Teaching
FOREST POLICY ANALYSIS

A Guide for Forestry Universities in Southeast Asia

Principles, Examples, and Materials

Working Document

Southeast Asian Network for Agroforestry Education

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THE CENTER FOR PEOPLE AND FORESTS

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CONTENTS

Preface vi
Acknowledgements vii
Acronyms viii
Foreword ix

1. INTRODUCTION 1
Forestry and Agroforestry: Increasing Complexity and Pluralism 1
Crafting Forest Policies 2
The Emergence of Policy Analysis 3

2. THE PLACE OF POLICY ANALYSIS IN THE FORESTRY CURRICULUM 5

3. COURSE DEVELOPMENT PRINCIPLES 7
Competencies 8
Structure of the Prototype Course 11
Teaching Methods 12

4. GUIDELINES FOR SESSION PLANNING 13
I. Setting the Stage: Understanding Policy Analysis 13
Policy and Policy Process 13
Effective Communication 20
Theories of the Policy Process 22
II. Forest Policy and Institutions 24
History of Forest Policy and Institutions 24
Forest Policy 26
III. Forest Policy Processes and Measures 28
Policy Implementation and Decentralization 28
Institutional Analysis 30
Multi Stakeholder Processes 32
Economic Analysis 34
IV. Practicing Forest Policy Analysis 36
Introduction to the Eightfold Path 36
First Drafts Covering the First Four Steps of the Eightfold Path 39
Second Drafts Covering the Last Four Steps of the Eightfold Path 40

5. ADDITIONAL MATERIALS AND SOURCES 43
Setting the Stage: Understanding Policy Analysis 43
Forest Policy and Institutions 44
Forest Policy Processes and Measures 46
Other Topics 47
Other Teaching Methods 49

6. COURSE EVALUATION 55

References 57
Sources of Course Materials 57
Examples of Policy Briefs 60

PREFACE

In recent years the forestry landscape in Southeast Asia has undergone rapid change. Changes in the physical landscape reflect socio-economic, policy, and institutional transitions. The roles and functions of forests are multiplying, with an increasingly important role for the environmental services that forests provide locally and globally. The emergence of agroforestry is the result of increased recognition of the importance of trees outside forests and of farmers in the forest. The need to involve farmers, herders, and other rural people in forest management has generated a wide range of participatory systems and approaches. However, experience shows us that without the participation of stakeholders in forest policy processes, participation in forest management is bound to fail.

These new challenges require new competencies among agroforestry and forestry professionals. The participatory approach to forest management needs to be complemented by a more inclusive approach in the design and implementation of policies.

This guide intends to assist forestry lecturers in Southeast Asia in developing their forest policy curricula with a particular focus on policy analysis. As an initial step in this direction, it is hoped that lecturers will use the guide to tailor their courses to the specific requirements of their students whose experiences and lessons will be shared with others in the future; this will produce better grounded and more relevant sets of course materials and handouts in the future.

SEANAFE and RECOFTC plan to continue supporting the development of teaching materials in forest policy analysis. For this purpose, possibilities for supporting an informal learning group of lecturers interested in developing their courses in forest policy and policy analysis are being explored. Lecturers interested in participation in this group and wishing to share their comments on the guide, suggestions for improvement, experiences, and materials are invited to contact the undersigned.

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The author is responsible for any errors that remain.

Cor Veer
Consultant

ACRONYMS

ESIA	Environmental and Social Impact Assessment
FAO	Food and Agriculture Organization of the United Nations
Q&A	Questions and Answers
REDD	Reducing Emissions from Deforestation and forest Degradation
SEA	Strategic Environmental Assessment
UPLB	University of the Philippines at Los Baños

FOREWORD

This guide is part of a wider effort by SEANAFE and RECOFTC to contribute to the development of higher education curricula in agroforestry and forestry. It reflects SEANAFE's priorities in this context, identified as "bringing livelihoods, landscapes and policies into curricula" (Rudebjer et al. 2005).

The development of this guide was inspired by suggestions from participants in a 2008 training course organized by RECOFTC and SEANAFE on Enhancing Forest Policy Education. The target audience is lecturers in agroforestry and forestry in Forestry Universities in Southeast Asia.

The Introduction provides the background and rationale for the need to teach forest policy analysis. In Chapter 2, the role and place of forest policy analysis in both the agroforestry and forestry[1] curriculum are discussed. Reference is made to SEANAFE's other curriculum development work, which indicates that forest policy analysis is best taught during the final stages of the undergraduate or graduate curriculum. Chapter 3 emphasizes the need to properly identify the forest policy analysis competencies that students require. The competencies addressed by the prototype course are presented in this chapter to enable lecturers to identify competency gaps in policy analysis that they have identified as priorities for their students. Lecturers can then judge what prototype sessions need to be modified or expanded, new sessions that need to be designed, or even whether new modules are required.

Chapter 4 presents detailed guidelines to enable lecturers to plan each of the sessions proposed for the prototype course.

