



Final Report of the

International Training on

Participatory Forest Management

August 10th to 24th, 2012 in Berlin, Germany

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1 Introduction

The 14-day training workshop on participatory forest management for ten officials from the State Forestry Administration of China (SFA) and other partner institutions of the FAO-EU project “China Forest Tenure” took place at Humboldt-Universität zu Berlin, Germany from August 10th to 24th. The workshop was hosted by the Extension and Subject Related Didactics Group of Humboldt-Universität zu Berlin and involved a number of renowned and experienced training staff from various institutions of forest research, the state and regional forest administrations of Brandenburg and Berlin, as well as forest owners.

The training combined six days of theory and group work with an integrated four full-day excursions. The theoretical training concentrated on lectures and exercises on participatory management, as well as systematic reflection and analysis of the field trips. The latter took participants to various forestry institutions as well as on-site to forests representing the different landscapes of Berlin and Brandenburg.

Conceptionally, participatory forest management was defined as the various ways of stakeholder involvement in planning, implementation, monitoring and evaluation of a variety of forest management activities. It was stressed that a precondition for sustainable land use planning is a mutual situational analysis particularly with respect to analysis of forest policies.

Note: Not all participants would have been able to follow the training which was offered in English. It was therefore decided to have a consecutive translation into Mandarin of all lectures and group work presentations as well as field trip presentations, interviews and evaluations.

2 Objectives

The workshop aimed at building capacities of trainees – theoretical and methodological knowledge and skills – in the fields of participatory forest management (PFM) with the purpose of using the new skills in the development of forest management planning.

The course had four main focuses:

- **The principles of participation in the field of forest management** were discussed initially and during the whole course with a specific emphasis on critically analyzing the German solutions. Participation was practiced during the course itself insofar as trainees were involved in fine-tuning the program and setting priorities; the course itself was evaluated at the end.
- **Participatory planning** was exemplified by introducing/reiterating the logical framework approach and exemplarily planning and discussing a practice-relevant project over the whole training period.
- **Implementation** of participatory forest management was shown and observed via practical examples in Germany. Participants had the opportunity to informally interview practitioners.
- **Evaluation:** Both, the principles of M&E as well as basic instruments, such as the SWOT-analysis, were covered. Examples from the German practice were reflected and evaluated.

Course critique: During end-of-the-day and mid-term evaluations, the general acceptance and satisfaction with the training were assessed. Suggestions for additional topics were integrated in the second week. A formal final evaluation was implemented.

Overall objective of the training program was that – at the end of the training – participants would be familiar with basic concepts of participation. They would also know and be able to use and evaluate methods and instruments for participatory planning, implementation, monitoring and evaluation of forest and agroforestry projects and activities.

3 Methodology

The workshop followed the concept of experiential learning (Kolb 1984). Its basic assumption is that, in order to develop theoretical as well as practical skills, it is important to “apply” theoretical concepts and knowledge in practice and, in turn, “generalize” practical observations and experiences while reflecting from a more theoretical viewpoint.

This concept was operationalized by an alteration of theoretical input / reflection and excursions. Thus, the following pattern was applied throughout the two weeks:

- After an introduction day on theoretical or methodological concepts (= day one) the first field trip was organized (= day two)
- On the following day (three), participants jointly reflected and evaluated their experiences of day two.,
- The remainder of day three was devoted to another theory/methodology input as well as the preparation of the following excursion.

As a means of participatory planning, evaluation and re-planning the logical framework planning approach was introduced with a particular emphasis on the integration of stakeholders in this process. Logframe planning clearly is linked to participatory M&E as the mutual definition of objectives (purposes, results and activities of forest management) and particularly of indicators for objective achievement is a precondition for any M&E. Evaluations involving all actors and reflections within groups are seen as a key to participation and dynamic development.

The field trips had been chosen with regard to their relevance for the Chinese participants: forest policy and practice during the transition from central and state control to a market situation; the corresponding forest planning and management procedures of the state forest administration; interaction with and between private foresters: new concepts of sustainability and resilience from a scientific point of view which are being discussed within and implemented by the state forest administration which is managing around 40% of forest area in the state of Brandenburg.

4 Program

Here is an overview on the program. Details are presented in the next sections.

10.08.2012, Friday	Arrival of participants
11.08.2012, Saturday 12.08.2012, Sunday	Weekend program
13.08.2012, Monday	<ul style="list-style-type: none"> • Introduction • Lectures on project cycle management and participation • Introduction to field trip 1
14.08.2012, Tuesday	Field trip no. 1: Brandenburg State Forestry
15.08.2012, Wednesday	<ul style="list-style-type: none"> • Evaluation of field trip • Lecture: Logical Framework and the role of stakeholders • Lecture and group discussion: “What are the main problems when involving stakeholders in forest policy and legislation?” • Introduction to field trip 2
16.08.2012, Thursday	Field trip no. 2: Adaptation of forestry to climate change
17.08.2012, Friday	<ul style="list-style-type: none"> • Evaluation of field trip • Lecture: Climate Change and Adaption of Forest management • Stakeholder analysis • Evaluation of first week
18.08.2012, Saturday 19.08.2012, Sunday	Weekend program
20.08.2012, Monday	<ul style="list-style-type: none"> • Lecture and group discussion: Objectives and implementation of activities • Introduction to field trip 3
21.08.2012, Tuesday	Field trip no. 3: Urban Forestry
22.08.2012, Wednesday	<ul style="list-style-type: none"> • Evaluation of field trip • Lecture: Good governance of forestry programmes • Lecture and group discussion: Monitoring & evaluation • Introduction to field trip 4
23.08.2012, Thursday	Field trip no. 4: State institutions of forestry research, administration and education
24.08.2012, Friday	<ul style="list-style-type: none"> • Lecture: Negotiation - The Harvard Concept • Workshop evaluation

4.1 Monday 13.08.2012

4.1.1 Introduction to the training program and participants

In a brief introduction to the participatory forest management training workshop, participants were acquainted with the objectives, methods, and contents of the workshop. Participants introduced themselves with the key points such as name, position, hobby, education, experience in forest and expectation of the training. Profiles of participants and training personnel were visualized and displayed during the whole workshop.

Participants' expectations focused on learning about particular German experiences:

- The forest tenure reform in (East) Germany after 1990
- Forest government administration system (Federal, State, City, Town...)
- Forest laws and legislation
- The differences of rules, regulations, and policies among different forest ownership in forest management
- Efficiency of different types of ownership
- Decentralization of forest management and the safeguard measures
- Participation of different stakeholders in forest management
- How to protect ecosystem while farmers are looking for economic profit, and how to protect farmers' benefits while pursuing measures of ecological improvement.

These points of interest were taken into consideration and some minor adjustments to the planned programme were made.

4.1.2 Participatory Forest Management (PFM)

Professor Nagel presented a lecture on PFM and the role of projects. A "project" was defined as a series of activities aimed at bringing about clearly specified objectives within a defined time-period and with a defined budget in order to solve identified problems. Four strategic steps of the project cycle - situation analysis, planning, implementation and evaluation- as well as their

key requirements were introduced. He emphasized the principle of “iteration”, i.e., that repetition of a sequence of operations yields results which are successively closer to a desired result. (For further information please see Appendix 2, 7.1.2)

4.1.3 The concept of participation

Before introducing the workshop concept of participation, Dr. Aenis encouraged all the participants take part in a brainstorming exercise. Taking into account that the participants are senior officials with a long professional background, their own experiences and ideas were elicited, visualized and discussed.



As a result, the following key aspects were identified:

- Various actors (stakeholders): farmers, government, companies, leaders, elites, researchers, public...
- Certain principles: opinion, equality (all the stakeholders should have the same status)
- Purpose: change, adjustment
- Steps of information flow: discussion, communication, compromise
- Project cycle: objective, planning, M&E, implementation, method, approaches
- Within a given framework: rules and regulations, policies, given logframe

Summing up the exercise, participants felt that participation takes place by respecting certain principles within a given framework. Various and sometimes diverse actors communicate during the full project cycle in order to achieve certain purpose.

Based on the results of the brainstorming exercise, Dr. Aenis introduced different forms of participation: Passive participation, participation in information giving, participation by consultation, participation for material incentives, functional participation, interactive participation, and self-mobilization. Full participation is not always feasible or desirable, it is important to search for the optimal forms of participation which suit the situation. (For further information please see Appendix 2, 7.2.1)

As the last unit of the program, Dr. Aenis presented the contents and procedure of next day's field trip. Participants were to focus their attention on specific issues. They formed tandem groups and prepared the specific topics they would like to cover during the field trip.

4.2 Tuesday 14.08.2012 (Field trip 1: Brandenburg

State Forestry)

Participants went on their first field trip to the forestry district of Lehnin. Lehnin is situated south-west of Berlin and is located in the county of Potsdam – Mittelmark.

