



# Summary Document of Forests and Livelihoods Lessons and Messages in the Caribbean



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# **Background and Process**

Under its Forests and Livelihoods programme over the past seven years, CANARI has engaged in a number of activities including CBO exchange visits, national policy reviews and regional workshops that have yielded lessons for better practices in participatory natural resource management. From these experiences, messages and recommendations have been developed by participants for better and more successful practices.

CANARI is currently engaging in a project to pull together the messages and lessons and develop communication products so that they can be more effectively disseminated to the stakeholders who can best benefit from such learnings.

As part of this project, this summary document was developed by reviewing the documents under the Forests and Livelihoods programme for the period 2005-2011, extracting the messages and lessons, assigning keywords and then sorting to determine which messages and lessons are key. The keywords or key topics selected for categorising messages and lessons are delineated below.

The top ten keyword categories that emerged are highlighted in bold and eight other keywords were selected based on their currency or emerging importance in participatory forest and natural resource management as well as social issues and are identified in italics.

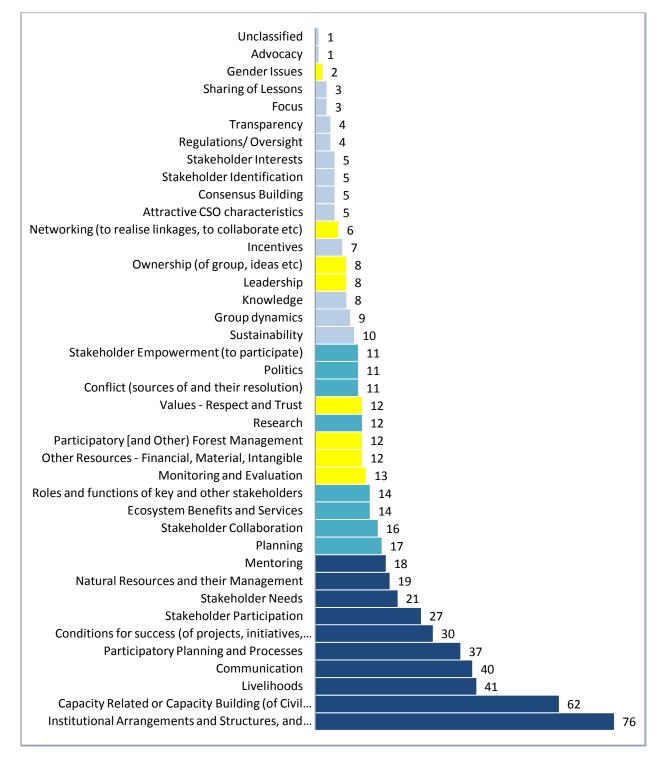
- Advocacy
- Attractive CSO characteristics
- Capacity Related or Capacity Building (of Civil Society, Government and Other Stakeholders)
- Communication
- Conditions for success (of projects, initiatives, processes, organisational growth etc)
- Conflict (sources of and their resolution)
- Consensus Building
- Ecosystem Benefits and Services
- Focus
- Gender Issues
- Group dynamics
- Incentives
- Institutional Arrangements and Structures, and Governance Issues
- Knowledge
- Leadership
- Livelihoods
- Mentoring
- Monitoring and Evaluation
- Natural Resources and their Management

- Networking (to realise linkages, to collaborate etc)
- Other Resources Financial, Material, Intangible
- Ownership (of group, ideas etc)
- Participatory [and Other) Forest Management
- Participatory Planning and Processes
- Planning
- Politics
- Regulations/ Oversight
- Research
- Roles and functions of key and other stakeholders
- Sharing of Lessons
- Stakeholder Collaboration
- Stakeholder Empowerment (to participate)
- Stakeholder Identification
- Stakeholder Interests
- Stakeholder Needs
- Stakeholder Participation
- Sustainability
- Transparency
- Values Respect and Trust

The top ten keyword categories that emerged are highlighted in dark blue in the graph below and eight other keywords were selected based on their currency or emerging importance in participatory forest and natural resource management as well as social issues and are identified in yellow.



#### Figure 1: Identifying the Key Message Categories



The most compelling messages per keyword were extracted and listed in the following sections, each being appropriately referenced.



# **Key messages and lessons emerging**

### The top 10

# 1. INSTITUTIONAL ARRANGEMENTS AND STRUCTURES, AND GOVERNANCE ISSUES

### **ARRANGEMENTS, PROS AND CONS:**

- Co-management arrangements of protected areas are providing economic and other livelihood benefits to surrounding communities, for example, through ecotourism. (Regional Conference)
- Co-management is impeded by the absence of an institutionalised culture of participation in state agencies and lack of coordination among them. (Fondes Amandes Case Study)
- A formal agreement is not an essential to the success of CBO co-management of forest resources although it may be desirable, particularly where the land tenure is insecure and/or there are likely to be pressures to convert it for other uses. (*Third ALG Meeting*)
- A formal document [e.g. a co-management agreement] may be valuable in terms of specifying roles and relationships but this may be less important where a good relationship has been established between parties. A formal document also ensures that the relationship has been established between parties and is not just dependent on certain individuals. (First ALG Meeting)
- While trust should inform a formal arrangement, it should not be a substitute. Often informal arrangements are maintained because of personalities and over time, when personalities are no longer in the equation, informal relationships can fail. Formal arrangements then, act as a safety net. (Third ALG Meeting)
- Informal relationships have the advantage of easier adaptability as situations change. (Trinidad National Workshop)
- Formal arrangements provide security from changes in political will or increasing development pressures. (Trinidad National Workshop)
- Built trust can provide a substitute for formal long-term contracts. (Grande Riviere Case Study)
- Informal arrangements can work effectively provided there is trust, sustainability and security of tenure e.g. the forest management arrangements in Fondes Amandes and turtle protection arrangements in Grande Riviere and Matura, which become de facto co-management [arrangements]. These groups started out wanting formalised relationships but no longer perceive this as a hindrance as their sense of security derives in large measure from the national and international recognition they receive.<sup>1</sup> (Fourth ALG Meeting)

<sup>&</sup>lt;sup>1</sup> Further discussed under *Keyword: Trust* 



- Formal co-management arrangements should be accompanied by sustained efforts to develop mutual trust and respect, and must be accompanied by capacity building of both the local organisation and the overall institution. (Fourth ALG Meeting)
- Formal arrangements can be an advantage in terms of securing funding, but there are exceptions like Nature Seekers in Trinidad which has no formal written co-management arrangement but has been extremely successful in securing funding from a variety of sources. (Fourth ALG Meeting)