Chapter 5 provides selected sources and examples of additional materials to be used by lecturers in modifying existing sessions or designing new sessions. The guide will assist lecturers to develop their own ideas, modules, sessions, materials, and approaches. It is intended as a first attempt, to be used as a starting point for course development in forest policy analysis. It is hoped that this version will serve as a catalyst for the formation of a learning group of lecturers on forest policy analysis in Southeast Asia, and that future versions will be based on tested experiences with modules, sessions, materials, and approaches developed and tested by lecturers with their students.

[1] Hereafter 'forestry curricula' means both agroforestry and forestry curricula.

1 INTRODUCTION

Forestry and Agroforestry: Increasing Complexity and Pluralism

Increasing concern about environmental degradation and the resulting environmental movement in the 1970s is one reason for the many and varied demands that forests are expected to meet. This was expressed in increasingly vocal concerns about deforestation as well as the establishment of protected areas, to be managed for conservation purposes. A related concern arose from the energy crisis (rapid increase of fossil fuel prices) at around the same time. This led to increasing interest in energy, the discovery of the fuelwood crisis, and recognition that many rural and urban people in developing countries depend on wood as a source of energy. To address these needs, forestry for rural development was regarded as a solution. This also contributed to the recognition of 'trees outside the forest' and agricultural activities inside areas classified as forest, leading to the 'discovery' of agroforestry in the 1980s. However the international demand for timber kept growing and the exploitation of natural forests in Southeast Asia rose sharply from the 1960s to the 1980s. Many forest concessions were allocated to timber companies, fuelling timber booms that contributed considerable resources to the private sector and some to the public sector. It proved difficult for forestry institutions to capture the rents generated by the companies. One reason for this difficulty is that the great potential for rent seeking and seizing contributed to a 'natural resource curse.' Powerful interests became involved in the allocation of concessions and undermined the capacity of state forest organizations to manage the concessionaires and administer their activities. In response, logging bans were imposed in many Southeast Asian countries, usually after most of the forest had been logged (Durst et al. 2001).

More recent examples of varied demands on forests include the growing interest in establishing commercial plantations on degraded forest lands; fiber, fuel, and food needs; biodiversity conservation; the role of forests in poverty reduction; and climate change reduction and adaptation.

The growth of these demands on forests means that forests have increasingly become contested resources, requiring new arrangements for settling competing claims that enhance the capacity for their equitable and sustainable management.

Attempts to meet these challenges are reflected in new policy instruments and new arrangements for crafting forest policies.

Crafting Forest Policies

In addition to the growth and demands on forests, two other macro processes influence how forest policies are designed and implemented. Modernization in many Southeast Asian countries has been accompanied by growing democratization and reforms in the public sector, such as decentralization. This has contributed to greater interest and involvement of a larger number and variety of stakeholders in political processes, including policy development in forestry.

Another macro development is globalization in forestry expressed by the growing number of government and non-government international processes and movements that influence national policy development (see Commonwealth Forests, n.d.). International organizations and development agencies and their involvement in forest policy formation[2] are part of this movement.

Early attempts by international organizations to influence national forest policy reflect the central role forest departments historically played in policy formulation and implementation. Tropical Forestry Action Plans (as promoted by the Food and Agriculture Organization of the United Nations [FAO] in the 1980s) and Forestry Sector Master Plans (promoted by bilateral development agencies and international financing institutions at around the same time) were carried out by teams of technical experts assisting forest departments in the assessment and planning process (Winterbottom, 1990). Although stakeholder consultations were part of these processes (and sometimes with considerable success, for example in Nepal), it became apparent that in most cases involvement by actors not considered part of the sector had been limited (as in Thailand).

The next generation of this type of approach in the form of National Forest Programs therefore acknowledged the need for greater national ownership of the planning process, greater emphasis on and support for multi-stakeholder processes, as well as the fact that forest policy formation and formulation are ongoing processes. These processes reflect the increasing pluralism in forestry in terms of actors involved, factors to be taken into account, options to be considered, instruments to be deployed, and modes of implementation to be designed and supported.

The role of professional foresters in this context is shifting from leading assessments and planning events to providing more analytical and facilitating support for continuous policy dialogue and processes. The assumption underlying this guide is that professional (agro)forester competencies can be enhanced through application of insights, concepts, approaches, and analytical tools from the relatively new professional field of policy analysis.

[2] Policy formation: The total process of creating, adopting, and implementing a policy (the policy process). Policy formulation: The crafting of alternatives or options for dealing with a problem (Anderson, 2005).

The Emergence of Policy Analysis

Economists, political scientists, and sociologists, among others, have contributed to the development of policy analysis as a relatively young discipline. Some (American) authors point at the application of systems analysis approaches during the Vietnam war (or the American war from the Vietnamese viewpoint) as a first instance of what is now called policy analysis (DeLeon and Vogenbeck, 2007). Initially policy analysis aimed to identify the most effective and efficient solution in technical and economic terms, for example the most efficient allocation of resources that were usually scarce.

