

# UK

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## 1. DOMESTIC FORESTS AND FORESTRY

By the time the Norman Domesday Book was written 900 years ago little pristine woodland remained in Britain except perhaps in the remoter parts of Scotland. Woodland cover, although variable across the country, was as low as 15% overall (Rackham, 1980). Although this figure disguises the important contribution of hedgerows in the landscape and in the supply of wood products, it demonstrates the long history of forest conversion in Britain.

It was the Normans who first initiated the creation of a forest estate through their code of administration, their system lasting throughout the Middle Ages. The medieval forest was controlled and managed to fulfil a variety of needs. Forests were demarcated as the hunting grounds of kings and the nobility, with strongly enforced laws controlling poaching. Yet a forest was also usually divided into several distinct areas of woodland and open country, in each of which particular communities had specific rights. The coppice system ensured a supply of fuelwood and low quality construction timber on short rotations, whilst standards, trees grown on longer rotations, provided larger and better quality timber. Under this system, villages had access to underwood, and were allocated other specific use-rights such as pannage, the right to graze pigs in the forest. Game, too, whether taken legally or illegally, was an important source of protein.

Early industrial activity during the Tudor period began to make new demands on forest resources. The Reformation left Henry VIII fearful of retribution by the Catholic powers who had restricted exports of armaments to England. Weaponry therefore had to be home-produced. Iron-smelting began in earnest in southern England where the supply of oak to fire the furnaces was considered plentiful. Thus the industrial importance of woodlands grew whilst their importance as Royal Forests diminished slightly. The iron industry, and other industries, have usually been blamed for the destruction of woodlands, (Perlin, 1989). However, Rackham (1980) suggests that probably the source of grievance lay in rising fuelwood prices, rather than scarcity *per se*. Demand for high quality ships' timber also began to increase as England began its ascendancy to becoming a naval, and later imperial, power. Masts, above all, were an early problem. British dependence on fuelwood began to decrease from the eighteenth century onwards as coal began to replace charcoal for commercial production and domestic use. As coal mining expanded, even the timber props it required were brought ultimately from across the Atlantic.

The nineteenth century saw interest in British forestry grow considerably. Efforts at plantation establishment of both natives and exotics were greater than ever before, and the potential of North American conifers began to be recognised. In 1854 the Scottish Arboricultural Society (now Royal Scottish Forestry Society) was founded, 28 years ahead of its English equivalent (James, 1981).

Paradoxically, the formal teaching of forestry came to Britain via India. British India had employed first D. Brandis, and then W. Schlich and B. Ribbentrop in the 1860s and 1870s. When Dr Schlich retired from India in

1885, he established the first forestry training school at Durham. In 1887 a Parliamentary committee report considered the need for a forestry school in Britain and the resulting 'Act for Establishing a Board of Agriculture for Great Britain' of 1889, made provision for a professorship of agriculture and forestry at the Durham College of Science, at Cooper's Hill.

World War I reduced forest cover in Britain to 5.6%, the lowest ever known (Grayson, 1993) and Britain's dependence on foreign supplies of timber during times of war became a major concern. As a consequence, the Forestry Act of 1919 was passed, the Forestry Commission established and exotic softwood reforestation expanded dramatically. The first conifer introductions had been as early as 1548 (James, 1981), but it was not until the nineteenth century that such plantations were anything other than sporadic. Now they were to become the principal means of reforestation, predominantly in the uplands. It was the charge of the Forestry Commission to effect the creation of state-owned forests and to oversee financial assistance to private sector reforestation. This policy of creation of a 'strategic reserve' of timber, which had still not reached maturity in time for World War II, was reviewed in the Zuckerman committee of 1956 (Zuckerman Committee, 1957). It recognised that timber supplies were unlikely to be crucial in the event of a Third World War. Instead state-subsidised reforestation came to be justified on import-substitution and, to a lesser extent, employment-creation grounds, despite the fact that financial returns to forestry in Britain have never been very attractive (National Audit Office, 1986).

The area of land under forestry has steadily increased from 6.1% in 1947 to 10.6% in 1996 (Forestry Industry Council, 1996). In 1987 the government announced a target of 33,000 ha of new planting a year, the majority to be in the private sector (Forestry Commission, 1991). This has not been met – total new planting in 1996 was 15,700 ha, for instance – (Forestry Commission *Facts and Figures* 1995–6) and Britain is still one of the least forested countries in Europe. The EU average is 36%. (FIC, 1996). It is calculated that in 1990, about 10% of Great Britain or 2.3 million ha was under forest cover (Grayson, 1993). In 1996 about 35% of the land under forestry was in state hands and 65% belonged to private landowners (Forestry Commission *Facts and Figures* 1995–6). This area provided about 4% of the country's wood and wood product needs (FIC, 1996).

To some extent forestry has always been the poor relation of agriculture. Common Agricultural Policy subsidies to farming have made the long-term returns of forestry especially unattractive in the lowlands, where soils and climate might otherwise be conducive to plantation management. However, recent attempts to reduce agricultural spending have meant increasing policy recognition being given to woodlands as environmental and recreational assets.

In 1984 the Forestry Commission (which is responsible for granting felling licences) stated a general presumption against the conversion of woodland to agriculture or other uses. State subsidy for the creation and management of broad-leaved and native pine woodland to compensate for their marginal financial returns is now considerable. The Forestry Commission

is thus responding to new environmental awareness in the UK. Since 1985 as well as the existing responsibility for timber supply came a statutory duty to endeavour to achieve a reasonable balance between the needs of forestry and those of the environment. A 1995 rural White Paper for Scotland stated that the government wished to enhance the contribution that forestry could make to sustaining local communities, and to consider how to increase local community participation in forest management (FC, Highlights of the 1995–96 Annual Report). The Commission acknowledged the advantages of basing forest policy on multiple objectives (Forestry Commission, 1991).

## 2 HISTORICAL INVOLVEMENT WITH TROPICAL FORESTRY

As Britain expanded its colonial and trading influence in the eighteenth century, it increasingly looked abroad to meet its timber needs, initially to North America but later to the tropics. The forms of exploitation were varied and sometimes timber extraction was only a secondary consideration in the clearance of land for agriculture. Exploitation varied among colonies with different forest resources. Sparsely populated places with relatively poor forests such as British Honduras (Belize) were logged selectively and slowly for mahogany with little resulting conversion of forest cover. In parts of India and Burma, however, some forests rich in teak were completely cleared to supply the needs of the Admiralty (Westoby, 1989). Such clearance continued in the Malabar region of India until the middle of the 18th century without any effort at reforestation or development (Upadhyaya, 1991). Forest clearance and the use of teak for boat building in India of course both long predate the British Empire.

It was already clear early in the 19th century that the forests of the colonies were not inexhaustible. Even before colonial expansion in India was complete, the first conservator of forests had been appointed. Britain, with no formal trained foresters to call on, appointed Captain Watson of the police in 1806 to control timber supplies in the west of India (Westoby, 1989). Even as early as 1851, Cleghorne *et al*, in a report on the forests of British India subtitled 'On the Destruction of Tropical Forests' (1851) note that, despite the extent of the forests, it was not adequate both for home consumption and for export. This document is also revealing in its appreciation of the many roles trees and forests play in the rural economy, their importance in climate regulation and the need for plantations to supplement natural regeneration.

The beginnings of colonial forest management are thus to be found in India where the foundation of the first colonial forest service (the IFS) came in the 1850s when first Dr McLelland of the Calcutta Botanic Garden, and then Dr Dietrich Brandis, from Germany, were appointed Inspector General of Forests. Though it is difficult to generalise about British colonial forestry, since the colonies themselves were found in such different environments, Dawkins and Philip (in press) note three consecutive phases, however: the Indo-Burma phase from 1850–1900, the Africa-Malaysian phase from 1900–1950 and the pan tropical

phase from 1950 onwards. It was in Burma that Brandis first introduced concepts of standing volume based on transects, growth rates and loss rates which made it possible to predict sustained yield. The *taungya* system also came from Burma. In Malaya lessons were learned from both Burma and the Philippines, and research on the natural forest was to become a particular UK strength here, under John Wyatt-Smith.

Experienced individuals were transferred from India, Burma and Malaya to help establish forestry in other parts of the empire, with the Indian experience usually serving as the model. The tropical forestry training Institute at Dehra Dun in India had been founded (by Brandis) in 1878, and both personnel and policy were to be exported from the subcontinent to the newer departments in Africa. The first Conservator of Forests in Nigeria came from the IFS in 1902, for instance, and Nigeria's first forest policy was based on that of Burma.

Forestry departments were established in the Sudan in 1901 and in the Gold Coast (Ghana) in 1908. Practice also drew heavily on Asian experience. For instance, in the field of natural forest silviculture, the Nigerian Tropical Shelterwood System, designed in 1944, drew on Malayan as well as earlier West African experience (Schmidt, 1991).

Revenue raising from timber was important to some colonial forest services, but it was never the only concern. Bruenig (1996) points out that the forest service often sought to prioritise the supply of products for local revenue generation and needs, citing the harvesting of latex and rattan in the rain forests of Sarawak at the end of the nineteenth century. Similarly the long-standing trade in gum arabic from the arid wooded savannas of north Africa was given stronger access to international markets during the colonial period and after. In most colonies, the supply of timber for internal consumption was much more important than that for export. The expansion of railways and their dependence not only on wooden sleepers but for many years also on fuelwood, made heavy new demands on forests.

At the same time, much was often left to the competence and interpretation of the officer in post. There were widely different responses to the recognition of local community rights, for instance, from the careful recording of traditional rights in Himachal Pradesh in North India in the 1890s, or the insistence of the Ashanti Chiefs in Ghana on the continuation of their forest rights, to the complete or almost complete abolition of such rights in many other areas of both India and Africa.

The reservation of forest was often the chief focus of work, especially in remote or unmapped areas. It was feared, for instance, that if areas were not set aside they would be liable to destruction from shifting cultivation. Much good work was also done, in the development of plantations and silvicultural practice. In Nigeria, for instance, considerable efforts to establish plantations of exotic teak and native mahogany were made (Unwin, 1920). But there were considerable financial constraints. Most forest officers in Africa worked with very small budgets, and could undertake few activities beyond the maintaining of boundaries and fire-traces around reserves. Some of these individuals, also, almost

as a hobby, embarked upon the enormous task of identifying and recording details of the flora of their own areas.

The colonial forest services depended to a large extent on expatriate staff, and to meet demand Dr Schlich transferred his teaching from the Royal Indian Engineering College at Cooper's Hill and established a forestry school at Oxford in 1906. This was later to become first the Imperial Forestry institute, and later the Commonwealth Forestry institute. It is worth remembering that the Forestry Commission itself was not in fact established until 1919. Foresters working in the colonies from the 1920s onwards remember that periodic Imperial Forestry Conferences (the forerunners of today's Commonwealth Forestry Conferences) initiated in the 1920s, were one of the chief means by which useful experiences from one part of the world were shared with foresters working somewhere else. The Institute's journal, the *Imperial Forestry Review*, was also a useful repository for new knowledge.

