.

7. **Consultancy Inputs**

A number of Key project activities need sustained inputs to support a complex process of change. These need to be confirmed and programmed.

Karnataka Forest Department
ODA Forestry Office
January 1995

ODA

NGOs AND WGEP

In one of the meeting of NGOs involved in helping KFD to implement JFPM, the NGOs suggested to VFC members that they should not enter into conflict with officials. They suggested that the people should try to understand the behaviour of the official and adjust accordingly. The KFD officials do not want to change their attitude. They continue the same age old 'policing' methods to deal with people.

The people, after formation of VFC have tried their best to leave the conf attitude and to cooperate with KFD officials. However there is no reciprocate action on the part of KFD. This has further confirmed peoples, belief that JFPM is just another 'trap' and the real motive of KFD is sugarcoated with JFPM concept.

Due to the apathy of KFD the NGOs are apprehensive about the probable negative outcome of lending a helping hand to KFD. Some NGOs feel that the people have lost faith on KFD and now after the whole 'fraud' of JFPM the people may loose faith even of on NGOs! If this happens, by coopting with JFPM the NGOs will also loose their credibility. In fact this will be one of the main outcome of Oxfam helping NGOs in Uttara Kannada district. This will affect the functioning of the NGOs in the long run. It is also an indicator of NGOs when coopted with implementation of government programme and up in loosing their credibility.

Overseas Development Administration Karnataka Forest Department

WESTERN GHATS FORESTRY PROJECT
MID TERM REVIEW

AIDE MEMOIRE

6-15 February 1995

A joint KFD/ODA team conducted a mid term review of the Western Ghats forestry Project between 6th February - 15th February, 1995.

1. MISSION COMPOSITION :

Karnataka Forest Department :

Mr A S Sadashivaiah	Project Director
Mr A K Verma	Conservator, Uttara Kannada Circle
Mr S Venugopal	Conservator (Planning & Monitoring PMU)
Mr Swaminath	DCF (Tree Improvement)
Mr K Sugara	DCF (Working Plans-PMU)

Overseas Development Administration :

Ms Susan Unsworth	Head of South Asia Department (Team Leader)
Mr Michael Scott	Deputy Chief Natural Resources Adviser
Mr Peter Wood	Senior Forestry Adviser
Ms Judy Walker	Social Development Adviser
Mr Richard Moberly	Economic Adviser, BHC, New Delhi

ODA Forestry Office :

Dr Eric Hanley	Field Manager
Ms Moutushi Sengupta	Financial Analyst

2. OBJECTIVES OF THE REVIEW TEAM

The objectives of the review team included :

2.1 To review the project objective/s at the purpose level in order to confirm that these are still valid and appropriately defined, and to agree any necessary modifications;

2.2 To review progress made in achieving project outputs against agreed target/indicators; to identify any gap in performance and any changes in key assumptions; to assess whether proposed outputs are still appropriate to achieving project purpose or whether modifications are needed; and to identify any major constraints to achievement of outputs and purpose level objectives;

2.3 Specifically, to consider the case for the project starting operations in a second circle, bearing in mind the experience to date and the need for any modifications to the existing model;

2.4 To review the progress of the project against the activities agreed with the last annual review mission (October 1993);

2.5 To agree a revised project log frame.

3. THE MISSION'S ITINERARY :

A full itinerary is included in Annex 4. The team met a wide range of staff within KFD, GoK, NGOs and spent two days meeting VFC teams, range officers and NGOs in the field. The team divided itself into three subteams and reviewed forestry operations; JFPM process and planning operations for JFPM. At Bangalore, the team met senior officials at GoK/MoEF to discuss critical policy issues that were identified during the review.

4. ACKNOWLEDGEMENTS

The Mid Term Review Mission would like to express its sincere thanks to colleagues in KFD who participated so enthusiastically in the Mission's many discussions and visits. In particular, thanks are due to the KFD Team Leader and the Conservator of Forest (Uttara Kannada Circle), who organised the field visits. KFD also provided excellent transport and communications facilities. These too were of great assistance to the Mission.

5. OVERVIEW

The Mission concluded that there was a good foundation on which to build including :

i. shared objectives between ODA and KFD project team members

ii. growing understanding and commitment to the principles of JFPM at all levels

iii. improving relations with NGOs

iv. initial enthusiasm of VFCs

v. some useful progress against main output level objectives.

But, it noted with concern the lack of overall strategic direction for the project including :

i. lack of clear plan of operation (POP) and budgets

ii. weaknesses in project management structures

iii. need to build a wider constituency for the project within KFD/GoK

iv. emerging problems over implementation of JFPM.

PROGRESS

Progress Against Key Objectives

The Mission reviewed progress to date against the main project output indicators, as set out in the Annual Report of the OFO. From this it noted that good progress had been made in a number of areas, including the JFPM training provided by MYRADA, which has improved understanding and contributed to acceptance of the JFPM approach within KFD. A Training Needs Assessment has been carried out, but an overall training strategy has not yet been produced as a result of this.

Progress has been made with the establishment of VFCs and the negotiation of microplans. In relation to this the workshop held in August on experience of JFPM to date helped to review and disseminate useful information to a range of key stakeholders. However, the intended JFPM manual has not yet been produced and there is an urgent need for improved guidance to support the JFPM process. Within this context the Mission noted the way in which relations with NGOs in the project area are improving.

There have been a large number of workshops and consultancies held during the year, details of which are set out in the OFO Annual Report. These have all served to open up key issues for discussion. However, to date little progress has been made on turning recommendations from these activities into strategies for action within an overall plan to take forward key project objectives. This is a priority for the coming year.

In particular, the Mission noted the urgent need to create effective management structures and systems, including a clear and effective role for the PMU and PMC; decision making powers for the Steering Committee; functioning Circle and Divisional Committees. In relation to systems it noted the lack of progress in developing a detailed plan of operations and budget; a monitoring and evaluation system; and strategies for taking forward project activities in training and research.

KEY FINDINGS AND RECOMMENDATIONS

1. PROJECT OBJECTIVES

i. The **original wider and immediate project objectives** remain valid but were reformulated by the Mission as follows:

GOAL: Conserve and protect the biodiversity of the Western Ghats forest while maintaining sustainable productivity with peoples' participation.

PURPOSE: KFD has the capacity to develop, test and implement better systems for sustainable forest management through devolved decision making and effectively involving all stakeholders in this process.

These are incorporated in the revised logical framework at Annex 1.

ii There is a need for a **detailed Annual Plan of Operations (POP) and budget** to set priorities for the year ahead and to link activities to project objectives. This will replace the "Red Book" as the reference point for monitoring activities and accounting for expenditure. The Mission noted with concern that unit costs had increased and careful prioritisation will therefore be necessary in order to stay within the overall project budget limit.

iii For 1995/6 the PMU needs to prepare a revised budget supported by a statement of priorities and broad strategic approach to meeting objectives. The OFO and PMU should agree the procedure and timetable for the 1996/7 POP and budget.

Action: PMU and OFO.

2. PROJECT MANAGEMENT

i At present the Steering Committee has a limited role and is not able to provide the support that was envisaged in the project design. In order to achieve this, it is necessary to have an empowered committee formed out of the Steering Committee. In particular, the empowered committee must be able to take policy and administrative decisions relating to the project on all matters, including:

a) Recruiting personnel on deputation from other Governmental and semi-Governmental institutions.

b) On contract basis from the open market.

c) Purchase of scientific equipment (for GIS) and vehicles that might be necessary to meet the project objectives.

Further, it needs to be empowered to delegate powers to Karnataka Forest Department at all levels to take administrative decisions on project-related activities that are not possible in the existing delegation of powers. In addition, there is considerable scope for it to serve both as a means to channel valuable experience into the project from outside, as well as disseminating the lessons of the project to a wider audience. Proposals for achieving this need to be produced by the PMU.

Action: PMU,GOK.

ii The **respective rôles of the PMU and PMC** should be reviewed to ensure that they can effectively take forward project objectives. Recommendations should be put by the Project Director to the OFO by the end of May 1995 with revised terms of reference which should include appropriate levels of delegated responsibility; workplans for individual members of PMU and PMC linked to the POP; and recommendations on staffing and other resources needed to take these forward. The OFO will consider, in the light of these proposals, whether there is a need to provide additional resources, including incentive payments to PMC or PMU staff.

The Mission recommends that the terms of reference and procedures for the review be agreed between the Project Director and OFO, including the need for consultancy support.

Action: PMU and OFO

iii Experience to date demonstrates that the PMU and PMC require sustained access to sophisticated skills in socio-economic analysis and planning. The current arrangement of expecting serving forest officers to acquire these skills has not worked well. There is therefore an urgent need to find ways of supplementing the existing capacity of the PMU with the appropriate range of such specialist skills. There are a number of ways in which these could be supplied, including deputation, fixed term contracts and consultancy inputs. The Mission recommends that the steering committee be empowered to make these decisions.

Action: PMU, GOK

iv The Project needs to strengthen its links with key stakeholders including other parts of KFD and GOK elected representatives at all levels and NGOs, to ensure that project objectives are understood and lessons are fed back into planning and decision making. It is particularly important to ensure a regular exchange of lessons learned with the JFPM Main Committee.

v Uncertainty about location of the PMU has limited its effectiveness. Since an important part of the PMU's role is to interact effectively with the rest of KFD, the Steering Committee, the OFO and outside institutions, the Mission regards it as essential that the PMU be located in permanent premises in Bangalore. An early decision is needed on this.

Action: GOK

vi The Mission **supports the intention to merge JFPM and territorial staff.**

vii **Future consultancy support to the project** should be determined by the PMC/PMU in consultation with the OFO, as needed to support objectives set out in the POP. Provision for this should be included in the annual Project budget. It will be an objective for the coming year to make increased use of local consultants as appropriate.

3. JOINT FOREST PLANNING & MANAGEMENT

i There is a need to **monitor and keep under review the formation and functioning of VFCs** with a view to guiding their future development. Specific issues to be addressed include membership, legal status, accountability, incentives, rights of access to plantation resources raised under other programmes, and the operation of the VFDF.

ii Further guidance needs to be developed on the **process of negotiating microplans** and their content, including; the scope of activity; a system for linking planning to budgets; ways of ensuring that the basis on which benefit-sharing takes place is transparent; the scope for community contributions and their capacity to raise additional resources; and the need to involve all stakeholders in the process. This is one objective to be included in the 1995/6 POP.

iii The PMU should produce a discussion paper for the workshop (see iv below) to evolve a strategy to cover the involvement of VFCs in the planning process for other zones. The strategy should be finalised in the light of the workshop findings, and should be available by the time of the next annual review mission.

iv The proposal to extend the eligibility for Member Secretary of the VFC to Forest Guard and Agricultural Assistant is welcome. However, in view of the other commitments of these officers we feel consideration should be given to a system of electing the Member Secretary from the VFC itself.

v The PMU should organise a workshop, in liaison with the JFPM Main Committee, within six months to discuss the issues set out in paras i to iv above.

Action: PMU, PMC, OFO

vi PMU and PMC should develop a strategy for evaluating mechanisms to integrate microplans and Working Plans, with special emphasis on protecting the interests of all stakeholders, and to develop broader guidelines for preparing microplans.

vii The Mission notes the need for an increased focus on gender issues and recommends:

a) Action should be taken to implement the recommendations of the Jennings report and to link this to POP for 1995 and beyond.

b) The Mission notes that there is a proposal to revise the G.O. (see 12 below)to promote women's participation in VFCs as full adult household members. There is a need to examine incentives for their participation.

c) The project should include specialist focus on gender analysis which leads to implementation of recommendations in all activities, as outlined in the logical framework.

4. SITE-SPECIFIC PLANNING: RANGE PILOT

This should be taken forward urgently on the basis of the recommendations of the December workshop, in order to start this planting season.

Action: PMU, PMC, OFO

5. RESEARCH

i Research must be demand-led and linked to the project objectives. There is a need to develop mechanisms to take this forward in the context of considering the roles of PMU and PMC and the 1995/6 POP. The Mission envisages the need for research managers within the PMU and PMC with the authority to commission research as provided for within the POP and budget, from a wide range of institutions. A Research Advisory Committee should be established. (Proposed membership and TORs in Annex 3).

Action: PMU, PMC and OFO

ii A detailed proposal for the development of FORTI should be put to the OFO and provision included as appropriate in the 1995/6 POP and budget for approval.

Action: PMU and OFO

6. STAFFING

i The project has suffered considerable difficulties in obtaining and retaining staff, including those who have received UK training, and there are currently a large number of posts which remain unfilled. As a result of experience to date, it is proposed to combine the special JFPM teams with mainstream territorial staff, who will in future combine both roles. To facilitate this the size of the Ranges and Sections for which they are responsible is to be reduced.

ii The Mission supports this change, particularly if it is clearly related to the implementation of site specific planning. However, we remain concerned about whether the current vacancies will be filled in time to pursue this effectively. Similarly, we note the wider implications of developing approaches based on staffing level that are higher than exist elsewhere in KFD. The Mission recommends that the PMU/KFD should review these issues and develop appropriate recommendations. In pursuing this objective, the PMU/KFD should also indicate ways of addressing the general gender imbalance within KFD, along the lines recommended by the gender consultant. This review also needs to consider the need for the large number of posts sanctioned at the start of the project that have never been filled, and the continuing need for which is now in doubt.

Action: PMU and KFD

7. COSTS AND BENEFITS

There is a need for much more information and analysis at all levels to provide the basis for informed choices about policy objectives. PMU and PMC, with the help of a consultant economist, should develop a strategy for quantifying costs and benefits and using this as part of the decision making process at all levels.