The focus of political scientists is on the political processes and stakeholders involved in policy development and implementation. In this approach the political nature of policy problems is highlighted. It aims at determining what processes and means are used and tries to explain the role and influence of stakeholders within the policy process.

By changing the relative power and influence of certain groups (such as enhancing public participation and consultation), solutions to problems may be identified.

In a third type of approach, the scope is even wider, this is more of a systems and context approach, i.e. its scope is the macro scale and its problem interpretation is usually of a structural nature. It aims at explaining the contextual factors of the policy process (the identification of the political, economic, and socio-cultural factors influencing it). As problems may result because of structural factors (such as a certain economic system or political institution), solutions may need to change the structure itself. Examples include public sector reforms as in decentralization or devolution of property and management rights to indigenous peoples and local communities.

As all of these approaches may be relevant in forestry, for different situations and different problems; this guide (and the prototype course) attempts to include examples from a range of approaches.

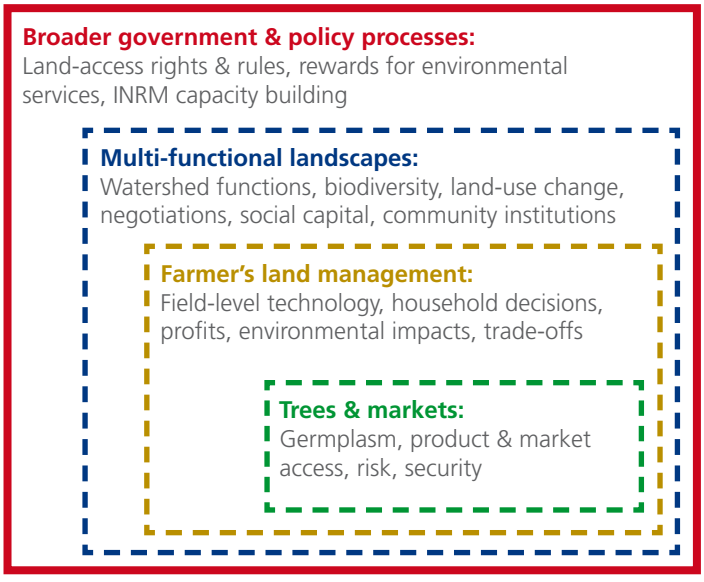
2 THE PLACE OF POLICY ANALYSIS IN THE FORESTRY CURRICULUM

As documented in SEANAFE publications (e.g. Rudebjer, 1999), teaching in forestry education varies across countries and universities in Southeast Asia. Similarly, there are considerable differences in how curricula can be revised and who is involved (Rudebjer et al., 2005). As the authors indicated for agroforestry curriculum development in general:

> "A prescriptive approach is not justified because agroforestry programmes in universities and colleges vary so much, the settings in which agroforestry is practiced are so diverse, and our knowledge of the subject is continually expanding. Instead, we hope that this guide will stimulate discussion in academia about how to teach effectively the multifaceted subject of agroforestry" (ibid, p. 48).

This guide refers to one of the many aspects of agroforestry, the policy dimension, and what applies to agroforestry (or forestry curricula) generally applies even more to specific parts, such as course development in forest policy analysis. Earlier SEANAFE work has provided frameworks for agroforestry curriculum development that include an indication of the place and role of policy analysis in the curriculum. The most general framework (Figure 1) gives some indication of the topics to be addressed in analyzing broader government and policy processes (Rudebjer et al., 2005).

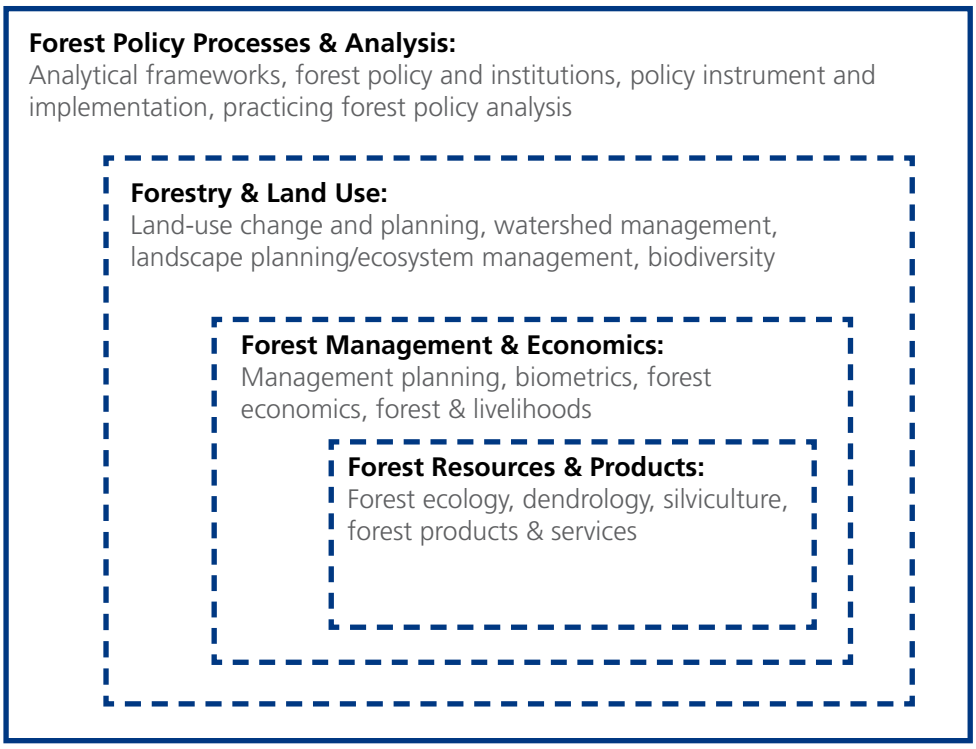
Figure 1: Policy issues in the overall agroforestry curriculum