### HOW TO MAKE ARRANGEMENTS WORK:

- Strong but collaborative leadership appears to be a common factor in the 'successful' arrangements examined to date. (*Third ALG Meeting*)
- Community forestry initiatives can be implemented via formal or informal co-management arrangements, but in all cases they should be based on sustained efforts to develop mutual trust and respect. (CANARI Policy Brief 11)
- Informal, trust-based sanctioning can substitute for a formal management arrangement and provide a springboard for additional financial and other support. However, if trust is low or breaks down, the absence of formal arrangements can weaken the community partner's position. (Fondes Amandes Case Study)
- Expectations in terms of roles and responsibilities, performance, and monitoring and evaluation should be clarified in writing from the outset, even in situations where a formal contract is not possible. (Fondes Amandes Case Study)

### INSTITUTIONAL REQUIREMENTS:

- Forest management institutions as well as the forest managers in government agencies need to be able to learn and be flexible so that they can adapt to changing needs in the forestry sector. It is important to look at their governance. (*Regional Conference*)
- It is essential that governance models are in place to ensure that funding goes to local communities or civil society organisations managing the forests. Funding mechanisms must be accessible to the people who need them. (Regional Conference)
- Enabling policies, laws, structures, and processes are needed to promote and support community forestry. (CANARI Policy Brief 11)

### EVEN IF WE THINK THEY DON'T, INSTITUTIONAL FRAMEWORKS DO EXIST:

- Forest policy can be expressed formally and informally in various forms. Even when there is no formal policy statement, there are a number of instruments and processes that constitute a policy framework. For example, in Saint Lucia, the forestry and related legislation, management plans for national parks, and corporate plans for the Forestry Department and its parent Ministry all comprise a policy framework for forest management that reflects the value placed on forest resources by the country. Saint Lucia does not have a single comprehensive Forest Policy but is guided by policies expressed in various statements for different purposes and periods. (*Regional Seminar on Forest Policy*)
- National Action Plans, National Environmental Management Strategies and Environmental Management Policies are useful guiding frameworks that forest policy could fit within. This could be especially useful for countries such as Barbados and St. Kitts and Nevis where there is not a strong focus on forestry outside of the wider natural resource sector. (*Regional Seminar on Forest Policy*)



### **POLICY DEVELOPMENT TIPS:**

- The points of entry to forest policy review/ development can vary, policy formulation is not a linear process, and there is no need to reinvent the wheel. This iterative process was especially highlighted in the presentation on the Jamaica experience where the development of the new National Forest Conservation and Management Plan was halted while the Forest Policy was revised. This resulted in a stronger enabling institutional framework for forest management without conflicts between policy instruments. (Regional Seminar on Forest Policy)
- Forest policy review is on-going. On-going review is important to ensure that policy is adaptive and adapted so that it continuously responds to changing contexts, needs, opportunities and priorities. (Regional Seminar on Forest Policy)
- The [forest policy review] process needs to be informed by monitoring and evaluation. (Regional Seminar on Forest Policy)
- Forest policy review and development must engage all stakeholders (state, private sector, civil society, and people) and ongoing stakeholder analysis is critical to understand roles, responsibilities and interests. The level and type of participation will depend on capacity, which may need to be built. It must build partnerships and alliances and facilitate access to information, with strategic communication, "if people do not own the resource, you have no policy". The policy process in Grenada is widely viewed as exemplary in its success at engaging a wide variety of stakeholders. Trinidad and Tobago is embarking on a participatory process of forest policy review which will seek to engage stakeholders from relevant government agencies as well as the private sector and civil society. (*Regional Seminar on Forest Policy*)

### WHEN POLICY IS DEVELOPED IN A PARTICIPATORY MANNER:

- Policy statements and instruments [developed using participatory processes] are useful to:
- express consensus and reflect all views;
- formalise and publicise roles and responsibilities, and make them sustainable;
- ensure coherence and consistency;
- guide implementation;
- support advocacy and accountability;
- enable enforcement;
- provide the basis for monitoring, evaluation and adaptation. (Regional Seminar on Forest Policy)
- Involving stakeholders in policy development builds stakeholder support, capacity, and interest in management. (Participatory Natural Resource Management Toolkit)
- Broad stakeholder engagement in policy development limits perceptions that the policy is a document biased to the administration in power. (Participatory Natural Resource Management Toolkit)

### **POLICY IMPLEMENTATION ISSUES:**

Key policies [...] that remain in draft [due to factors such as slow enactment process] [or lack of political will] may not be a barrier to implementation. (Trinidad and Tobago Policy Review)



- There is a multiplicity of agencies with responsibility for managing forest resources and this has led to overlapping and conflicting responsibilities, philosophies and practice regarding participatory approaches. (Trinidad and Tobago Policy Review)
- The role forest policy plays in catalysing or facilitating the development of a coherent and enabling institutional framework for forest (and natural resource) management needs to be examined. A good policy would act to:
- demonstrate the value of policy,
- help change the dominant governance culture;
- advocate and support policy reform, especially in complementary sectors (e.g. land, water, tourism, rural development);
- promote policy linkages;
- build capacity for policy analysis, formulation and implementation;
- advocate public sector reform;
- advocate and support participatory governance. (Regional Seminar on Forest Policy)

### **NEED FOR INSTITUTIONAL SUPPORT:**

- Integrated forest management and alternative livelihoods need an enabling legal and legislative framework. (IFMDP Independent Evaluation)
- Community groups have a good vision and can implement projects, but the lack of institutional support from village councils and relevant Ministries often discourages members from continuing with the project. (Dominica Exchange Visit)
- A participatory, democratic relationship with government is required in order to create an enabling environment for community forestry. (Regional Conference)
- Enabling policies, laws and governance structures are necessary to enable participatory forest management arrangements. (Regional Conference)
- Funding agencies and other external partners should make strategic investments aimed at building local institutions operating at community, national and regional levels in the Caribbean. (CANARI Technical Report: 30 years of PFM)
- In cases where forest resources are minimal; policies, conservation laws, and incentives and concessions for agroforestry and conservation should be revised to ensure the availability of the direct and indirect goods and services provided by forests for societal benefit. (Barbados National Workshop)

### THE IDEAL SITUATION:

- It is important to articulate an integrated and coherent framework of policies and these include:
- policy statement(s);
- laws and regulations;
- strategic plans, corporate plans, work plans and budgets;
- management agreements;



 institutional arrangements for policy management, implementation and adaptation (based on monitoring and evaluation), preferably participatory.