Following World War II, the United Kingdom's role in tropical forestry changed along with the aspirations of the territories and colonies now seeking independence. In the newly independent countries assistance in forestry, as in other sectors, took the form of providing training and responding to requests from recipient governments. Thus overseas assistance to the forestry sector, like other sectors, was primarily about maintaining the civil services of the ex-colonies: requests were often for personnel to fill gaps left by retiring expatriates.

At the same time forestry began to be less about the creation of reserves and more about what might be done with them. The hope that the forest estate could be used to accelerate economic development put a new emphasis on industrially orientated forestry, and much assistance was directed at both industrial plantations and, in countries with a rich endowment of high forest, at natural forest management. Work on silvicultural systems for Uganda and Malaya, elaborated in the post-war era, are still regarded as standard works in the field. Industrial forestry was not seen simply as an engine for rapid economic growth, but also as a means of justifying the existence of forest, increasingly regarded by economic planners rather as a land bank for agriculture.

British forestry assistance in the post-colonial era up to the 1980s consisted for the most part of two types of activity. On the one hand, inventory and mapping activities were undertaken. On the other, attempts were made to establish commercially productive plantations.

### 3. STRUCTURE OF DEVELOPMENT ASSISTANCE DELIVERY

#### 3.1 Organisation of the aid programme

The British Government's responsibility for the development of its colonies on a continuing basis was first recognised in 1929 by the Colonial Development Act, which was followed up after World War II with the Colonial Development and Welfare Act, 1945. In 1961 the Department of Technical Co-operation was established to deal with the aid programme (ODA, 1996a, 1).

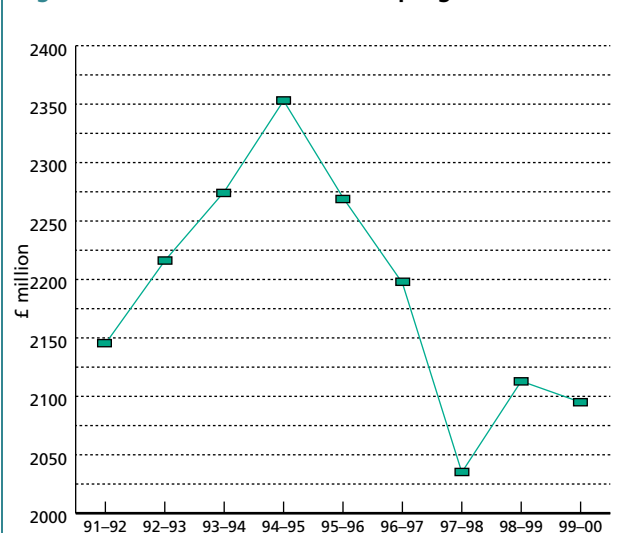
The Ministry of Overseas Development was first set up by the incoming Labour Government as a separate Ministry in October 1964 headed by a Minister for Overseas Development. It brought together the functions of the former Department of Technical Co-operation and the overseas aid policy functions of the Foreign, Commonwealth Relations and Colonial Offices and of other Departments, (ODA, 1996a, 1). Its history then followed the fluctuations of party politics. With the return of the Conservatives to power in 1970 it was demoted to the status of a department (the Overseas Development Administration) within the Foreign and Commonwealth Office. It was restored to separate Ministry status during Labour's period in power (1974–9), and again demoted in 1979. Following the general election in May 1997 the Labour government set up a Department for International Development (DFID) headed by a Secretary of State for International Development.

The DFID has taken over the structure and personnel of the ODA and will honour its existing project obligations. Strategy and policy will change in some areas but the full implications are not likely to become apparent for some time (given the three year planning cycle inherited from the ODA).

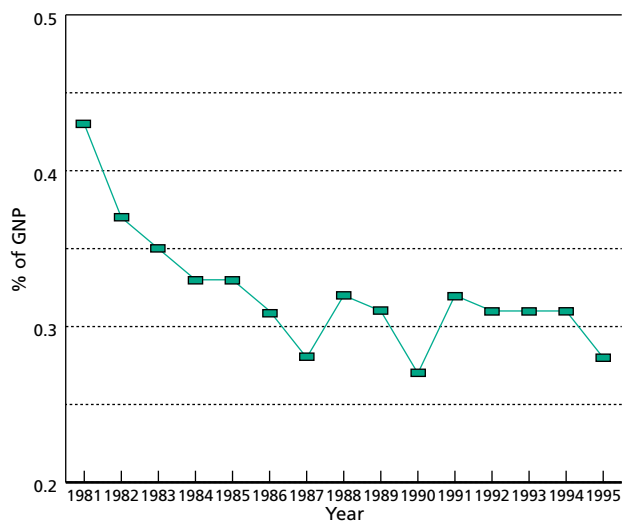
#### 3.2 Development assistance commitment

Britain is one of the larger aid donors, with an annual budget of £2,154 m. (1996–7) making it the fifth largest in the world (ODA, 1995c, 1). However, British aid has declined in real terms in recent years (see Figure 1) and is nowhere near the UN target aid:GNP ratio of 0.7%. Provision in 1995 was 0.28% (OECD, 1997, 169) which was below the Development Assistance Committee average of 0.41%. The downward trend was expected to continue, projected figures for 1997–98 estimating an aid:GNP ratio of only 0.26% (Chakrabati *et al*, 1995, 22). However, the recently elected (May 1997) Labour Government did make a specific pre-election manifesto pledge to reverse the decline in UK aid spending and is committed to reaching the UN target (Labour Party Manifesto, 1997, 39), although no timeframe has yet been set for this.

Figure 1: UK external assistance programme, 1991–9



(Source: FCO, 1997,77)

**Figure 2: Aid:GNP ratio 1981–95**

(Source: OECD, 1994, 11; OECD, 1997, 96)

The amount of money available for aid over the next three years is decided in the Public Expenditure Survey which is carried out annually, and determines the allocation of resources to all Government Departments. The results are announced by the Chancellor of the Exchequer in the autumn budget each year. DFID then uses the Resource Allocation Process to determine how the available money for the coming three years should best be spent (ODA, 1996b: 1 B2).

The DFID accounts show that 93% of bilateral aid in 1995–6 was given to developing countries, including dependent territories, other areas with which Britain has traditional ties and the poorest countries of Eastern Europe. Thirty-eight per cent of aid went to the African countries south of the Sahara which are among the poorest in the world, and almost 10% went to the countries in transition of Eastern Europe and the former Soviet Union through the Joint Assistance Unit (FCO, 1997: 151). The inclusion of this latter type of support within the same budget line as traditional aid recipients is relatively new and has led to speculation that funds may be diverted from developing countries (OECD, 1994: 39). This concern is unlikely to affect forestry which has not figured largely in the Joint Assistance Unit to date and is not likely to do so in future (Hudson, 1997: 5).

### 3.3 Personnel

The main offices of DFID are in London, with a number of administrative staff located in East Kilbride, near Glasgow. DFID employs directly a total of 1077 staff (FCO, 1997: 122), almost 600 of whom work in London and over 400 in East Kilbride. A further 76 professional staff (not including long- and short-term technical co-operation officers) are also employed by DFID. Ten professional advisers work in the Natural Resources Division (3 of whom are forestry advisers) together with 33 administrative staff. Five regional offices, called Development Divisions, are located in Kenya, Zimbabwe, Barbados, Thailand and South Africa, and Development Assistance Management Offices are also located in Bangladesh, India and the Pacific (*ibid*). Additional professional staff are

employed in these regional and country offices. Administrative support is also provided by British Embassy and High Commission staff in the recipient countries. An organogram details the basic structure of DFID (see Figure 3).

There has been a steady decline in the proportion of experts employed directly by DFID under the technical co-operation programme. External consultants now account for 66.2% of total personnel on the bilateral technical co-operation programme, although the proportion for forestry is significantly less, approximately 15% (FCO, 1997: 153). The major consultancy companies include LTS International Ltd; Fountain Renewable Resources; Hunting Technical Services; Landell Mills Ltd and SGS Forestry. The Natural Resources Institute, which was formerly an ODA agency providing research and advisory services in the natural resources sector, was transferred to the ownership of the University of Greenwich in 1996. Tropical forestry expertise is still provided to the DFID and others through NR International, a company owned by the Universities of Greenwich, London and Edinburgh.