Two other frameworks have more detailed information on these topics. The first takes the agroforestry production cycle as the central organizing principle in curriculum development (also proposed by Rudebjer et al., 2005). The second uses the value chain (from farm/forest to consumer) as the central organizing principle. It suggests improving knowledge and skills related to the enabling environment after building knowledge and skills of the other elements of the framework (SEANAFE, 2007).

A simplified forestry curriculum framework (Figure 2) has a similar nested structure, building on knowledge of forest resources in courses on forest management and forestry in land use, with policy building on understanding of the biological and economic principles involved.

Figure 2: Policy analysis in the forestry curriculum



Both frameworks suggest that policy analysis would best be taught towards the end (in the final year or semester) of the forestry BSc curriculum, or as an MSc graduate course.

More importantly, the frameworks clearly show the assumptions upon which the prototype course has been based. Lecturers should assess their own curricula and adjust the prototype course so that it fits into the structure of these curricula.

3 COURSE DEVELOPMENT PRINCIPLES

Specific training needs should be identified to guide the development of an agroforestry curriculum. Rudebjer et al. (ibid) suggest seven key questions for such needs assessments related to:

1. What types of skills are needed in agroforestry (*policy analysis*)?
2. What are the contributions (*from policy analysis*) to development or environmental management?
3. What adjustments need to be made to the curriculum development process (*course development process*) to suit specific situations?
4. What are the available and needed resources for development and implementation of the curriculum (*course in policy analysis*)?
5. What competencies (*in policy analysis*) need to be developed? Which are already addressed in existing courses? Which can be best achieved by modifying existing courses and which require a new course in policy analysis?
6. Who should be involved in the curriculum (*course*) development process, and how should they be involved?
7. What (*policy)* issues will be addressed and what does this imply for types of skills in curriculum development (*course development and implementation*)?

The italicized phrases indicate how these questions can be adapted for the development of courses on agroforestry policy analysis. It is also important to realize that in cases where these questions have already been addressed for the curriculum generally, that some answers related to policy analysis may have already been provided or can be readily obtained from the results of curriculum development planning. For more detailed guidelines on how to find answers to these seven questions, refer to Chapter 4 of Rudebjer et al. (ibid).

The central question for course development is the identification of competencies in policy analysis that graduates have to acquire in order to contribute effectively to forestry development.

Lecturers need to assess the competencies in forest policy analysis that students require upon graduation. In some cases such competencies may have been defined already by their institutions or governing bodies. In other cases lecturers may have to define these competencies themselves, in collaboration with colleagues and supervisors. Then they can compare the competencies they have identified with those presented below, which have guided the development of the course prototype.

Another aspect to be considered in course development concerns teaching methods to be used. In this respect SEANAFE materials for curriculum development that were developed earlier may be consulted (Rudebjer et al., 2001; Rudebjer et al., 2005; FAO, ANAFE, SEANAFE, 2005 and 2007).

Participatory methods that actively involve students in learning have been advocated for teaching agroforestry in general. The section on teaching methods discusses how this principle has been adapted in the design of the prototype course, including some hints and references for lecturers who would like to enhance the participatory approach in their course development and implementation.

Competencies

The main competencies that have guided the development of the prototype course in forest policy analysis are:

1. Knowledge and understanding of:

    a. Policy as a concept and different aspects of policy
    b. Different approaches in policy analysis
    c. The history and theory of forest policy and institutional development and implementation
    d. Forest policy processes, measures (or instruments), and interaction with existing practices

2. Cognitive skills in:

    a. Comparing and evaluating different frameworks and theories
    b. Use of analytical tools in different frameworks

3. Practical and professional skills in:

    a. Strategic problem solving
    b. Collaboration, stakeholder analysis, and participation
    c. Ethical and professional behavior

4. General skills in:

    a. Reading and note taking
    b. Accessing, finding, and reviewing information
    c. Essay and report writing skills
    d. Preparing and giving presentations

To assess the relevance and need to address these competencies in this course, lecturers will have to first assess their relevance in comparison with the general required competencies identified for the curriculum as a whole and then assess which of these competencies have been addressed already in other courses. The two overviews below of the four modules and 12 sessions of the prototype course may help in the first identification of modules and sessions that need to be adapted to better fit the specific needs of the curricula and students in different institutions.