The forest policy process for Grenada resulted in the development of a policy statement, a 10-year strategic plan for the Forestry Department, a new organisational structure and new staff positions for the Forestry Department, a revised budget, annual work plans, and draft Protected Area, Forestry and Wildlife legislation. (*Regional Seminar on Forest Policy*)

### THE UNFORTUNATE REALITY:

- "Turfism" and the unwillingness to share power [can] militate against participatory approaches, efforts to streamline and integrate functions, and the establishment of structures to fill identified gaps. (*Trinidad and Tobago Policy Review*)
- There is a disconnect between policy and practice, and the dominant political culture is often antagonistic to governance by policy. (*Grenada Policy Review*)
- Government agencies have several barriers to their ability to adapt, including rigid hierarchical structures and systems, limited focus on results (including indicators of effectiveness and efficiency), and a human resource management system that does not focus on performance. (*Trinidad and Tobago Policy Review*)
- While a government agency may have the capacity and experience to engage in participatory natural resource management, the lack of legal and policy frameworks to support aspects such as the operation of civil society organisations, forest polices and forest management plans, limit both the authority of the government agency and the capacity of civil society to engage further. (*saint Lucia Policy Review*)
- Even where there is an explicit statement of forest policy (Grenada), there is a recognised need for an improved policy environment (*Regional Capacity Building Strategy*)
- Unwillingness by government agencies to devolve power [works] against participatory approaches. (*Trinidad and Tobago Policy Review*)

### WHAT CAN CIVIL SOCIETY DO:

Community-based innovators, such as FACRP, can influence policy formulation and shift partner agencies' perspectives and practices in a direction favourable to community participation and benefits. (Fondes Amandes Case Study)

### 2. CAPACITY RELATED OR CAPACITY BUILDING

### CAPACITY NEEDS IN THE GOVERNMENT SECTOR:

- Government and other support agencies may be ill-equipped, both in terms of skills and resources, to facilitate the development of an entrepreneurial activity. In this case, this facilitated the 'capture' of the initiative by an individual with relevant skills but a different world view and culture. A better alternative would be for government agencies to contract people with entrepreneurial skills to develop community capacity and to preface this by building consensus on the vision and world view. (*Fons Gens Libre Case Study*)
- Capacity (public sector, civil society) for policy formulation as well as implementation is weak. (Regional Seminar on Forest Policy)



- Government agencies must develop key capacities to be able to effectively promote and facilitate community forestry. (CANARI Policy Brief 11)
- Foresters need relevant training in social areas as well as basic forestry skills (including research), participatory planning and facilitation skills. (st Vincent and the Grenadines Policy Review)
- Forest managers in the Caribbean need to have the capacity to facilitate participatory processes for effective management of forest goods and services to ensure that the resources are conserved and people benefit. (CANARI Policy Brief 12)
- Government agencies need to be resourced in order to engage in participatory natural resource management activities, including: human, financial and material resources, skills in conflict management, being able to support business initiatives, as they relate to the commercialisation of non-timber forest products (*saint Lucia Policy Review*)

### HOW TO ENGAGE CIVIL SOCIETY:

Guidelines for government agencies when interacting with CBOs:

- Understand context of the socio-economic and cultural profile of the communities being targeted this will help in developing or refining interventions aimed at building sustainable ivelihoods.
- Build partnerships with the communities using different government agencies
- Build public awareness for the work done via the government/CBO interaction and train agencies on how to sensitise CBOs on environmental issues
- Assess opportunities by conducting a feasibility study of potential alternative forest-based livelihood opportunities (including agro-forestry).
- Build capacity by decentralising government services into community areas; strengthening the capacity of staff interacting with CBOs for example, Forestry Department in facilitating community social forestry.
- Provide support for CBOs, such as basic training in secretarial duties, computers and access to a meeting place.
- Address economic needs by providing subsidies to support early efforts at replanting and developing alternative livelihoods. (*Third ALG Meeting*)

### **CAPACITY NEEDS OF CSOS**

- Succession planning is key to ensuring sustainability of group/projects. Building leadership often requires a long process of involving members in taking on certain responsibilities, regardless of their current level, and building their confidence over time. (*Third ALG Meeting*)
- Capacity building projects should not solely address physical structures, for example buildings and materials, but also develop the skills of people. (Jamaica National Workshop)
- CBOs need training in management including business skills, reporting requirements, administrative structures, financial management, human resource management and training, being able to assess risks and plan for the unforeseen. (*Dominica National Workshop*)
- [Some capacity building needs include]:
- training in conflict management and capacity building in several areas of organisational management,



- training and mentoring in micro- entrepreneurship and money management,
- facilitation of community visioning and strategic planning, preferably using independent facilitation,
- training/mentoring in basic organisational management (e.g. management of human and financial resources, proposal development);
- training/mentoring in conflict management and effective communication;
- building new leaders and succession planning. (Trinidad National Workshop)
- Forest users have basic skills but need other skills and have additional needs such as marketing techniques and access to markets that would allow them to maximise the income from their work. (*Dominica Policy Review*)

### HOW TO START BUILDING CAPACITY:

- CBOs may need to identify and engage key people external to the group with skills that assist the group in development. (*Grenada National Workshop*)
- Groups that are able to build political skills (at all levels) are able to gain more power and attract donor funding since donors want to fund success stories. (*Third ALG Meeting*)
- A small tangible practical project can build capacity for and catalyse bigger things as people "jump on the bandwagon" of success. (Fourth ALG Meeting)
- Small grants are a stepping stone to build the capacity of groups to deliver on bigger projects in the future. (*Third ALG Meeting*)
- Use as many opportunities within the design of the process to build capacity. Capacity building can be just as effective informally. It should not be limited to formal training opportunities. (Participatory Natural Resource Management Toolkit)

### WHY BUILD CAPACITY OF CSOS:

- Sustained and long-term support and capacity building of the community and local organisations is required to enable them to participate effectively in community forestry initiatives. (CANARI Policy Brief 11)
- Capacity constraints of the LFMCs influence the pace and scope of their development. (LFMC case study)
- When CBOs lack technical capacity, their ability to produce outputs is diminished and their projects are disconnected. (*Third ALG Meeting*)
- NGOs and CBOs face serious challenges in organisational management and strategic development, including adapting to changing contexts to ensure their sustainability. Many are reactive and project-focused rather than mission-focused and have not been able to strategically develop programmes or their human and other resources. (*Trinidad and Tobago Policy Review*)
- Providing CBOs with business development opportunities is key in building sustainable organisations. (*τhird ALG Meeting*)
- Demonstrating capacity is a stepping stone to building trust. (Third ALG Meeting)