Action: PMU, PMC, OFO

8. MONITORING AND EVALUATION

A system should be in place by the end of 12 months at the level of VFCs/RFOs (for microplans), PMC and PMU to provide appropriate information so that lessons are learnt and applied in taking forward JFPM,

in the first and second circles, and more widely. An important vehicle for taking this forward is CoRMIS.

Action: PMU, PMC, OFO.

9. TRAINING

A training strategy to support project objectives needs to be in place within 6 months. This could involve some delegation of responsibility to PMC, but must take account of agreed needs and past experience with training courses.

Action: PMU, PMC.

10. PLANTING

This should be directly related to project objectives. The agreed priority for 1995/6 is to support JFPM. The POP and budget will replace the "Red Book" tables as the basis for monitoring physical progress and expenditure. The PMU will issue guidelines on a strategic framework to ensure that the planning activities identified in the field relate to project objectives.

Action: PMU, PMC

11. SECOND CIRCLE

It is important to test JFPM in a different environment, which would be provided by the second circle. Shimoga Circle has been approved by the Steering Committee on the basis of agreed criteria. However, a priority for the next six months is to establish the basic project management structures and systems in order to support JFPM in the first circle. If the milestones established for the next six months have been met, the Mission recommends that a joint KFD/ODA design team be established to prepare detailed proposals for Shimoga Circle. This should be taken forward in a way that does not detract from the PMU's ability to meet objectives in the first circle. Further details are in Annex 2.

It is proposed that two of the KFD members of the design team should be members of the Shimoga Circle PMC. They should be deputed to the existing PMU/PMC as soon as possible in order to gain experience of the strategic developments taking place in the project prior to starting the design process for Shimoga Circle.

12. GOVERNMENT ORDER

The mission notes the proposals to change the GO on JFPM in light of

experience gained to date and supports these proposals in general. However, the mission would like to offer the following observations:

i (G.O. Annex para 4)
The mission welcomes the proposal to make both spouses members from any household that participates in the VFC. However, we would urge that consideration be given to making provision for:

a) All adult members of the village to be eligible for membership, so as to cover single adults who form parts of households.

b) The sharing of benefits be on the basis of individual membership and not on the basis of households, so as to ensure equitable access to such benefits.

ii (G.O. Annex para 3(a))
The proposal to extend provision of the JFPM scheme to areas with a crown density of greater than 0.25 only where there is a predominantly tribal population seems unduly restrictive. We feel consideration should be given to ways of extending this to other populations in such areas.

ANNEX 1 DRAFT LOGFRAME

Narrative Summary (NS)	Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
Goal: 1 Conserve and protect the biodiversity of the Western Ghats Forest while maintaining sustainable productivity with peoples' participation.	1.1 Zone 1 Maintain No of species per Ha. over all time without participation Zone 2 : Canopy cover maintained; Species diversity maintained; Ha. cover maintained with participation in planning to EOP Zone 3 : Varied Canopy cover increases according to local VFC requirements for usufruct; Ha. coverage maintained at present levels; Species increased (according to locally determined criteria); people participation in planning; increase in non-wood forest products Zone 4 : Canopy increase to min 25%; species Nos dependant on locally determined plans; Ha. coverage maintained; full participation in planning and management by VFCs; increase in forest offtake (to be determined locally)	1.1 GIS measurements (+ ground surveys and truthing) M & E Annual Reports Special Impact studies	(Goal to Supergoal): 1

Narrative Summary (NS)	Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
Purpose:			(Purpose to Goal):
1 Karnataka Forest Department has the capacity to develop, test and implement better systems for sustainable forest management through devolved decision making and effectively involving all stakeholders in this process.	1.1 A proven system(s) of JFPM operating in project areas and adopted by KFD for replication elsewhere. 1.2 Participatory Site specific planning operating throughout project areas by EOP 1.3 KFD management of participatory process approaches demonstrated	1.1 1.2 1.3	1 KFD forms links to agencies which provide alternative / supplementary social and economic programmes with the potential to provide additional or alternative incomes and livelihoods for rural people.
Outputs:			(Output to Purpose):
1 Supportive policy and legal framework in place	1.1 GOs and Policies modified eg: status and incentives for VFC's, or Green Felling Ban	1.1 Workshop Recommendations and GOs Annual status reports	1
2 Project management structures in place and operating effectively	2.1 Bottom-up, local, plans and annual progress reports from VFCs + Range consolidated at PMC, then PMU levels, into the timely production of annual plans and budgets within strategic frameworks,on a rolling basis, to EOP 2.2 Full personnel job descriptions 2.3 Delegated budgets discharged according to agreed annual plans 2.4 Feedback from M & E incorporated into annual planning cycles	2.1 Annual PMU Strategy and POP (and budget) 2.2 PMU / PMC Report and POP on a rolling basis 2.3 Annual budgets and pmu report 2.4 M & E Annual Reports and POP	

Narrative Summary (NS)	Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
3 KFD and other stakeholders acquire and use new skills	3.1 Training, workshop, visits and information dispersal strategy developed according to a stakeholder analysis.	3.1 Strategy Document (annual)	
	3.2 Implement training strategy (on rolling basis)	3.2 POP and M & E Reports	
	3.3 New skills demonstrated - to be defined on a case by case basis eg JFPM, PRA, Strategic Planning, Economic Analysis,	3.3 Assessed on a case by case basis according to skills training type (to be defined in POP)	
4 Information gaps identified and met	4.1 Annual identification of data / Information gaps and means of filling.	4.1 POP M & E Annual Plans	
	4.2 Data / Information studies / research programmes completed	4.2 Annual Report and POP	
5 Monitoring and evaluations systems contribute effectively to planning and implementation	5.1 1 Micro and management plans become increasingly relevant to project objectives and cost effective 2 KFD's policy dialogue is better informed	5.1 1 Impact studies 2 PMU / PMC Strategy Papers 3 Micro plans analysis 4 Annual Plan of operations	
	5.2 M & E Systems in place	5.2 Annual Reports POP Annual ODA Monitoring Mission Report	

Narrative Summary (NS)	Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
	5.3 Data for M & E Systems used in decision making	5.3 Policy Papers Workshop Outputs POP quality analysis	
6 KFD establishes links with other major stakeholders	6.1 Formal mechanisms operating within the systems at all levels : (Specifics to be identified) Including Annual Stakeholder analysis appropriate to all levels incorporated into POP	6.1 Strategy and POP.	
7 Mechanisms established for replication of JFPM	7.1 Second Circle (Shimoga) JFPM implemented 7.2 Plan for replication of JFPM in other forest areas of Karnataka	7.1 Second Circle Plan and POP 7.2 Replication plans	
Activities:			(Activity to Output):
1.1 Establish mechanisms for policy review	1	1.1	1
1.2 Review implications of range pilot for GO by mid 1995		1.2	
1.3 Institute special examination of the gender implications of GOs		1.3	
2.1 Review and consolidate roles of PMU and PMC by August 1995		2.1	
2.2 Draw up work plans for PMU PMC and Range Officers according to POP		2.2	

Narrative Summary (NS)	Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
2.3 Plan and oversee a pilot, site-specific JFPM at Range level beginning in 1995 and included in 1995 POP and budget		2.3	
2.4 Produce annual plans and budget by December each year for verification by Steering Committee and ODA		2.4	
2.5 Produce Long term and annual strategies on a rolling basis. (First by April 1995)		2.5	
2.6 Recruit specialist staff for PMC according to operational work programmes on a rolling annual basis		2.6	
2.7 Merge JFPM and Territorial staff and implications of this to be reviewed for 1996 budget and beyond		2.7	
2.8 Consultancy needs to be incorporated into POP on annual rolling basis		2.8	
2.9 Examine the need for a specialist gender resource person in the PMU and recruit accordingly		2.9	

Narrative Summary (NS)	Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
2.10 Examine whether changes can be made to the employment policies of KFD in relation to JFPM to encourage more women to come forward into the Forest Service. Special emphasis should be given to vacancies existing at the level of Forest Guard and RFO.		2.10	
3.1 PRA Training of KFD officers according to annual POP		3.1	
3.2 Training programmes devised for PMU / PMC staff (on an annual rolling basis).		3.2	
3.3 VFC committee members training identified and implemented		3.3	
3.4 Exposure and study visits for KFD and other critical personnel identified and implemented		3.4	
3.5 Workshops and information dispersal planned and implemented according to POP		3.5	
3.6 Develop training strategy for inclusion in POP (on a rolling basis)		3.6	

Narrative Summary (NS)	Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
3.7 Special studies of gender needs of stakeholders to be implemented and training, workshops, visits and information designed and implemented.		3.7	
4.1 Establish research management and advisory system by May 1995		4.1	
4.2 1995 Research programme completed and rolling plan agreed		4.2	
4.3 Workshop to review formation and functioning of VFCs (first by August 1995) and submit recommendations to annual ODA Review Mission on an annual basis.		4.3	
4.4 Consultancy to review the case for, and scope of FORTI within the project's objectives before the end of 1995		4.4	
4.5 Develop a plan for collection and analysis of information costs and benefits and incorporate this in decision making processes at all levels		4.5	
4.6 information gaps about gender needs and in providing information to women should be specifically addressed on a continuous basis.		4.6	

Narrative Summary (NS)	Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
5.1 Develop guidelines on micro planning and Review the content of micro plans annually		5.1	
5.2 Develop and implement the M & E system by end of 1995 (on a rolling basis)		5.2	
5.3 Mechanisms for including monitoring output information to the annual strategy and POP papers		5.3	
5.4 Range pilot designed and running with lessons learned made widely available.		5.4	
5.5 Special systems for incorporating information on gender needs and of relevance to women's participation should be incorporated into the M & E systems		5.5	
6.1 Revise TORs for Steering Committee		6.1	
6.2 Research Advisory Committee meeting regularly		6.2	
6.3 Membership of VFCs revised to reflect all stakeholders' interests		6.3	
6.4 Circle level advisory and information committees established and meeting regularly		6.4	
6.5 The differing needs of women and men should be given special attention in all stakeholder analysis		6.5	

Narrative Summary (NS)	Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
7.1 Fulfil criteria for commencing work on second circle planning		7.1	
7.2 TORS and Team membership for second circle planning by September 1995		7.2	
7.3 Lessons on second circle planning and implementation distributed for consideration by KFD through workshops and papers by EOP		7.3	
7.4 Second Circle (Shimoga) to develop means of gender training, gender analysis, gender employment policy from the outset and to incorporate gender considerations into all JFPM planning and implementation activities.		7.4	

ANNEX 2: MOVE TO THE SECOND CIRCLE

1. It has been recommended that proposals for the project's move into Shimoga Circle should be prepared by a design team. These proposals would need to be appraised by ODA and GoK. A tentative outline of the type of criteria that the proposal might be considered against are set out below.

2. Before moving to Shimoga Circle ODA would expect to see substantive progress in the First Circle. The sort of criteria against which progress could be measured might include the following:

    - Satisfactory progress against the recommendations of the Mid Term Review Aide Memoire and implementation of the strategies developed.
    - A flexible strategic planning process in operation which relates the plan of operations to the project objectives and is no longer tied to prescriptions in the Red/White Book.
    - Roles of PMU and PMC clearly defined and both operating effectively.
    - A site specific planning system (including community involvement in Zone III land) successfully piloted at the range level and a strategy for introducing it on a wider scale developed.
    - The introduction of JFPM being successfully taken forward. In particular evidence that lessons from the initial experience of introducing JFPM are being fed back into operation of the JFPM development process.
    - Mechanisms in place to enhance the links from the project to KFD and GoK.
    - Cost and benefit considerations systematically included in decision making processes at all levels. Further reduction in unit costs and further quantification of benefits.

3. The proposals for Shimoga Circle will probably need to address the following issues:

    - The lessons that have been learnt from the operation of the First Circle, and elsewhere, applied in Shimoga Circle.
    - The Second Circle should not be a simple replication of the First Circle. The design must set out the strategic framework in which it is operating and identify initial activities on the basis of how they will assist in meeting project objectives. The budget in the Red Book is not a relevant consideration, except that the agreed total project budget remains a

constraint. The budget for the Second Circle will need to be considered in the light of the spending priorities between the two circles.

- The phasing of activities in the Second Circle will be important and will need to take into account the nature of the Second Circle, as well as the requirements for successful JFPM.

- The focus should be on replicability and take into account the financial and human resources available and likely to be available within KFD and elsewhere.

- The conditions in the Second Circle will require some different approaches. Some experimentation may be necessary.

ANNEX 3: RESEARCH

1. Following the report of the Research Workshop in May 1994 a list of 22 research priorities was prepared, on the basis of the views of the workshop participants. These, however, largely represented the research community, with heavy emphasis on the maintenance of high scientific standards rather than on relating specifically to the information needs arising from the JFPM activities in the project.Four of the research submissions have now been funded.

2. The management structure for ensuring that research is end-user-led is still unclear and it is now urgent that responsibility be delegated to a designated Research Management Officer in the PMU.

3. At the PMU level it is recommended that a research advisory committee be set up to advise the designated Research Manager. This should meet four times a year; TORs are given in Appendix 1.

   Action: PMU and OFO.

4. It is also recommended that research arrangements be set up at the PMC level and that 30% of the research budget and much of the adaptive research in support of local level planning is allocated at this level. There is therefore a need for delegated budgetary authority.

5. The research at this level will be considered by a committee of end users including VFC representative(s), field officers and NGO representatives. Initially it is suggested that this committee under the chairmanship of the CF responsible should meet twice a year. The chairman should liaise with the PMU for outside assistance needed.