Table 1: Competencies, Modules, Sessions, Topics and Materials

Competencies	Module/Session	Topics	Materials (see Sources of Course Materials in the Reference List)
I. Setting the Stage: Understanding Policy Analysis			
1.a. Knowledge and understanding of policy as a concept and its different aspects	Policy and Policy Process	- What is policy and how do issues become policy issues - Policy as intentions and actions - Policy stages heuristic	- Page, 2006 - FAO, 2005-2008
4.a-d. General skills in reading and note taking, finding information, writing and oral presentations	Effective Communication	- Reading and note taking - Accessing, finding, and reviewing information - Giving presentations - Essay and report writing skills	- Open University, n.d.
1.b. Knowledge and understanding of different approaches in policy analysis	Theories of the Policy Process	- Overview of theories on the policy process - Principles, property rights, institutions - Alternative theories in understanding agenda setting	- Sabatier, 1999 - Polski and Ostrom, 1999 - Kamieniecki, 2000
II. Forest Policy and Institutions			
1.c. Knowledge and understanding of history and theory of forest policy and institutional development, and implementation	History of Forest Policy and Institutions	- Historical perspectives on forest policy change in Asia - Historical perspectives on change in forestry institutions in Asia - State of forestry in East Asia	- Edmunds and Wollenberg, 1991 - Ross, 2001 - World Bank, 2006
1.d. Knowledge and understanding of forest policy processes, measures, and interaction with existing practices	Forest Policy	- Forest policy as intention (forest policy statement) - Forest policy as practice (critical analysis) - Forest policy and its effects on rural people	- *India 1988 Forest Policy* - Country's National Forest Policy Statement - Mayers and Bass, 1999 - Larson and Ribot, 2007
III. Forest Policy Processes and Measures			
2.a. Comparing and evaluating different frameworks and theories	Implementation and Decentralization	- Relationships between policy and action - Lessons from decentralization in forestry - Forest policy tools	- Open University, n.d. - Larson, 2004 - Merlo and Paveri, 2007
1.c. Knowledge and understanding of institutions in policy implementation	Institutional Analysis	- Design principles, property rights, institutions - Institutions for REDD - Trends in forestry administration	- Ostrom, 2008 - Vatn and Angelsen, 2009 - Pettenella, 1997 - Durst et al., 2008
3. Practical and professional skills in: a. strategic problem solving b. collaboration, stakeholder analysis, and participation	Multi-stakeholder Processes	- National forest programs - Multi-stakeholder processes in national forest programs - Multi-stakeholder processes in Asia	- FAO, 2006 - O'Hara, 2009 - Gilmour et al., 2007
2.b. Cognitive skills in use of analytical tools in different frameworks	Economic Analysis	Case studies of: - Policy instruments and timber concessionaires - Plantations and natural forest - Financing conservation	- Othman and Ghani, 2002 - Hartono, 2002 - Nabangchang, 2008

Table 1: Competencies, Modules, Sessions, Topics and Material (continued)

Competencies	Module/Session	Topics	Materials (see Sources of Course Materials in the Reference List)
IV. Practicing Forest Policy Analysis			
3. Practical and professional skills in: a. strategic problem solving for some: b. collaboration, stakeholder analysis and participation c. ethical and professional behavior	Introduction to the Eightfold Path	- Introduction to practical problem-solving approach to policy analysis (8 steps, according to Bardach): Define Problem; Assemble Some Evidence; Construct the Alternatives; Select Criteria; Project the Outcomes; Confront the Trade-offs; Decide; Tell your Story - Identification of 5 key forest policy issues - Preparation of student papers	- Bardach, 2000
4. General skills in reading, reviewing information, presentations, and writing skills	First Drafts (steps 1-4 of the Eightfold Path)	- Sharing and improvement of first draft student policy papers	
	Second Drafts (steps 5-8 of the Eightfold Path)	- Sharing and improvement of second draft student policy papers	

Table 1 is intended to enable lecturers to quickly scan and identify those sessions in the course that are not or are less relevant for their students, based on a comparison with the required competencies identified for their curricula.

The more detailed guidelines for session planning, presented in Chapter 4, will enable lecturers to adapt those sessions in line with their priorities.

But there are also other design elements in the prototype course that need to be considered and adapted to the specific needs of the institution. One of these elements is the number and structure of the sessions.

Structure of the prototype course

The prototype[3] course has 12 sessions. This may need to be reduced or expanded depending on the structure of the trimester or semester. Suggestions for additional sessions and materials are included in Chapter 5 for use in developing additional or alternative sessions.