### CIVIL SOCIETY CAPACITY BUILDING TAKES TIME:

- Start-up NGOs and CBOs need systematic accompaniment over a longer period than the typical project time frame, including skills/ capacities that may not reside in the partner or government agency ...targeted at government agencies, donors and all who provide support to NGOs. (Fourth ALG Meeting)<sup>2</sup>
- As a community group grows, its capacity increases, but its needs also change and it may continue to require accompaniment including capacity building in a wider range of competencies. (*Fourth ALG Meeting*)
- Building capacity in local communities to be able to effectively participate in forest management and negotiate their own positions takes time and resources. (*Regional Conference*)

### WHEN CAPACITY IS LOW:

- When key leaders leave, many groups go dormant as they do not have the depth of human resources to be able to readily replace these persons.<sup>3</sup> (*Dominica Policy Review*)
- Most NGOs and CBOs have limited capacity and are not perceived to have the capacity to play a key role in planning, decision-making, and implementation. (*Trinidad and Tobago Policy Review*)

### IS CAPACITY REALLY LOW? :

 CBOs and NGOs [tend] to underestimate and sometimes underutilise the strengths that they have. (Third ALG Meeting)

### **3. LIVELIHOODS**

### **DEFINITION:**

Livelihoods can mean: a means of earning a living, long-term employment, survival, support, quality of life and earning mechanisms (*Participatory Forest Governance Regional Training Workshop*)

### **BENEFITS OF FOREST-BASED LIVELIHOODS:**

Forest-based livelihood projects have many benefits such as opportunities for enhancing livelihoods by drawing on lessons learnt, conserving the environment and exchanging knowledge, technical skills and training. (st Vincent and the Grenadines National Workshop)

### **INCENTIVES:**

Participation for material incentives is an increasingly common model in T&T, with little focus by both government and civil society on the wider and more complex benefits to livelihoods (including social, economic and cultural systems). As a result community organisations and members are increasingly unwilling to become involved in initiatives unless there are direct financial benefits. (Trinidad and Tobago Policy Review)

### PROTECTED AREAS AND LIVELIHOODS:

<sup>&</sup>lt;sup>2</sup> This is also considered as a Success Factor.

<sup>&</sup>lt;sup>3</sup> Also considered under Leadership.



Creating and managing protected areas can help to protect forests and associated livelihoods against the impacts of climate change. (Regional Conference)

### **CLIMATE CHANGE AND LIVELIHOODS:**

People who depend on forests for their livelihoods will be threatened by climate change. (Regional Conference)

### LIVELIHOODS ASSETS:

Income benefits are important to community groups, but they are not the only kind of benefits that matter. (LFMC Case Study)

### **QUOTABLE QUOTE:**

Livelihoods is not about making a living... it's about living" (Rex Nettleford) (Fourth ALG Meeting)

### TRENDING NOW:

Sustainable livelihoods in forest management is a completely new domain for the Caribbean, and it is something that will require much time and investment to move from ideas and pilot experiments to a real integration of forests into the social and economic development frameworks of these countries, and from a situation where people, households and communities who are dependent on forest resources were perceived as marginal (and very often as a threat to the integrity of the forest) to a new paradigm where forests are seen as assets for households and communities who can maintain and develop sustainable livelihoods based, in part, on forest resources; (Independent Evaluation)

### SWITCHING COSTS:

In switching livelihood strategies there is often a financial gap. (Fifth ALG Meeting)

### **RESOURCES AND LIVELIHOODS IMPROVEMENTS:**

Improvement of livelihoods requires long term commitment of resources (Independent Evaluation)

### **BUY IN:**

Community members (and supporters at local and national level) must perceive that there are benefits from a project, though these may not necessarily be financial. This is critical for building sustainability, buy-in, and to influence the formal institutional framework. (*First ALG Meeting*)

### **RESEARCH IS NEEEDED:**

There seems to be a tendency to assume livelihood benefits without assessing or documenting what these are or what the baseline is). (Second ALG Meeting)

# 4. COMMUNICATION

### IMPORTANCE OF COMMUNICATION:

- It is important to communicate the results of the project for transparency and building trust among all parties involved, including donors, executing organisations, and responsible government agencies. (Nevis National Workshop)
- Effective communication among government agencies, NGOs, CBOs and forest users is important to build shared understanding for collaboration in managing the forest and related natural resources. (Nevis National Workshop)



- Effective and sustainable co-management requires open and frequent communication between, and the commitment of adequate resources by, each party. (Fondes Amandes Case Study)
- Although it is difficult to get consensus among stakeholders or groups, there are benefits to be gained by being part of a round table (e.g. exchange of information and expressing opinions and needs). (Nevis National Workshop)

### WHAT TO COMMUNICATE:

Key messages that need to be communicated to the donor include the objectives of the project, the benefits of the project and sustainability of the project. (*PFM for CBOs Regional Workshop*)

### SELL YOURSELF:

No one knows your project more than you and it is important that you know how to sell your organisation. (PFM for CBOs Regional Workshop)

### **MESSAGES:**

- Forest management needs everyone's efforts. (IFMDP Independent Evaluation)
- It is easier to blame "the government" for the problems, when taking care of the forest is not only the responsibility of ONE stakeholder. (*Nevis National Workshop*)
- Messages should convey to the target audience why is of interest/benefit to them. (Fourth ALG Meeting)
- It is crucial to "sell" the value of forests and demonstrate tangible benefits in order to get support for forest conservation. It is also important to focus on communicating what it would cost if forests were lost. (Regional Conference)

### PLAN AN EFFECTIVE STRATEGY:

- Communication strategies are more effective if they include the expected noise and synergistic activities that the plan can be leveraged on. (*Participatory Forest Governance Regional Training Workshop*)
- "Politicise" the message (i.e. make it relevant to policy or a current topic of debate) but be cautious about partisan politics. (Fourth ALG Meeting)
- Traditional methods such as calypsos and speech bands can also be used to transfer messages about PFM. (Participatory Forest Governance Regional Training Workshop)
- Keep messages simple so that the target audience can understand. (Participatory Forest Governance Regional Training Workshop)
- The choice of words is important in communicating messages. (Tobago National Workshop)
- Communications objectives should be action-oriented. (Fourth ALG Meeting)
- Engagement of the media needs to be a deliberate process, and popular artists are important champions. (Regional Conference)
- Use existing policy processes to get messages out and strike while the topic is 'hot'. (Fourth ALG Meeting)