6. It is anticipated that much of the research will be carried out in the village forestry areas, or on farm.

7. The development of FORTI is closely linked with the ability of KFD to conduct research for itself. This development must be set in the context of the expectation that, at the PMU level, research will be commissioned not only from the KFD Research Wing/FORTI but also from other specialised institutions. Relevant areas of expertise that may need to be accessed include socio-economics, ecological analysis and survey and soil science, for example. The proposals here need to be implemented independently of decisions about the development of FORTI.

TERMS OF REFERENCE FOR THE FOREST RESEARCH ADVISORY COMMITTEE

PREAMBLE

1. Research needs within the project can be classified under:

   Monitoring and management information supply

   Optimising existing practice, and

   Adaptive, strategic and innovative

The mission of the Forest Research Committee is to support and assist the Research Manager of the Planning and Monitoring Unit (PMU) in implementing the research cycle, as follows:

- Identify information needs, primarily arising from the field level staff and VFCs and from workshop findings;
- Formulate research programmes to meet these needs, with the assistance of a panel of reviewers as needed;
- Identify a suitable implementer for the research;
- Commission the research;
- Manage the research implementer;
- Assess the research results in relation to the objectives;
- Disseminate the results and feed back into practice.

MEMBERSHIP

2. The members of the committee shall be:

   1 representing commercial users of forest products;
   1 representing project committees;
   1 representative of the field DFOs
   1 NGO representative, with experience of NTFPs
   1 PMU/PMC representative
   Research Manager (chairman)

The Research Manager has the power to coopt other members from time to time as found necessary to provide expertise in subject areas not represented by the above.

MEETINGS

3. The committee is expected to meet four times a year to consider research demands. In this process the chairman and the committee will be able to draw on the help of a range of advisers, referees and consultants. Members will be entitled to receive a daily fee for attendance, plus subsistence and travel expenses.

4. If members of the Forest Research Committee are asked by the chairman to evaluate research demands and proposals and to report by post, a fee for half a day's work will be payable on acceptance of the evaluation report. Standard forms for proposal evaluation will be prepared and agreed by the Forest Research Committee.

5. The method of dissemination of results within the project is within the discretion of the Research manager, but should at the least be through a Project Working Paper. As far as possible relevant findings should also be disseminated in vernacular languages and also orally to VFCs.

PRELIMINARY LOGICAL FRAMEWORK FOR RESEARCH IN THE PROJECT

NARRATIVE SUMMARY	MEANS OF VERIFICATION	
GOAL: kfd has the capacity to develop, test and implement better systems for sustainable forest management through devolved decision making and effectively involving all stakeholders in this process.		

PURPOSE: To ensure research is carried out to address needs for information from end users	75% of research programme identifiably resulting from end user demand by year 3	

OUTPUTS: 1. Functioning Research Manager in PMU holding funds and powers to subcontract direct	Officer agreed and acting Agreement on financial and subcontracting responsibility	
2. Research Advisory Committee to advise the Research Manager, with agreed membership operational	TORs for Forest Research Committee 4 RAC meetings held between 4/95 and 4/96	
3. Functioning research committee at PMC level operational	TORs for PMC Forest Research Committee 2 PMC meetings held between 4/95 and 4/96	
4. Systems to generate research demand at both levels operational	Flow of information needs from end users to committees	
5. In country training course on research derivation completed for DFOs	Course completed by 50 DCFs, DFOs and ROs by end of 1996	

ACTIVITIES 1. 2. 3. 4.		

ANNEX 4: ITINERARY

6/2/95	Monday	Team arrived at Goa Team briefing Overnight Goa
7/2/95	Tuesday	Overview and LogFrame Workshop (ODA and KFD team Overnight Goa
8/2/95	Wednesday	Drive to Uttara Kannada ODA and KFD members split in three subteams to review : i. Forestry operations ii. JFPM Process iii. Planning for JFPM through field visits to Village Forest Committees, JFPM teams, NGOs etc Overnight Sirsi
9/2/95	Thursday	Meeting with Circle level staff The three subteams continued to review JFPM operations. Overnight Sirsi
10/2/95	Friday	Workshop on JFPM & planning issues; SWOT analysis undertaken Fly Bangalore from Hubli Overnight Bangalore
11/2/95	Saturday	Team split for visits to Planning & Monitoring Unit, KFD HQ, Research organisations, MYRADA, NGOs etc. Discussion with KFD on strategic planning for the project
12/2/95	Sunday	Thinking and writing
13/2/95	Monday	Workshop and discussions on project issues and future activities.
14/2/95	Tuesday	Discussion of Aide Memoire with KFD Discussions with GoK Fly to Delhi Overnight Delhi
15/2/95	Wednesday	Discussions with BHC Presentation of proposals to MoEF

ASSESSMENT OF ODA/WGFP

In the real sense the ODA sponsored JFPM is going against its stated objective. The project has dual impact on both villagers and the environment where in it is being implemented.

Its impact can be listed as follows:

- Relation between the villagers and forest officials was spoiled and the earlier gap has further widened.
- The project was used to vacate the poor people without land tenure (encroachers) in the forest land.
- KFD has made a team from among the villagers to watch and guard the forest where the VFC has been formed, thus lowering its own work. The VFC is acting as a free watchman.
- In almost all villages the plantation area was used for grazing Now by transplanting the plants and by fencing these areas the villagers lost grazing area and grazing land has reduced.
- Common briddle path has been disrupted. It has affected movement of cattle and people.
- Monoculture of acacia and in some places teak will hinder the growth and development of natural species and grass in the plantation area.
- In many cases the selection of VFC Chairman and formation of the committee was done only according to the wish of officials, just to satisfy the legal requirements and to meet the JFPM fules. Some people were purposly neglected and KFD has succeeded in keeping them away from the VFC who have been able to express their own views and who opposed the KFDs mistakes/or wrong policies.

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PEOPLES PARTICIPATION

Participation of villagers in the JFPM functioning is not more than 25% of the total population in the village. Although there is lot of effort taken by higher officials of the Forest Department including Conservator of Forests, DFO; they failed to attract the villagers towards the JFPM. Some villagers told that "like many other schemes ODA is also another scheme where in the KFD has all the power everywhere and forest officers are coming to villages and tell something. The villagers just shake their heads, that is all about the JFPM project". Want of confidence between the villagers and the forest department the manner that the forest department treated the villagers since the beginning; keeping away the villagers during plantation time, failure to explain the actual goal of JFPM and its benefit, may be the reason from which the people are still hesitant to be part of the project. The secrecy of forest department may the another point from which the people do not believe them.

It is noted that the public is not satisfied by the rules and regulations of the JFPM act.

Some people were interested in JFPM because they are allured by the forest departments bait like the distribution of 50% of the product from the plantation. They also think that they could secure some power and also they have an ardent desire to fulfil their own wishes by making friendship with the forest officials.

This it can be very well noticed that the people started thinking negatively from the initial stages of JFPM. They show least interest in growing and maintaining the plants and to make the JFPM success. Every one wants more power from the forest department

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they want to know the budget of the plantation, like that they want income from the JFPM.

VFC FUNCTIONS

In very few places the VFC is functioning and in many places it is just to satisfy the rules and regulations of the JFPM order and to satisfy the funder. Its function is just on the paper but not in reality. They discussed a lot and heard many promises from the forest officials. But VFC is unable to make true those promises or the matterdiscussed in the meetings. In fact only limited number of people are participating in the functioning of VFC. In some villages (to give an example VFC at Kilar) the VFC Chairmans are not aware of the name of the committee members. It is rather difficult to get the information like the total plantation area in the village under ODA project, total plants, plant species, what may be the cost of planting etc., from the committee members and also from the VFC Chairman. In many villages the KFD has selected the VFC Chairman who is in contact with the forest department like forest contractor or persons who has good relation with the department. Due to this some villagers are looking at them with doubt and this suspicion may be a major factor in keeping out genuine people.

ODA : PUBLIC OPINION

Many villagers opine that the forest department should have given the responsibility of transplanting the saplings to village people. It was easy for them to maintain the plantation because they would have affection towards the plantation. But forest department has not given this responsibility and in many occasions KFD acted as a diplomat and has not planted sapling that the people have asked.

..4

Another factor which created a dispute between KFD and public is that KFD has vacated the farmers from their encroached land which they had it since long ago. By these actions the people started to think that by means of this ODA project some people are making money. The KFD has not been giving the information about what is the budget for the particular plantation and the cost of plantation. This created an opportunity for the people to think that there is the possibility of misuse of the money. In many villages the plantation work was done without informing the villagers and afterwards VFC has been imposed. This factor further deepened the villagers doubt. In many villages KFD has kept away the people who are opposing them and the people who have expressed their views. Thus, while froming the JFPM it has succeeded to keep those people away and also to meet the legal requirements of JFPM order. The peoples intention is to give the complete responsibility of plantation to NGO's or some other organisation and to the people and the KFD should watch and guide them, then only the things will go correctly.

USE OF ODA PLANTATION

Villagers may benefit in getting fuelwood, green leaves and dry leaves in the near future. But for the time being it is difficult for them to collect fuelwood green leaves and dry leaves. Availability of green grass and fodder was reduced to a great extent because of planting acacia and teak plantations. This has direct affect on the cattle. Many poor families are facing difficulty to feed their cattles. In fact KFD has transplanted maximum acacia and teak with commercial intention, this may affect the natural ecological balance of the area. Because the villagers told that noting will

grow under the shade of this acacia and teak plants and these plants hinders the growth and development of natural variety of trees, and grass. If the forest department had planted more natural variety of plants, it would have more use to the villagers. But any how the KFD has increased the canopy over the area. In some villages people said that illegal cutting of forest trees, forest fire etc., has been reduced considerably after imposing the JFPM in the village.

NRH/Feb 1995)

(Report based on 3 months of field work)

Meeting at Overseas Development Administration, 27.11.95.

Present: Susan Unsworth, in charge of India desk at ODA; moving to Delhi in January 1996.
David Turner, responsible for the environmental policy of ODA, formerly at India desk
Mary Hobley: consultant working in support role with Western Ghats project, on beneficiaries and losers in the scheme; a forester with social science training.
Chris Athayde, a newcomer to the department.

Pandurang Hegde, representative of Appiko movement of Karnataka, who has been researching and monitoring the effects of the ODA programme in 50 villages in Uttara Kannada.
Nick Hildyard, editor of The Ecologist magazine.
Alex Wilkes, from the movement to reform Bretton Woods Institutions
Sophie Grig of Survival International
Jeremy Seabrook, independent writer and journalist.

Susan Unsworth welcomed the chance to meet with Pandurang and other critics of the ODA scheme. She stressed that it is a process project, form which the ODA is learning all the time. This means that many of the critical papers submitted by Pandurange Hegde are already out of date, some based upon pre-project documents, earlier publications, whose wisdom has long been superseded. Unsworth said that the project has moved away from planting targets and models to site-specific models. They have also moved away from rigid zoning to microplanning,which extends beyond Zone 4 level, the most degraded areas, to which VFC participation was originally to have been confined.

Unsworth detects a major shift of attitude in the Karnataka Forest Department. This is reflected in relationships between the KFD local NGOs who are involved in the project in a variety of ways, supporting Village Forest Commitees in some areas, helping income-generation schemes in other villages. In the mid-term review of the scheme in Sirsi in February 1995, the NGOs presented papers and discussions which expressed genuine concerns, but showed that a real dialogue was now taking place between them and the KFD.

'Some of the criticisms we accept. We now accept that a lot of other major causes of deforestation (other, that is, than people's over-use of the forest) are not touched by the project, including illegal smuggling and unofficial corrupt felling. The KFD is equally worried about these things, and is looking for allies within the Government of Karnataka to address them.'

She also agreed that making maximum use of local resources, including consultancy resources, had been a further failing. They are now trying to identify sources of expertise there. 'We have cut down on consultancies on this project.' [Much of the money has already been spent in UK. That the £5m or so spent on UK consultants is a form of out-relief for under-funded academic departments in UK she also vigorously repudiated.]

'We are also concerned with livestock and its place in the forest; and are anxious to study local traditional practices in an effort to find ways not to exclude graziers and nomadic Gowlis from the forest.'

'But we reject the idea that there is a hidden agenda in the ODA, getting employment for UK consultants. The trend in the India programme over the past 3 or 4 years has been towards local cost projects; we have greater delegation from the Treasury to call on local expertise; and the nature of the projects demands this.

'Neither does the KFD have an agenda of commercial logging. There is no commitment to free-felling. This does not correspond to my understanding of reality. It is about the sustainable management of forests, taking account of the needs of the local people. How to do it well - that is the question. It is not easy. We have been encouraged and excited by the progress so far. There has been real change, a change in KFD at village level, especially in site-specific planning. It looks set to take hold, and take over from the top-down target-driven approach.'

Pandurang Hegde: 'All the material on which our criticism is based is from your published sources. One senior officer of KFD at a press conference had spoken openly about the resumption of commercial logging.'

S. Unsworth: 'There has been talk of the lifting of the ban on silvicultural practices; but they are certainly not advocating the lifting of the ban on clear-felling.'

Mary Hobley: 'The distinction is they don't want felling for commercial purposes. They are interested in felling in some areas for local livelihood under JFM plantations. It is not agreed dogma in KFD; they want thinning of plantations, not of areas of natural growth. All must be site-specific. In any case, what was said then is not necessarily current now.