Another possible need for adaptation is in the number of contact hours per session. As explained in Chapter 4, the design of the prototype course is based on two contact hours per session.

For most of the sessions the prototype process is followed:

a. Introduction by lecturer — 10 mins

b. Presentations based on reading assignments by three student teams (two students per team) — 3 x 20 = 60 mins

c. Three students' discussion groups (30 mins discussion/10 mins sharing) — 40 mins

d. Wrap up by lecturer and the following week's assignment — 10 mins

This rather tight schedule may need to be adjusted to allow for:

- One or two breaks in the session
- Shortening the student presentations to 15 minutes per team to provide time for a longer introduction and wrap up by the lecturer and sharing of discussion group results

In some cases, students may also need more guidance for the following week's assignment and so there may be other reasons why three contact hours may be a more realistic schedule. This could even go up to four hours, if the proposed teaching methods and particularly the reliance on student assignments and presentations prove to be problematic.

Also note that for most session topics, the assignment requires three presentations to be made by three small groups. In this prototype course, the group size is given as two students, but depending on the size of the class, this can be amended. Each student should be involved in making at least two presentations. Each student will also complete the final assignment, preparation of a policy-briefing note, based on Bardach, 2000, in the final two weeks of the course.

[3] For the guide's purposes, prototype is defined as: In software development, a prototype is a rudimentary working model of a product or information system. Also: Prototypes allow you to explore your ideas.

Teaching Methods

The main format for teaching the course has the following elements:

1. Presentation by the lecturer or a resource person of the key issues and questions for the session

2. Presentations by students addressing the key questions, based on reading assignments in the week preceding the session, by three teams of two students each

3. Class discussions of student presentations

4. Wrap up by the lecturer

5. Presentation by the lecturer of the following week's topics and key questions

The first session of the course provides an alternative to this student-centered model, in which the lecturer provides most of the presentations, followed by student discussion. In some cases the lecturer may also decide to follow this mode in the other sessions, particularly for reading that is expected to be difficult to be analyzed by students. Though the presentations by and discussions with students provide a more active role for them in the course (compared to a lecture-based model), there are many other ways to enhance student participation.

Particularly in cases where many contact hours per session are possible, more creative forms of student participation should be considered. One strategy is to make the class discussions of student presentations more dynamic, for example by introducing a 'fishbowl' format, particularly for more sensitive topics or questions. See Chapter 5, under Other Teaching Methods for an explanation and hints for facilitation of fishbowl discussions.

Another approach worth considering, though it requires more preparation by the lecturer, is role playing, simulation, or socio-drama. This would work well in sessions such as Forest Policy related to Larson and Ribot's *The Poverty of Forest Policy*, Multi-stakeholder Processes, and possibly some of the case studies in the Economic Analysis session. Also for this method, hints and sources for further information are provided in Chapter 5, including an idea to replace Practicing Forest Policy Analysis with a simulation exercise.

4 GUIDELINES FOR SESSION PLANNING

This chapter describes four modules for the course:

I. Setting the Stage: Understanding Policy Analysis,

II. Forest Policy and Institutions,

III. Forest Policy Processes and Measures, and

IV. Practicing Forest Policy Analysis

Individual session plans for each of the modules are to be used as prototypes for adaptation to the specific conditions and requirements of students. In particular, alternatives for materials and activities need to be considered by lecturers in the design of their own courses.

I. SETTING THE STAGE: UNDERSTANDING POLICY ANALYSIS

The general objectives are to enhance students' understanding of what is meant by public policy, what approaches are used to analyze policy, and why effective communication is particularly important in policy analysis, especially in reporting the findings. There are three sessions in this module:

- Policy and Policy Process
- Effective Communication
- Theories of the Policy Process

Policy and Policy Process

DESCRIPTION: In this first session an overview of the course is presented, and the different meanings of the term policy are explored, and discussed. Also the policy process or cycle is introduced. Understanding of these key concepts is the basis for the sessions that follow.

TIME: Two hours.

SESSION OBJECTIVES: Students will understand the contents of the course, and their role in it; they will understand what is meant by policy, know its different aspects, and understand the idea of the policy cycle as a heuristic device. Students will also know what they have to prepare for the next session.

PREPARATION: Four presentations (e.g. PowerPoint) need to be prepared by the lecturer, each with handouts and questions for discussion by students:

A. Introduction and overview of the course

- The course outline
- The materials and where/how to find them
- What their role is in the course (expected contributions, how to prepare them, and how outputs are graded)
- How they are graded (different weights for different aspects, activities, outputs)
- Other details usually included in course introductions
- Opportunity for questions from students and clarification from the lecturer

B. What is policy? (based on page, 2006)

- Explain Page's idea about the origin of policy and the agenda-setting metaphor
- Explain policy as intention (principles and strategies/lines) and action (measures/instruments and practices)
- Discuss implications: There is a need to understand the process of how issues get on the policy agenda and in specific cases a need to specify/clarify what is meant by policy, in terms of intention or action