The first stopover on the journey was the forestry office of Lehnin. **Dr. Carsten Leßner**, a specialist on forest and wood processing policies within the Brandenburg Ministry of Infrastructure and Agriculture, gave an introduction to Brandenburg's forests, their historic development and the most important policies. He explained that currently one of the major issues is the forest conversion from a conifer forest to a mixed forest. Dr. Leßner emphasised that the dominance of young trees (40-60 years), which results from the clear cutting after the Second World War, is one of the major problems of today. Old and strong trees are missing. Moreover those trees, which were planted to fill the cleared areas, were basically pine trees due to their ability to grow fast. This policy created the pine tree monocultures in Brandenburg. Today, the challenge is to replace the conifer forest with the mixed leaves forest but without any large scale clear cutting. To grow this type of forest out of nothing is more difficult than using the old trees as a protection system for the young ones. He could show why the forest conversion is so important to the government as the pine tree forest is very prone to fires, the risk decreasing with a broad-leaved forest.

Participants were particularly interested in questions of cooperative management and learned that there are 230 forest communities which may agree on certain principles but with every forest owner managing their own land. Furthermore, there are 90 forest unions whose land owners manage their forests together.

- Most pressing problem of forest owners: they do not know exactly where their forest land is:
 - a. 1990 there was the decision that the forest will be handed over to the old owners (before times of GDR or even before 1936)
 - return of ownership of forest land up to 100ha – forest which is bigger than 100 ha needs to be purchased

- the former forest owners now need advice how to manage a forest since their knowledge might have been lost
- b. the owned land is sometimes very long, narrow piece of forest and the boundary to the neighbour might not always be clearly visible
- How do forest owners convert the structure from monoculture of pine tree to the mixed forest with both leave trees and pine trees?

The owner has to make a conversion plan by himself, and apply for a permit as well as subsidy from forest administration. Forest administration organizes experts to evaluate the plan, and give the permit and subsidy if the plan has a good evaluation result. The owner also can change the structure of the forest without application of a permit, and in this case the owner cannot receive any subsidy for the conversion. In addition, there is a “blacklist” for tree species which are not allowed to plant, and owners have to comply with this list when they plant new trees.

- There has been a significant increase of the forest's value within almost 10 years, that's why some people are eager to own forest land

Mr. Jörg Dechow, main forester of Lehnin presented more information on the structure of the Brandenburg's forests

- There are 30 forestry districts in Brandenburg State
- The majority of the forest is privately owned
- Main issues of the forestry districts:
 - economic pressure on forests increases(wind farms, solar farms)
 - promotion of privately owned forest (and giving advice,...)
 - forest protection against human influences (cutting, cars, pollution)
 - forest protection against fire and insects
 - education of the population

- Most common problems
 - reduced staff
 - increased number of small clear cuts(2ha)
 - wood industry: likes harmonious conifer forest (easier to manage) more than the broad-leaved forest → in Germany struggle between economy and ecology

Forester **Dechow** then showed the group some practical examples of forest management in his district:

- Areas where re-watering of a swamp in the Lehnin forest has been done;
- Privately owned forests land whose owner uses a harvester machine which is fully automated, can chop the trees, and cut them into identical pieces and limbs. This was one example of efficiently harvesting trees;
- A fire protection tower which is one of several such towers in Brandenburg. They are important for the early detection and localising of fires.

4.3 Wednesday 15.08.2012 (Lecture)

4.3.1 Reflection on the field trip

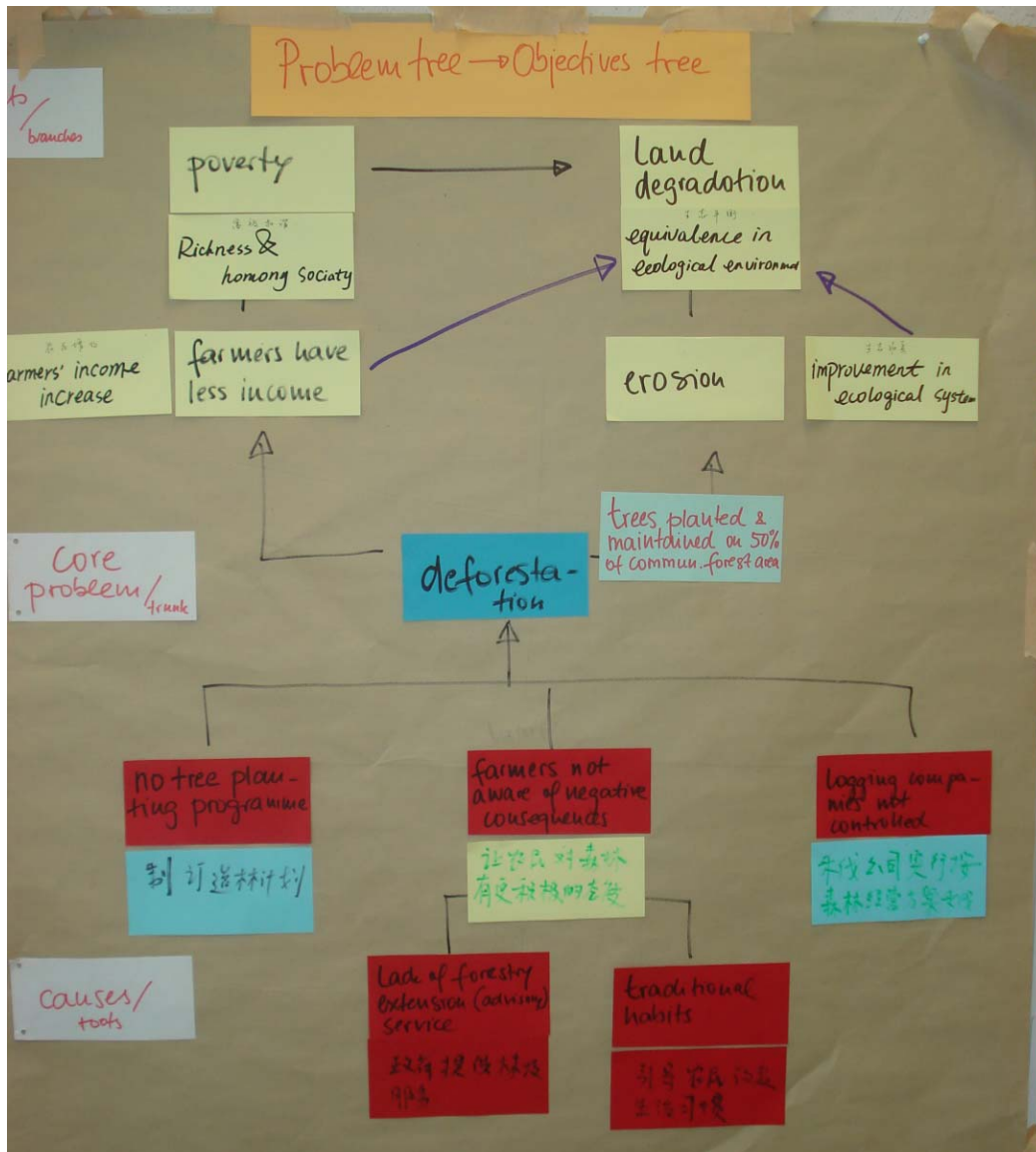
Participants discussed in pairs about what they had observed during the field trip and presented the results to the plenary. This was based on the questions the tandems had prepared before the field trip. The following discussion centred around the question in how far the experiences gained are helpful for the Chinese situation.

- About the development institutions: Compared to China, Germany has a more stable development environment in terms of laws, policies; the forest owners have security in the future. However, policies in China change too fast and forest owners are lacking security for long term planning of forest management.
- About forest property rights: In Germany, since the beginning of 20th century, there is document for the forest ownership. During the GDR times, forests were all state owned and there was no private ownership. After reunification, the state had to return the land to the former owners according to the registration information of before. This meant that the ownership of the forest and the land always had to be conjoined. The process of returning to the traditional system was a long one and consumed a lot of resources. Currently, China is experiencing a reform of the forest tenure system with the objective to decentralize the forest use rights. It is similar to the process after reunification in Germany to re-privatize the forest with the exception that forest land ownership remains with the state.
- About the change of the forest structure: German forests face the problem of monoculture of pine trees. Forest administration is aware of the disadvantage of monoculture and is trying to change the forest structure. Owners can make their own plan and apply for subsidy from the government. Once the government approves the plan, owners can get the subsidy for structural change. However, there is a “blacklist” of trees not allowed to be planted while in China there is a list of which kind of tree can be planted. Participants felt that, in principle, the German management model is more effective and less costly and could be a model for China.

4.3.2 Logical Framework and the Role of Stakeholders

Following the introduction lecture about project cycle on Monday, Professor Nagel presented the first two steps of the cycle in detail. Its first strategic step, i.e., situation analysis, can be divided into at least three sub-steps which are problem perception, analysis and description of the initial situation, and re-examination of problem perception. This procedure was exemplified by filling out a matrix comprising causes, actors, strengths, weaknesses and consequences of a practical example.

The second strategic step, i.e., planning, can again be divided into at least the following four sub-steps: a definition of the general goal, an analysis of roots and causes, defining and choosing between alternatives, defining the solution. Some planning tools were introduced which help to structure this process in a participatory manner, namely the logical framework, problem tree and objectives tree. (For further information please see Appendix 2, 7.1.3) Participants in turn practiced this theoretical input by developing a problem tree using the example of deforestation as core problem. The subsequent step, conversion into an objective tree, had “trees planted and maintained on 50% of community forest area” as the main objective.