P. Hegde: There have been many changes to the project since the final document. We acknowledge the serious concern with the process. The strengths, as we see it, include the commitment to participation; this is a good shift. Earlier village participation was not there in social forestry projects. How to involve people in the implementation rather than have it carried out by government machinery. The KFD's traditional policing role, their anti-people attitude, are supposed to be changed by this project. There is an attempt at attitudinal change. And the Government of Karnataka order to form VFCs would not have been implemented if the ODA had not been there behind it.

'We understand that the money from the ODA is being given to the Government of India which has given 30% as a grant to Gvernment of Karnataka, and 70% as a loan at 9% interest. This makes it complex.

'But whatever changes have occurred now in the thrust of the project, what has happened in the past three years has already had its effect, both on the people and the ecology of the region. Of the data I have

on participation, the most recent report was completed in October 1995, so that is decidedly not out of date.

'What we found was that initially the people were interested. The promise that they would get a 50% share of the rewards, 25% going to the people, 25% to the VFCs. This naturally excited their enthusiasm. But after that, they saw areas taken over for plantation, and after consultation with them over planting they were ignored. VFC resolutions were simply overridden. This disregard of the people has had its effect. It will be difficult to re-start, even if your methods have changed; they have seen themselves by-passeed, they will be suspicious.

'Those VFCs that have NGO support are better than those where the villagers have no one between them and the KFD. Where there are no NGOs, they are functioning badly or not at all. The KFD may be aware of the attitudinal change required, but cannot handle all situations. In some places, the VFCs are ignored completely, and earlier plantation models are still being implemented.

'In the whole process, when people see money spent in their name for plantations, with only token involvement or control, mistrust is engendered. This mistruust bodes ill for the future. They will say OK you have come back back again. But the damage is done; why should they co-operate this time, or expect anything different?

'Plantations do not address the biomass needs of the people; microplanning has not taken account of them, they see the microplans as irrelevent. The actual planting is against their biomass needs, and are an extention of commercial forestry.

'We have been looking at the effects in four villages of monocultures which were supposed to be multipurpose plantations, gap or open space plantations, and followed them over time. We surveyed 20 metre quadrants in four village areas: 80% teak in one village, 82% acacia, 75% teak in others. In , Ghattikai, after a time, the percentage came down, in Bellankari, acacia came down to 62%. Natural regeration is there, but at that level, the plantation trees become invasive, take over. All are ostensibly multi-purpose, but they remain an extension of commercial forestry.

'Where gap plantations had occurred, it was 91% acacia in Ghattikai, 72% acacia in Shikeli.

'The implications for biodiversity, as well as for popular use, are disastrous. The livestock report of the ODA was excellent: it indicated that any disturbance to existing grazing land hits the poorest very hard. This is expressed by the people, and is shown by their forced sale of cattle. Access to minor forest produce has also been denied where enclosures have removed grazing land and forest access.

'How do you propose to reduce the ill effects of planting monocultures, they want to know.

'In many villages, people have been uprooted from their survival base. Paddy growers have been evicted, saplings planted. People have been arrested under the project; forced to plant under duress; they have been to Court to claim back land that has been enclosed and taken away from them. Some havespent their life savings. How can they be expected to relate to a later stage of development of your project. How are you going to win over those who have suffered through it?

'You have spoken of sustainability. It is a six-year project, with three years gone already. Within six years you cannot establish sustainability. If monocultiures are planted, natural resources used by the people will be under threat. It will destroy diversity; monoculture suppresses local varieties. The sustainability depends on changes in KFD: but once the project is over, what then?

'Is it not time for an independent evaluation of the whole progrtamme? Parties not tied to ODA or KFD should do the evaluation.

'We are monitoring 50 villages; every three months we document and collect data; academic institutions are involved as well as Chipko and Appiko.'

S.Unsworth: 'The information we have from NGOs is that the committees have been broadly successful; that forest oficials are changing.

P.Hegde: 'These are exceptions. It is true that in places where NGOs have had a significant role, the committees have functioned better.

Mary Hobley: 'I think the important point is that things are changing. There is a new approach. Many issues are being addressed. What do we do about the past, to regain conidence and build trust. There is no off the cuff solution. We must find ways of working with the people and KFD to rectify unpleasant situations. It has important lessons for the future of areas not yet under JFM; those, with the introduction of site-specific planning, will be different.'

S.Unsworth: 'In February in Sirsi, I met 10 NGOs, who cover the other part of the picture. Many have been heavily engaged for some time. Appiko is working with other groups. Now those NGOs are not led by the nose; they are concerned groups, articulate and critical.'

P.Hegde: 'We have good meetings with them and good contacts with NGOs. They cannot always bring out some of the most sensitive issues, because of their need for funding. They share our concerns and express them, but cannot always publicly take on issues which are raised. They help us, co-operate with us to collect data, but they keep a low profile. Appiko covers the whole of the Western Ghats; we are not just a snapshot of a few isolated areas.'

S. Unsworth: 'I'm puzzled by what you say is NGO reluctance to come forward. They were extremelyy vociferous at the beginning; now less so. They still express real concerns - the role of women on committees for instance, which we recognise to be a problem. But they felt that their concerns were being listened to and addressed. We know that

results are mixed on the gorund; there are causes for concern, but there are also good things. We need a more balanced picture.'

M. Hobley:'The ODA is currently involved in looking at participatory forest management around the world, and the lessons to be learned from it. The projects in Himachal Pradesh and Ghats will be looked at by someone independent of ODA, with a good understanding of the issues. This is to be a review of what has been happening in forest management. Arvind Khare is carrying out the study of ODA projects globally.'

S. Unsworth: 'We are prepared to think about an independent review, because we do want a picture of what is happening across the board, not just reports from here and there only. Do Appiko and NGOs see eye to eye?'

N. Hildyard: 'The NGOs at the beginning were vociferous because they had predicted that the zoning process would not work; you have clearly conceded some of their criticisms.'

J.Seabrok: 'There is also a wider issue, fear of the the NGOs that they will lose their funding if they criticise projects which benefit them financially. There is also a wider culture of fear which operates in the KFD. It is the biggest employer in the region. People cannot go against the KFD. Furthermore, forest officers have depended on private enterprise to augment their income - extortion, intimidaiton of the people, illegal felling and smuggling. That is not changed by training. Indeed, there is a sweet irony in the fact that the forest department culture is part of the legacy of the British raj; and in that British expertise now claims to be changing the forest culture which it bequeathed to India.'

S. Unsworth: 'Yes, we were just talking about that a few days ago. We recognise that the KFD is king. Nevertheless, from what I've seen of the NGOs in the project, it does not square that they are yes-men. They've brought up a series of points about implementation of the project, and the KFD has been listening. It may be that we couldn't get it right to begin with, progress is patchy, but for instance the Karwar DFO has a good understanding, and there, it is certainly happening.'

M. Hobley: 'It is a point of transition. There is concern that in the past foresters talked only to village elites and excluded the rest. But there are present examples where foresters are involved, working with local people.'

J. Seabrook: 'Illegal logging by KFD officials is at the lower level; their involvement in it is to their material advantage, especially if they are low-paid. How is that going to be reached?'

N. Hildyard: 'The ODA and the KFD are often running several stages behind the villagers. There are actually other models of forest management by local people, some of which have been in existence for many years; one of these you'll see on the video.'

S. Unsworth: 'We are pursuing the course of attitudinal change, There has been a transformation as far as planting goes; the site-specific model will be applied to the Shimoga Circle [the next area of Uttara Kannada to which the prpoject is to be extended]. We must regard the changes brought about as a gain to hang on to. At the Circle and DFO level there are people who think it can work, and are convinced that this is the right approach. Above and below them are officials who are not convinced; it is to those we have to reach out now.

'But we must not lose the gains by giving ammunition to people who are out to destroy the process.

N. Hildyard: 'Within the ODA itself, do you find that there is a division of opinion, between those committed to furthering participation and those who are sceptical about it, indeed would like to jettison it? And if so, which faction is in the majority?'

S. Unsworth: 'There are not many who are sceptical. The general position is that people haven't seen a better alternative to JFM. Some are asking questions about how it is operating, just as they are in other sectors. Participation is not a fragile plant in ODA; yet there are those asking questions about what is really happening, about how sustainable it is.'

N. Hildyard:'How sustaimnable will it be after the project?'

M. Hobley: 'Having changed to site-specific planning, we are also changing to social-specific planning too; so that the needs of the immediate community are answered; that means, not necessary village community, but also user-groups, whether women, herders or whatever, perhaps covering a series of villages. We can build on the existing social structures to facilitate this.'

P. Hegde: 'In places there are long established forest panchayats. In others there are people's irigation schemes, some of which have been operating for many years.'

M. Hobley: 'Yes, these are the diverse social institutions which must also be built on. There are those who say Give the money to the villagers, and they can decide exactly what to do with that money. In Karwar now, they are addressing the complexity of the institutional arrangeents. This project is about encouraging space for everyone involved. Not top-down prescriptions. The policy framework has to be sufficiently open to let these things happen.'

VIDEO.

S. Unsworth: 'The figures you give on monocultures do not correspond to the figures I've seen.'

M. Hobley: 'Some villages express a desire for mixed plantations. Others say they want plantations of teak or acacia, looking to future value and revenue; others see potential for natural regeneration, with spot planting of fruit trees.'

P. Hegde:' The question is who is making decisions about the species to be planted, who is making the choices in the villages? - Even when local people say acacia and teak, which people are saying it? Is it a minority imposing their views on the others?

'Of the 50 villages for which we have data, we have found that natural regeneration has been excellent, but even where this has happened, monocultures have still been planted. Another study we have brings out the fact that VFCs decide on species to be planted, if that choice is narrowed by influential members of the VFC, the possibilites of chooisng commercial species is greater.

'The forest has to provide biomass to the people. Unless those needs are met, how can it be sustainable?'

M Hobley: 'Even no-intervention management is as much management as going in and planting. On some very degraded lands you have to plant with low species diversity; the question is, how to manage that in the future, how to encourage more species over time. There can be creative management of monocultures, which will remove some of the excesses. Even bad plantations can be managed by local people.

'Even though the zoning areas have now been cancelled, not all the forest officers know this.You need pioneering species in degraded areas.'

P. Hegde: 'To manage a resource, you have to give the people a resource to manage. It is no good giving only the most degraded land and saying manage it. They have to live now.'

M. Hobley; 'In Karwar, VFCs have been set up in areas with higher canopy cover than 0.25, because of the far-sightedness of the people there. There is joint management of all areas. Experience is being built up. We need to maintain the pressure on the FD, so that participation occurs in all areas of the forest.'

P. Hegde: 'There is no mechanism, for involving people in managing the forest resources. Power is not given to them to manage. The people want JFPM to go right across every area of the forest, but they want control. They want to identify the mechanisms for doing this. Benefit sharing is only in Zone 4 now.

M. Hobley: 'The ODA perspective is different from KFD perspective. This is a transition period, where these will converge more, as we move from targets to site-specific plans. The KFD has not yet adapted in all areas. The commitment is there, but they are starting from a low base. If we go in too critically, this will produce a defensiveness on the part of the KFD, and we will lose the advances that have certainly been made.'

J.Seabrok: 'How long will it take for the fragile plant to become robust enough? After all, we are in the 3rd year of a six-year project.'

S. Unsworth: 'We don't get invovled in a major management change project and then simply wash our hands of it. We are still talking into moving into a second Circle in Uttar Kannada. If we think we have something that is really changing, we would want to support it, perhaps in a different way. We are considering coming out of some activites in the first circle. It is a process of continuous learning. We have to develop new mechanisms outside Zone Four; user-groups are, we feel, a good idea, in identifying appropriate social groups.'

P.Hegde: 'People need legal and practical rights over forest resources. User rights. People should feel it is 'our forest' not KFD property. People would then get a total share of the environment in which they, not forest officials, live.'

S. Unsworth: 'Before drawing the meeting to a close, I'd like to say I've found it useful. I would like there to be some follow-up.

'To sum up; tThere are a number of areas on which we have common ground. It's a pity that Judy Walker, the Social Development Adviser could not be here. I'm sure she would have wanted to say that just as site-specific activity applies to planting, so it must also apply to social institutions. The possibility of social diversity is as important as diversity in planting models.

'Secondly, where damage has occurred during our learning process, this must be addressed.

'Third, we are not against an independent review of this. Learning how to do it well is important.

You also have moved to a recognition on your part that things are changing. We are more open. We never look at the Red Book now [the original plan.] There is no original project document that guides our actions. We have moved on from models and planting targets, as well as from zoning. Learning is taking place from our experience with VFCs. How to make site-specific planning work is the issue. Many practical details have been worked out. In one year, there has been a considerable shift. The KFD were very hesitant at first when we spoke of site-specific planning, but now they are keen to move to site-specific planning for all activities.'

Pandurangtlegde
27/2/1996

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NOT TO BE QUOTED

ODA'S REVIEW OF PARTICIPATORY FOREST MANAGEMENT

India

Arvind Khare

Although this report has been commissioned by ODA, the ODA bears no responsibility for, and is not in any way committed to, the views expressed herein

There is a considerable unanimity among the historians that the colonial forest policy and the post Independence forest policy in India upto the late 1980s were not very different and their effect on the ecology and the people were also similar. Use of forests to subserve strategic colonial needs and subsequently for fulfilling the industrial and commercial needs is best reflected in the revenue and surplus generation for the state. Annexure 1 compiles the figures for the revenue and surplus since 1925 till 1980-81 for the selected years. It will be seen from the table that the generation of revenue and surplus have kept pace during these years. The State control of the forests and deprivation and alienation of the local communities are not unconnected. Various protest movements from the early 19th century to the famous Chipko in the Himalayas in the 1970s reflect the misery faced by the local populations. Despite its control of more than 22% of the land area of the country, the State failed to maintain forest cover on it. It was estimated in the early 80s that less than half of the forest area had a crown density of above 40%. The continuing degradation of forest and increasing protests from the local populations as reflected in a surge of popular movements led to a serious rethinking of the policies and programmes in the forestry sector. The national forest policy of 1988 provided the final expression of the rethinking process. For the first time in 125 years the National Forest Policy reversed the objectives of the forest management. It says "the principal aim of forest policy must be to ensure environmental stability and maintenance of ecological balance including atmospheric equilibrium which are vital for sustenance of all life norms, human, animal and plant. The derivation of direct economic benefit must be subordinated to this principal aim." The salient features of the new Forest Policy are:

1. Maintenance of environmental stability through preservation and restoration of ecological balance.

2. Conservation of the natural heritage of the country by preserving the remaining natural forests and protecting the vast genetic resources for the benefit of the posterity.