Examples of discussion questions (1-2 to be discussed by students in discussion groups):

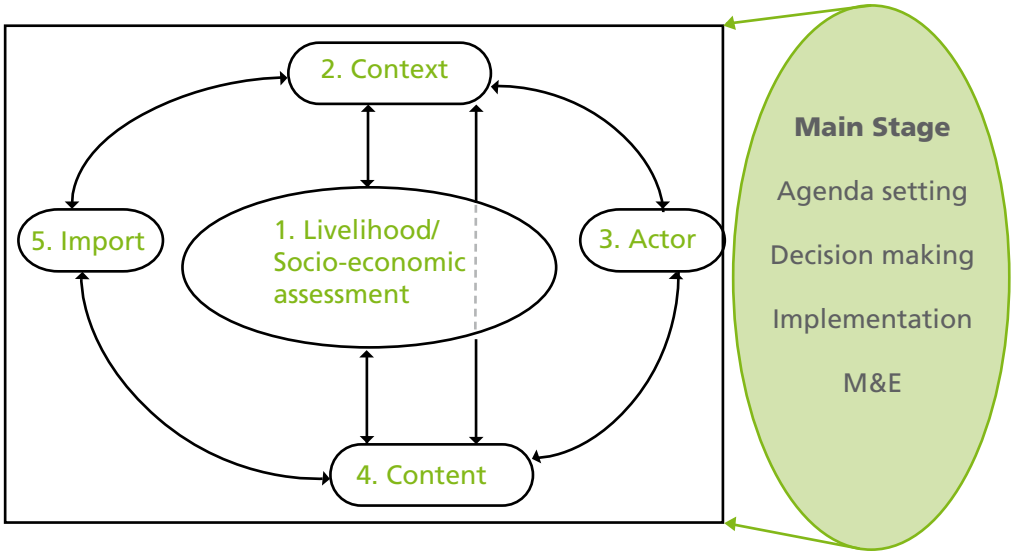
1. Give examples of recent issues in forestry that have come onto the policy agenda and give two reasons why this happened
2. What are the main objectives of the stated forest policy?
3. What are the main strategies proposed for achieving them?
4. What instruments are used to achieve them?
5. What are the main gaps between intention and implementation/actions?

C. The policy stages heuristic (based on FAO, 2005-2008)

a. The policy and its environment (Figure 3):
   Provide an overview and brief descriptions of:
   1. Livelihood/socio-economic assessment (discuss relevance for forestry and adapt to 'forests and people' or 'sustainable development'),
   2. Context,
   3. Actors,
   4. Policy content, and
   5. Policy impact.

b. The policy development process (Main Stages in Figure 3):
Provide an overview and brief descriptions of:
1. Agenda setting,
2. Decision making (or policy formulation and legitimization),
3. Implementation,
4. Monitoring and evaluation.

Figure 3: The Policy and Its Environment



Note that in Figure 3 the linear process suggested by the main stages becomes more of a repeating cycle by applying it to the more cyclical reality shown on the left.

c. Illustrate with discussion of the case study of recent forest policy issues and processes, generate the framework through plenary Q&A with students:

- Start with: sustainable (including equitable) forest management (replacing livelihood/socio-economic assessment)
- Identify a relevant change in forest policy in the past five years intended to enhance the sustainability of forest management (refer to discussion under B. What is policy?)
- Then identify key factors in the context that helped to get the issue on the agenda
- Then identify key actors involved in getting the issue on the agenda, those involved in the decision making (formulation), and those excluded
- How did the factors and actors influence the content of the new policy?
- How did that affect the effects or impact of the policy: Has forest management become more equitable and sustainable as a result?
- Wrap up: Point at the many gaps and incomplete information found in answering each of the above questions. Also look at the many different types of factors and actors that need to be considered to get a good answer.

D. Introduction of next week's session and the related reading

Prepare an overview of the following week's session, with four topics related to enhancing skills particularly relevant for policy analysis: Reading and note taking; accessing, finding, and reviewing information; giving presentations; essay and report writing skills.

DESCRIPTION OF ACTIVITIES:

A. Introduction and overview of the course

Duration: 20 minutes: 15 minutes for presentation, 5 minutes for questions and answers for clarification.

Table 2: PowerPoint Example

Module	Sessions
Understanding Policy Analysis	Policy and Policy Process Effective Communication Theories of the Policy Process
Forest Policy and Institutions	History of Forest Policy and Institutions Forest Policy
Forest Policy Processes and Measures	Implementation and Decentralization Institutional Analysis Multi-stakeholder Processes Economic Analysis
Practicing Forest Policy Analysis	Introduction to the Eightfold Path First Draft Policy Briefs Second Draft Policy Briefs (Final Policy Brief: 2 weeks after course's end)

Materials: PowerPoint and handout based on the overview of the course outline in Table 1, overview of competencies, modules, sessions, topics, and materials.

Handout for students: Copy of Table 1: Overview of competencies, modules/ sessions, topics, and materials.