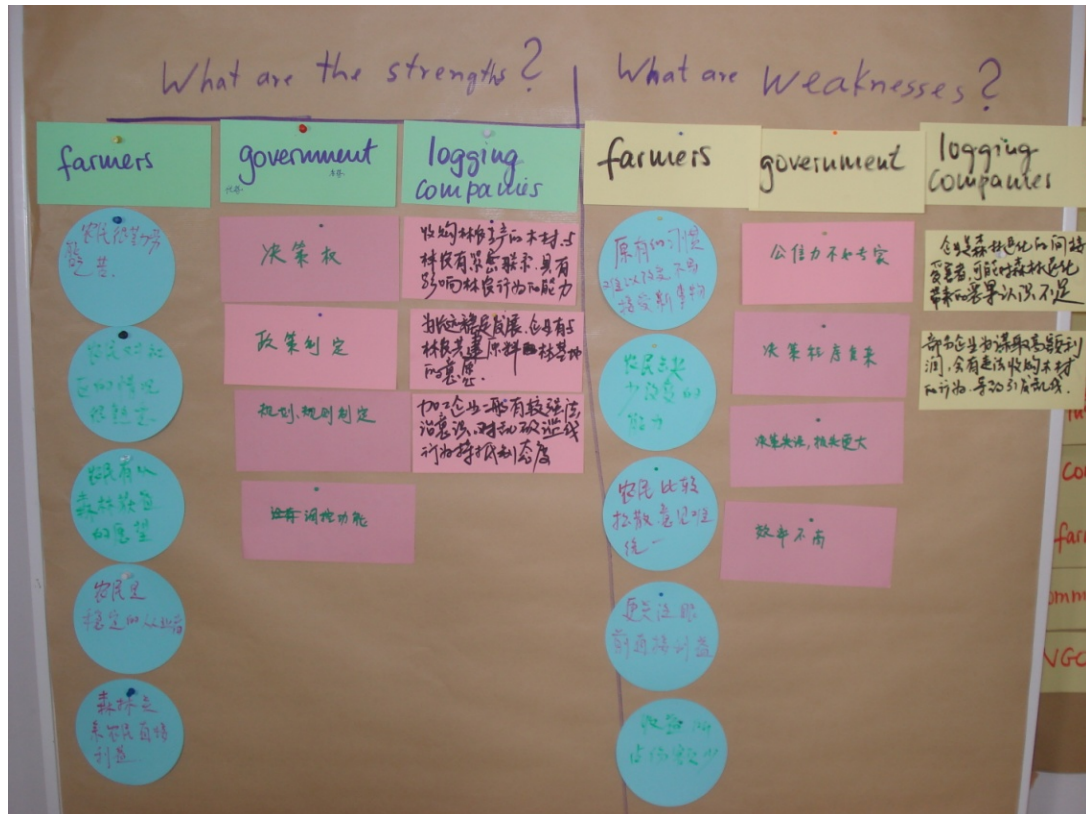


4.3.3 Lecture and group discussion: “What are the main problems when involving stakeholders in forest policy and legislation?”

In the exercise, participants had identified three main stakeholder groups involved: Farmers, government, and logging companies, all of which showing strengths and weaknesses. Participants analysed these in three separate groups. Typically, farmers are hard working and know the local situation, however they may lack the capacity to change, they are not easy to accept new things and usually focus on the short term profit. For the government, here is the power to decide. But there is a long process for decision making and once a mistake is

made at the central level, there could be huge consequences. The logging companies are willing to cooperate with farmers and they do have an impact on farmers' behavior. Obviously however, companies are profit driven and that might lead to misuse of the forest resources.

Participants understood that the example discussed is a very condensed version of the full process which may take much more time and would involve the major stakeholders if it were to be participatory.



4.4 Thursday 16.08.2012 (Field trip 2: Adaptation of forestry to climate change)

Close to the Monastery of Chorin, **Dr. Hans-Peter Ende** and **Mr. Lars Fischer** presented the **Forest Picture Trail (a joint activity of the local forest administration and a National GeoPark)** to the workshop group. The trail is an important demonstration site because:

- The surrounding forest particularly shows different stages of forest conversion from conifer to broad-leaved forest.
- The special feature of this site is the fact that the development started already about 200 years ago.
- It is one example of a very early application of the “principle of sustainability” by the foresters of Chorin who did not believe in the planting of mono-cultures of pine trees.

A second stop was at the **information centre 'Blumberger Mühle'** which is operated by an NGO and was presented by the staff itself:

- The centre is situated in the biosphere reserve 'Schorfheide-Chorin' which is a model region for the balance of nature protection and resource use.
- It contains an information centre with exhibition and seminar facilities, an educational path and a wetland project.
- The staff of the centre tries to rise awareness and acceptance for this model.
- Apart from the general public, school children are the main target group as they are the decision makers of tomorrow concerning forest policy and sustainable development.

Dr. Hans-Peter Ende of the Leibniz Centre for Agricultural Landscape Research (ZALF) introduced the NEWAL-NET project¹:

- The biosphere reserve is located in different climatic zones.
- Possible climate change scenarios vary for the region and thus a model forest type has to be developed which is flexible enough to adapt to different realities in the future.
- This led to the concept of climate-plastic forests with diversity as a precondition.
- A major finding of the project is the importance of educational work with the general public on the one hand (positive image of foresters) and specifically with directly affected and concerned stakeholders (promotion of technological solutions).
- Participatory involvement of all major stakeholders can be a time-consuming and very demanding but worthwhile task.

1 ¹ NEWAL-NET: Sustainable Development of Forest Landscapes in the Northeastern Lowlands of Germany – Research project financed by the Federal Ministry of Education and Research BMBF

4.5 Friday 17.08.2012 (Lecture)

4.5.1 Reflection on the field trip

This second field trip included more elements than the first. This was possible because participants now knew more about German forest management in general and could be confronted with very specific questions such as the concern of forestry researchers about climate change.

Feedback of participants reflected this:

- About NGOs' participation in forest management: NABU² had bought the land and has managed the information center and surrounding area for about 10 years now. State government shouldered less than half of the total cost, and NABU has to bear any financial deficit on their own. In China, such projects are carried out by the government and fully paid by the government. But in this way, government has to bear the full financial burden, and it might be a good way to introduce NGOs participating in forest management.
- About forest adaptation to climate change: Germany has already started the research about forest adaptation according to the expectation of serious climate changes in the future. Some actions are taken such as forest structure change to increase forest diversity. This hasn't happened yet in China, so forest managers have to start thinking about this issue and get ready for the future challenges.
- About forest conservation area management. There are different patterns of forest conservation areas in Germany. If the private forest is included in the reserve zone, there is no special subsidy for the private owners. In China, on the other hand, government gives subsidies to private owners to keep the forest protected.

Based on the last point above, Dr. Ende gave a detailed overview of the German forest and nature protection system which includes national parks, nature protection areas, biosphere protection areas, geoparks, natural heritage, nature park, and landscape protection areas.

² NABU = Naturschutzbund Deutschland e.V or Nature and Biodiversity Conservation Union is one of the oldest and largest environment associations in Germany. Founded in 1899, the association encompasses today more than 450,000 members.

4.5.2 Lecture: Climate Change and Adaptation of Forest management: Support of Decision Making in Policy and Administration

Dr. Ende took the NEWAL-NET sustainable development of forest landscape project as an example to show how forests can adapt to climate change. The challenge is to maintain the full set of functions, ecological, economic and social. The key word is diversification – by introducing or developing more tree species and thus coming to a more flexible warehouse with a broader assortment of wood. (Further information on request by Dr. Ende)