3. **Meeting the basic needs of the people, especially fuelwood, fodder and small timber for the rural and the tribal people.**

4. **Maintaining the intrinsic relationship between forests and the tribal and other poor people living in and around forests by protecting their customary rights and concessions on the forests.**

The main approach outlined is as follows:

1. Existing forest land and forests will be fully protected and their productivity will be improved. Emphasis will be given to enhance forest cover on hill slopes and catchment areas of rivers.

2. In order to conserve biological diversity, a network of sanctuaries, national parks, biosphere reserves and other protected areas will be extended and better managed.

3. **The people will be actively involved in programmes of protection, conservation and management of the forests.**

The circular issued by the Government of India on 1st June 1990 was the first serious attempt to give effect to the intentions of the forest policy. This is now popularly known as the Joint Forest Management Resolution. Forests being on the concurrent list of subjects in the federal structure of India, the implementation of 1st June circular needed ratification from the State Governments. By this time 15 State Govts. have issued the relevant notification for the implementation of Joint Forest Management. Karnataka and Himachal Pradesh are amongst these states.

Conceptually the Joint Forest Management represents a fundamental shift in the forest management methods which can be depicted as under:

From	To
1. central management	decentralised management
2. revenue orientation	resource orientation
3. production motives	sustainability
4. single product	multiple products
5. large working plans	microplanning
6. target orientation	process orientation
7. unilateral decision making	participatory decision making
8. punitive rules	self-abnegation rules
9. controlling people	facilitating people
10 department	peoples institutions
11. assumed homogeneity	recognising diversity
12. achieving single, pre-set objective	fulfilling multiple, need-based objectives
13. area management	site specific management
1 . timber production	multiple products combined with biodiversity
15. single technical package	menus of options
16. fixed procedures	experimentation and flexibility
17. plantation as first option	low input management and regeneration
18. single species	multispecies and multi-tier plantations

In a sense the JFM processes as envisaged above provide an opportunity to begin the reversal of a continuing historical process of alienation of people from their resource base. It is an immense task. The inherent contradiction in the development policy of the State, the pressure from industrial and commercial forces and the inertia of bureaucracy makes it even more difficult. On the positive side it should be noted that despite all odds more than 10,000 village communities have been organised in India

who are protecting approx. 1.5 million ha. of forest land under the Joint Forest Management system. It is in this context that the ODA supported participatory forest management projects should be seen.

Western Ghats Forestry and Environment Project: The project is currently being implemented in the Uttar Kannada circle of Karnataka (another circle will be taken up in project year 3). Given its unique biodiversity and history many historians have chronicled the developments in this area, specially of the last two hundred years. The following background information has been abstracted from Madhav Gadgil's "Conserving Biodiversity as if People Matter : `A Case Study from India". The district of Uttara Kannada (13°52' to 15° 30'N and 74° 05' to 75° 5'E) with an area of 10200 km2 lies at the centre of Malabar. It is a region of gentle undulating hills, rising rather steeply from a narrow coastal strip bordering the Arabian Sea to a plateau at an altitude of 500 m with occasional hills rising above 600 to 860 m. The annual precipitation largely confined to the monsoon months of June to September ranges between 3500 mm on the coast, rising to 5000 mm on the crestline and declining to 1000 mm on the eastern plateau. An interpretation of the Landsat imagery suggests that around 6900 km² of the district is under forest cover, around 2000 km² is under paddy and millet cultivation, 130 km² under coconut and betelnut orchards, 200 km² under rocky outcrops and the balance under habitation and reservoirs. This tract of 6900 km² of forest land is the largest single contiguous tract of humid tropical forest in Peninsular India. Today, it harbours 1741 species of flowering plants and 403 species of birds. Notable wildlife include the tiger, elephant, gaur or Indian bison, lion-tailed macaque, Wynaad laughing thrush, Travancore tortoise, several species of legless amphibians and dipterocarp trees*.

As in other parts of India, in Uttara Kannada also, the history of the British period can be summarised as a series of attempts by the colonial power to appropriate the rich forest resources of the district as cheaply as possible. The main instrument to achieve this was to deny recognition to the legitimacy of all customary and community ownership rights. "The bulk of state-owned lands were converted into reserve-forest lands. A fraction, about 25%, was set aside as minor or leaf manure forest lands for meeting the subsistence biomass needs of local people. These are substantial since agriculture in this hilly district with its laterized nutrient deficient soils depends heavily on organic manure inputs. But a major outcome of usurpation of community laws was that the minor/leaf-manure forest-lands came to be treated as open-access resources and have consequently been subject to escalating degradation as envisaged in the tragedy of the commons scenario. The reserve forests were used for supply of cheap raw materials, primarily, teak to serve colonial interests of shipbuilding, railways and other constructions. As a result, they were almost totally depleted of natural teak between the years 1800-50; followed by depletion of other hardwoods, especially *Terminalia* and *Lagerstroemia* species, and conversion to single species plantations of teak. The evergreen tree species were of little commercial value until the 1940s, and up to that time forest working focused on their replacement by the more valued timber species.

* Madhav Gadgil (Reference)

Although a succession of management plans initiated in early 1900s professed sustainable harvests as their aim, in fact there was only further depletion. All management plans were set aside during the two world wars, permitting totally unregulated harvesting from reserve forests".

The British forest-management regime in Uttara Kannada was dedicated to export of teak and other timber as cheaply as possible. World War II brought about an important change, however, when the British decided to encourage plywood manufacture in India. With its rich evergreen forests providing abundant raw material, one of India's first plywood factories was set up in the Uttara Kannada district. This was followed by a paper factory and a polyfiber industry, both of which were established soon after independence.

The policy of dedicating state-owned forest lands to furnish a cheap supply of industrial raw materials was carried to further extremes after independence. Thus, in 1958, bamboo, earlier prescribed to be eradicated as it constituted a weed in teak plantations, in spite of its manifold rural uses, was sold to the paper industry. The price was as low as Rs 1.50 (USD 0.30 at the then prevalent exchange rates) per tonne, i.e. over a thousand times less than the market value. Giant wild mango trees that regularly yielded much valued fruit worth more than Rs 100 per year, were also made over to plywood industry for as little at Rs 150 for a whole tree. The result has been rapid decimation of a whole range of species in the more humid tracts, especially on the steeper western hill slopes.

While the commercial pressures have mounted, so have the subsistence demands of the rural population that has grown rapidly as a result of the eradication of malaria after World War II. These subsistence demands continue to be met from open-access public lands, with further erosion of traditional practices of disciplined harvests from common lands. Consequently, highly inefficient and wasteful patterns of natural resource use have prevailed.

The above description of the Uttar Kannada and its history shows that :

1. It is a unique biodiversity rich forest area.

2. The degradation of forests has taken place mainly due to the policy of satisfying commercial interests pursued by the State and

3. The conservation practices of the communities have eroded as the legitimacy of all customary and community rights has been denied by the State.

It is in this context that the Western Ghats Forestry and Environmental Project was initiated in 1991. A summary of the basic features of the project is provided in Annexure 2.

It will be seen from the summary of the project document that WGFEP puts emphasis on both ecological and environmental objectives as well as social and economic objectives. Thus, preservation of the unique flora and fauna of Western Ghats and rehabilitation and protection of its major environmental resources are its avowed objectives. At the same time it attempts to ensure the sustainability of living standards of those people whose livelihoods are currently derived from the forests. The objectives were more sharply defined during the mid-term review when the goal of the project was defined as under:

"Conserve and protect the biodiversity of the Western Ghats forest while maintaining sustainable productivity with people's participation". The reformulated goal provides a sharp focus on the twin objectives of "biodiversity conservation" and "people's participation" and the new formulation of project goal recognises the inter-linkage between the two.

The objectives of the project, as defined above, and the specificities of Uttar Kannada as outlined earlier match. There is also a congruity between the fundamental requirement of the area and the project elements. However, the history of the project shows that this match has been arrived at with certain reservations. Annexure 3 traces the history of negotiation process and has been abstracted from " NGOs and Forest Management in Karnataka" by David Potter. It shows that :

1. The initial proposal (red book) submitted by the Karnataka Forest Department (KFD) to ODA contained no provision for people's participation and the rural people were involved only as beneficiaries or labourers.

2. The proposal was modified (green book) in response to NGO suggestions led by FEVORD-K. The NGOs made further suggestions for strengthening the role of communities and NGOs.

3. The ODA appraised the project in 1991 and the final project document (white book) was approved.

4. Although ODA did not have a directing influence on KFD, introduction of Joint Forest Planning and Management (JFPM) was partially due to them.

5. The final document is a compromise document reflecting different orientations of NGOs, ODA and KFD. Thus although the project formally started in April 1991, the JFPM resolution of Karnataka Government came into effect only in April 1993.

In this review , the environmental and resource aspects of the project are analysed first, to specifically look at the productivity and biodiversity indicators. Thereafter the social and economic aspects are taken up to understand the process of people's participation. Lastly, the institutional and policy issues are taken up as they cut across all the aspects of the project.

Environmental and Resource Aspect:

i) Productivity: The field observation shows that the forest patches brought under Joint Forest Planning and Management (JFPM) are fairly well protected and are subject to low intensity grazing. This was the pattern in all the 6 VFCs that were visited. Since there is virtually no extraction from the protected patches the pressure has been partially shifted to other forests which have not been brought under JFPM. It is therefore difficult to assess the net effect on degradation status of forest due to JFPM.

The departmental extractions from the forests of Karnataka and especially from Uttara Kannada has not changed substantially as would be evident from the following figures.

S.No.	Produce	1991-92	1992-93	1993-94
1.	Rose wood	5945	6437	6052
2.	Teak wood	13587	8982	7088
3.	Sawn Timber	66	4465*	190
4.	Other kinds	191684	91882	88296
5.	Pulp wood	466	378	1961
6.	Match wood	187	9	-
7.	Soft wood	2604	6301	4984
8.	Timber in round poles	106148	102524	60764
9.	Total Timber	220687	220978	169335
10.	Firewood	405802	407226	435318
11.	Total Timber and Firewood	626489	628204	604653
12.	Bamboos (in Tonnes)	43634	56463	38216
13.	Sandal wood (in Tonnes)	382	317.25	1216

* Includes sleepers

The share contributed by Kannada circle in the total outturn of forest produce can be seen from the following:

Produce	Rose	Teak	Other kinds of timber	Pulp wood	Soft wood	Match wood	Round Poles	Fire wood	Sawn Tim-ber	Bam-boos	Sand al wood
Kanara	3587	4768	65333	282	4972	-	36837	326499	146	11934	1
State	6052	7088	88296	1961	4984	-	60764	435318	190	38216	1216

It will be seen from the two tables presented above that the total extraction from the forest has more or less remained at the same level and the contribution made by Kannada circle to the total extraction remains at a high level of above 60%. It was

mentioned earlier that the demand pressure from the area protected under JFPM has shifted to other forests. Thus, the total effect of people's need and departmental extraction could be more or less the same as at the start of the project. The net effect on degrading processes operative in the forests of Uttara Kannada will therefore be marginal.

ii) Biodiversity: Methodologically the project envisages a zonation process which would segregate the core zone and a main zone without dwellers. These two zones, one presumes, would have been the main area for conservation of biodiversity. The other three zones envisaged in the project would have provided the useful goods for various needs to be harvested sustainably. The project envisaged consultation with the communities in delieneation of all type of zones. In practice this has not happened. The project relies heavily on planting models irrespective of the fact whether the forest area is under JFPM or earmarked for other uses. The only difference is in the type of planting model that will be used. The field observations confirm this.

At most places under JFPM, there were plantations of two major species namely Acacia auricurliformis and teak. The importance of plantation as a major operational method of the project is revealed by the following table.

S.No.	Model	Year	Total
1.	Mostly Open Area	1993-94 1994-95 1995-96	1990 2930 4189
2.	Somewhat Open Area	1993-94 1994-95 1995-96	3581 2709 2358
3.	Artisanal	1993-94 1994-95 1995-96	531 932 1383
4.	Multipurposes	1993-94 1994-95 1995-96	1620 1559 1384
	Total		4563
	Grand Total		25166

Assuming that the saplings raised in the Year I are utilised for plantations in the Year II, the plantation density per ha can be calculated. The following tables shows the calculation:

Year	Saplings raised (in lacs)	Area planted (in ha.)	Plantation density
1992-93	86.416		
1993-94	92.100	7622	1133
1994-95	90.140	8130	1132
1995-96	39.582	9314	967

It will be seen from the table that the plantation density is high enough to be suitable for a clear felled area. However, in the context of Uttara Kannada where the forests are degraded but do retain substantial tree cover this planting density will be most unsuitable. Given the fact that the species base of the plantation has been rather narrow, the project is open for criticism of promotion of monoculture at the cost of biodiversity. This observation is further reinforced by an analysis done by Parisara Sanmarakshana Kendra, Sirsi. The analysis is restricted to multi-purpose plantations, which by definition should have had higher species diversity. Given below is an abstract of the findings:

Village	No. species Planted	% Of acacia/teak in the plantation	Naturally regenerating in neighboring forest patch
Hitlahalli	10	87.95	15
Bellankeri	5	81.67	14
Ghattikai	4	74.97	17
Kabbe	14	62	13
Kanchikai*	5	91.60	14

* Gap plantation

The available evidence does point to the fact that the plantations under the project are leading to dominance of 1 or 2 species in a high biodiversity forest like Uttara Kannada. This calls for a serious reconsideration of the following issues:

i) choice of species in plantation, and
ii) plantation as the main method for the forest regeneration.