### CAUTION:

Premature publicity can create expectations (internal and external) disproportionate to the capacity to meet the expectations. (Fourth ALG Meeting)



### TOOLS:

The media can play a vital role in implementing a participation strategy. Radio, in particular, can foster wider and more equitable participation, with people feeling more at ease making their points on radio rather than at public meetings. (Participatory Natural Resource Management Toolkit)

### WITHIN THE CBO:

The need to maintain open channels of communication within group and community, to value different ideas and to know that here will be disagreements but these can be surmounted, particularly if group members are taught how to give feedback (Trinidad National Workshop)

### 5. PARTICIPATORY PLANNING AND PROCESSES

### **DEFINITIONS:**

- Participatory processes can be characterised as those that:
  - involve groups that are impacted, influenced, interest, people centred, stand to benefit and to lose;
  - o are where people participating are committed to the process;
  - o focus on both process and results;
  - o include shared roles and responsibilities;
  - o are based on principles of equity, respect, empowerment, openness and ownership;
  - o focus on relationship building;
  - o build trust;
  - o promote values of transparency, accountability, and democracy;
  - have a clearly defined goal of what you want to achieve, which is determined by or has buy in from or is revised by people involved;
  - o take a long time;
  - o promote equity in decision-making and allocation of benefits;
  - o explicitly address the power gap between "the experts" and others;
  - o promote people taking charge of their own affairs;
  - o include capacity building;
  - o are expensive and complex and need expertise;
  - o are a, "pain in the back that has good rewards at the end";
  - o build consensus;
  - o develop communities;
  - have methods and tools that could be applied to make the process more efficient and effective, but there needs to be caution with this;



- are multi-dimensional, and iterative;
- o must be relevant;
- o focus on the people with low voice. (Participatory Forest Governance Regional Training Workshop)

#### Value of participation:

- o brings additional knowledge and skills;
- o addresses concerns of and meets the needs of different stakeholders;
- o prevents or manages conflict;
- o considers different perspectives;
- can build local ownership;
- o is inclusive and includes who is affected, has a role in management, and has a RIGHT;
- o builds buy-in and support for implementation;
- o contributes to relationship building;
- looks good at the international level and creates opportunities for additional financial resources. (Participatory Forest Governance Regional Training Workshop)
- The costs and challenges of participatory processes include:
  - o Frequent communication is required
  - o Participatory processes need sufficient time
  - o Trust deficit between the facilitators and the stakeholders
  - Determination of best approaches/ techniques to use in facilitation
  - o Resources (material and finances) are needed
  - o Managing internal conflicts
  - o Keeping all stakeholders interested
  - Use of technology to enable broader participation
  - The process is costly and there are other competing demands.
  - Difficulty arranging meetings both among facilitators and with the stakeholders because of busy schedules.
  - o In practice the interest of many people is not on process but on showing immediate results.
  - It is challenging to engage people because of many issues such as low capacity and low interest.
  - o It is difficult to identify who needs to be involved and how they should be involved.
  - There is a general feeling that participatory approaches require experts for implementation. (*Participatory Forest Governance Regional Training Workshop*)
  - Participatory processes take time and do not necessarily fit bureaucratic time frames.
  - Facilitated participatory processes take time and require resources to be executed.
  - Effective implementation of participatory processes takes time, resources and commitment but results in more sustained stakeholder engagement.



- The process is long and time consuming. ((Participatory Natural Resource Management Toolkit)
- Benefits of participatory processes
  - o Empowers the stakeholders involved in the processes
  - o Enhances community ownership
  - Brings new and diverse ideas
  - o Improves transparency
  - o Improves chances of success in participatory management
  - o Reveals new information (welcomed surprises)
  - o Shows a clear direction once the goals are agreed upon
  - Manages potential conflicts
  - o Provides greater opportunities for networking and relationship building
  - o Builds synergies, cooperation, coordination and collaboration among stakeholders
  - o Serves both individual and community interests
  - o Builds both capacity and confidence in stakeholders
  - Develops organisational capacity (both in civil society and government)
  - Contributes to a transition to a cooperative approach (*Participatory Forest Governance Regional Training Workshop*)

The benefits of using in participatory processes such as in the case of Grenada in its forest policy development include:

- o Aware and committed stakeholders who have a role in policy implementation;
- o Mutual respect and trust built among stakeholders;
- o Strengthened partnerships and networks;
- During and after the process, government staff acquired skills in facilitation, stakeholder identification and analysis, conflict management and other relevant areas;
- Roles and responsibilities of government stakeholders are clearly defined in terms of authority, policy direction, execution of policy, management oversight. *(Regional Policy Review)*

### **EFFECTIVENESS OF PARTICIPATORY PROCESSES:**

- Participatory processes are most effective when there is:
  - o High level of awareness among stakeholders;
  - o Interest or stake in the outcome;
  - Bottom-up approach (more buy-in in the process);
  - o Financial benefit resulting from the PFM decision;
  - o Understanding of the collective function (cohesiveness);
  - Clearly stated goals;
  - Funding available;



• Trust among the participants in the process. (Participatory Forest Governance Regional Training Workshop)

### LEARNING FROM DOING:

- As a government agency promotes a participatory culture among stakeholders, it itself can benefit from collaborative management within. (saint Lucia Policy Review)
- The practice of developing separate policy documents that contribute to overall participatory natural resource management indicates that participatory processes are not accepted as an integral part of planning and management, but as a separate add-on activity. (*Trinidad and Tobago Policy Review*)

### NOTE:

Participatory processes may need to be transformed to non participatory at times to ensure survival of the initiative. (Participatory Forest Governance Regional Training Workshop)

### LEGISLATE IF NECESSARY:

Specify opportunities and innovative arrangements for stakeholder involvement and integrated forest management in legislation and policy. (*Participatory Forest Governance Regional Training Workshop*)

### **PARTICIPATION TIPS:**

- Involving all key stakeholders from the start to avoid or minimise conflicts. (Participatory Forest Governance Regional Training Workshop)
- Use NGO networks and private sector or resource user associations to reach stakeholders. (Participatory Forest Governance Regional Training Workshop)
- Mobilisation of participants is a key factor in getting the right selection of individuals for a participatory process. (*Participatory Natural Resource Management Toolkit*)
- The selection of individuals for a participatory process influences the result of the process. (Participatory Natural Resource Management Toolkit)