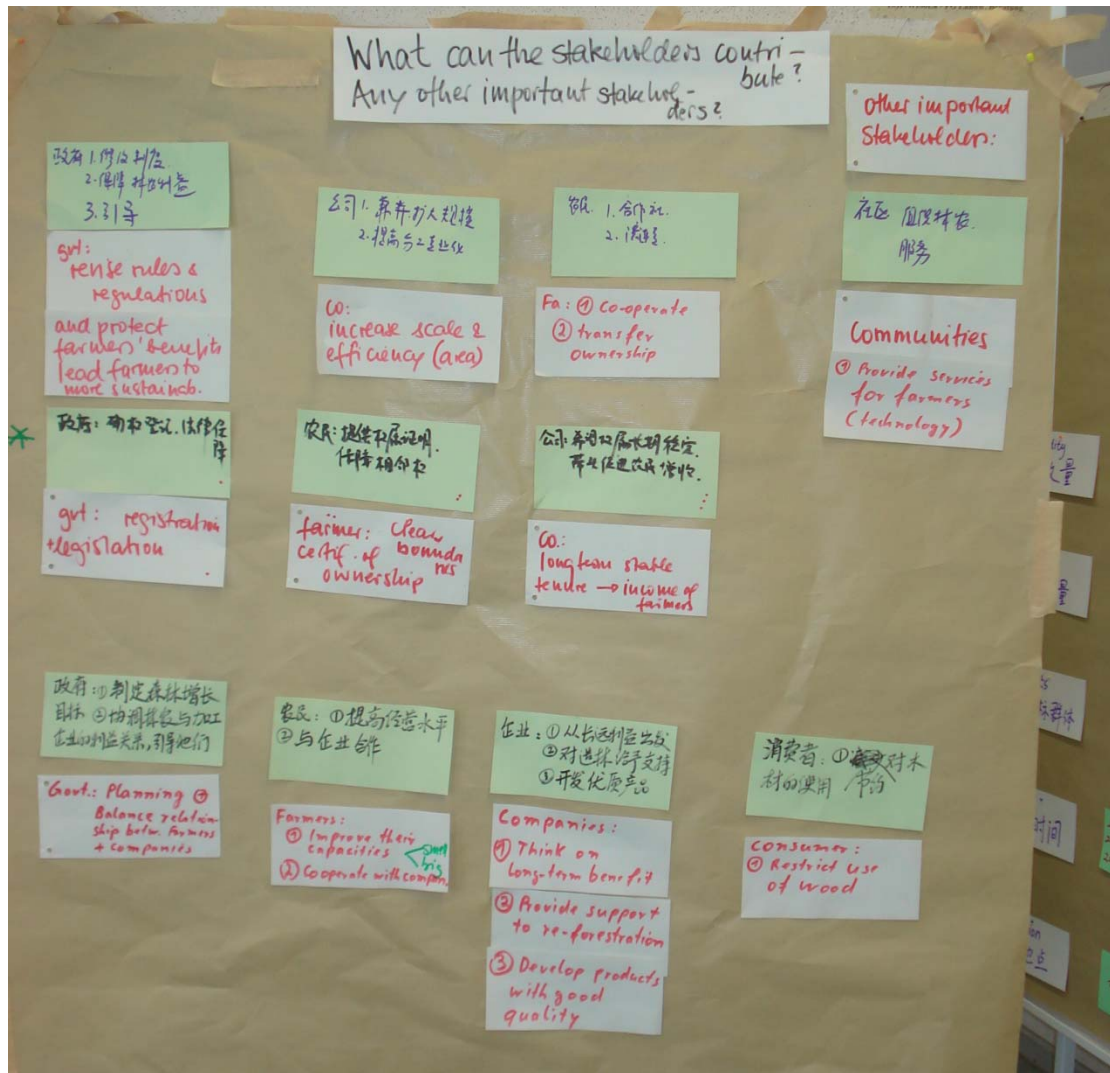
4.5.3 Stakeholder analysis: Forest policy and legislation in China

Based on the findings and discussion results of the previous days, particularly the identified stakeholders with their strengths and weaknesses, three continuative questions needed to be addressed:

- What are the major future challenges for forest policy and legislation in China,
- What can the three stakeholder groups contribute to the meeting these challenges, and
- Are there other stakeholders who are going to be important?

Participants divided into three groups and each group brought out three main challenges:

- Group 1: 1) ownership definition; 2) management of production forest; 3) awareness of farmers
- Group 2: 1) capacity to adapt to climate change is low; 2) limited economies of scale; 3) low investment but high expectation
- Group 3: 1) difficulties in increasing income; 2) balance between increased need of resources and conservation; 3) small scale



After defining the challenges, each group chose one challenge, and discussed what can the government, farmers and logging companies do to contribute to meet the challenges, and by discussing the solution to the challenges, new important stakeholder might be involved as well.

4.6 Monday (Lecture) 20.08.2012

4.6.1 Objectives and implementation of activities within the Logical Framework

Not all participants were equally conversant with the logframe approach. In order to ensure an active and balanced participation, all following units consisted of a short presentation as introduction or review of the concept and a consecutive small group exercise. Participants from central and provincial

institutions worked together in the three groups, respectively.

The logframe approach is a planning tool developed for development activities. It is a basic instrument that facilitates the design, execution, monitoring and evaluation of these activities in a step-by-step and comprehensive way. Definition of activity, output, purpose and goal were given with examples. Then the project planning matrix (PPM) was introduced. (For further information please see Appendix 2, 7.1.4)

Participants divided into three groups, chose one of the challenges defined in Friday's session and discussed goal, purpose, output, and activities according to the chosen challenge.



4.7 Tuesday 21.08.2012 (Field trip 3: Urban Forestry)

A specific topic of the workshop was the function of forests in urban conglomerations, i.e., in areas with high population density. Tuesday's field trip took participants to a number of sites within or close to the city limits of Berlin. Of the Berlin area of 892 km², approximately 40% are forests, farmland, lakes and parks.

First station was the **Lehrkabinett Teufelssee** and Forest school Teufelsmoor. The introductory presentation to the forests in Berlin showed:

- There are four forest districts in Berlin:
- They have all the responsibilities which forest districts in other states have;
- The leisure function of forests in a big city is more important than elsewhere:
- In addition, citizens' education is a central task;
- There are a number of forest schools for small children in the forest districts but the "Lehrkabinett Teufelssee" is the main centre for educational work.

The group had a **guided tour** through the Teufelsmoor, a nature protected area open to the public:

- The exposure of the forest to the public is very liberal, everyone can enter a forest, just some limitations(no cars, no smoking, no camping)
- On the other hand, as there are damages caused by the visitors, foresters seek to arrange voluntary agreements with the persons responsible for frequent damages (e.g. Bike club).

Mr. Lutz Wittich of the Berlin state forestry administration, joined the group at Gorinsee and introduced a very special afforestation project which had started one year ago:

- The project is to plant trees on former sewage disposal fields and convert conifer forests to broad-leaved forests;
- Objective of this afforestation is to create a forest for recreation – the attempt to do this on former sewage disposal areas is unique in Germany;
- A special project feature is an investigation on how far livestock grazing in the forest can contribute to the development of a sound forest system and at the same time reduce long-term maintenance cost;
- Putting up fences to control garzing contradicts the principle of free access to the forest – so there was need for legal clarification and public relations to convince the people to accept these limitations;
- Financing the project is complex since one part of the project's area belongs to the state of Brandenburg and other parts belong to Berlin. For instance the forestries and nature conservation authorities of both federal states have a say in the project. EU regulations apply because there is a water conservation component attached;
- Ensuring participation under these circumstances is complicated. All actors want to see their interests met and realised in the project.

The responsible **forest officer** guided through the area of the project and showed in practice how the historic development of the area plays an important role and how a number of challenges are met:

- Explanation of the functioning of the sewage disposal areas, historic development and typical characteristics;
- Discussion after the closure of this form of sewage disposal; the question of what happens with these areas which are contaminated with heavy metals and chemicals (industrial effluents) was of great public interest;
- Solution: first application of a new clay/loam layer which has a high pH value and a high water retaining capacity. That was milled into the soil

- The previously planted poplars are used and harvested by private companies;
- Pasture Project: 40 horses and 160 cattle (suckler cow breeding); research question: what is the holding capacity of the land? How many livestock can graze there that the small trees still can grow?

4.8 Wednesday 22.08.2012 (Lecture)

4.8.1 Reflection on the field trip

Before reflecting the previous day's field trip, Dr. Aenis briefly reviewed the quintessence of SWOT analysis, especially its focus on the strengths and weakness. He emphasized that SWOT analysis is not a process to judge good or bad but an analytical tool to identify strengths and weaknesses in an objective way.

Participants gain split up in pairs and discussed about the strengths and weaknesses in German forest management which they encountered up until now. For the strengths, they mentioned good planning, highly qualified staff, multi-function of forest, civil society support, and high technical level. For the weakness, lack of financial support, long project cycle, low economic output, and that attention had to be paid to too many stakeholders.

4.8.2 Good governance of forestry programmes

Mr. Eilbacher is a lecturer in forest systems at the Eberswalde University for Sustainable Development. He gave a systematic overview about the entire German forest sector with detailed information on issues such as the forest coverage, the tree species, the economic value, the ownership, and the management in different levels from federal government, Brandenburg State, and the city of Eberswalde. His presentation also served as an introduction to the fourth field trip. (Further information on request by Mr. Eilbacher)

4.8.3 Lecture and group discussion: Monitoring & evaluation and its relationship to Logframe planning by Dr. Aenis

Closing the discussion along the lines of the project cycle, Dr. Aenis gave his definition of M&E: monitoring is a systematic, ongoing review to observe changes aiming at checking and adjusting an operation; evaluation is periodical assessment of fundamental decision aiming at adapting the strategy and planning of an operation, readjusting the objectives.

In the project planning matrix (PPM), for each objectives level, indicators are needed to measure the achievements and changes connected with the project. These indicators help to understand where we are, which way we are going and how far are from where we want to be. Indicators must specify quantity, quality, clients, time, and location. (For further information please see Appendix 2, 7.2.2)

Participants were divided into three groups, and each group chose one output and discussed indicators for the chosen output in an exemplary manner.