This is indeed happening in the forest department. In certain places, the plantation density has now come down to as low as 200 plants per ha and recently a forest patch of 284 ha has been taken up for natural regeneration. It is quite possible that there may be certain patches where naturally regeneration will not take place. However, in a tropical climate, "natural regeneration" suggests itself as a first strategy, failing which plantation may become a necessity. In plantations also, the choice of species acquires significance, especially in a forest area which boasts of 1741 flowering

species. It may be mentioned that biodiversity is also important from the point of view of local communities because biodiversity is the basis of their survival strategy.

Social and Economic Aspects

The fundamental instrument through which the project seeks to achieve its social and economic objectives is Joint Forest Planning and Management. The essential elements of JFPM as defined by the project are:

a) Joint Planning: a consultative process by which KFD, local people, and other forest users jointly discuss the ecological and environmental condition of a specific area of the forest, and the scope for it to meet one or more of their specific needs. The plan that emerges should as far possible reflect all the views expressed. However, the weight given to the different views will depend on the location of the area of forest in question, and the types of vegetation it contains.

b) Joint Management: for certain areas of forest, as described under zonation, it will be appropriate for the planning process to decide on joint management. Under joint management, KFD and forest users will divide responsibility for forest management functions between them. They will also agree on a division of the proceeds from the area to reflect the division of management. The precise division of management and proceeds will vary from one specific area of the forest to another. As appropriate, joint management may apply to all plants, or only to certain categories of vegetation within a particular area.

It is clear from the above that the project envisages Joint Planning with the people to be applicable to all forest areas, though Joint Management may be the appropriate choice of management only in certain areas. In practice, Joint Planning became extremely restricted due to (a) the notification of JFPM of the Karnataka Government and b) the interpretation of zoning process by the forest department. The Karnataka order on JFPM restricts it to the degraded forest land where the canopy cover is 0.25 and less. Thus the planning is restricted to certain degraded forest lands because of this order. It would not have had such restrictive influence on the participatory process for the people if the zonation process had been implemented which would have allowed the people to plan for all the five zones. The five zones are as under:

I. Core zone: Ecologically important areas
II. Main zone: Main forest zone without forest dwellers (potential for commercial exploitation
III. Main zone: With forest dwellers
IV. Boundary zone: Edge of forests, near settlement (mostly degraded)
V. Outside forest: Near settlements, common or revenue

In practice, the zonation concept has been almost given up. The involvement of people in any kind of planning is virtually restricted to zone IV and that too to the areas where the forests are degraded to a crown density of lower than 25%. An attempt has been made to rectify this lacunae through site-specific planning, which is discussed later in the report. As far as Joint Management is concerned, the Karnataka government order has not been the best instrument to achieve a balance of power and responsibility between the local communities and the forest department. The powers vested in the Secretary of VFC, who has to be a forester, and in the RFO, who is his reporting officer, are so one sided that they can disqualify any member and even dissolve the committee . The appeal against the action lies with another forest officer of the rank of Deputy Conservator of Forests, the final deciding authority being the PCCF.

It is within these restrictions placed by the Government order and the project design that the forest department of Karnataka has been attempting to implement JFPM. It is to their credit that 151 VFCs have already been organised and 34 of them have been registered. If the implementation process has not been exactly participatory, it has at least led to a greater interaction between the forest department personnel and the local communities. As one moves from Halyal division to Yellapur to Sirsi to Ankola to Karwad, one notices a continuous perceptible increase in the interaction and cordiality between the forest department and the local communities. The geographical disparity in the forester-people relationship suggests that part of the success of JFPM is due to specific individuals in the forest department. The entire system through which JFPM is implemented has certain gaps. The findings on JFPM are reported below:

i) Decentralisation: All the forest committees that were visited reported regular meetings. The records were properly kept and in quite a few of them the women executive members reported participation. Until now, the decision making has been restricted to protection aspects which call for foregoing the benefit from the protected patch, and resolution of conflicts within different segments of the village and with neighbouring villages. The fact that most of these decisions hold shows that decision making is participatory. The segments negatively affected are usually the women specifically from the marginal groups. These groups cope with the changes by either shifting to a less efficient forest product (for instance, use of dry leaves in place of fuelwood) or shifting the pressure to other forests which are not being protected under JFPM. This need not be so if the voice of marginal groups is specifically incorporated in the decentralised decision making. This is further elaborated in the next section dealing with diversity.

ii) Recognising diversity: The assumed homogeniety of village communities does not hold good in India. The communities are fragmented by caste, land-ownership, cattle ownership and also between tribals and non-tribals. Their use of forest resources and the intensity of the usage also varies. Any intervention which does not take into account the diversity of these needs (which are fulfilled by the biological divesity of forest) will negatively affect certain segments of the

communities. In WGFEP, there are instances where the landless people have been negatively affected. This has happened in two ways:

i) eviction of encroachment of forest lands used for cultivation both by the landless as well as the land owners. In the Kote Koppa, the area taken up for plantation under JFPM was being used for cotton cultivation. The observation is supported by other reports as well. It is mentioned "... there are cases in which, under the guise of the JFPM process, normal FD operations are underway to evict encroachers on Reserve Forest Land. These are not, necessarily isolated events. If 'JFPM' comes to be seen as a guise for eviction the development of the partnerships with communities and of the funded project as a whole could be jeopardised." (PPST document no.4). The purpose of mentioning these instances is to draw attention to the fact that a number of people evicted in such a fashion are landless, who have cultivated these lands for years and have very few other options. The lure of generating cash income from the harvest of JFPM plantation encourages the landed people to collude in the efforts to evict poorer, marginal people.

ii) An important element of survival of landless people is to depend on animal husbandry and NTFP collection. Under JFPM , grazing is banned in the protected patch with the result that the landless people have to take the livestock to distant forest patches for grazing. The narrow species base of JFPM plantations (as pointed out earlier) provides little hope of sustainable collection of NTFP and with it goes the chance of integrating the marginal groups into JFPM processes. The same is true about certain castes which use various forest products to pursue their caste occupations. As it stands, there is little recognition of the diversity within village communities as well as its linkage with the biodiversity of forest which contributes to their survival strategies.

iii) Resource orientation: It is doubtful if the JFPM is making a transition in the forest management from revenue orientation to resource orientation. Firstly, the objective of the forest department continues to be to generate more revenue. This is not to suggest that the forest department itself is interested in generation of revenue. The political compulsions of foregoing revenue from a rich circle like Kannada circle make it difficult to achieve the desired transition. The following table provides the revenue generated by the forest department in the last 10 yrs.

REVENUE AND EXPENDITURE

Details of Revenue realised for the period 1979-94 are given below:

Year	Revenue Realised (Rs in Lakhs)
1979-80	3525
1980-81	3776
1981-82	4703
1982-83	4447
1983-84	5339
1984-85	5574
1985-86	5634
1986-87	5313
1987-88	5238
1988-89	4624
1989-90	5143
1990-91	5818
1991-92	6150
1992-93	6890
1993-94	9173

The Kannada circle contributes more than 60% of this revenue.

Secondly, the plantation orientation of management within JFPM also tends to focus the attention of the communities on the terminal timber value from the plantation from which they will get a share. In such an ambience it is difficult to see how the focus will be more on the sustainability of the resource rather than the revenue which the resource can generate both for the forest department and for the communities.

iv) Decentralised planning: The major instrument of decentralised planning is through microplanning for JFPM. The process of microplanning has been seriously affected by JFPM plantations following their own course, independent of the fact whether the microplan has been prepared or not and whether it recommends such a plantation. This was specifically visible in at least 3 VFCs that were visited. PRA as a tool of microplanning was used in these villages to depict what had already been done. It was no longer an exercise in planning but only a formality to complete the procedures. The 3 microplans that were collected during the visit raise questions about the collaborative nature of planning. The distortion in the decentralised planning process occurred despite a very substantive training programme organised with the help of Myrada.

As of now there is little involvement of people in planning of the forest areas outside JFPM patches. This is sought to be corrected through Site

Specific Planning. A perusal of 4 site specific plans shows the following (for detailed analysis see Annexure):

i) None of the four plans mention specific nature of consultation with the neighhouring village communities.

ii) Most of them still rely on major plantations of teak(45% in one site), bamboo (100% in a site of 10 ha.), acacia (100% in site of 10 ha.), and teak (40% in a patch of 60 ha.).

iii) All but one of these plans rely on barbed wire fencing and one relies on CPT as the means of protecting the plantations.

iv) None of the plans specify any role for the neighbouring village communities.

While most of these plans are accompanied by fairly well drawn-up maps revealing actual visit to sites, it is clear that the process of site specific planning has not yet developed to the stage where it reflects the participatory nature of the project.

5. New silviculture: If people's participation in planning and management is the stated objective of the project, it is logical to expect a shift in the silvicultural methods which have so far been oriented towards a single-species technical package that considers plantation as the first option and timber as the main output. There is little evidence to suggest that the silviculture methods being adopted under the project are specifically catering to multiple outputs desired by the people and the NTFP as the major output. In addition to fuelwood and fodder, the people of Uttar Kannada have been using the forest for leaf manure, medicinal purposes, food products, raw material for pursuance of caste occuptations and sale of NTFP as income generation activities. The silvicultural practices which specifically incorporate these requirements are yet to be assimilated in the implementation process of the project.

Institutional and Policy Issues

The area of operation of WGFEP is presently the Uttara Kannada circle. The project proposes to take up another circle in the Project year 3 which will complete its geographical coverage. While Uttara Kannada is extremely important from the point of view of the forest area it is still only a part of the entire forest resources of Karnataka. It is important to bear in mind the partial coverage of forest by the project while assessing the role of ODA in the institutional and policy issues.

Policy: ODA's role in issuance of the JFPM circular of the Karnataka government is recognised in the order itself. Although many other State Governments had already adopted the JFPM resolutions, the role of ODA in making it acceptable in Karnataka

cannot be denied. The signficance of this aspect increases considering the fact that the order is applicable to the entire state while the ODA support is available only for two circles. Similarly the policy of providing seed money of Rs 5000 to the registered VFCs is also applicable to the whole State. Thus, acceptance of people's participation in forest management as a policy and backing up that policy with financial committment is attributable to the ODA initiative in the Western Ghats. The fact that the forest management policy has not completely aligned itself with the project objective of conservation with people's participation and still attaches considerable importance to revenue generation is partly due to the political compulsions of the State but also partly due to the way the project has been designed. On the one hand, the project emphasises people's participation and talks about introduction of economically useful species in the plantations on the other. The duality in approach creates a lot of confusion at the implementation level. The confusion is most visible in the matter of choice of species and in determining the methods for regenerating the degraded forests.

Introduction of Joint Forest Planning & Management in a partial manner, as stated above, has also led to a conflict in the role the foresters are supposed to perform. The existing statutes and law make it mandatory for the foresters to perform enforcement functions. Given the nature of the existing laws, their enforcement brings the foresters in direct confrontation with the communities. (See table ...). The JFPM on the other hand enjoins upon the foresters to jointly plan and manage the forests with people, calling for a certain degree of mutual understanding and cordiality. Many forest personnel specifically spoke about this contradiction. Obviously, the 125 year old administrative structure, the supporting laws and rules, the traditions and culture eannot change due to the introduction of a project. However, there seems to be virtually no reference to the conflict in roles expected of the foresters in any documentation and a total absence of any kind of even ad-hoc arrangements to resolve the problem. The sheer lack of thinking on the subject keeps the door open for reverting back to the earlier days when the role of foresters vis-a-vis the communties was essentially to perform the policing function. The major instrument to equip the foresters for the new role has been the provision of training. The training programmes have definitely helped in equipping the foresters with the tools and techniques that elicit people's participation and have provided an opportunity for them to learn about the communities. The expertise in these methods, however, cannot substitute for the required reforms in the forestry sector itself.

Processes: The WGFEP has been designated as a process project. It is understood that the project therefore provides opportunities for learning and structures for the assimmilation of learning. The in-house mechanisms for learning and assimilation are PMC and PMU. After a long time the PMU has got a permanent place in Bangalore, although staffing is yet to reach the adequate levels. The PMC has seen constant turnover of the staff and has failed to recruit either an economist or a social scientist as was envisaged in the project. It is currently being manned by two DCFs. Under these circumstances, while the learning is taking place at different levels, its documentation, analysis and assimilation has been inadequate. In the absence of clarity of communications between the PMC and PMU and within the project circle, various

workshops organised by ODA provided the next best alternative for sharing of learnings. There is however no shared understanding of learnings across the hierarchy of the forest department. The perceived understanding of the project at the PMU and the Project Director level is substantially different from the perception of ACFs and RFOs.

Apart from the in-house mechanisms, two other sources that provided opportunity for learning and its assimilation were consultancy inputs and the envisaged role for NGOs respectively.