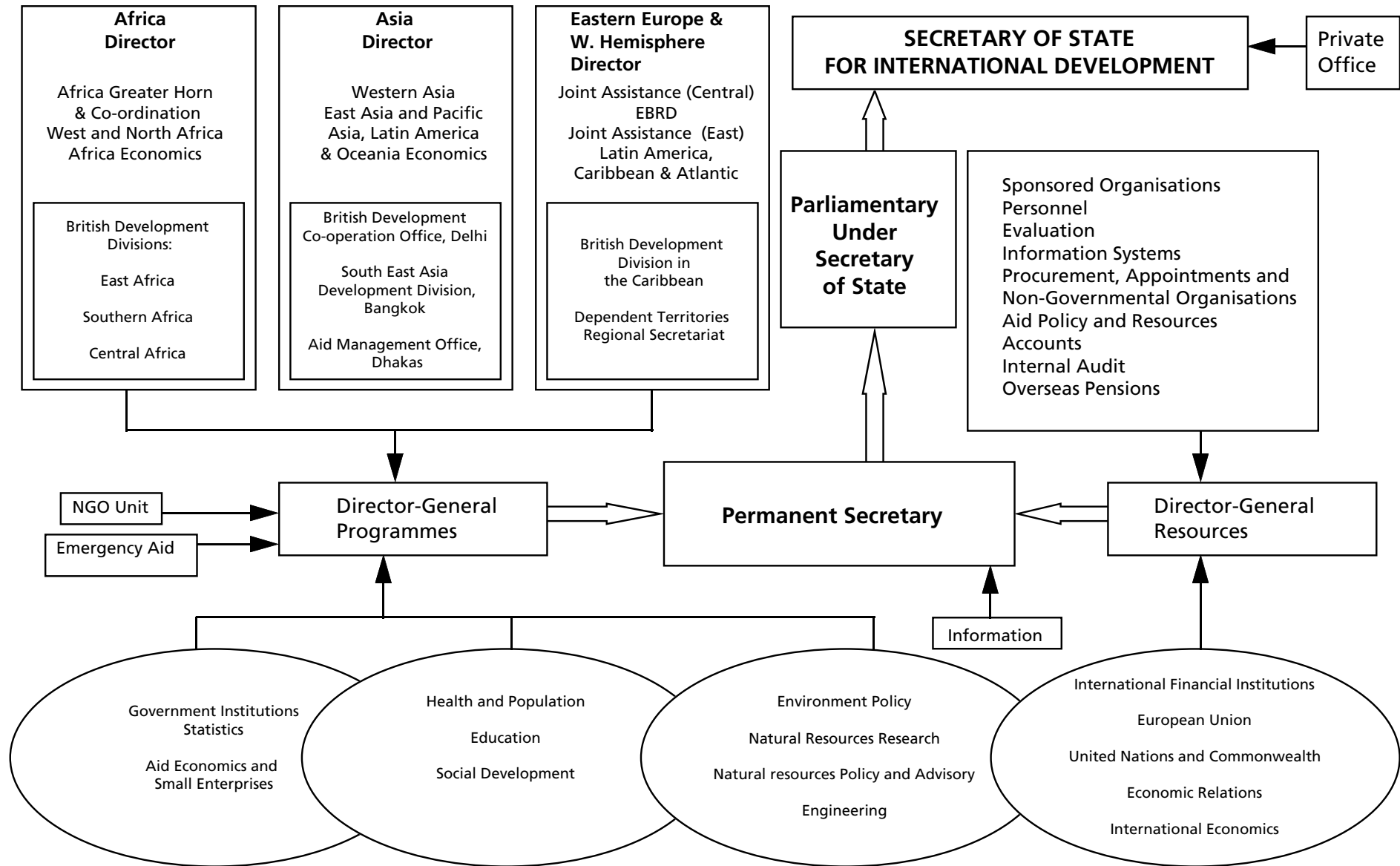
### 3.4 Bilateral assistance

Bilateral assistance to all countries totalled £1,374 m. in 1994–5, including aid to countries in transition of £133 m. (ODA, 1995d: 7). Of this, the forestry component was £33.2 m. equivalent to 22% of renewable natural resources spending (ODA, 1995c: 62). The recent allocation of forestry aid is shown in Figure 4. A rise can be seen coinciding with the Forestry Initiative announced at the 1989 UN General Assembly. It was prompted by growing public concern for the environment in general and tropical forestry in particular. £109 m. of bilateral aid was made available to support 206 tropical forestry projects in the period 1989–92. The proportion of bilateral spending given to forestry increased from 2% in 1991–92 to 4% in 1992–3 (ODA, 1992g: 1) but this is expected to level off as a percentage of bilateral expenditure as projects supported under the Forestry Initiative come to an end.

Figure 5 shows that the majority of forestry bilateral aid was used in technical co-operation (TC). TC is the provision of expertise requested by a partner country, primarily personnel and associated equipment, and is administered directly by the DFID which places the necessary contracts, rather than by the recipient government (ODA, 1996b, II: B1). Financial aid is given in the form of grants or loans which allow the recipient government or institution to incur expenditure on goods and services directly, as agreed with DFID. The distinction lies not in what each type of aid finances but in how they affect the relationship between DFID and the recipient. Financial aid is, in many cases, more beneficial in developmental terms but is administratively more complex. 86% of TC forms part of specific projects; the remainder is non-project TC (FCO, 1997: 80).

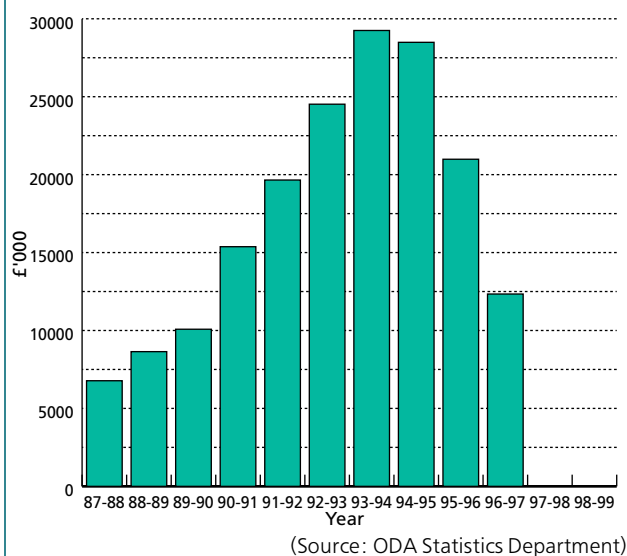
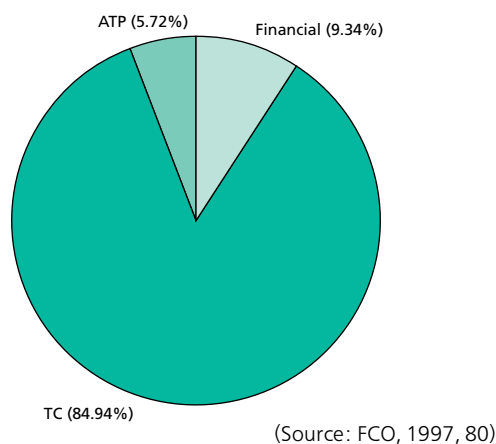
One important component of TC is Technical Co-operation Training (TCT), which is the main instrument used by DFID to provide training. Annual Country Training Specifications (ACTS) match training needs to the country aid programme. The British Council administers some DFID technical co-operation activities including training of overseas study fellows in the UK.

**Figure 3: Structure of DFID**



Adapted by ODI from p.121 of the FCO Departmental Report, HMSO, London, 1997, to incorporate changes since May 1997



**Figure 4: UK forestry aid 1987–99****Figure 5: Nature of bilateral aid**

Of particular relevance are its activities in the promotion of access to education, training, science and technology, for which it receives a block grant from DFID to support its activities in developing countries and countries in transition (ODA, 1995b: 120).

### 3.5 Multilateral assistance

Although still slightly less than half the total administered aid, the multilateral component has steadily increased from 30% of total assistance in 1974/5 to 49% in 1994/5 (ODA 1995b: 10). This level is high compared to other countries, for example in 1992 the multilateral proportion of UK aid was 47% compared with 31% for the DAC (OECD, 1994: 11). A high proportion of this, 53% in 1994–5, (ODA, 1995d: 8–9) is channelled through the European Commission. This proportion has increased from 21% in 1992, (OECD, 1994: 8) as a result of the Edinburgh Council decision on future financing, taken by EU Ministers in December 1992, which increased the EC's aid spending by 60% in real terms between 1992 and 1999. Britain's share of this increased commitment is likely to be met from existing aid budgets (OECD, 1994: 8). Forestry issues related to multilateral spending are dealt with by the Natural Resources Policy and Advisory Department

**Table 1: DFID gross public expenditure on multilateral contributions 1995–6**

Multilateral Agency	Contributions (£'000)	% of Total Multilateral
European Commission	675,924	60.97
of which European Development Fund	223,064	20.12
World Bank Group	206,877	18.66
IMF	30,000	2.71
Regional Development Banks	69,513	6.27
FAO	6,246	0.56
UNDP	26,031	2.35
UNEP	0	0
UNHCR	16,046	1.45
Total UN Agencies	91,103	8.22
International Research	8,983	0.81

(Source: FCO, 1997: 152–3.)

and the Environment Policy Department of the DFID.

Britain supports a number of other multilateral institutions including the World Bank, the Regional Development Banks and several of the UN organisations (see Table 1 for details). In 1995–96 the World Bank was the largest recipient, after the European Commission, including the European Development Fund. The UN Agencies together received a little over 8% of which the UNDP received the most, about 2.4% of total multilateral aid (FCO, 1997: 152–3).

### 3.6 Global Environmental Assistance Programme

The Global Environmental Assistance Programme (GEA) is a budget separate from the rest of the aid programme, reflecting the need for multilateral action to tackle global environmental problems. The Programme contributes to the Global Environmental Facility (GEF) which is administered by the World Bank and UNDP. Support through the GEA is available only for projects which are not justified by national benefits alone but offer global benefits and involve additional costs for developing countries. Its strategic areas for project funding relevant to forestry are in the conservation of biological diversity and the promotion of the use of renewable energy sources to reduce emissions of greenhouse gases (ODA, 1995b: 126). Since 1991 DFID has contributed £130 m. to the GEF making it the fifth largest donor. As of November 1996 the GEF had funded 108 biodiversity projects at a total cost of US\$ 463 billion (DoE, 1997: 3).

### 3.7 Other Government Departments

The Darwin Initiative is administered by the Department of the Environment (DoE). This is a British venture, launched at the Rio Conference 1992, to help developing countries meet their obligations under the Biodiversity Convention. It does this by funding collaborative projects between institutions in the UK and overseas which will help conserve global biodiver-

sity. £3 m. a year has been earmarked for projects in countries rich in biodiversity but with insufficient financial resources or capacity. The British Government is considering how best to build on the success of the Darwin Initiative, perhaps by extending the concept to include other developed countries (DoE, 1997: 4).

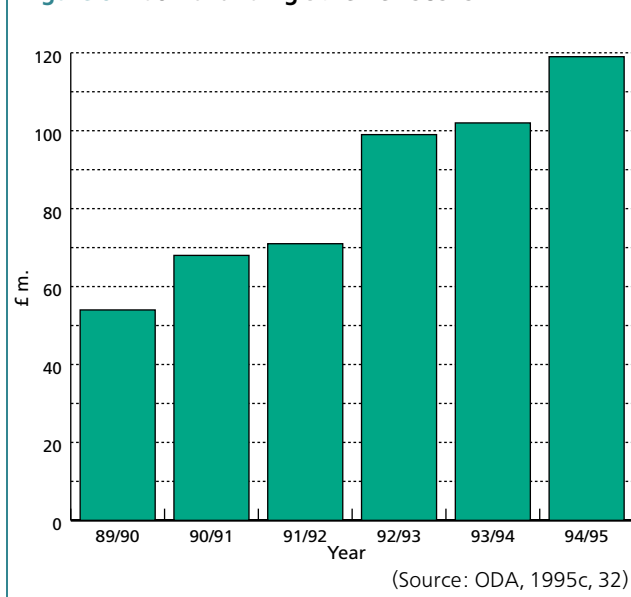
### 3.8 The Aid and Trade Provision

The DFID also works with other government Departments to administer particular projects. Most notable of these has been the Aid and Trade Provision (ATP) in co-operation with the Department of Trade and Industry. This was established in 1977 to counter the trade related tied-aid of other donor countries, and allowed the allocation of bilateral funds to finance development projects of particular commercial and industrial importance to the UK (OECD, 1994: 24). Grants were made in association with export credit guarantees or soft loans for specific projects. The ATP was heavily criticised by British development NGOs and one, the World Development Movement, successfully challenged its use in financing a dam at Pergau, Malaysia, in 1993. Subsequent projects have been required to meet much more stringent development and environmental as well as financial and technical criteria. Since 1993 the scheme has focused on creditworthy low-income developing countries with a GNP per head of less than US\$ 700 (1989 prices). Despite these improvements, the Labour Party remained critical of this mechanism and the phasing out of the ATP was announced in the Autumn 1997 White Paper. This will have a noticeable effect on funding as ATP spending had increased as a proportion of bilateral aid in recent years and amounted to 4.4% in 1994–5 (ODA, 1995d: 7). In some countries, for example China and Indonesia, the Aid and Trade Provision had effectively replaced conventional bilateral aid (ODA, 1996b: K1).