Indicators
客观验证指标

Means of Verification
客观验证方法

森林资源增长
林产品生产供应
increase forest
forest prod. supply

政策
采伐
补贴
经营方案
Policy
logging
subsidy
management

确权发证
forest ownership
certificate

Quantity
数量

森林面积、蓄积量
林地保有量

150亩以上业主
80%编制经营方案

发证率 >95%

利率 >85%

Quality
质量

单位面积林木蓄积量
林地产出率、混交比例

100%按经营方案
经营, 80%混交比例

净利润 >15%
毛利率 >4%

Clients
目标群体

政府、农民、
企业、社区

林农、业主、合作
社、公司

林农、林农大户
村、村集体等经营者
集体经营组织

Time
时间

2016年 S, M, S
2020年 (ha) (m³) (ha)
2025年

2013年 30%
2017年 60%
2020年 80%

2年时间: 每一笔
或试点和40%向上

Location
地点

某省/某市

78个县
福建

一个省的林业
(黄川巴)

4.9 Thursday 23.08.2012 (Field trip: State institutions)

The group was **welcomed** at the **Eberswalde University for Sustainable Development (HNEE)** by the Dean of the Faculty for Forest and Environment Prof. Dr. Wolf-Henning von der Wense. HNEE history goes back to when it was the Faculty of Forestry of Humboldt-Universität zu Berlin. Today, it is an independent University of Applied Sciences with four faculties.

Prof. Dr. Martin Welp (Socio-Economics and Communication) presented stakeholder dialogues in selected HNEE Research and Development projects

- One of the projects was situated in China and was of special interest for the workshop group
- After the presentation, there was a lively questions-and-answers period particularly concerning German forest legislation.

Prof. Dr. **Andreas Bolte** of the Forest Ecology and Forestry Inventory Institute presented the research focuses of his organisation

- The institute is one of 15 units of the Johann Heinrich von Thünen Institute, an independent federal research organisation on matters of Rural Areas, Forestry and Fisheries with branches in different parts of Germany;
- Founded in 2008;
- Objectives: independent research, policy advice to the federal ministry;
- Fields of work: economics, ecology and technology;
- In Eberswalde they concentrate on forest ecology, forest and nature conservation, silviculture monitoring and wildlife ecology;

Some innovative research technologies were introduced such as

- The Lysimeter which measures the evapotranspiration of trees and was already used in China (investigation in a black locust forest and in grassland where frequent draughts, decreasing water availability and erosion are threats)

- The Open field laboratory of the institute, where water stress and draughts on European beech trees are simulated; leaf trees are interesting because they use less water than pine trees.

The surroundings of Eberswalde being an important and well known German forest area, a number of practical problems of forest management could be studied here by the participants. Ms. Constanze Simon of the Eberswalde **Main Forestry** concentrated her presentation on the problem of fire prevention and control:

- Eberswalde forestry is one of eight fire surveillance centres in Brandenburg:
- Analysis of pictures taken by the fire protection towers
- Fire season from March to September
- Presentation of how the system works (from alarm to the deployment of the fire brigades)
- Problem: big fires on former military terrain where it is too dangerous for the fire brigades to enter; task is to prevent the extension of the fire to other areas.
- Positive effect of fire for heathlands;
- Public-private-partnership: Equipment comes from private companies, surveillance is done by foresters.

Messrs. Lothar Krüger and Jens Lemme presented organisation and function of the **Eberswalde Information centre for wood and renewable energies** (E.I.C.H.E.)

- Initiative of the district forestry of Eberswalde
- Objective: Popularise the usage of wood and other material for energy production such as heating the house with wood pellets, split logs, sun or geothermal heat
- There are also wind mills on forest land which produce electric power.

Mr. Mattes Krüger the **city forester of Eberswalde** called the participants' attention during a short walk in the forest of Eberswalde to a particular problem, i.e., the way to handle former military terrain:

- After 1993 it was decided to re-cultivate former military areas nearby Eberswalde;
- Soil problem: military use, chemicals;
- Solution: put a good soil layer on top;
- Trees were planted during the first phase; pioneer plants were grasses;
- Financing of the re-cultivation project costly; however, in Germany the cutting down of trees has to be compensated by new planting or other measures. Re-cultivation ways financed via this mechanism.

4.10 Friday (Lecture) 24.08.2012

4.10.1 Reflection on field trip

The previous day's field trip being very intensive, various topics were discussed in the wrap-up session.

- About biomass. The technology which uses biomass to produce heat is very expensive, and it is difficult for a normal household to adopt. This situation is the same both in Germany and in China. From an economic point of view, the investment is high and thus amortization stretches over a long period. And from an ecological point of view, it is questionable if this kind of energy use will not consume too much wood and finally cause forest degradation?
- About reforestation project. In order to make use of the abandoned military areas, the forest was planted in the newly constructed soil. There was big investment in updating the soil but it brought a good effect of a sound forest. Germans look at the long run effect when making forest planning, that's what China should adopt, too.

4.10.2 Negotiation: The Harvard Concept

During the training, participants raised the question: since participation needs to involve different stakeholders, then how to negotiate with them and finally get a consensus? It was decided to devote one unit and Professor Nagel introduced participants to the Harvard Concept of negotiation. It was made clear that this could only be a "wetting of appetite" and a more intensive study of this approach would require a specialized training. Participants were given an electronic copy of the Fisher and Ury textbook, along with all presentations and papers used during the workshop.

Nagel introduced the four principles of negotiation for reaching good agreements: Separate people and issues, focus on interests, generate options, and use objective criteria. He then gave practical examples of how this approach is actually implemented.

5 Evaluation of the workshop

A questionnaire had been prepared which the participants filled out anonymously and the results were then presented by the workshop organizers. Participants were asked to give additional comments if there were any to be made. There was no further substantial information besides a reiteration of the fact that objectives were achieved to a high degree and participants appreciated the support and assistance from the training workshop team.

	Very well	Well	Sufficiently	Badly	Very badly
Objectives of the workshop were explained	9				
Objectives of the workshop corresponded to the interests of the participants	5	4			
Objectives were reached	7	2			
Contents based on up-to-date research	7	2			
Contents was practice oriented	7	2			
Teaching methods were appropriate	8	1			
Teaching staff has been well-prepared and competent	9				
Teaching staff responded to students' questions/comments	9				
Class room and working conditions	5	4			
Usefulness of field trips	7	2			
Preparation and execution of field trips	8	1			
Competence and helpfulness of staff	8	1			
General atmosphere of the workshop	9				
Any additional comments: <ul style="list-style-type: none"> • time of the workshop is too short and the field trips are not enough to know the general situation in Germany • for future development, communication with farmers should be increased • wish to have more chance of such kind of workshops 					

6 Appendices

6.1 Appendix 1: List of Training Participants

1. Mr. Wang Hongjie, Team Leader, Deputy Director General, Department of Forest Policy and Legislation, State Forestry Administration
2. Mr. Zhou Shaozhou, Deputy Director, National Forestry Economics and Development Research Center, State Forestry Administration
3. Mr. Dong Ye, Division Director, Department of Forest Resource Management, State Forestry Administration
4. Ms. He Xiaoping, Deputy Division Director, Department of Forestry Planning and Finance, State Forestry Administration
5. Mr. Li Quan, Contact Person for the Team, Deputy Division Director, Department of Forest Policy and Legislation, State Forestry Administration
6. Mr. Huang Hui, Section Chief, Division of Forestry Policy and Legislation, Forestry Department of Zhejiang Province
7. Mr. Yu Zunben, Division Director, Administration Office/Division of Forestry Policy and Legislation, Forestry Department of Anhui Province
8. Mr. Li Linsheng, Section Chief, Section of Forestry Policy, Huangshan County Forestry Bureau, Anhui Province
9. Mr. Lin Shaoshan, Deputy Division Director, Division of Forestry Policy and Legislation, Forestry Department of Fujian Province
10. Mr. Li Wenlin, Deputy Director, Shaowu Forestry Bureau, Fujian Province

6.2 Appendix 2: Presentations

6.2.1 The Project Management Cycle

Participatory Forest Management Training

Project Management Cycle

Prof. Dr. Dr. h.c. Uwe Jens Nagel

1

The project cycle:

Definition of a “project”

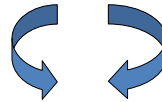
A project is a series of **activities** aimed at bringing about clearly specified **objectives** within a defined **time-period** and with a defined **budget** in order to solve identified **problems**.

2

Solving Problems

Professionals will guide their clients through the “Problem solving Cycle”:

1. Problem perception
2. Analysis and description of the initial situation
3. Control/Re-examination of problem perception
4. Definition of the general goal (direction of solution)
5. Analysis of roots and causes
6. Defining and choosing between alternatives



3

Solving Problems

7. Defining the solution
8. Implementation of the solution
9. Monitoring the implementation
10. Identification/documentation of the result
11. Evaluation of the results
12. Definition of consequences



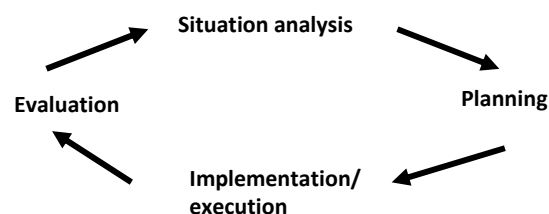
13. = 1. Problem perception, etc.