### 6. CONDITIONS FOR SUCCESS

### **CRITERIA FOR A SUCCESSFUL INSTITUTIONAL ENVIRONMENT:**

- It is critical to bring policy and decision-makers on board to create enabling institutional environment for implementation. Political support is key. (Regional Seminar on Forest Policy)
- Legislating the establishment and operations of NGOs that includes a framework for their structure, operations and governance will clarify the role that civil society can play and will raise confidence in their validity, capacity and accountability.<sup>4</sup> (*Trinidad and Tobago Policy Review*)

### **PROJECTS AND INITIATIVES**

It was important that the businesses and groups take "baby steps" to achieve their goals, and plan achievements that want to achieve each month. As the organisation and businesses grow stronger, they will find themselves planning for the year. (Tobago Exchange Visit)

<sup>&</sup>lt;sup>4</sup> Repeated under Keyword: Stakeholder Needs



- Trust, mutual respect and equity are critical to project success and a necessary precursor to the negotiation of formal co-management arrangements. (First ALG Meeting)
- A strong leader/personality is often the key driver of a project, so there needs to be succession planning and a proper institutional framework to assure sustainability. (First ALG Meeting)
- A participatory economic valuation exercise, combined with a communication strategy targeting policy makers, is an effective tool for raising stakeholder awareness and securing political buy-in. (Participatory Natural Resource Management Toolkit)
- Conservation programmes that are initiated on political grounds such as providing social welfare or targeting an economic need in a community can be just as successful as any other if properly managed. (Third ALG Meeting)
- Financial resources are only one aspect needed for developing a successful business. Don't forget the other factors of production including land, labour and management. For civil society, acquiring space (land) especially state lands is difficult; plus you need to ensure a labour supply. Some more successful CBOs created employment plans that defined their policies. (Tobago Exchange Visit)
- CBOs should develop multiple livelihood strategies based on forests (to improve opportunities for success). Seasonal natural resource management activities such as turtle tour guiding and tagging cannot sustain CBOs in the long term. CBOs that start out driven primarily by environmental values may realise that they need to identify and develop more revenue-generating activities in order to become sustainable. (Dominica and Trinidad National Workshops)
- Regular communication assists both CBOs and government agencies to adapt to changing circumstances. (Trinidad National Workshop)
- [When interacting with stakeholders] be cognisant of the dynamics among participants and observe protocol where applicable. (Participatory Forest Governance Regional Training Workshop)

### **BUY-IN:**

- Community participation enhances the success of any project. The chance of success is greatly increased if community members understand the project aims and objectives, how it impacts and benefits them, and feel some ownership of the project. (*Financing for sustainable forest-based livelihoods Exchange Visit*)
- Private sector support for community development can act as a powerful catalyst. (Grande Riviere Case Study)
- Keeping the community's interest up by identifying what's in it for them and how they can be involved [is important]. (*Trinidad National Workshop*)

### **KNOWLEDGE:**

"The battle for participatory forest management is not inside the forest", says one ALG member. It is on agro-forestry, in green house development and nursery management, in awareness, in creating markets for forest-based goods and services, in public policy related to land use, agriculture and livestock, tourism, community development and governance." This not a new lesson, but it is one that the project has very usefully highlighted, confirming the complexity of participatory forest management, and the fact the management of forests, if approached from an integrated human development perspective, is the management of (real, potential and perceived) conflicts and diverse expectations [...] (*Independent Evaluation*)



There are differences within communities. Stakeholders must attempt to acknowledge, learn, and in some instances tolerate, these differences in order to develop sustainable forest-based livelihoods. (*Tobago National Workshop*)

### SKILLS:

- Technical competencies must be combined with other key skills particularly, understanding power and how to use power to increase participation in governance (negotiation skill) is critical for ensuring that benefits continue to accrue to the community/group. (*Third ALG Meeting*)
- Strong CSO entrepreneurial/ business skills within the institution can facilitate securing of benefits, but is rare, at least at the outset and often absent within government agencies. (*Third ALG Meeting*)

### **PROCESSES:**

- It is important to identify and involve all key stakeholders from early in the [participatory planning] process.
  (Financing for sustainable forest-based livelihoods Exchange Visit)
- CBOs need to invest in strategic planning to maximize the likelihood of achieving their identified goal/ goals. (Grenada National Workshop)

### **ORGANISATIONAL GROWTH:**

- Newly formed CBOs require investments of time and money to get off the ground. The elements of success are listed below.
  - Partnerships between the government and the community including the use of formal instruments
  - o Cooperation among community members that maintains organisation
  - Willingness to participate on the part of both both the community and the government partner. The community is often excluded as government owns most of the land
  - o Political will to support community forestry
  - Government policy and a policy framework that leads to formal arrangements among the stakeholders
  - o The potential for livelihood improvement is key; it is important to share the benefits of the forests
  - Gender issues/ empowerment of women. Several organisations and projects became active when the women got involved
  - Flexibility among the membership of the groups that allowed the members to leave when they wanted
  - o Participation that is open to all in the surrounding communities
  - o Adaptive capacity of both the government and the community levels
  - o Conflict mediation
  - o Networking is crucial to share information among the members
  - o Common goal among all the stakeholders
  - o Empowerment/ ownership of the resource that fosters a sense of belonging
  - o Sharing responsibility for managing the resource



- Transparency and accountability
- Trust among the stakeholders
- Communication awareness and networking. Having regular meetings (both formal and informal) can help sharing information with all stakeholders. Vertical communication between the community and the government and horizontal communication among communities to share experiences
- o Joint decision-making
- o Succession planning by recruiting new members and leaders to ensure continuity
- o Bottom-up approach to management
- o Good community leadership
- o External input and support
- o Reliable rules and regulations that are also flexible
- Giving the community time to improve their capacity for management can improve the effectiveness of [...] initiatives
- Increased environmental awareness (FAO Case Studies)