Consultancy inputs: Almost everybody across the hierarchy spoke about the unusually large number of consultants that have come to the project area. The general consensus is that consultancy inputs had been useful in technical areas like GIS and computer based management information systems. At the same time, there is substantial resentment about the consultancies relating to the technological components of forestry and socio-economic issues. The assimilation process for the consultancy inputs has been through the medium of workshops. Although some workshops have led to specific changes in the project design (e.g. acceptance of site specific planning), most forest personnel and NGOs remain sceptical about the quality and quantity of these inputs.

Role of NGOs: The project provides for NGO involvement at all levels of the project. At circle level and at the State level the NGOs are represented in the Advisory Commitee and the Steering Committee respectively. It should be noted that the NGOs representation at the level of Steering Committee is of specific significance. The Steering Committee was envisaged to have the full and final authority to approve recommendations arising from project reviews and to sanction necessary action. In addition to these provisions, the ODA also funded Oxfam to support grassroot agencies to undertake activities which will complement the project activities. In practice, the envisaged structures have not worked satisfactorily. The Steering Committee could not assume the role of a decision maker. It has since been substituted by an Empowered Committee which has been vested with the powers to take decisions. It should be noted that there is no NGO representative in the Empowered Committee. Thus, the Steering Committee has virtually become an advisory committee. The NGO role has therefore been diluted as far as decision-making is concerned. The importance of NGOs participation in the project and their representation at different levels lies in the fact that their close interaction with the communities would have helped in improving the socio-economic processes envisaged in the project. These inputs could have provided a perfect complement to the technical inputs provided by the consultants. Most NGOs that were contacted during the visit complained of the limited time that the consultants spent with them. It is clear that i) the envisaged structures for NGO inputs are not working. ii) The NGO experiences are not being assimilated in the project process because of their lack of representation in decision making bodies. iii) the synergy that would have resulted in combining the lessons from consultancy inputs and NGO inputs is missing from the project implementation process.

It would however be incorrect to say that the NGO involvement in the project is either poor or is of no significance. In the face of the failure of the envisaged processes and structures, a totally new and different structure and process is emerging amongst the NGOs. A number of NGOs are very active at the level of VFCs e.g. IDS in Haiyal division, Siddi Development Project in Yellapur and KWCRDS in Karwad. They have developed their own coordinating mechanisms at the district level (which is coordinated by KWCRDS) and a coordination committee at the State level which is serviced by FEVORD-K. These structures provide them an opportunity to share experiences, monitor project processes and coordinate their actions. The project still enjoys substantial goodwill amongst the NGOs which could be channelised more effectively.

Lessons from Social Forestry: The process nature of the project suggests that the lessons from the social forestry project which was also funded by ODA would be incorporated. In the Social Forestry project the bifurcation of the foresters into territorial division and the social forestry division proved to be a negative development. Despite this, the WGFEP has created separate positions at the level of DCF, ACF, and RFOs for JFPM. Below the level of RFO, the distinction between JFPM staff and the territorial staff breaks down. As a consequence, the lower level staff is pushed by two different sets of people pursuing two sets of objectives. In places where the DCF (JFPM) and DCF (Territorial) have been able to develop a good partnership and working understanding, implementation has been smooth e.g.in the Karwad division. However, this is more due to the individual personalities of the concerned forest officers than by design. It is in this context that the mid-term review mission also supported the idea of merger of JFPM and Territorial staff. This has not taken place.

In the social forestry project not only in Karnataka but across India, the plantations were developed and managed by the forest department for a certain period of time before an attempt was made to hand them over to the communities. The difficulties that were encountered in this process, the deforestation of the plantations, the adverse impact on the marginal communities are extensively documented. In view of this, it is difficult to understand why the plantations under JFPM are being protected by the watchers paid by the forest department and the silvicultural practices are the sole responsibility of the department. The use of JFPM for eviction of encroachments from the reseved forests, as of Social Forestry in the case of wastelands, has already been mentioned.

Funding: WGFEP is a comparatively large project supported by ODA. Its geographical spread is restricted to Uttara Kannada circle for the first three years before another circle is taken up. The real value of the funds being provided by ODA therefore lies in their efficient utilisation and the impact that the project can create, which will hopefully lead to changes in the forestry sector as a whole. There is, however, unanimity amongst the foresters from the level of DCF to the level of the Project Director that the ODA support does not provide additionality of funding at the circle level. The process operates somewhat like this. The ODA funds are passed through the Central Government to the State Government in a loan-grant ratio of 70:30

respectively. The current intergovernmental interest rate is 7% and the Karnataka Government is liable to pay this interest to the Central Government on the loan component. The funds received by the Karnataka Government are taken into its basket of funds which are allocated to different Ministries through the annual budgetary and planning process. The amount of funds recieved by different departments is determined on the approval of 'demand for grants' placed by the department before the Legislature and approved in the state government's annual Budget. Thus, while the ODA funds do constitute an additionality of resources at the level of the State Government, it is not necessary that these additional resources become available at the circle level. The only assured element in this process is that the line items of expenditure at the circle level are determined by the project document. Thus, the ODA funds substitute for the state government funds as far as a number of line items of expenditure are concerned. The worst possibility is that there may be a reduction in the allocation of expenditure for the line items not covered by the project document. These processes have been a matter of debate between the State Government. and the Central Government and the funding agencies. However, details of expenditure at the circle level are not available to monitor the degree of substitution of state government funds. If there is no additionality of funds at the circle level, the possibility of a large impact that would have resulted from combining the available resources of the State government with the ODA funds. Annexure ... provides the details.

Lessons from WGFEP:

1. The objectives of the project and the specificities of Uttar Kannada match. There is also a congruity between the fundamental requirement of the area and the project elements.

2. The total effect of people's need and departmental extraction on forest resources could be more or less the same as at the start of the project. The net effect on degrading processes operative in the forests of Uttara Kannada will therefore be marginal.

3. The project is open for criticism of promotion of monoculture at the cost of biodiversity.

4. The joint planning process ihas not really taken off due to a) restrictions imposed by the notification of JFPM of the Karnataka Government and b) the interpretatiom of zoning process by the forest department.

5. The implementation process has not been totally participatory, but has led to a greater interaction between the forest dept. personnel and the local communities. The geographical disparity in the forester-people relationship suggests that part of the success of JFPM is due to specific individuals in the forest department. The entire system through which JFPM is implemented has certain gaps.

6. The decision making process in VFCs is restricted to protection aspects which call for foregoing the benefit from the protected patch, and resolution of conflicts within different segments of the village and with neighbouring villages. The fact that most of these decisions hold, shows that decision making is participatory. The segments negatively effected are usually the women specifically from the marginal groups.

7. There is little recognition of the diversity that specifies village communities as well as its linkage with the biodiversity of forest which contributes to their survival strategies.

8. The distortion in the decentralised planning process occur despite a very substantive training programme.

9. The process of site specific planning has not yet refined to the stage which reflects the participatory nature of the project.

10. Acceptance of people's participation in forest management as a policy and backing up that policy with financial committment is attributable to ODA initiative in the Western Ghats.

11. Introduction of Joint Forest Planning & Management in a partial manner has led to a conflict in the role the foresters are supposed to perform.

12. The perceived understanding of the project processes at the higher echelons is substantially different than at the field level.

13. Most forest personnel and NGOs remain skeptical about the quality and quantity of consultancy inputs.

14. The synergy that would have resulted in combining the lessons from consultancy inputs and NGO inputs is missing from the project process.

15. The project still enjoys substantial goodwill amongst the NGOs which could be channelised more effectively.

16. The lessons from social forestry project which was also funded by ODA have not been incorporated.

17. There is a unanimity amongst the foresters from the level of DCF to the level of the Project Director that the ODA support does not provide additionality of funding at the circle level.

PSIC FAC

WESTERN GHATS FORESTRY PROJECT
ANNUAL PROJECT REVIEW 2-10 MAY 1996

TERMS OF REFERENCE

BACKGROUND

1. The Western Ghats Forestry Project (WGFP) is implemented by the Karnataka Forest Department (KFD), supported by the ODA Forestry Office (OFO) in Delhi. It commenced in October 1992 and is scheduled to run for six years, until 1998. The project is funded with £18.07 million of local costs administered by KFD, supported by £5.22 million of Technical Co-operation funds administered by ODA.

2. The Mid Term Review (MTR) took place in February 1995, during which the Goal and Purpose of the project were modified to be:

   Goal: Conserve and protect the biodiversity of the Western Ghats forest while maintaining sustainable productivity with peoples' participation.

   Purpose: KFD has the capacity to develop, test and implement better systems for sustainable forest management through devolved decision making and effectively involving all stakeholders in this process.

3. As part of the MTR a draft Logframe was produced and whilst there was general acceptance of the Goal and Purpose agreements, the draft Outputs and activities have been developed during the year. There is a need to finalise Outputs and to review Output to Purpose linkages and to agree appropriate revisions to the existing Outputs so as to ensure the achievement of project Purpose. This will entail a rigorous review of the shape of the project in the remaining years.

4. Initially work started in the five Divisions of Kanara Circle though the initial project design allowed for the addition of a second Circle. After a lengthy review Shimoga Circle was selected as the most appropriate one for the project to incorporate. Following this a joint design team was established in January to prepare a strategy for implementing project activities in Shimoga which reflected the distinctive needs of the Circle. These proposals will be considered by a joint Shimoga Review Panel, which will in turn make recommendations to the Annual Project Review (APR).

5. The project has been supported by a small team of four key consultants, who form the Project Process Support Team (PPST). The PPST have been issued with a group contract that runs to the end of the project. As part of this a procedure is specified to review the work of the PPST during the APR. The present APR will offer the first opportunity for this procedure to be implemented.

OBJECTIVES

i To review progress against the objectives agreed during the MTR in February 1995.

ii To assess the extent to which the project is making progress to achieving its Purpose.

iii To agree a revised set of Outputs to achieve project Purpose within the life of the project, together with arrangements for the completion of the overall project and subsidiary Logframes.

iv To agree the project's Strategy, Annual Plan of Operations (APO) and Budget for 1996/7.

v To agree a recommendation to the ODA Under Secretary for Asia about the extension of project activities to Shimoga Circle, based upon the proposals of the Shimoga Design Team and the recommendations of the Shimoga Review Panel.

vi To carry out a review of the work of the PPST consultancy inputs to the project and make recommendations as appropriate.

MEMBERSHIP

6. The ODA team will be composed as follows:

Dr Chris Athayde	Programme Manager, DCOD (Team leader)
Judy Walker	Senior Social Development Adviser, DCOD
Mike Wilson	Senior Natural Resources Adviser, DCOD
Richard Moberly	Economic Adviser, DCOD
Jane Clark	Forestry Adviser, London

7. The OFO will be in attendance and represented by:

Eric Hanley	Social Development Field Manager
David Black	Forestry Field Manager
Dr Janet Seeley	Social Development Field Manager designate

8. The following members of the PPST consultancy team will also be in attendance for the Bangalore meetings:

Dermot Shields	Hobley Shields Associates
Mike Harrison	LTS International

ACTIVITIES

9. The APR's Objectives will be achieved using a combination of:

   i A briefing workshop in Delhi for the ODA members of the team, facilitated by one of the PPST consultants, to establish a shared understanding of the approaches being pursued under the project.

   ii Field visits to the two project Circles, which will provide:

   - familiarisation with the field conditions and activities of the project
   - meetings with key stakeholders, including Village Forest Committees (VFCs), NGOs, researchers and other bodies
   - discussions & workshop with project personnel
   - interaction with PPST and other consultants

   These meetings in the project Circles are intended to provide team members with an understanding of the current state of project implementation which will inform planning discussions in Bangalore.

   iii A two day workshop to review the extent and experience of implementation to date and to agree a proposed programme.

   iv An Output to Purpose Review.

   v A strategic planning workshop to agree the future shape of the project.

   vi A review of the Shimoga Circle proposals.

   vii A review of the work of the PPST consultants.

A detailed timetable for the activities of the team is given below.

BANGALORE MEETINGS

DAY 1: KANARA CIRCLE

10. Circle Presentation

Review of progress to date and proposals for 1996/7:
Strategy, Annual Plan of Operations (APO) & Budget
Review of Circle level Outputs developed by the PPDP:

A1	Shared vision & awareness communicated
A2	Human resources developed
A3	New systems established
A4	Policy & legal framework revised
A5	Linkages with external stakeholders established
A6	Understanding developed
A7	Working plans functions developed
A8	Publicity & environmental education developed
A9	Process support

11. Divisional Presentations
    Review of progress and proposals for 1996/7:
    Strategy, Annual Plan of Operations (APO) & Budget
    Review of Divisional level Outputs developed by PPDP
    - B1 Local users - JFPM
    - B2 Conservation - biodiversity
    - B3 Distant users - production
    - B4 Private farmers
    - B5 Central nurseries

12. Discussion based on themes and issues arising, including:
    - i Implementing new forest management approaches:
      Site specific planning procedures
      Microplanning experience
      Project Process Development Programme (PPDP)
      CoRMIS & CoDMIS
    - ii Making participatory forestry work:
      JFPM performance & experience to date
      Establishment of guidelines best practice
      Experience of Working & Advisory committees, future plans
      Interaction & involvement of NGOs
      Proposed study of Kanara Circle experience
    - iii Managing the process:
      Learning lessons from 1995/6 experience
      MYRADA contract & performance
      Physical & financial monitoring
      Continuing training needs & future arrangements
      Cost & benefit analysis

13. Expected outputs from the session:
    - i Assessment of achievements of Kanara PPDP outputs.
    - ii Agreement of revised Kanara Circle level Outputs to go forward to the Logframe workshop.
    - iii Approval of Kanara Circle APO and Budget for 1996/7.
    - iv Agreement of priorities and End of Year Objectives for Quarterly Reviews for 1996/7.