4

The project cycle:

Strategic steps

- Project work requires a professional approach
- It uses a sequence of strategic steps:



5

Project Management Cycle: different terminology



webgate.ec.europa.eu

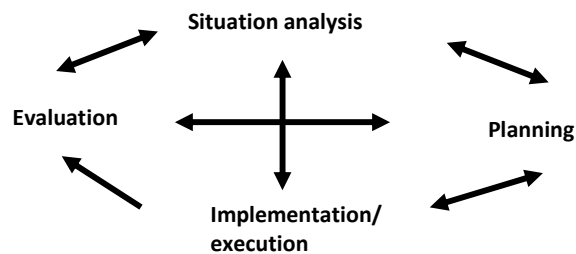
Project Management Cycle: different terminology



European Consulting Brussels

The project cycle: The principle of iteration

- As we will see, reality is much more complicated



8

The project cycle: A definition of “iteration”

“...a procedure in which repetition of a sequence of operations yields results successively closer to a desired result”

<http://www.merriam-webster.com/dictionary/iteration>

9

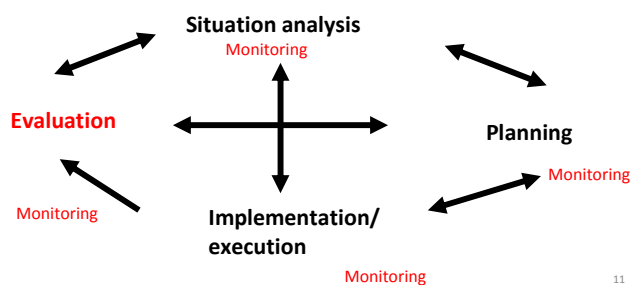
The project cycle: a definition of M&E

- We define **monitoring** as a systematic, ongoing review to observe changes with the aim of checking and adjusting an operation.
- **Evaluation** is a comprehensive and less frequent form of analysis to assess an operation. It leads to more fundamental decisions with the aim of adapting the strategy and planning of an operation, including readjusting the objectives.

10

The project cycle: The place of Monitoring

- Where does “monitoring” fit within the “project cycle”?



11

The project cycle:

Key requirements

There are a number of **key requirements**:

1.Regarding Situational Analysis

- A clear perception and definition of the problem which is to be solved
- Clearly identified stakeholders, including the primary target group and the final beneficiaries;

12

The project cycle:

Key requirements

There are a number of **key requirements**:

2. Regarding Planning:

- A clear and binding definition of **objectives** to be reached by the project
- An appropriate level of **financial and economic analysis**, which indicates that the project's objectives can be realistically reached and benefits will exceed its costs.

13

The project cycle:

Key requirements

There are a number of **key requirements**:

3. Regarding Implementation/execution:

- Clearly defined coordination, management and
- financing arrangements;
- A monitoring system to support performance management

14

The project cycle:

Key requirements

There are a number of **key requirements**:

4. Regarding Evaluation:

- **Clearly defined evaluation procedures and responsibilities**
- **An evaluation system which not only measures output attainment but also impact achievement**

15

6.2.2 Logical Framework and the Role of Stakeholders

Participatory Forest Management Training

Logical Framework and the Role of Stakeholders

Prof. Dr. Dr. h.c. Uwe Jens Nagel

1

The project cycle:

Situational Analysis (1)

Remember: Our first strategic step =
situational analysis
It can be divided into at least three sub-
steps:

1. Problem perception
2. Analysis and description of the initial situation
3. Control/Re-examination of problem perception (is it really serious?)

2

The project cycle:

Situational Analysis (2)

When analysing and describing the initial situation,
you may want to ask the following questions:

1. How exactly can the problem be **defined**?
2. What has **caused** the problem?
3. Who is actually involved in the problem? (Who are the main **actors**?)
4. How can the different actors contribute to a solution? What are their **strengths**?
5. What keeps them from solving the problem? What are their **weaknesses**?
6. ...and what **consequences** do we draw?

3

The project cycle: Situational Analysis (3)

This could be visualised in the following matrix:

Definition of the Problem:.....

Causes	Actors	Strengths	Weaknesses	Consequences
Who is actually involved in the problem?	What are the specific problems faced by these stakeholders?	How can the different stakeholders contribute positively to solving the problem?	What keeps them from solving the problem?	What kind of project activities are likely to solve the problem?

4

Situational Analysis: An example (1)

Problem Definition : Opel sells 10% less cars than expected

Causes	Actors	Strengths	Weaknesses	Consequences
<ul style="list-style-type: none"> • Quality of some models was not sufficient • Had not advertised properly • Service orientation of car dealers not sufficient 				

5

Situational Analysis: An example (2)

Problem Definition : Opel sells 10% less cars than expected

Causes	Actors	Strengths	Weaknesses	Consequences
<ul style="list-style-type: none"> • Quality of some models was not sufficient • Had not advertised properly • Service orientation of car dealers not sufficient 	Management			
	Factory workers			
	Car dealers			

6

Situational Analysis: An example (3)

Problem Definition : Opel sells 10% less cars than expected

Causes	Actors	Strengths	Weaknesses	Consequences
<ul style="list-style-type: none"> • Quality of some models was not sufficient • Had not advertised properly • Service orientation of car dealers not sufficient 	Management	<ul style="list-style-type: none"> • Long and international experience • Interested in bonus 	<ul style="list-style-type: none"> • Lack of vision • Relationship to labour union strained 	
	Factory workers			
	Car dealers			

7

Situational Analysis: An example (4)

Problem Definition : Opel sells 10% less cars than expected

Causes	Actors	Strengths	Weaknesses	Consequences
<ul style="list-style-type: none"> • Quality of some models was not sufficient • Had not advertised properly • Service orientation of car dealers not sufficient 	Management	<ul style="list-style-type: none"> • Long and international experience • Interested in bonus 	<ul style="list-style-type: none"> • Lack of vision • Relationship to labour union strained 	
	Factory workers	<ul style="list-style-type: none"> • Many experienced workers • Interested in keeping the job 	<ul style="list-style-type: none"> • Low morale because of lacking incentives • Language problems of foreign workers 	
	Car dealers			

8

Situational Analysis: An example (5)

Problem Definition : Opel sells 10% less cars than expected

Causes	Actors	Strengths	Weaknesses	Consequences
<ul style="list-style-type: none"> • Quality of some models was not sufficient • Had not advertised properly • Service orientation of car dealers not sufficient 	Management	<ul style="list-style-type: none"> • Long and international experience • Interested in bonus 	<ul style="list-style-type: none"> • Lack of vision • Relationship to labour union strained 	
	Factory workers	<ul style="list-style-type: none"> • Many experienced workers • Interested in keeping the job 	<ul style="list-style-type: none"> • Low morale because of lacking incentives • Language problems of foreign workers 	
	Car dealers	<ul style="list-style-type: none"> • A wide network • Want to make money 	<ul style="list-style-type: none"> • No communication training • Lack of quality personnel in garage 	

9

Situational Analysis:

An example (6)

Problem Definition : Opel sells 10% less cars than expected

Causes	Actors	Strengths	Weaknesses	Consequences
<ul style="list-style-type: none"> Quality of some models was not sufficient Had not advertised properly Service orientation of car dealers not sufficient 	Management	<ul style="list-style-type: none"> Long and international experience Interested in bonus 	<ul style="list-style-type: none"> Lack of vision Relationship to labour union strained 	<ul style="list-style-type: none"> Create company's own Think Tank New models, PR strategy) Establish Round Table
	Factory workers	<ul style="list-style-type: none"> Many experienced workers Interested in keeping the job 	<ul style="list-style-type: none"> Low morale because of lacking incentives Language problems of foreign workers 	<ul style="list-style-type: none"> Install reward system Special training of foreign workers, free of charge
	Car dealers	<ul style="list-style-type: none"> A wide network Want to make money 	<ul style="list-style-type: none"> No communication training Lack of quality personnel in garage 	<ul style="list-style-type: none"> Sales talk skills training workshop Improve system of apprenticeship 10

The project cycle:

Planning (1)

- After we have analysed the situation and filled in the matrix, one important question remains to be answered:
...and what **consequences** do we draw?
- Consequences = potential solutions, directions in which to find a solution
- = **our first input into extension planning**

The project cycle:

Planning (2)

Remember: This is our second strategic step

It can be divided into at least four sub-steps:

- 1. Definition of the general goal (direction of solution)**
- 2. Analysis of roots and causes (problem tree)**
- 3. Defining and choosing between alternatives (our project)**
- 4. Defining the solution (objectives and activities)**

The Logical Framework (logframe) (1)

- What is the *logframe* and what is a “*Problem Tree*”
- The logframe is a planning tool developed for development activities (such as a forestry programme)
- The Problem Tree is one way to visualise the process of analysing the causes and effects of our project

The Logical Framework (logframe) (2)

- The “logic” is a sequence of hypotheses, which we will work on in a simplified manner:
- If: I successfully perform an **activity**
- Then: I will produce an **output**
- Which will serve a specific **purpose** (i.e., which enables me/which I can use)
- Which helps me to reach my **goal**

The Logical Framework (logframe) (3)

In other words:

- Activity: **I do something, I am active**
- Output: **The result I have reached with my activities at a certain point in time**
- Purpose: **What can or shall I do with this output?**
- Goal: **Why am I doing all this?**

The Logical Framework (logframe) (4)

- Let me give you an example:
- **Activity:** If I plant a large number of trees in the desert and provide sufficient water for them to grow...
- **Output:** ...then I may have a forest in due time.
- **Purpose:** This will enable the community to sell the wood and...
- **Goal:** ...make money to improve the situation of rural people.