### 3.9 Commonwealth Development Corporation (CDC)

The Commonwealth Development Corporation (CDC) is a public corporation that provides loans for investment in developing countries. It supports growth by investing in, and supporting the operations of, commercially viable and developmentally sound business enterprises. In particular, it works with the private sector in the poorer nations of the world which have yet to attract a significant amount of private capital (see CDC 1996: 13 for a list of the 54 countries in which CDC has investments). CDC investments do not represent aid as such. It is a statutory requirement of the corporation that it has an operating surplus at the end of each financial year; nevertheless it only invests where businesses are expected to contribute significantly to national development. At the end of 1995 it had investments worth £1,487 m. and an operating surplus of £3,135 m. (CDC, 1996: 2–3). The renewable natural resource sector is its major area of interest. At the end of 1993 it had £119 m. invested in 12 companies in the forestry sector (CDC, undated: 1). Loans are available to both Commonwealth and non-Commonwealth countries. Government loans to CDC are administered through the Sponsored Organisations Department of DFID.

Figure 6: Joint Funding Scheme 1989–94



### 3.10 NGOs

The DFID is well aware of the role NGOs can play working in direct partnership with communities in developing countries as well as of the cost effectiveness of collaboration with them (ODA, 1992c: 50). In 1995–96 the bilateral aid programme channelled more than £179 m. through UK-based NGOs, 33% of which was used in emergency assistance (FCO, 1996: 95). The government places a high value on having effective communication with NGOs. In 1993 BOND (British Overseas NGOs for Development) was established to provide a network through which ideas and lessons could be shared by the members and ODA. It now has more than 130 NGO members and is partly funded by DFID.

DFID co-funds projects on a pound-for-pound basis with British-based NGOs through the Joint Funding Scheme, which covers many activities in rural and urban development. The amount of funding given to NGOs through the JFS has risen in the period 1989–96 (see Figure 6). More details of the forestry component are given in section 4.

## 4. DFID FOREST POLICY AND STRATEGY

### 4.1 Background

In the 1960s and '70s the then Overseas Development Administration (ODA) was seen as a body to respond to requests for help from the former colonies. There was no coherent policy as to what its priorities should be. In effect the aid programme was very much shaped by the priorities of the developing countries and the energy of individual ODA Advisers. Within the forestry sector there was also no clear strategy. Instead, a gap-filling approach was adopted in the belief that improved education in the developing countries would eventually eliminate these gaps. This belief underpinned the major emphasis on institutional development, which mostly consisted of forestry training.

This reactive approach to aid began to change at the



beginning of the 1980s. The 1980 Overseas Development and Co-operation Act for the first time outlined precisely what ODA could and could not do. The Act still applies today with a few amendments. At the same time budgetary constraints began to take effect. As a result aid spending became more tightly focused on priority countries and sectors. Forestry assistance now had to be justified in competition with other natural resource spending. Funds began to be used proactively to exert leverage, i.e. to gain maximum influence in co-funding activities with bigger donors such as the World Bank and the European Commission and also to maximise aid impact at the country level. Country Strategy Papers (CSPs) were given more weight and began to outline which sectors ODA would and would not fund. ODA thus became more and more proactive, although CSPs continue to reflect partner countries' priorities as well as UK strengths.

Forestry was considered to be a separate part of the Renewable Natural Resources sector. Initially the emphasis was very much on forests as an economic good and on timber production. Throughout the 1980s the Social Development sector gained in influence, sometimes at the expense of the Natural Resources sector. This was combined with a recognition that the traditional top-down approach to development had been disappointing in the degree to which benefits were reaching the poorest people (Poore, 1989:14) and should be replaced. Forestry for rural development, targeted more directly at the needs of the rural poor, became more influential in sector planning, eventually becoming a specific strategic area of ODA.

At the same time as these changes were taking place there was also a move towards increasing in-country prioritisation. Authority moved away from the Advisers towards the country desk officers who began to control the aid programme more directly. Forestry projects now need to operate both within the strategic framework for forestry as a whole and within the individual Country Strategy Papers. Within each country, forestry activities have to compete with other sectors for their share of the budget.

The ODA's assistance to the forestry sector had always taken into consideration more than just industrial and commercial needs. However, in the past two decades sensitivity to environmental and social issues has increased markedly; in particular, the fate of tropical forest ecosystems and their human dependants have entered the policy debate.

## 4.2 Recent developments in strategy

A fundamental expenditure review (FER) of ODA was

### Box 1: DFID's Statement of Purpose

DFID's aim is the elimination of poverty in poorer countries.

Its specific objectives are:

1. Policies and actions which promote sustainable livelihoods.
2. Better education, health and opportunities for poor people.
3. Protection and better management of the natural and physical environment.

carried out by government officials in 1995. This examined all aspects of ODA policy and even questioned whether Britain should continue to provide concessional assistance to developing countries. Its conclusions were viewed by the government of the day as recommendations only but a Ministerial review broadly endorsed them (OECD, 1997: 168). It is likely that the Labour Government will also accept the majority of its recommendations.

The FER decided that there were both ethical reasons, and reasons of enlightened national self-interest for the continued provision of aid. Poverty reduction is the essence of the moral case for supporting development. National interests are supported in the narrow sense by ensuring national security, cementing historical ties and gaining political and commercial advantage. At a broader level, developed countries have a shared interest in protecting and extending a liberal international economy (Chakrabati *et al*, 1995: 4).

Having decided that aid should continue, the FER examined whether it was appropriate for a single body – now DFID – to be charged with the administration of the bilateral and multilateral aid programme and aid to the countries in transition of Eastern Europe and the former Soviet Union. It concluded that this was one of the UK aid programme's strengths giving a coherence often lacking in other donor countries. It also recommended that ODA's expertise in development issues be used in non-aid fora where the UK's broader economic and financial relations with developing countries are discussed. In effect ODA/DFID would become more a development organisation through which aid is channelled, (a role ODA successfully played in its substantial input into the global environmental agenda).

Clarification of the purpose of the ODA was recommended by the FER and this has resulted in a new statement of purpose which incorporates the aims of the Autumn 1997 White Paper (see Box 1). In addition to the activities included in the Statement, DFID remains responsible for the pensions of former colonial civil servants and their dependants.

In practice Country Strategy Papers (CSPs) determine DFID's niche in developing countries in terms of DFID's aims, along with the recipient country's requirements and the activities of other donors. The process of preparing a Country Strategy Paper therefore requires wide consultation within and outside DFID. CSPs must be produced every three years for programmes of £10 m. or more and shorter CSPs are produced for smaller programmes. In each intervening year a list of specific objectives is drawn up (ODA, 1996b: Pathfinder). Recipients of aid are regarded as partners in the development process and are therefore encouraged to take the lead in determining their needs and the strategy for addressing development problems. For a particular project to be approved it must be in line with the general aims of DFID, the specific aims for the country concerned as outlined in the CSP, and any sector (e.g. forestry) strategy. This is to ensure coherent and targeted development assistance.

Participation is considered fundamental to the development process. Stakeholders should therefore be differentiated and closely involved in the process of project preparation and design. In July 1995 the then ODA Social Development Department published a

*Guidance Note on How to Do Stakeholder Analysis of Aid Projects and Programmes*, intended to be used by everyone involved with project identification and planning.

Institutional development and capacity building are vitally important for the sustainability of a project. Institutional issues should therefore be addressed in all projects.

### 4.3 Forestry strategy

The activities within aim 3 of the Mission Statement (to enhance productive capacity and to protect the environment) cover many sectors, but those relevant to forestry are conservation of biological diversity, conservation and better management of forests and sustainable agriculture (as it relates to agroforestry). The last Forestry Strategy was published in November 1993 (ODA, 1993b). A new Strategy, prepared between May and September 1997 through widespread consultation among diverse bodies in the UK with an interest in tropical forests, was launched in October, 1997 (DFID, 1997). It recognises that whilst a broad range of activities within the forestry sector would be compatible with the overall objectives of DFID, there is a need to concentrate on those activities and countries where available resources and expertise will have the greatest positive impact. It is also accepted that the underlying causes of deforestation may be beyond the capacity of forestry projects alone to address. Aid in other sectors can help reduce deforestation for local or global benefits. Conversely projects in other sectors can have negative impacts on forests. Environmental appraisal procedures in all sectors are designed to take full account of risks to forests. Finally DFID's strategy stresses the importance of the development of National Forest Programmes tied in with National Sustainable Development Strategies, and support for their development in partner countries without one. This is in line with the 1997 UN General Assembly special session on Environment and Development (referred to informally as the Rio+5 meeting) which called for all countries to have national sustainable development strategies 'reflecting the contributions and responsibilities of all interested parties' by 2002.

Bilateral aid to the forestry sector is concentrated on three main areas:

- institutional development, including policy analysis and planning, to strengthen developing countries' capacities to manage their forests effectively;
- sustainable forest management and conservation, including the identification of incentives for local people living in and around forests to manage them sustainably;
- rural development forestry, including agroforestry, which when linked to sustainable agriculture is an important means of helping combat deforestation by stabilising agriculture and producing wood products on farms.

In line with the policy of concentrating assistance and the DFID's concern not to use aid funds to correct industry's lack of capital investment, bilateral aid does not address forest fire control, commercial plantation development or forest industries except as part of institutional strengthening. Commercial plantations

and forest industries are, however, considered appropriate for project lending through the Commonwealth Development Corporation.

There has been a steady progression in forestry policy from support of projects which were essentially tree-focused to ones which have a more holistic view of trees and the community and the role forestry can play in development. The industrial forestry projects of the 1960s and '70s gave way to social forestry in the 1980s, which has in turn been replaced in the 1990s by participatory forestry. This evolution in attitude is seen most clearly in projects addressing the management and conservation of forest resources but also applies to other aspects of the forestry programme. The criteria set for research projects, for example, also show this development. Over the last 10 years ODA has supported 200 forestry projects which included a participatory element. During that time the proportion of the budget spent on such forestry multiplied many times (see section 5).

Against this background ODA commissioned a review of participatory forest management in 1996. It aimed to assess progress to date, establish benchmarks and look at ways forward (ODA, 1996c: 4). The conclusions reinforced the continuing importance of this type of approach. The results of the review are outlined in more detail in section 7.

#### 4.3.1 Social aspects of forestry

The UK's official commitment to poverty alleviation, evidenced by over 93% of bilateral disbursements going to least developed and low-income countries (OECD, 1994: 7) has meant that forest products, both timber and non timber, are now the focus of much assistance aimed at development in the poorest rural communities. It is usually the case, however, that forestry resources are integrated into rural land-use systems biologically, socially and economically, in highly complex ways. Aid evaluations by many donor agencies have demonstrated

#### Box 2: DFID's Current Forestry Priorities

##### In forests and woodlands the priorities are to:

- support management approaches that share responsibility and benefits with local people;
- help build capacity to regulate and control harvesting, paying close attention to the process of awarding forest concessions and the reform of forest pricing policy;
- attempt to maximise development and conservation benefits;
- increase efforts to conserve genetic resources in managed forests through research and by promoting better harvesting techniques.

##### Planted trees

- DFID will support farmers wishing to plant more trees on farms, by helping them to overcome obstacles such as insecure resource rights, and marketing difficulties, and limited access to good planting stock.
- Forest plantations will become more important.