### PARTICIPATORY FOREST MANAGEMENT:

- [Other] elements of success for Particiaptory Forest Management:
  - Sharing control over forest access and management is important to mainstreaming CBF in the region. Managing authority can be granted to an individual (as in the case of Cuba) or to a community (as in a case in Jamaica where a community has been given management responsibility for a forest reserve).
  - A legal instrument that entrenches stakeholder involvement in the management of the resource can promote involvement in the decision-making process (e.g. Jamaica, Dominican Republic)
  - Formalising and institutionalising the roles not only of forestry departments, but of all agencies concerned with communities and their resources e.g., agriculture, tourism, will aid in 'mainstreaming' CBF and making it more effective. Coordination among the various arms of government will rationalize and enhance impact.
  - Communication within civil society, among agencies of govt and between govt and civil society is crucial. Foresters must re-establish opportunities/spaces to connect with local people. A 'culture of communication' is required. (*FAO case Studies*)

### 7. STAKEHOLDER PARTICIPATION

### **BENEFITS:**

- The[re is] value of incorporating the wider family of group members and employees so that they understand the bigger picture. (*τrinidad National Workshop*)
- Forest-based livelihood projects have the potential for developing community spirit. (Tobago National Workshop)



Community participation is needed to for effective forest management. . (Regional Conference)

### **REQUIREMENTS:**

- It is important to mobilise stakeholders and facilitate participation. (Financing for sustainable forest-based livelihoods Exchange Visit)
- In order to truly understand and appreciate the value and benefits of the reforestation programme, involvement and education of the community is necessary. (*Matura Exchange Visit*)

### **PARTICIPATION FOR SUCCESS:**

- Effective and equitable participation is best achieved by involving key stakeholders from the project design stage onwards and requires systematic building and nurturing of mutual respect and trust. (Fondes Amandes Case Study)
- Commitment to the project often differs depending on the demographic of the communities i.e. communities that have fewer alternatives for livelihood options are more willing to see a project through the difficult nascent stages. (*πird ALG Meeting*)

### PARTICIPATION TO BENEFITS RATIO:

In the case of Fondes Amandes, there is a strong correlation between the degree of participation by a community-based organisation in the institutional arrangements for watershed management and the level of benefits received by the community. (Fondes Amandes Case Study)

### TIPS:

If community participation in the initiative is weak, the CBO should find ways to encourage involvement and build the capacity of the community to participate. (*Dominica National Workshop*)

### NOTE:

Participation – and especially participatory forest management – does not happen magically thanks to a change in discourse; it requires resources, skills, new governance arrangements, changes in attitudes and perceptions, and rules that secure the rights of the weaker stakeholders. (*Independent Evaluation*)

### 8. STAKEHOLDER NEEDS

### FORMS:

- Simple application and reporting formats can advance organisational development without compromising transparency. (*Financing for sustainable forest-based livelihoods Exchange Visit*)
- The same questions are being asked in many ways to see if the group is "telling the truth". (*Financing for sustainable forest-based livelihoods Exchange Visit*)

### **CAPACITY AND NEEDS:**

✤ As groups develop capacity, their needs change. (Financing for sustainable forest-based livelihoods Exchange Visit)

### **EXTERNAL SUPPORT:**

Support from multiple sources can help the work of the CBO but must always fit the agenda of the CBO. (PFM for CBOs Regional Workshop)



The design of programmes and projects that are financed by external sources should be a collective exercise, driven by needs and priorities on the ground. (CANARI Technical Report: 30 years of PFM)

### STRUCTURES:

Legislating the establishment and operations of NGOs that includes a framework for their structure, operations and governance will clarify the role that civil society can play and will raise confidence in their validity, capacity and accountability. (*Trinidad and Tobago Policy Review*)

### DIFFERENCES:

It is important to to recognise the diversity of stakeholders and take into account the full complexity of their interests and relationships with the resource and with one another. (CANARI Technical Report: 30 years of PFM)

### **NEED SUPPORT:**

NGOs and CBOs need to be given more government support since their work supports the objectives of numerous sectors and, in many instances, relieves social pressures. (*second ALG Meeting*)

### 9. NATURAL RESOURCES AND THEIR MANAGEMENT

### NRM NEEDS:

- In the Caribbean, with this region's huge ecological, social, cultural and economic diversity, effective environmental management also demands intense, constant and effective collaboration between countries and institutions, across linguistic and political barriers. (CANARI Technical Report: 30 years of PFM)
- Climate change is already occurring, leading to extreme weather events, increasing aridity, and changing temperature; the Caribbean islands stand to be most affected. Climate change is already having negative impacts on forests: decreasing their extent, changing composition, shifting distribution, threatening endangered and vulnerable species, and increasing the prevalence of exotic species. (Regional Conference)

### THE REALITY:

- Resource management is, in effect, the management of the relationship between people and resources. (CANARI Technical Report: 30 years of PFM)
- It is a myth that poor people invariably destroy natural resources. In the cases of the Mankòtè mangrove in Saint Lucia or Fondes Amandes in Trinidad, users of natural resources employ coherent strategies that should provide the starting point for any improvement in management, and that poor people should be actors and partners, not victims or villains. (CANARI Technical Report: 30 years of PFM)

### **IT IS AN INTEGRATED SYSTEM:**

An integrated, multi-sectoral approach to forest, land and water policy is essential. (Regional Conference)



### **10. MENTORING**

### **BENEFITS OF MENTORING:**

Informal relationships may work better in the long term in the region especially when groups have a strong relationship with a formal organisation; this builds security, nurtures relationships and provides for continued support. (Fourth ALG Meeting)

### **PITFALLS IN MENTORING:**

Sometimes it is hard for the mentor or mentoring organisation to disengage from the community after the mentoring period. (Morne Longue Mini Case Study)

### **QUALITIES OF THE MENTOR:**

There is value in selecting a committed mentor who is emotionally invested in the outcome. (Fourth ALG Meetings)

### THE CONCEPT OF SYSTEMATIC ACCOMPANIMENT:

New groups need systematic accompaniment over a longer period than the project time. A communitybased tourism project is unlikely to reach its full potential within the average 1-3 year project timeframe, so will need support and assistance for several years. (*Financing for sustainable forest-based livelihoods Exchange Visit; Dominica Case Study*)

### VALUE OF MENTORING:

Mentoring is a solution for achieving grant success. (Financing for sustainable forest-based livelihoods Exchange Visit)



### **Eight Additional Topical Keywords**

### **1. MONITORING AND EVALUATION**

### SELF EVALUATE TO PROMOTE YOUR IMAGE:

Groups need to be well organized and manage their projects efficiently so that they have a strong image when approaching the government. (Jamaica National Workshop)