The Logical Framework (logframe) (5)

- **We are looking now at the essential or simplified version of the logframe**
- **The full logframe matrix contains three more elements:**
 - **Indicators** which define in detail the standard to be reached
 - A description of how the success at various levels can be measured (**Means of verification**)
 - So-called **assumptions**, i.e., a description of external conditions that have to be there in order to be successful

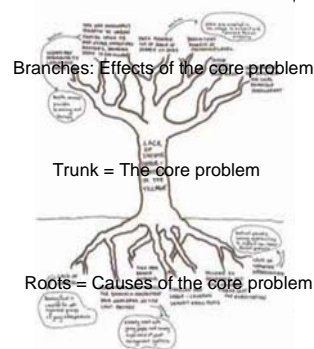
The *logframe* or: Project Planning Matrix PPM

Objectives and Activities	Indicators	Means of Verification	Important Assumptions
Goal			
Project Purpose			
Outputs			
Activities			

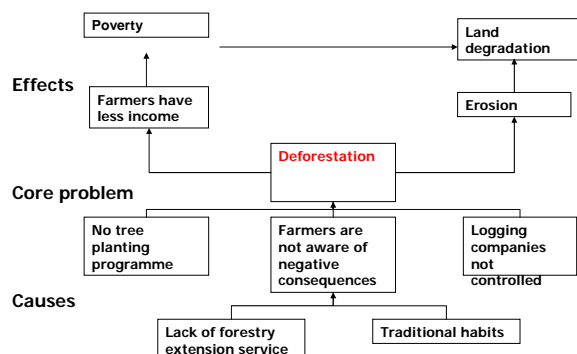
The Problem Tree

- Before we come to defining the contents of the matrix we have to complete two steps:
- We have to narrow down our focus (look at the “Consequences”)
- Analyse the causes of our problem by constructing a so-called Problem Tree

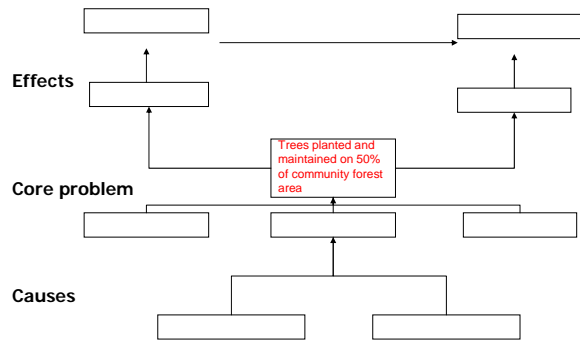
The Problem Tree



Problem Tree: Deforestation example



Objectives Tree: Deforestation example



6.2.3 Objectives and Implementation of Activities within the Logical Framework

Participatory Forest Management Training

Objectives and implementation of activities within the Logical Framework

Prof. Dr. Dr. h.c. Uwe Jens Nagel

2

The Logical Framework (logframe)

Please remember how we defined the Logical Framework (or *logframe*) Approach:

- The logframe approach is a planning tool developed for development activities (such as a forestry programme)
- It is a basic instrument that facilitates the design, execution, monitoring and evaluation of these activities in a step-by-step and comprehensive way

The Logical Framework (logframe)

Logframe uses a terminology which has been defined as follows:

1. **Activity** = The task to be implemented by a person, group or organisation in order to produce an output. Activities need resources (=inputs)
2. **Output**: The result or product of a series of activities; it can be material (a book) or immaterial (an idea)
3. **Purpose**: The way in which someone uses the output (=utilisation)
4. **Goal**: The benefit that arises for a given group of people

The Logical Framework (logframe)

Please note:

- The term „objectives“ applies to all three
 - Output
 - Purpose
 - Goal

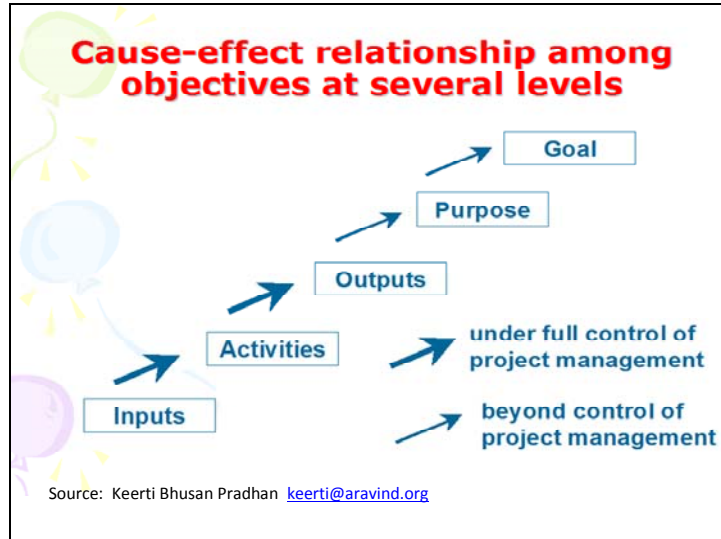
The Logical Framework (logframe)

- The “logic” is a sequence of hypotheses, which we will work on in a simplified manner:
- If: We successfully perform an **activity**
- => Then: We will produce an **output**
- => Which will serve a specific **purpose** (i.e., which can be used)
- => Which helps us to reach our **goal**

The Logical Framework (logframe)

In other words:

- **Activity:** I do something, I am active
- **Output:** The result I have reached with my activities at a certain point in time
- **Purpose:** What can or shall I do with this output?
- **Goal:** Why am I doing all this?



The Logical Framework (logframe)

- **Let me give you an example:**
- **Activity:** If a community plants a large number of trees in the desert and provides sufficient water for them to grow...
- **Output:** ...then there will be a forest in due time.
- **Purpose:** This will enable the community to sell the wood and...
- **Goal:** ...make money to improve the situation of rural people.

The *logframe* or: Project Planning Matrix PPM

- The contents of the logframe is shown in the form of a matrix
- The 16 cells of the matrix (= the Logframe) contain the information which has been put together and defined in a **participatory process**
- The quality of the logframe depends on the degree to which it incorporates the full range of views of intended beneficiaries and other stakeholders

The *logframe* or: Project Planning Matrix PPM

Objectives and Activities	Indicators	Means of Verification	Important Assumptions
Goal			
Project Purpose			
Outputs			
Activities			

The Logical Framework (*logframe*)

- In today's exercise, we are looking at a simplified version of the *logframe* => **we are only discussing activities and objectives**
- The full *logframe* matrix contains three more elements:
 - **Indicators** which define in detail the standard to be reached
 - A description of how the success at various levels can be measured (**Means of verification**)
 - So-called **assumptions**, i.e., a description of external conditions that have to be there in order to be successful

6.2.4 The concept of participation



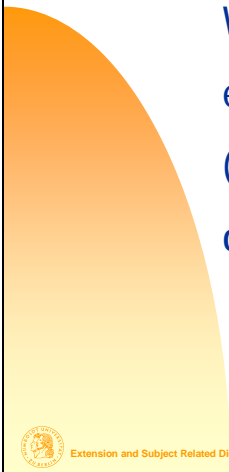
Participatory Forest Management
Training

August 10 - 24 , 2012


The concept of participation
Dr. Thomas Aenis



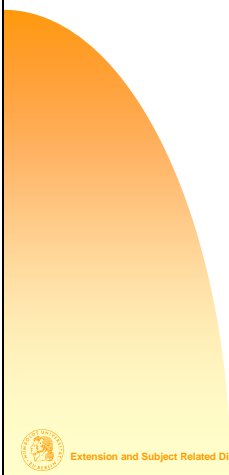
Extension and Subject Related Didactics Group



What are
essential elements
(components + characteristics)
of Participation?




Extension and Subject Related Didactics Group



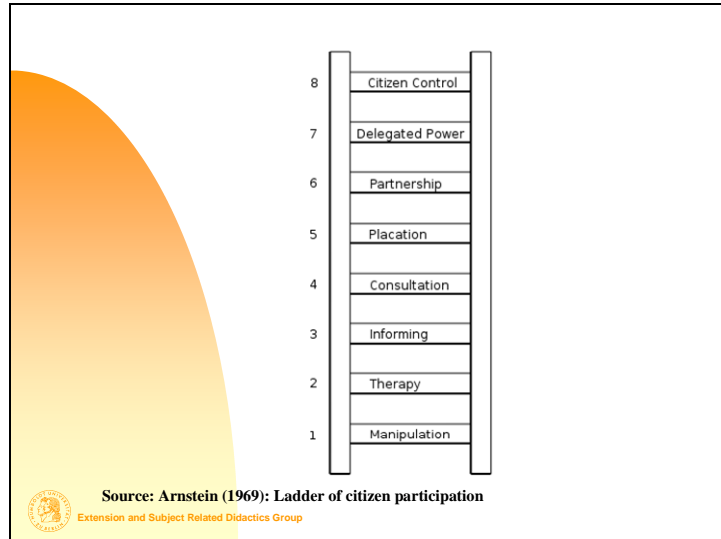
Participation (AGILNP 1995)

... is seen as an interactive process
which enables all participants to
formulate their interests and
objectives within a dialogue, which
leads to coordinated decisions and
activities as far as possible

**→ Involvement of stakeholders
in decision-making**



Extension and Subject Related Didactics Group



Passive Participation

- People participate by being told what is going to be happen or has already happened
- It is a unilateral announcement by an administration or project management without listening to people's responses
- The information being shared belongs only to external professionals.