DFID will promote investment from private and public sources which delivers social and environmental benefits.

the link between poor project performance and failure to address social and cultural issues. This has encouraged DFID to give more and more importance to social issues. Social Development became a cross-cutting issue at ODA in 1980 and a separate division in 1996. There are currently 27 Social Development Advisers employed by DFID, 11 in London and 13 in regional and country bilateral programme offices. Three are on secondment to multilateral agencies where they will help those agencies develop their capacity for social analysis (Eyben, undated: 5). Social analyses are now incorporated into all aspects of the DFID aid programme.

In order to design and implement interventions that effectively identify and target beneficiary groups, participatory approaches are increasingly employed in the forestry sector, with the process approach to project identification and design being promoted to ensure the flexibility required. This is also the case in other sectors; full participation by stakeholders in the development process is now prioritised in all DFID bilateral assistance. The 1992 Forestry Synthesis Evaluation Study (Flint, 1992) recommended that multidisciplinary approaches involving social development and economics should be given greater emphasis in forestry projects, and proposals for bilateral assistance are now appraised accordingly. Initially social development inputs were incorporated at the evaluation stage of management; however, the participation of social development advisers as part of multidisciplinary teams is now required at the earliest stages of the project cycle. In this way gender, poverty and indigenous issues, areas of particular concern to DFID, are given greater emphasis. This process has been enhanced by the adoption of TEAMUP software.

Participatory Forest Management is one area where DFID forestry advisers and social development advisers have been working together on a collaborative and interdisciplinary basis. Through research and working with communities, recognition of the value of indigenous knowledge, strategies and institutions has evolved considerably (Eyben, undated: 7).

DFID does not have a separate Women in Development department, as gender issues are considered best overseen by the Social Development Division (OECD, 1994: 38). However, Women in Development is a priority objective of bilateral expenditure.

### 4.3.2 Biodiversity

In 1991 ODA set out its programme for biodiversity conservation in *Biological Diversity and Developing Countries: Issues and Options*. Out of this came a separate biodiversity strategy, complementing, in many ways, the Forestry Strategy. Projects are undertaken either bilaterally or by NGOs through the Joint Funding Scheme. The types of activities considered for funding are the development of institutional capacity to improve national coordination and policy formulation in the training and education programmes.

UK funding for work related to biodiversity conservation may also be obtained through the Darwin Initiative for the Survival of Species. Preference is given to projects that aim to leave in place permanent capacity in host countries to carry out work after the Darwin funding finishes. Training, collaboration and co-operation with local people are considered very

important (DoE, 1996: 2) but funding is not given for individual doctoral study.

### 4.3.3 Environmental aspects of forestry

The DFID *Manual of Environmental Appraisal* (ODA, 1992e) makes special reference to tropical forestry and lists institutional considerations for bilateral forestry proposals. These include government commitment to sustainable forestry management at a national and political level and adoption of the ITTO guidelines on sustainable management of natural tropical forests. To achieve sustainable management there should be adequate control and management of the harvesting of timber and non-wood products and commitment to working plans specifying the allowable cut, annual coupes, the silvicultural system and the best methods of ensuring regeneration. Sustainable harvesting plans must also conform to local and national conservation plans and Environmental Impact Assessments, and there should be a reasonable degree of consultation with forest dwellers and forest neighbours in the planning process. Government commitment to protecting those forests richest in biodiversity from commercial exploitation and to IUCN guidelines on biodiversity are important considerations.

The Commonwealth Development Corporation also seeks to encourage good environmental practice through its investments. Environmental Impact Assessments are required for all investments deemed environmentally sensitive and all CDC managed businesses are required to carry out an annual environmental review (CDC, 1996: 15).

## 4.4 International influences

International concern for the environment and the need to take environmental issues into account in promoting social development were first expressed specifically at the UN Conference on the Human Environment, Stockholm, 1978. The UN Environment Programme that was subsequently established has received continued support from the UK through the Department of the Environment (FCO, 1997: 152).

The next stage in the development of environmental awareness was the Brundtland Report *Our Common Future*, published in 1987. Britain was one of the first countries to publish a formal government response to the Brundtland Report (DoE, 1988). It made clear commitments to the principles outlined in the Brundtland Report, and to sustainable development in particular, detailing more than 350 commitments for action in a wide range of areas, including assistance to developing countries and efforts to combat climate change. A year later progress on each of the original commitments was reported and targets set for further action (DoE, 1989).

The most recent international influence on UK policy was the UN Conference on Environment and Development (UNCED), the 'Earth Summit' held in Rio de Janeiro in 1992. Agreement on the UNCED Statement of Principles on the Management, Conservation and Sustainable Development of the World's Forests was significant as the first international consensus on the need to conserve the world's forests and to respect national sovereignty over forest resources, the latter being the main obstacle to the conclusion of a binding

convention on forests, a long-term UK objective (ODA, 1992d).

#### 4.5 Multilateral policy

The government's objectives in the forestry sector are as applicable to multilateral as they are to bilateral assistance and the ODA/DFID has always sought to influence multilateral institutions accordingly. DFID is especially concerned with the improvement of multilateral forestry aid performance, but recognises that progress can be slow and difficult to assess. Multilateral forestry issues are dealt with in the first instance by the Environmental Policy Department (EPD).

It is UK policy to work closely with the World Bank and the European Commission, encouraging them to devote more staff resources to forestry. There has been collaboration with the World Bank in developing forestry sector programmes, now referred to as national forestry programmes. The EPD also contributed to the preparation of the European Commission's Guidelines for Forest Sector Development Co-operation of 1996.

ODA made considerable efforts to improve the performance of the Tropical Forest Action Programme (TFAP) established under the FAO in collaboration with UNDP, the World Bank and the World Resources Institute in 1987. It has participated in the preparation of National Forest Action Plans under the TFAP and has funded projects identified in the process. The TFAP/NFAP Support Unit has undergone considerable revision, which ODA/DFID has supported, with national forest programmes now placing an emphasis on institution building and policy.

ODA/DFID has collaborated with the International Timber Trade Organisation (ITTO), and values it as a forum for producers and consumers to discuss problems relating to the timber trade. The two organisations share the opinion that the international timber trade can be used as an economic tool to encourage sustainable forest management and therefore forest conservation. In particular, ODA has assisted ITTO in the enhancement of its performance in project appraisal and management, areas considered in much need of improvement. It has encouraged work on policy and the economics of sustainable timber harvesting, especially on the issue of the incentives required for producing countries to adopt sustainable forest management practices. The UK supports the most recent International Timber Trade Agreement, ITTA 94, and the Year 2000 Objective for sustainable management. It also makes occasional direct contributions to specific projects where compatible with its own objectives.

#### 4.6 NGOs

ODA/DFID recognises the important role NGOs can play in the development process. Almost 8% of the ODA aid budget in 1995–96 (£179 m.) was channelled through UK NGOs for development and relief activities (FCO, 1997: 78,100). Changes in its strategic targets, in general making them more poverty focused, led ODA to believe that there was scope to increase collaboration with UK-based and local NGOs. A working group on ODA-NGO collaboration established in 1991 made a number of recommendations for extending the participation of NGOs, including increased collaboration in the implementation of the aid programme. A substantial

increase in funds channelled through NGOs was suggested, to include the JFS, support for volunteer programmes and making funds available for institutional strengthening and training of local (not just UK-based) NGOs. Funding should be made available from country programme funds where NGOs are able to meet country priorities.

These recommendations came with the provisos that NGOs should not be overloaded beyond their technical and fundraising capacities; that 75% of the funds should be allocated to countries which are priorities for UK bilateral aid; that improved monitoring and review should be implemented by the NGOs and, in the case of local NGOs, that the role of NGOs should be agreed with recipient governments (ODA, 1992f: 3–9).

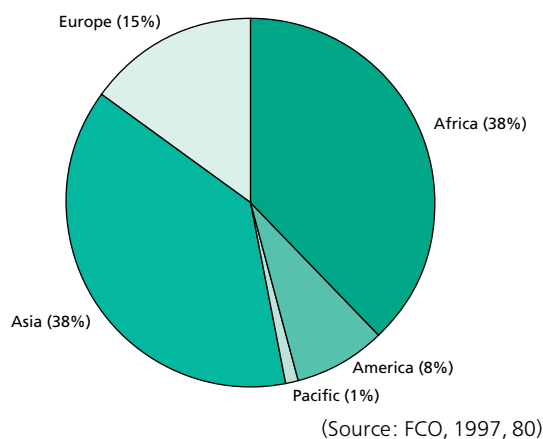
In 1993 priority areas were identified for the forestry sector financed through the JFS. These reflect general forestry priorities: sectoral planning and strengthening institutions in the private sector; promoting small-scale wood-based industries and sustainable production of non-timber forest products; agroforestry; and rural development forestry. The allocation of funds under the JFS to the forestry sector has risen considerably since 1987 when it was £208,000. By 1993–94 it was £720,000. By 1997 the funding commitment was £3.6m. In 1997 there were 14 forestry projects with a total commitment of £3.6 m. The majority of on-going forestry projects are in Africa but South-east Asia has become increasingly important.

The DFID also contributes funds (up to 90% of costs) to four volunteer recruitment agencies through the Volunteer Programme. The largest of these is Voluntary Service Overseas (VSO) which has a total of 1,870 volunteers overseas, 30 of whom are foresters. Skill-share Africa, UNAIS and International Co-operation for Development also send a much smaller number of volunteers overseas.

## 5. REGIONAL AND THEMATIC DISTRIBUTION OF FORESTRY PROJECTS

### 5.1 Regional distribution of aid

British aid is given to a large number of countries, over 150 in 1995, including those of Eastern Europe and the former Soviet Union, but the greater part is targeted at those countries with greatest need. Historical and other factors may also be taken into consideration, and the list is subject to change. In 1995–6, 81% of bilateral aid went to low-income countries (FCO, 1997: 80) with a further 14% going to lower middle-income countries. CDC investments are likewise closely targeted at poorer nations with 81% of investments in 1996 going to such countries. 32% of new CDC investments in 1996 were in sub-Saharan Africa and 23% in South Asia (CDC, 1996, 4). Africa received 38% of ODA bilateral aid for the period 1995–6 (FCO, 1997: 80) and this proportion is likely to increase in the future. South Africa is expected to be a major aid recipient over the next decade. Other countries in Africa will also benefit but the rate of increase is relatively low as a long build-up time, often with institution building, may be required before a project can be implemented (see Figure 7).

**Figure 7: Regional distribution of aid**

Despite the importance of Africa, 3 of the 5 largest single country recipients are found in Asia (see Figure 8) and Asia received 38% of bilateral aid in 1995–6 (FCO, 1997: 80).

As part of the more general focusing of aid policy on a smaller number of poorer countries, small programmes where the cost of administration in relation to aid volume is high, such as in the Pacific, will be closed. It is expected that DFID will withdraw from the Pacific and large parts of Latin America by 1998–99 (Hudson, 1997: 3–4).