### **M&E TIPS:**

- In monitoring and evaluating projects, acknowledgement should be given to milestones along the way to achieving the main project goal. (st Vincent and the Grenadines National Workshop)
- It is important to document process outcomes as well as the tangible project outputs. (Second ALG Meetings)
- Involving communities in monitoring and evaluation can help to bring tangible livelihood benefits, inclusive of economic benefits. (Fifth ALG Meetings)

#### **M&E NEEDS:**

CBOs need to document the livelihood impacts of their community forestry work. (Participatory Forest Governance Regional Training Workshop)

### **BASELINE DATA:**

Collecting baseline data and comparing such to eventual results is valuable in monitoring and evaluation of a project. (Trinidad National Workshop)

### **IMPORTANCE OF M&E:**

The evaluation of a project is a perhaps the most important stage as it facilitates an understanding of what worked and what didn't and why. (Trinidad National Workshop)

### 2. OTHER RESOURCES - FINANCIAL, MATERIAL, INTANGIBLE

### **RESOURCING TO PROMOTE SUSTAINABILITY:**

In many activities, donor agencies have provided the initial funds for projects, but groups need to move towards self financing to sustain their activities. (Jamaica National Workshop)

### **PROPERLY RESOURCE CIVIL SOCIETY:**

CBOs can make policies for forest conservation a long lasting reality if they are given the necessary support and adequate resources. It is essential that governance models are in place to ensure that funding goes to local communities or civil society organisations managing the forests. (Regional Conference)



# 3. PARTICIPATORY [AND OTHER] FOREST MANAGEMENT

### **PFM AND THE POOR:**

Specifically targeting the poorest people in community forestry initiatives is critical; otherwise they can be left out or even further disadvantaged. One way is that governments should give poor rural communities formalised, secure, and long-term access to abandoned agricultural land to develop sustainable forest-based livelihoods. (*Regional Conference*)

### **BENEFITS OF PFM:**

Community forestry is contributing to improved forest management and conservation and is also providing benefits to community livelihoods. It also contributes to building consensus on controversial issues, promotes awareness on forest management issues, identifies opportunities to enhance livelihoods, builds the capacity of civil society organisations and gives voice to civil society organisations. (CANARI Policy Brief 11)

### **PFM NEEDS NOW:**

We must pay more direct attention to core forestry issues and forest management processes and instruments including the technical aspects such as nurseries, plantations, sustainable harvesting techniques, species identification, wildlife management or non-timber forest product extraction and transformation. These are technical aspects that need to be put back in the mix of participatory forest management along with shared governance, empowerment and partnerships. (Independent Evaluation)

### THE TRUTH ABOUT PFM:

Forestry is as much (if not more) about managing people as about managing natural resources. (Fourth ALG Meeting)

# 4. VALUES - RESPECT AND TRUST

### WITHIN CBOS:

Common values are very important in maintaining the cohesion of the organisation. (Trinidad National Workshop)

### WHEN CBOS DEAL WITH OTHER STAKEHOLDERS:

Built trust may be more important than formal arrangements. Transparency is also critical to ensuring continued good relations. (second ALG Meeting)

### WHEN TRUST IS ABSENT:

Lack of trust among stakeholders is a barrier to collaboration. (St Kitts and Nevis National Workshop)

### WHEN TRUST IS PRESENT:

Informal arrangements can work effectively provided there is trust, sustainability and security of tenure e.g. the forest management arrangements in Fondes Amandes and turtle protection arrangements in Grande Riviere and Matura, which become de facto co-management [arrangements]. These groups started out



wanting formalised relationships but no longer perceive this as a hindrance as their sense of security derives in large measure from the national and international recognition they receive. *(Fourth ALG Meeting)* 

Mobilisation efforts are heavily influenced by the trust workshop participants have for the facilitators. (Participatory Natural Resource Management Toolkit)

### **5. LEADERSHIP**

### WIDEN THE LEADERSHIP BASE:

CSOs should not be structured around a few persons and there is a need to build capacity beyond core organisation. This involves developing layers of leadership within the organisation, key persons allowing others to lead, building on the youth component. When key leaders leave, many groups go dormant as they do not have the depth of human resources to be able to readily replace these persons. (Third ALG Meeting, National Policy Review, Dominica)

### LEADERSHIP AND SUSTAINABILITY:

- A strong leader/personality is often the key driver of a project, so there needs to be succession planning and a proper institutional framework to assure sustainability. Building leadership often requires a long process of involving members in taking on certain responsibilities, regardless of their current level, and building their confidence over time.<sup>5</sup> (*First and Third ALG Meetings*)
- Strong leadership is critical for coordination of activities, mobilisation of stakeholders and most importantly technical and other advice. (Participatory Natural Resource Management Toolkit)

### 6. OWNERSHIP (OF GROUP, IDEAS ETC)

### **BENEFITS OF OWNERSHIP:**

 All stakeholders must buy in to and accept ownership of the process if it is to be effective. Research indicates that self-generated groups tend to thrive better than groups which are initiated from outside. (Fourth ALG Meeting)

### HOW TO CREATE A SENSE OF OWNERSHIP:

Stakeholders need to clearly identify and associate themselves with the benefits of a project before there is buy-in. (st Vincent and the Grenadines National Workshop)

<sup>&</sup>lt;sup>5</sup> Also considered under Leadership.



### 7. NETWORKING (TO REALISE LINKAGES, TO COLLABORATE ETC)

### INGREDIENTS FOR SUCCESSFUL NETWORKING:

Time is needed for building relationships between institutional partners. (Fourth ALG Meeting)

### BENEFITS OF NETWORKING AMONG CIVIL SOCIETY:

There are many resources available among forest users that could be shared for all to benefit instead of looking only to institutional partners such as Forestry Divisions for resources. (Jamaica National Workshop)

### **NETWORKING GENERATES SUPPORT:**

- Networking with other civil society groups brings useful information, access to money and technical assistance. When CBOs network, they gain a sense of empowerment and strength because "you are not alone". (Grenada, Jamaica and Trinidad National Workshops)
- Establishing implementing partnerships and networking can contribute to securing both additional funding and a broader range of technical expertise. (Participatory Natural Resource Management Toolkit)

### 8. GENDER ISSUES

### BENEFITS TO SOCIETY FOR INVOLVING WOMEN IN FOREST-BASED LIVELIHOODS:

Forest-based livelihoods fostered greater independence for women in the community who may be among the poorest of the poor and therefore most vulnerable. (*Regional Conference, FAO Case Studies, Tobago National Workshop*)