Extension and Subject Related Didactics Group

Participation in information giving

- People participate by answering questions
- People do not have the opportunity to influence proceedings of projects, as findings are neither shared nor checked for accuracy.

Extension and Subject Related Didactics Group

Participation by consultation

- People participate by being consulted, and external people listen to views
- External professionals define both problems and solutions, and may modify these in the light of people's responses
- Such a consultative process does not concede any share in decision-making
- professionals are under no obligation to take on board people's views



Extension and Subject Related Didactics Group

Participation for Material Incentives

- People participate by providing resources, e.g. labour, in return for food, cash, or other material incentive
- Farmers provide the fields but are not involved in the experimentation or the process of learning
- Yet people have no stake in prolonging activities when the incentives end



Extension and Subject Related Didactics Group

Functional Participation

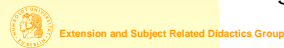
- People participate by forming groups to meet predetermined objectives related to the project
- Such involvement does not tend to be at early stages of project cycles or planning, but rather after major decisions have been made
- The groups tend to be dependent on external initiators and facilitators, but may become self-dependent.



Extension and Subject Related Didactics Group

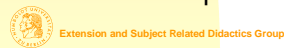
Interactive Participation

- People participate in joint planning, which leads to action plans
- formation of new local institutions or the strengthening of existing ones
- Involve methodologies that seek multiple perspectives and make use of systematic and structured learning processes
- These groups take control over local decisions, and so people have a stake in maintaining structures and practices.



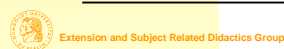
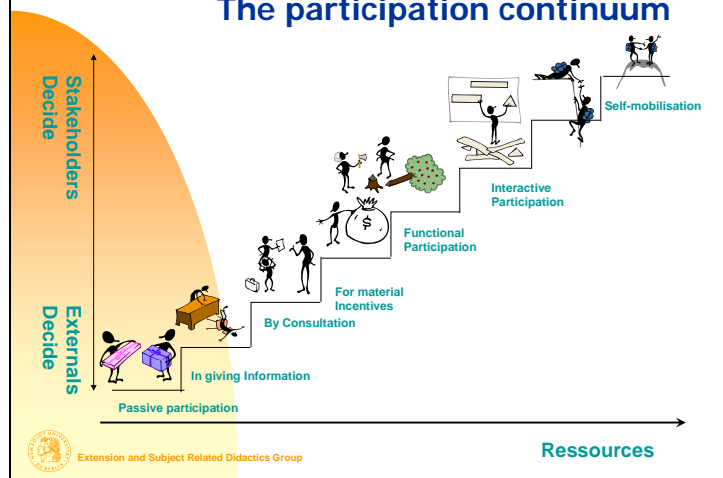
Self-Mobilisation

- People participate by taking initiatives independent of external institutions to change systems
- They develop contacts with external institutions for resources and technical advice they need, but retain control over how resources are used
- Such self-initiated mobilization and collective action may or may not challenge existing inequitable distributions of wealth and power.



Source: Pretty, Jules N. et al: Participatory Learning and Action, A Trainer's Guide, London, 1995, p. 60.

The participation continuum





The situative approach

- „**Full Participation** is not always feasible or desirable“ (KANJI and GREENWOOD 2001:33)
- Search for **optimal** forms of participation
- Issues: representation and legitimacy



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Thank You!



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6.2.5 Monitoring and Evaluation (M&E) and its relationship to logframe planning

Participatory Forest Management Training

August 10 - 24 , 2012


Monitoring and Evaluation (M&E)
- and its relationship to *logframe* planning -
Dr. Thomas Aenis



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During/After **implementation of activities**, two important questions are remaining


- Have activities been successfully implemented in order to reach the **intended outputs**? / Have the **intended outputs** been reached?
→ Monitoring
- Does / Did the project reach the intended impact (= contribution to purpose and goals)?
In other words: are the objectives still relevant?
→ Evaluation



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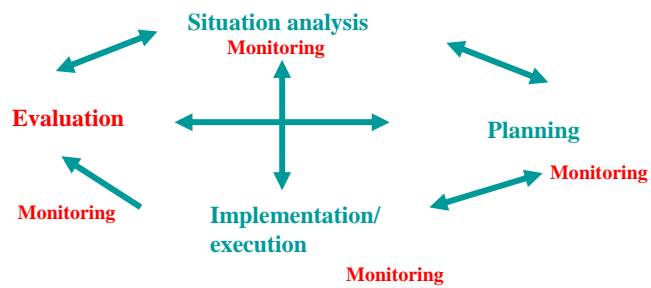
A definition of M&E

- **monitoring** =
 - a systematic, **ongoing** review
 - to observe changes
 - aim: checking and **adjusting** an operation
- **Evaluation** =
 - periodical assessment
 - fundamental decisions
 - aim: **adapting** the strategy and planning of an operation, **readjusting** the objectives.



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M&E within the project cycle



Questions to be answered when designing M&E?

- What are my **goals** for developing M&E ?
- Are the available **resources** (money, time, personnel...) sufficient for the planned M&E activities?

If answered in a positive way

- What are the **indicators (and Milestones)**
- **How** is the data going to be collected?
- **Who** is going to measure **when/how often**?
- **Who analyses and reports results**?
- **Who uses** the results with which **consequences**?

Logframe:
Means of
verification

These questions principally must be answered during **planning** of the project!

The *logframe* or: Project Planning Matrix PPM

Objectives and Activities	Indicators	Means of Verification	Important Assumptions
Goal			
Project Purpose			
Outputs			
Activities	milestones		

Indicators

- Enable to measure achievements and changes connected to a project
- Are **quantitative or qualitative factors** or variables that provide a simple and reliable means for measurement or reflection
- Help **understand** where we are, which way we are going and how far we are from where we want to be.
- **Indicators** refer to objectives, **milestones** refer to activities

(from: <http://www.sustainablemeasures.com/node/89> and http://documents.wfp.org/stellent/groups/public/documents/ko/mekb_module_15.pdf)

What is a (good) indicator?

- Indicators measure **important** aspects only
- Indicators must be plausible: the indicators should reflect observable results.
- Indicators should be based on obtainable data: Indicators should draw-up data that is readily available, or can be collected with reasonable efforts
- All stakeholders must agree on the (same) indicators → **participation**



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Indicators must specify

- Quantity: **How** much of what?
- Quality: **What** do we consider to be good?
- Clients: **Who** are the actors?
- Time: **When** is the target to be achieved?
- Location: To **where/which location** does this apply?



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Indicator definition - example

- Activity: If we plant a large number of trees in the desert and provide sufficient water for them to grow...
- Output: ...then we may have a **forest in due time.**
- Purpose: This will enable the community to sell the wood and...
- Goal: ...make money to improve the situation of rural people.



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Example: Output = Forest will exist in due time

Quantity: How much of what?	80% of slope areas
Quality: What do I consider to be good enough?	<ul style="list-style-type: none">• 100% Location-specific trees• at least 50% leaf trees
Clients: Who are the actors?	Private forest owners and community leaders
Time: When is the target to be achieved?	2020: 50% 2025: 75% 2030: 100%
Location: To where/which location does this apply?	30 villages in Province

Exercise

- Define indicators for activities (=milestones), output, (*purpose and goal*)
- Discuss means of verification
- Present the results



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M&E Challenges

- The weakest point in (logframe) planning is the definition of *indicators*:
 - they are often too general
 - not measurable
 - too complicated
 - Not defined at all
- Very often, *output* is being measured although one is really looking for *impact* (the existence of a forest does not necessarily lead to increased income of farmers – and an increased income might not only be caused by forests)

Indicator definition - example

- Activity: If we plant a large number of trees in the desert and provide sufficient water for them to grow...
- **Output: ...then we may have a forest in due time.**
- Purpose: This will enable the community to sell the wood and...
- Goal: ...make money to improve the situation of rural people.



6.3 Appendix 3: Impressions from the Workshop

6.3.1 Field trip to Lehnin



Forester showed a re-watering of a swamp



Fire protection tower for the early detection and localising of fires



Private forest owner showed his piece of land



... where a harvesting machine is in action

6.3.2 Field Trip to Chorin



Forest Picture Trail



Glacial effect on that area



Green classroom at Blumberger Mühle



Climate change adaptation strategies

Field Trip to Berlin state forestry



Forester explains difficulties between protection and public access to forests



The swamp "Teufelsmoor"



Renaturation of former sewage irrigation fields

6.3.3 Field trip to Eberswalde



Open field laboratory to simulate water stress draughts on European beech trees



A forest fire surveillance centre



Re-cultivation process of former military areas