An aid presence will continue to be maintained in those countries that are not eligible for bilateral aid, through the Heads of Mission Gift Scheme and the British Partnership Scheme. The Heads of Mission Gift Scheme allows Heads of Mission to provide gifts of up to £20,000 with a clear development or welfare value. Gifts given under the scheme must address one or more of the priority objectives of the UK aid programme and are generally only available to countries with a GNP per head of US\$ 5,000 or less (ODA 1996b: M1). The

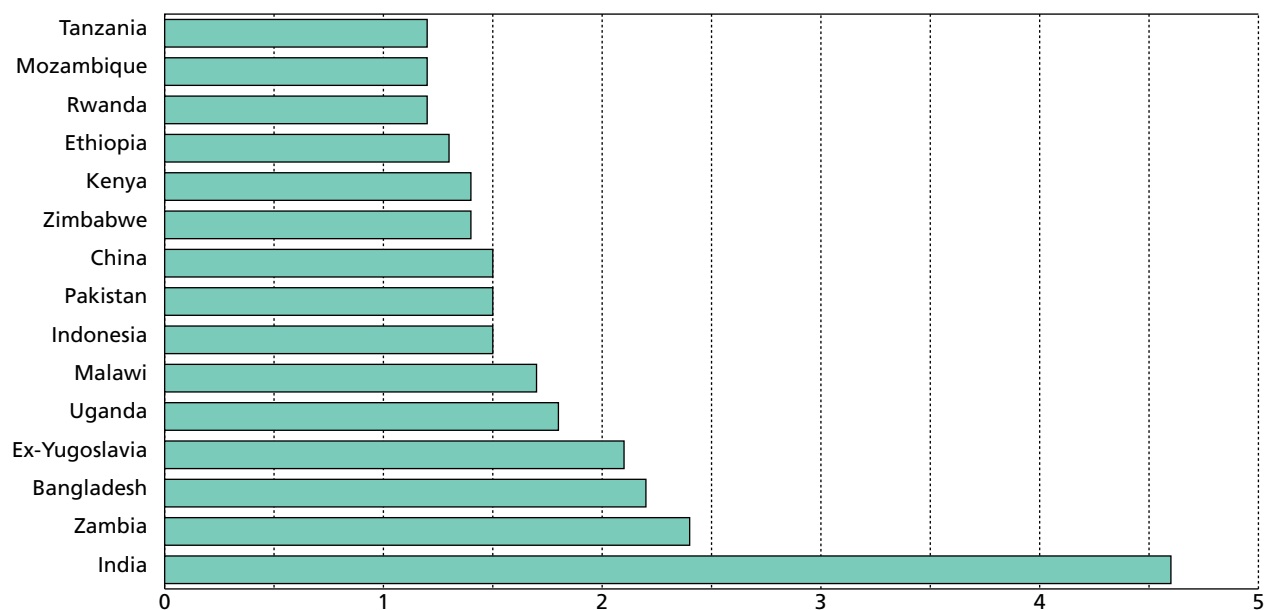
British Partnership Scheme finances projects costing up to £40,000 a year with an annual ceiling of £250,000 per country, although the money available to some countries will be considerably less than this. Projects must be of developmental value and be consistent with UK priority objectives. Where an ODA/DFID regional strategy is available, projects must also conform to its objectives (ODA, 1996b: M2).

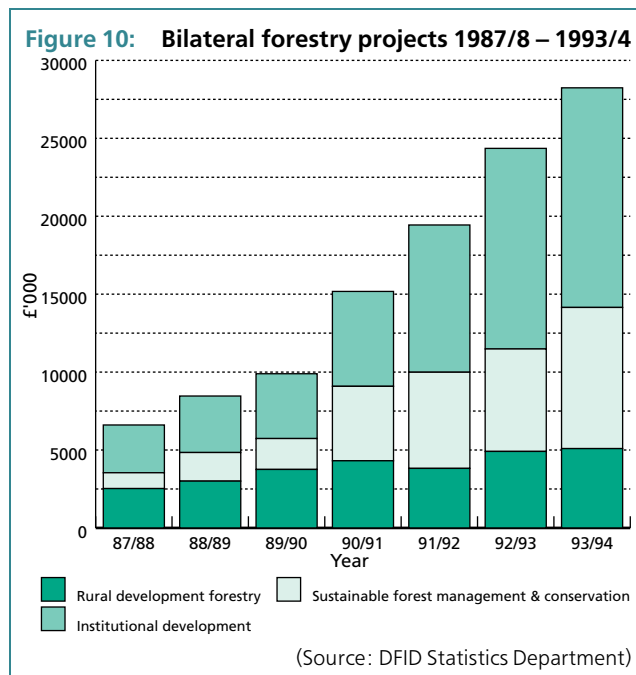
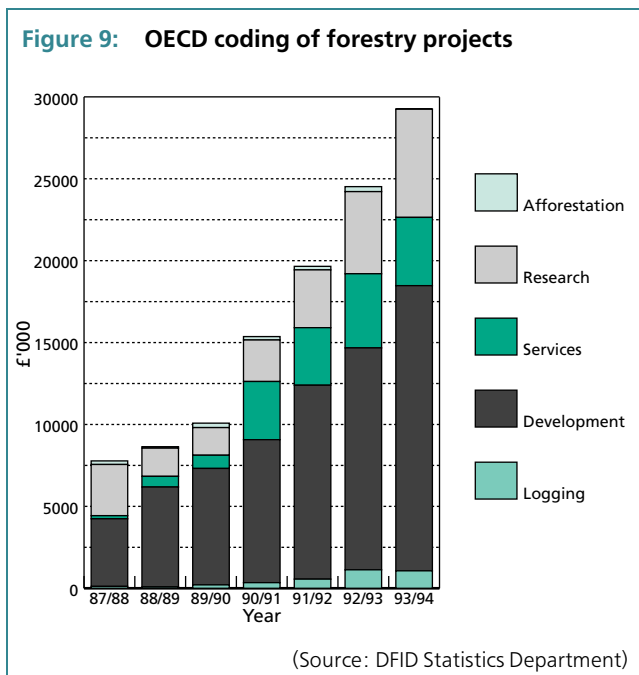
## 5.2 Regional distribution of forestry aid

Britain is an important donor of bilateral aid to the forestry sector: in 1993 it ranked sixth in the world, giving US\$ 45.2 m. (Hudson, 1997: 2). Forestry aid is concentrated in a smaller number of countries than the general aid programme and the number of countries given target status in this sector is steadily declining. The 1993 Forestry Strategy paper listed 17 target countries; Cameroon, Ghana, Kenya, Malawi, Nigeria, Zimbabwe, India, Indonesia, Malaysia, Nepal, Sri Lanka, Brazil, Honduras, East Caribbean, Belize, Guyana, and the Solomon Islands. The 1997 forestry strategy has a slightly different list of target countries, reflecting changes in economic and political circumstances. South Africa, Bolivia and Mexico enter the list, while Kenya, Honduras, Malaysia and the Solomon Islands disappear from it. A recent paper (Hudson, 1997) shows that the majority of aid (92%) is actually targeted on ten countries (see Table 2).

India is the largest single recipient of forestry aid (as it is of aid in general). Indonesia and Brazil are the second and third largest recipients indicating the importance given to issues associated with tropical rainforests.

Highest priority is given to those areas where the commitments in forestry and biodiversity made at the 1992 Rio Conference can be delivered (ODA, 1995e). Since 1987–8 the proportion of bilateral forestry aid going to target countries has risen from 44% to 74% (ODA, 1995d: Annex 10). However, the list of target countries is subject to change and proposals that meet DFID's broader objectives are considered even if they

**Figure 8: Major recipient countries**



are outside the target countries. Non-target countries where significant bilateral forestry projects exist or are under consideration include Ecuador, China, Bangladesh and Mexico.

### 5.3 Thematic distribution of forestry aid

The nature of forestry projects supported by UK aid has changed markedly over the last decade. Projects are now much more participatory in nature, with a process approach being encouraged. Forestry projects are now multidisciplinary in design and often contain rural development or institution-building components. People are now central to project planning and implementation. This change can be seen in the proportion of

spending going to different types of forestry project. Using OECD codes, it can be seen (see Figure 9) that there has been a reduction in support for afforestation and a large increase in what the OECD classes as forest services.

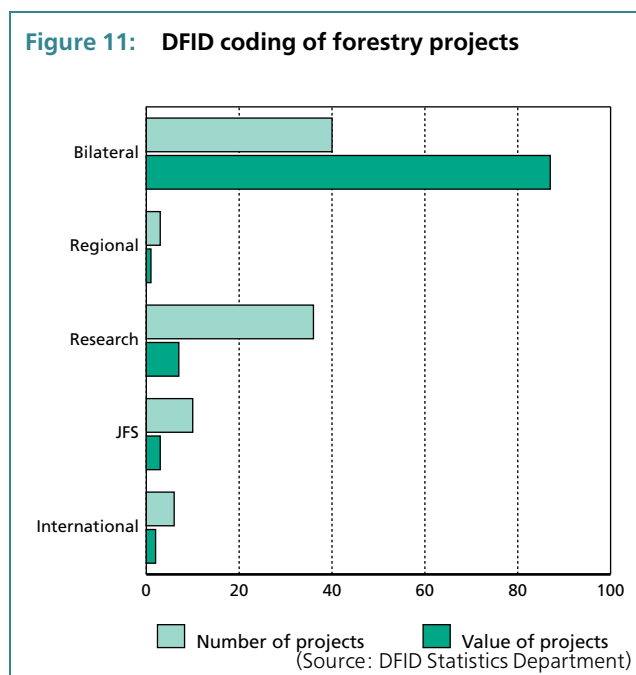
The DFID considers that the OECD codes provide a poor basis for analysis of forestry projects, as each category is imprecise and neither alone nor in total do they reflect the range of forest sector co-operation activities. It therefore prefers to use the strategy areas devised by its own Natural Resources Division. An analysis using these codes shows clearly that sustainable forest management projects have become much more important and that institutional development has also increased in priority (see Figure 10.). A fuller analysis of the evolution of DFID policy was given in section 4.

The number of forestry projects supported has remained reasonably stable, with an average of 182 per year in the period 1991–5. About 36% of these are

**Table 2: Country focus of DFID support to forestry 1987/8 – 1993/4**

Country	Expenditure as % of Total Forestry Aid
India	18
Indonesia	13
Brazil	12
Nepal	9
Sri Lanka	9
Kenya	8
Ghana	7
Cameroon	7
Honduras	5
Belize	4
More than 30 other countries	8
<b>TOTAL</b>	<b>100%</b>

(Source: Hudson, 1997:4)



implemented through the bilateral programme and 24% through the JFS, in other words through NGOs (ODA, 1992b, 1993a, 1994b, 1995a). There has been a move away from large projects with many resident expatriate staff to smaller projects which are often staffed by multidisciplinary teams, some of whom are nationals of the country concerned. The other major type of forestry project is research, with an annual average of 50 projects between 1991 and 1995 (ODA, 1992b, 1993a, 1994b, 1995a). Research and JFS projects tend to be much smaller than bilateral ones so, although they form the majority of projects approved, a large proportion of forestry spending goes to bilateral projects (see Figure 11).