DAY 2: PMU LEVEL ISSUES

14. PMU presentation
    Review of progress to date
    Strategy, Annual Plan of Operations (APO) & Budget for 1996/7

    PMU components and activities:
    - i Forest Training & Research Institute (FoRTI) institutionalisation
      Strategic plan for FoRTI

ii Forestry research
- Establishment of committees and management arrangements
- Development of demand led research

iii FoRTI - training
- Training strategy developed
- UK & local training provision

iv Geographical Information System (GIS)
- Staffing & training arrangements
- Equipment & installation

v Ecology

vi Tree Improvement

vii Zone I outside project Circles

PMU functions:

viii Planning & budgeting

ix Auditing

x Monitoring & evaluation
- Establishment of reporting system
- Gender strategy

xi Quarterly review system to OFO
- Progress to date
- Plans for implementation in 1996

Policy & governance

xii Steering & Empowered Committees
- Agreement about roles, responsibilities & working together
- Reviewing links to other committees & flows of information

xiii Policy environment
- Revision of GO on JFPM

xiv Management structures
- Establishment of appropriate structures & devolved authority
- Arrangements for dissemination of lessons from WGFP
- Links to GoK and other stakeholders

xv Staffing: contracted, integration of JFPM & territorial staff
- Project allowances & appropriate remuneration package.

15. Expected outputs from the session:

i Assessment of progress on MTR priorities.

ii Agreement of Outputs to go forward to the Logframe workshop for PMU level responsibilities, including:
- research
- training
- GIS
- project reporting
- policy formation

iii Agreement on scope of project activities outside Kanara and Shimoga Circles.

iv Approval of PMU APO and Budget for 1996/7.

v Agreement of arrangements for auditing of the project.

vi Agreement of priorities and End of Year Objectives for Quarterly Reviews for 1996/7.

16. Output to Purpose Review
The APR team will be required to make an assessment of the overall progress of the project towards achieving its Purpose. This will be based on the guidance documentation produced by ODA's Evaluation and Health & Population Departments. The specific Output to Purpose review is consistent with the overall APR process envisaged here and will incorporate the assessments made by the APR team so far, as well as the proposed revisions to the project Logframe.

17. Expected outputs from the session:
i Assessment of progress towards the achievement of project Purpose.
ii Completion of Output to Purpose Summary Report.
iii Revised Outputs for consideration by Logframe workshop.

18. Shimoga Review
As part of the process of establishing project activities in Shimoga Circle the APR team will be asked to make a recommendation to the Under Secretary for Asia about this. The recommendation will be based on:

- progress in Kanara Circle
- the design proposals produced by the Shimoga Design Team
- the recommendations of the joint Shimoga Review Panel
- the supplementary documentation supplied by the Design Team, including a Logframe, Strategy, Annual Plan of Operations and Budget for 1996/7
- the understandings obtained from the field visits.

19. Expected outputs from the session:
i Approval of the Strategy for project activities in Shimoga Circle.
ii Agreement of recommendation to Under Secretary for Asia for the approval of the extension of ODA funding.
iii Approval of Shimoga Circle APO and Budget for 1996/7.
iv Approval of draft Logframe for Shimoga to go forward to Logframe workshop.
v Agreement of priorities and End of Year Objectives for Quarterly Reviews for 1996/7.

DAY 3: LOGFRAME WORKSHOP

20. The review of experience and achievements to date will be fed into a one day Logframe Workshop, which will be facilitated by members of the PPST.

i The workshop will concentrate on Outputs, since the project's Goal and Purpose were finalised at the time of the MTR.

ii Agree a set of revised Outputs and associated indicators for the project Logframe.

iii These will be in three parts to reflect project structure:

Circle I (Kanara)
Circle II (Shimoga)
PMU level

Activities, timetables, responsibilities and budgets will be agreed for all these components.

iv The OFO Quarterly Review system will then be related to the revised Logframe produced by the workshop.

17. Review of the PPST consultants
The agreement between ODA and the PPST consultants provides for a Consultant Review Panel to meet as part of the APR. This would be comprised of:

the Project Director
the ODA APR Team Leader
an OFO representative
the CF of Kanara Circle
one other representative from Kanara Circle.

The panel will consider the performance of the PPST and provide feedback to the PPST. The panel will review progress on the basis of:

i Consultants' competence
(Skills, experience)
ii Quality of service provided
(Process support; ideas & facilitation, technical advice and support, training, studies & data, workshops & communication, reports & documentation)
iii Relationships
(With Circle, PMU, OFO, NGOs etc)
iv Administration & contractual arrangements
(Programming, timeliness, flexibility, co-ordination)

DOCUMENTATION

18. To assist the team the following documentation will be provided:

- KFD progress report
- OFO briefing document
- PPDP progress report
- PPST six monthly report
- Annual planning documents (Strategy, APO & Budget) for 1996/7 from both Circle and the overall project

- Quarterly Review documents and associated workplans
- Shimoga Design Team proposals and associated documents, together with the Review Panel's recommendations

OUTPUTS

19. It is expected that the APR will produce the following, with an indication of the Objective to which each refers:

i An *aide memoire* document, covering the main recommendations and agreements of the APR. This will be discussed with KFD senior management and later presented to GoK before the team leaves Bangalore.

All Objectives

A copy of this will be forwarded to the Ministry of Environment & Forests (MoEF) in Delhi and will form the basis for discussions between MoEF, DCOD, KFD and OFO about the project at a later date.

ii A revised project Logframe covering Kanara and Shimoga Circles as well as PMU responsibilities, with associated Quarterly Review arrangements.

Objective iii

iii Final approval of the Strategy, APO and Budget for 1996/7.

Objective iv

iv A completed Output to Purpose Summary Report.

Objective ii

v A recommendation to the Under Secretary for Asia about extension of full project implementation in Shimoga Circle.

Objective v

vi An assessment of the work of the PPST consultants, and approval of a programme and timetable of inputs for the coming year.

Objective vi

ARRANGEMENTS

20. All travel and accommodation arrangements for the ODA members of the team will be made by the OFO.

21. Members who are going on the field visits will fly to Goa and travel by road to Sirsi. The visit will end in Shimoga Circle and the team will travel to Bangalore by train. Other team members will fly directly to Bangalore.

22. The main meetings in Bangalore will take place in the West End Hotel conference room.

23. The OFO will provide secretarial support to the team.

24. A draft timetable is attached.

25. There will be two social activities during the visit, with ODA holding a reception on the first night in Bangalore and GoK providing a dinner later in the week.

Eric Hanley
OFO, Delhi

17 April 1996

WESTERN GHATS FORESTRY PROJECT
ANNUAL PROJECT REVIEW 1996

PROPOSED TIMETABLE

Briefing

Tue	30 April		Briefing in Delhi for team members by OFO/PPST

Field visits

Wed	1		Team (6) travels from Delhi to Sirsi via Goa
Thur	2 -Sat 4		Field visits in Kanara & Shimoga Circles
Sun	5		Travel to Bangalore Other team members arrive from Delhi

Bangalore

Mon	6		Review of experience I
		am	Introductions Kanara Circle
		pm	Kanara Circle (continued) ODA evening reception
Tue	7		Review of experience II
		am	PMU level issues
		pm	Meeting with project Steering Committee Output to Purpose Review Shimoga review Meetings with other bodies (NGOs, MYRADA etc)
Wed	8		Logframe Workshop PPST review
Thur	9		Writing *aide memoire* & side meetings
Fri	10	am	Discussion of aide memoire with KFD Press conference
		pm	Discussion of *aide memoire* with GoK Depart for Delhi

1 Very Urgent
For Shri Pandurang Hegde

SRJ

PSK

F8

SEVENTH MEETING
OF
THE STEERING COMMITTEE

Please look at this & please call me

SRJ 17.12.'96

PS: I am requesting Vidhyadhar (Gudgil) to give a xerox copy of the complete Agenda notes

SRJ 17/12

16 DECEMBER 1996
AT 11 AM

VENUE : COMMITTEE ROOM, 8th FLOOR
ARANYA BHAVAN
MALLESWARAM 18th CROSS,
BANGALORE - 560 003

WESTERN GHATS FORESTRY AND ENVIRONMENTAL PROJECT
VANAVIKAS, MALLESWARAM
BANGALORE - 560 003

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WESTERN GHATS FORESTRY AND ENVIRONMENTAL PROJECT

SEVENTH MEETING OF THE STEERING COMMITTEE

16th December 1996 at 11 AM.

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Item 8.	Any other Subject with the permission of the Chair.	

→ No Comments on these Pages

Item 4. Pre-conditions for expansion of the project into Shimoga Circle.

Item 5. Development of FORTI.

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WESTERN GHATS FORESTRY AND ENVIRONMENTAL PROJECT

SEVENTH MEETING OF THE STEERING COMMITTEE

Item 6. Any other Subject with the permission of the Chair.

16th December 1996 at 11 AM.

AGENDA

Item 1. Recording the proceedings of the sixth Steering Committee held on 27th June 96 and 20th September 96.

Item 2. Action taken on the proceedings of the Sixth Steering Committee.

Item 3. Review of the progress of project process.

Item 4. Pre-conditions for expansion of the project into Shimoga Circle.

Item 5. Development of FORTI.

Item 6. Any other Subject with the permission of the Chair.

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WESTERN GHATS FORESTRY AND ENVIRONMENTAL PROJECT

SEVENTH MEETING OF THE STEERING COMMITTEE

16th December 1996 at 11 AM.

AGENDA

Item 1. Recording the proceedings of the sixth Steering Committee held on 27th June 96 and 20th September 96.

Item 2. Action taken on the proceedings of the Sixth Steering Committee.

NOTES ON AGENDA

ITEM 1 **RECORDING THE PROCEEDINGS OF THE 6th STEERING COMMITTEE MEETING HELD ON 29th JUNE AND 20th SEPTEMBER 1996.**

Copy of the proceedings of the sixth Steering Committee meeting held on 27th June(1) and 20th September 1996 (2) were circulated among the members of the Committee and the same are shown in annex-A (Page 4-15) for information of the Steering Committee.

ITEM 2 **ACTION TAKEN ON THE PROCEEDINGS OF THE STEERING COMMITTEE MEETING HELD ON 27th JUNE AND 20th SEPTEMBER 1996.**

Action taken on the proceedings of the sixth Steering Committee held on 27th June and 20th September is shown in annex-B (Pages 16-18) for information of the Steering Committee.

ITEM 3 **REVIEW OF THE PROGRESS OF PROJECT PROCESS**

The physical and financial targets and their achievements along with the progress of other activities under the project are shown in annex-C (pages 19-23)

ITEM 4 **PRECONDITIONS FOR EXPANSION OF THE PROJECT INTO SHIMOGA CIRCLE.**

(a) **Withdrawal of RFO's from Shimoga Circle.**
The proposals for withdrawal of RFO's from Shimoga Circle are under the consideration of Government.

(b) **Independent study of Project activities in Kanara Circle.**
For Conducting Independent Study of the Project activities in Kanara Circle, TOR have been finalised. The proposed team comprising the following members is placed before the Steering Committee for perusal and approval.

(1) Sri. N.C. Saxena
(2) Sri. Tushar Shah
(3) Dr. R.V. Singh
(4) Ms. Madhu Sarin

(c) **Amendments to Forest Act.**

Proposals were sent to Government on the recommendations of the Committee headed by the Development Commissioner for amending the G.O. on JFPM. The proposed amendments have been approved by the concerned ministry and the orders are under issue.

(d) **Shimoga Design Phase-II NGDO and Contracted Inputs.**

(I) Size of Funding
(II) Rule through which to be made available

As suggested the Shimoga design team has been reconvened to pursue outstanding implementation issues including the operationalisation of NGDO inputs and the team has prepared the report which is circulated to all the members of the Steering Committee.

It is informed for the information of the Steering Committee that there was a lack of unanimity within the team regarding the operation of funds for NGDO participation. Representations from FEVORD-K, A.M. Verghees Cleatas convenor network of NGO's Shimoga and Chikkamagalur district and Rev. Fr. Joe Marry M Lobo, Shri. Chrishtasharan, Birur, are placed before the Steering Committee for decision. The representations are shown in annex-D. (pages 24-33)

ITEM 5 DEVELOPMENT OF FORTI

The architectural design for the building requirement of FORTI has been prepared by the State architect. The building plan has been prepared keeping in view the future development of FORTI in master plan. The financial requirement to complete the master plan (FORTI office building) is around Rs. 120.00 lakhs spread over for four years. However the immediate building requirement to initiate research activities by taking up modest building activities is around 75 square floor space, and the financial requirement is around 50 lakhs. In the current year APO, Rs. 42.00 Lakhs have been earmarked for the building. The building plan is placed before the Committee for approval. The architectural briefing is shown in annex-E. (pages 34-35).

1. What is their legal entity?

(i) Are there legal entities?

(ii) How was Joe May Lobo picked up?

(came in prompt

January 17, '94 (20 30 persons) ?

Was there
There was opposition
to him ?

I am going in detail: Detailed exercise for NGOs

(iii)

We do not want to support one group or another group.

(IV) Two Design Teams?

.. ~~Two~~ Sec

Have you tried to resolve this issue?

Aug 9th.. ~~Has~~ Meeting..

Some Grp in through OXFAM

SR

Second Design Team

through KFD

Second Recordation..