Forestry is long-term in nature and ODA/DFID has continuously supported some forestry projects for a considerable time: for example there has been a forestry project in the Koshi Hills area of Nepal since 1977 (expected completion date is 1998). However, the present three-year funding cycle with no guarantee of extension makes it difficult for projects to plan and develop. Overseas posts for foresters under the technical co-operation programme are now more likely to be short-term, which also makes it difficult to build up detailed local knowledge.

## 6. RESEARCH AND TRAINING

### 6.1 Forestry research

The UK funds research into forestry through the Forestry Research Programme (FRP) which is administered by Natural Resources International in Chatham. In 1995 a total of 48 projects were supported with a total commitment of £8.5 m. Research funded through this programme is carried out by UK institutions, normally in collaboration with partners in developing countries.

The Forestry Strategy Review (ODA, 1995g: 6) stressed the need for forestry research projects funded through the Forestry Research Programme to complement bilateral and Joint Funding Scheme programmes. A number of priority areas have been identified, which include collaborative research with local institutions, identifying incentives for sustainable management and the social and economic aspects of rural development forestry. On the physical side satellite imagery and adaptive research in regeneration, silviculture, growth and yield are priorities. Policy analysis and planning are considered important, as is research into the linkages between population, poverty and deforestation and forest cover and climate.

Support is given to ICRAF and CIFOR, the CGIAR institutions responsible for research on agroforestry and forestry. This is mainly for individual projects, through DFID's research budget. Active promotion of the establishment of CIFOR was undertaken, and DFID is currently aiding the development of its information management system.

### 6.2 Forestry research review (1995)

A review of forestry research for the period 1990–93 was carried out by independent consultants and was published in 1995 (ODA, 1995f). Many of the recommendations of this report, such as the need for demand criteria in research identification, a greater

emphasis on multidisciplinary inputs and improved dissemination, have already been noted and echo concerns and themes expressed in the Forestry Sector Review by Flint in 1992. The recommendations of the review were broadly accepted by DFID and greater emphasis is now being given to the quality, relevance, impact and uptake of research.

## 7. PROJECT CYCLE MANAGEMENT

There are eight key stages in the DFID project cycle, DFID's role varying at each stage. In the early stages (*identification, design, appraisal and approval*) it is closely involved. Once a project is approved, implementation rests principally with the relevant agency in the recipient country, although DFID is closely associated with monitoring the *implementation and operation* phases. After project completion DFID's role lessens but it may participate in subsequent monitoring and might undertake an *evaluation* (ODA, 1996b: D1).

### 7.1 Identification

The identification of projects in the forestry sector may be through various channels, either in-house or external. In the case of the Joint Funding Scheme, DFID responds to requests. National Forest Action Plans, elaborated under the Tropical Forestry Action Programme, have played a part in identification as have sector reviews initiated by other donors. The advantage of this approach is that coordination between donors in the same sector is enhanced. In the majority of cases a government-to-government request is made to DFID. Regardless of identification, projects must be consistent with both the strategic interests of DFID and the policy of the recipient government. Adoption of the process approach to project management requires target group participation at the identification stage. An initial Environmental Screening is also completed at this stage to assess the extent of environmental input required during project design and implementation. The *DFID Manual of Environmental Appraisal* (ODA, 1992e) is used for this.

### 7.2 Design

Project design quality was identified by Flint (1992) in his review of UK forestry projects as a crucial factor in project impact. The thorough preparation of logical frameworks is necessary at the design stage, to clarify objectives and outputs and specify risks and assumptions in logical sequence. Logical frameworks are a requirement for all bilateral projects costing £250,000 or more (using TEAMUP software) ensuring that social and environmental appraisals are included at an early stage. The logical framework must define the allocation of aid in terms of Goal – Purpose – Outputs – Activities. This is a hierarchical system with activities allowing the achievement of outputs which in turn further the purpose etc. Objectively verifiable indicators are written into the logical framework, against which progress is then monitored. Other stakeholders should be encouraged and assisted to select their own indicators which should be incorporated into assessments of progress, particularly at the output-to-purpose level. Project management must have a workplan that is related to the logical framework.

Logical frameworks have also become standard practice for Forestry Research Programme (FRP) proposals. Effective dissemination of research outputs is crucial to the impact of the FRP and hence dissemination plans must be included in the logical framework of research proposals. NGOs are also strongly recommended to adopt logical frameworks in new proposals to the JFS (ODA, undated: 6).

There is particular concern that sustainability, defined as the capacity to ensure that project benefits continue after the end of the project implementation period, is given due attention. This concern is also extended to NGO administered projects. It is felt that many NGO project designs address sustainability, particularly in institutional and financial respects, at best peripherally. Sustainability analysis should be treated as a priority area for the improvement of implementation and evaluation. The outcome of such analysis needs to be built into the planning process and be evident in the resulting project planning matrices (ODA, 1995h).

### 7.3 Appraisal

Project appraisal has become lengthy and complex as multidisciplinary teams are now employed at this stage. Appraisal is the responsibility of the department funding the project.

Social impact analysis, relevant to identification and design, is overseen by the Social Development Division. It is currently revising the *Social Development Handbook* (Ladbury, 1993) which provides an outline of the process and notes specific to forestry assistance. Social analysis seeks to determine whether a project is actually necessary, its cultural and technical suitability, the beneficiaries and their degree of participation in the project cycle. Gender issues, any groups excluded from project activities and the possible mitigation of negative impacts are also examined. Impacts on women and poverty, which have been identified by the OECD DAC as two issues for special consideration at evaluation, are thus incorporated at this earlier stage of the project cycle.

A third DAC issue is impact on the environment. DFID takes environmental impacts into consideration for all bilateral assistance. The procedures which may lead to a full environmental impact assessment (EIA) are outlined below. Consideration of environmental impacts is not limited to the initiation of the project cycle. The DFID maintains a database of environmental profiles of developing countries, available on request, to provide base line data for planners. Country Review and Objective Papers also include information on the natural resource base, the extent of environmental degradation and pollution and the institutional capacity of countries to address these issues.

Environmental considerations are built into assistance by means of a three-stage process (ODA, 1992e: 19). First, initial screening is conducted by advisers to examine what possible significant environmental impacts there might be and what level, if any, of further study should be conducted. The second stage is environmental appraisal which calls on more specialist advice and seeks to estimate the importance of effects, their interrelations, the key mitigating actions required and the policy implications. The third stage is an Environmental Impact Assessment. This is required if

results of the appraisal give cause for concern or it is a requirement of the recipient government. In undertaking an EIA it is important to look at the projects' likely impacts and their consequences in more detail, and to specify means of mitigation and compensation where appropriate. The proposal should also be compared to its alternatives, including the no-project comparison.

### 7.4 Implementation

Successful Joint Funding Scheme and Forestry Research Programme projects are implemented by the proposing organisations. A significant number of bilaterally funded projects are directly implemented by DFID using its own personnel. However, it is now common for projects to be put out to tender for implementation by private sector organisations. The implementation phase is typically three to five years.

### 7.5 Monitoring and review

Monitoring procedures, often mid-term (now called output-to-purpose reviews, OPR) and final reviews, are defined and budgeted for in the project document. Typically an OPR and project completion report are required, but for larger more complex projects certain aspects may require on-going assessment. Monitoring and review are the responsibility of the department responsible for the aid expenditure. For projects costing more than £0.5 m. DFID has a set format for project completion reports. For FRP projects a system is implemented for monitoring research and its uptake to ensure proper dissemination of outputs and hence the cost-effectiveness of the programme (ODA, 1994a).

### 7.6 Evaluation

Evaluation in DFID refers to an *ex post* study which follows project completion. If project benefits are not expected for some time after completion of financial disbursement it may be delayed. The objectives of evaluation work are to assess the impact and cost-effectiveness of its past aid activities, to learn lessons for improving the impact and efficiency of on-going and future interventions, and to further communications between organisations and individuals involved in the process. Evaluation also has an important role in enhancing the accountability of public institutions, such as the DFID, to the individuals they serve, the taxpayers that fund them and the individuals who should ultimately benefit.

An evaluation will specifically assess the technical, economic and procedural aspects of the project, how far implementation of all stages of the project cycle was carried out effectively and efficiently and what results were achieved in comparison with what had been intended and in relation to costs. In line with the recommendations of the DAC expert group on aid evaluation, three cross-cutting issues are incorporated into the terms of reference of all evaluations. These are impact on women; impact on the ecological environment and poverty impact (ODA, 1996b: 12, Annex 3).

It is the emphasis on the ultimate impact of the project and its focus on learning lessons that distinguish evaluation from monitoring and review. Evaluation is the responsibility of the DFID Evaluation Department. Reviews are carried out by multidisciplinary teams with a heavy reliance on expertise contracted from outside to



ensure objectivity. However, in-house staff are always involved to some extent, usually as at least one member of the evaluation team. Where evaluators have experience of other aid agencies they are encouraged to draw on it as the comparative approach is valued by the DFID. Evaluation reports are written for the DFID but they are attributable, and credited to their authors. The majority of evaluation reports are freely available and are listed in the DFID Catalogue of Evaluation Studies, (ODA, 1994a). Joint evaluations commissioned by the DFID and other organisations and foreign governments are available subject to co-sponsor agreement.

NGOs in receipt of JFS funding are expected to carry out some form of evaluation on all projects and should devise criteria to determine which projects would merit more extensive external evaluation (ODA, 1993c). Evaluation should be viewed as a definitive aspect of the project and be built into planning from the earliest stages of the cycle. Logical frameworks are an aid in clarifying indicators and the means of assessment by which project components are judged. To maximise the usefulness of evaluation it is important that NGOs are committed to wide internal and external dissemination of reports, at least in summary form. *Project Evaluation: A Guide for NGOs* (ODA, 1993c) is available from the DFID's NGO unit.

## 8. PROJECT REVIEWS

The Evaluation Division of DFID acts independently of the operational divisions. It commissions around 15 evaluation studies each year to cover, on average, 4 selected topics or sectors. These are designed both to assess the success of projects and strategies when measured against existing objectives, and to recommend changes in those objectives.

### 8.1 Fundamental Expenditure Review (FER) (1995)

The fundamental expenditure review (FER) carried out in 1995 (Chakrabati *et al.*, 1995) examined all aspects of the Overseas Development Administration at a macro level. Individual sectors and divisions (forestry or natural resources) were not reviewed, but decisions made as a result of the FER will have an impact at the divisional and project levels. This is particularly the case in the recommendation to concentrate aid on fewer countries and focus on projects that can further DFID's stated aims. More details of the FER were given in section 4.

### 8.2 Forestry Synthesis Evaluation Study (1992)

Between 1989 and 1992 ODA commissioned evaluation studies of six of its forestry projects. A synthesis of these findings was prepared by Michael Flint in 1992 (Flint, 1992). The purpose of the evaluation was to examine rigorously the implementation of past projects and to draw lessons from them so that these could be applied to current and future projects. The projects were located in six different countries (Ghana, Kenya, Lesotho, Côte D'Ivoire, Nepal and India) and were diverse in nature from protection of natural forest to

plantation forestry, social forestry and woodlots. All were relatively large by ODA standards.

The findings and lessons of that review give an insight into the direction which forestry assistance has been taking. Many of the review's criticisms had already begun to be addressed in newer projects of the time and have continued to be so in later ones.

The principal lesson drawn from this study was that forestry projects should be designed and implemented first and foremost as development projects. This requires a wide range of multidisciplinary skills (including social development advisers) to be involved at all stages of the project cycle. A flexible process-type project design with a pilot project may be more effective for this type of project, but means that outputs for the project period need to be precisely determined and well monitored. Institutional issues also warrant greater attention in project design and implementation (Flint, 1992: 2).

### 8.3 Participatory Forest Management (1996)

Participatory forest management has increased in popularity as an approach over the last ten years and has gained a larger share of the forestry budget. It increased from 5% in 1987 to 26% in 1996 for bilateral projects and from 1.1% to 4.6% for projects supported through the Joint Funding Scheme with NGOs (Bird, 1996: 5). It was therefore considered appropriate to examine the impacts of shared forest management to derive key lessons and best practice.

In the early 1980s ODA, along with many other donor agencies, responded to a shift in project design to meet rural fuelwood and pole needs through village woodlot and farm forestry projects. These earlier user-oriented projects were often termed social forestry. They differ from shared forest management in two respects. Although intended to meet rural people's needs, they were not designed in a participatory fashion, and they also focused on trees outside the forest (Bird, 1996: 3). Participatory approaches to forest management – or shared forest management – are used as umbrella terms covering joint forest management, collaborative forest management, community forestry and, in some cases, social forestry (*ibid*: 4). These approaches really gained prominence in the 1990s.

Participatory approaches to forest management have been introduced both by making changes to existing projects to make them more responsive to local stakeholder concerns, and through new projects that are participatory from the outset. Shared forest management initiatives are concentrated in countries or regions where ODA/DFID has a focus on environmental sustainability issues – reflecting the influence of environmental concerns on the expansion of the forestry programme. Within this there has been a further focus on countries where ODA/DFID already had experience in forestry (Bird, 1996: 5). India has been the largest recipient of bilateral aid supporting participatory approaches during the period 1987–97, receiving more than one third of the total spending on this approach (see figure 12).

The conclusions of this review are in many ways a

progression from the findings of previous reviews. Pre-project preparation, multidisciplinary at all stages of the project cycle, and clear, achievable goal setting are all reiterated.

The increased awareness of accountability for limited public funds is shown in a commitment to define and apply impact indicators (Bird, 1996: 22). The more focused approach to strategy is demonstrated in the recommendations to inform London-based DFID staff through cross-disciplinary seminars, and field staff through short regional courses, on key issues and best practice in forestry (Bird, 1996: 22). There is a clear recommendation that participatory forest management continue to be supported with DFID funding. The reason for this is that shared forest management initiatives confer high initial costs on all key stakeholders, who may therefore be unwilling to use the approach. Donor agencies such as DFID can bear much of the risk and financial cost of the initial stages of shared forest management to encourage adoption of the process. However, to ensure sustainability, project design should include a planned phasing out of inputs and subsequent withdrawal (Bird, 1996: 23).

This has a number of implications for project design. A pre-project phase will often be desirable to allow relationships with key stakeholders to be developed, initial social and economic analyses to be undertaken and an adequate understanding of the potential flow of costs and benefits to be obtained before project implementation. Project design must incorporate rigorous use of economic methods to examine costs and benefits and incentives. Local skills should be used to capture local forest values and incentives in the cost/benefit analysis (Bird, 1996: 21).

The participatory approach should also be extended to impact assessment, which is now integral to all UK forestry projects. Intermediate indicators should be incorporated into the project design, to assess its impact on all key stakeholders, and locally derived indicators should be included in project monitoring to ensure the project meets local values and objectives (Bird, 1996: 23).

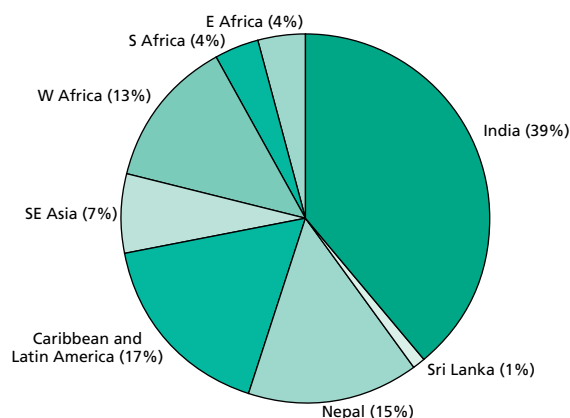
## 9. CONCLUSIONS AND PREDICTIONS

Forestry development assistance has changed considerably since a single agency was established to administer aid to the colonies. The administration of aid has improved in many ways. To some extent this has been a consequence of a difficult financial situation, but even if this improves, the valuable lessons learned should continue to be applied. There is unlikely to be a large difference in the level of funding available in the medium term.

The sharp country focus is likely to continue, although the particular countries selected as priorities may change. India will probably remain the most important recipient both for forestry aid and general assistance. It is unlikely that countries in the Pacific and Central America will gain new projects.

Coherence in aid delivery will remain an important consideration. All forestry projects will need to address issues raised in Country Strategy Papers as well as in the

**Figure 12: Shared forest management**



(Source: DFID Statistics Department)

new Forest Strategy paper (Autumn 1997) to be successful in obtaining support. This will apply more and more to research and to Joint Funding Scheme projects as well as to those funded under the bilateral programme.

NGOs will still have an important role to play both as lobbyists (as issues of policy and level of funding are discussed) and as channels to implement official assistance. The volunteer scheme is likely to continue to receive support. There will still remain a role for a sizeable bilateral programme, but personnel will be recruited more and more from the partner countries, and the number of consultants will also increase, leading to a fall in the number of Technical Co-operation Officers.

Project length is recognised to be a problem but this is difficult to change given the way the budget is voted. There are likely to be long-term inputs of around 10 years in a particular area, to give continuity and allow innovative projects with high levels of community control to be supported, but this input will be implemented in a series of shorter phases.

The main forestry policy priorities focus on forestry and poverty; on negotiating objectives with country partners and on maintaining a high level of debate about forests within Europe and the UK. DFID's priorities in the sector also include helping to promote institutional development in government and NGOs and more representative local government; applying lessons from the shared forest management review; promoting participation by women and other disadvantaged

### Box 3: Participatory forest management

The four pillars of best practice are:

- analytical rigour across the project cycle, ensuring that strategy matches objectives;
- clear, adaptable and realistic timeframes which enable the process to be firmly established;
- flexible roles that shift decision-making and budgetary authority to the local level;
- negotiating an accord with values held by other stakeholders.

(Source: Bird, 1996, ODA Working Paper 6, 20)

groups; and working with government, NGOs and the private sector to promote socially and environmentally responsible private investment policies.

These priorities are very different from those of even twenty years ago when there was still an emphasis on silvicultural work and academic training for individuals. Field projects may be less important in the future, with greater emphasis being given to assisting the development of a positive policy environment. The global environmental agenda will have a significant influence on projects funded both by DFID and through other government departments and the multilateral agencies. Carbon sequestration may be an area where forestry can make an important contribution in the future, and development of valuation methods could be supported. DFID may gain a broader brief than that of ODA, to cover issues relating to trade and debt, but this is unlikely to cause much policy change in practice as there has always been full consultation as these issues relate to forestry, within Whitehall.

Project cycle management has become much more rigorous and this will continue to be the case. The use of objectively quantifiable indicators of project success and the need to demonstrate how projects contribute to the solution of predetermined development problems will increase. Accountability to the UK public will remain important, but the importance of stakeholders directly affected by a project will also increase. Local communities will, where appropriate, be more closely involved at more stages of the project (from conceptualisation to assessment and review) than they were in the past. This will often require a different type of project design to ensure delivery of well defined results but a flexible approach to the way in which these are achieved. This is likely to require additional project monitoring, often by external consultants.

The future of UK forestry development assistance appears to be fairly secure. The position within the natural resources sector is a convenient one for collaboration with other sectors, particularly agriculture, and does not affect the level of funding available to forestry. This depends on priorities set within Country Strategy Papers, where forestry is well represented. Although public concern for tropical rainforests may no longer appear as great as it was, 80% of all letters received by the Department are still from schoolchildren asking questions about this issue.

A government White Paper on Aid was published in the autumn of 1997, the first for twenty years. The UK aid programme, and particularly the forest sector, has responded well to the challenges of the last twenty years, and generally has a good reputation within the donor community and with those it seeks to help. Independence from the Foreign Office and the increased status of the Department within government could allow DFID the freedom to tackle two of the issues for which the UK aid programme was criticised in the last DAC review (in 1994). By reducing the importance of foreign policy including trade objectives (and giving greater weight to development criteria) and the extent to which UK aid is tied (at 67% among the highest of donor countries) to the purchase of UK goods and services, DFID could improve the quality of its assistance. The signs are that the Labour government is tackling these issues.

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## ACRONYMS

ACTS	Annual Country Training Specifications
ATP	Aid and Trade Provision
BOND	British Overseas NGOs for Development
CDC	Commonwealth Development Corporation
CGIAR	Consultative Group for International Agricultural Research
CIFOR	Center for International Forestry Research
CSP	Country Strategy Paper
DAC	Development Assistance Committee of the OECD
DFID	Department For International Development
DoE	Department of the Environment
EIA	Environmental Impact Analysis
EPD	Environment and Policy Department
EU	European Union
FAO	Food and Agriculture Organisation
FC	Forestry Commission
FCO	Foreign and Commonwealth Office
FER	Fundamental Expenditure Review
FIC	Forest Industry Council
FRP	Forestry Research Programme
GEA	Global Environmental Assistance Programme
GEF	Global Environmental Facility
GNP	Gross National Product
ICRAF	International Center for Research in Agroforestry
IFS	Indian Forest Service
IMF	International Monetary Fund
ITTA	International Timber Trade Association
ITTO	International Tropical Timber Organisation
IUCN	International Union for the Conservation of Nature
JFS	Joint Funding Scheme
NFAP	National Forestry Action Programme
NGO	Non-Governmental Organisation
ODA	Overseas Development Administration
oda	Official Development Aid
OECD	Organisation for Economic Co-operation and Development
OPR	Output-to-Purpose Reviews
TC	Technical Co-operation
TCO	Technical Co-operation Officer
TCT	Technical Co-operation Training
TFAP	Tropical Forestry Action Plan
UK	United Kingdom
UN	United Nations
UNAIS	UN Volunteers
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNHCR	United Nations High Commission for Refugees
UNCED	United Nations Conference on Environment and Development
VSO	Voluntary Service Overseas

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Note on currency: on 1 September, 1997 US\$ 1 was equivalent to £1.61.