Key **process points** to explain (include in presentation and handout):

Assignments: Three teams of two students each will be assigned to study and prepare a presentation on key topics, based on identified resource materials. By the end of the course, all groups should have presented at least once.

Students are requested to form their own teams in the coming week and hand in their preferences (three in order of preference) for topics, according to the following format:

- Student names (two)
- Topics: First Preference: e.g., Forest Policy; Second Preference: e.g., Multi-stakeholder Processes; Third Preference: e.g., Policy Implementation and Decentralization

- Explain that only topics on Theories of Policy Process through to Economic Analysis can be selected (Table 2), as all students will participate in Practicing Forest Policy Analysis, Effective Communication next week, and three teams will be assigned for that session today
- For Practicing Forest Policy Analysis: Explain that each student will have to select a topic and prepare a paper based on Bardach's Eightfold Path to Effective Problem Solving. Topics to be approved and more details on this assignment to be addressed in Introduction to the Eightfold Path

  Grading example: 30% results of two tests; 30% results of two presentations prepared with a colleague, and 40% result of policy brief grading (prepared in Practicing Forest Policy Analysis).

B. What is policy?

Duration: 20 minutes: 15 minutes for presentation and five minutes for Q&A.

Materials: PowerPoint (10 slides) and handout based on PowerPoint presentation.

Source: Page, 2006.

C. The policy stages heuristic

Duration: 20 minutes: 15 minutes for presentation and five minutes for Q&A.

Materials: PowerPoint (10 slides) and handout based on PowerPoint presentation.

Source: FAO (2005-2008).

D. Discussion groups

Duration: 30 minutes discussion based on two questions per group and 10 minutes sharing of discussion results.

Two discussion groups.

E. Introduce next week's session and key readings

Duration: 20 minutes: 15 minutes for presentation and five minutes for Q&A.

Materials: PowerPoint (10 slides) and handout based on PowerPoint presentation.

Provide the students with Key Reading: Effective Communication.
In the PowerPoint: Introduce next week's session, and explain that all students need to read the four topics as they will help maximize success throughout the course.

EFFECTIVE COMMUNICATION

All students should work through these four units very thoroughly. Improving knowledge and skills in each of these areas will help maximize success throughout the course.

1. Reading and note taking: Preparation for study:

http://openlearn.open.ac.uk/course/view.php?id=2502
After studying this unit you should be able to:

- Recognize some of the skills which are particularly associated with the way social scientists work
- Describe some basic techniques relating to reading, for example, highlighting, note taking, and the processing of notes
- Write in your own words using references and quoting sources

2. Skills in accessing, finding, and reviewing information

http://www.open.ac.uk/safari/index.php
By the end of this unit you should be able to:

- Identify and understand different types of data and information
- Develop strategies for searching and accessing catalogue and database resources
- Learn how to search online and offline and how to use electronic search tools
- Evaluate and organize information
- Implement what you have learned and share information relevant to your studies

3. Giving presentations:

http://openlearn.open.ac.uk/course/view.php?id=1534
This unit is designed to offer you the opportunity to:

- Understand the need for effective presentations
- Assess your own strengths and weaknesses in meeting this need
- Develop some of the specific skills and practices required
- Create a series of practical checklists and strategies
- Use reflection and feedback to further develop your abilities as a presenter

4. Essay and report writing skills:

http://openlearn.open.ac.uk/mod/resource/view.php?id=261802&direct=1
After studying this unit you should be able to:

- Understand what writing an assignment involves
- Identify strengths and weaknesses
- Consider the functions of essays and reports
- Develop writing skills, at whatever stage you have reached

CRITERIA FOR PEER REVIEW OF PRESENTATIONS

Presenter's Name(s):_____

Title of Case:_____

Key: 5 = Outstanding 4 = Very Good 3 = Good 2 = Fair 1 = Poor

Contents:

1. The key questions/issues in the reading materials were clear	1	2	3	4	5
2. The relevance of the presentation for policy analysis was clear	1	2	3	4	5
3. Ways to address issues/answers to questions were clearly presented	1	2	3	4	5
4. Presenters raised relevant critical questions about the reading materials	1	2	3	4	5
5. The conclusions were clear and relevant	1	2	3	4	5
6. The questions for discussion were clear and relevant	1	2	3	4	5

Delivery/Format

7. The presentation was well organized	1	2	3	4	5
8. The presenter used good grammar and spoke well	1	2	3	4	5
9. The presenter established good rapport with the audience (eye contact, posture, etc.)	1	2	3	4	5
10. The presenter used good visual aids	1	2	3	4	5

Overall Rating:_____

Comments

_____

_____

_____

_____

_____

_____

_____

Effective Communication

DESCRIPTION: Key communication skills required for successful completion of the course and of particular relevance to policy analysis are reviewed and weaknesses are identified and remedied. All students study the module on giving presentations, teams of two students prepare presentations on topics 2-4 described in Handout 1 (to be distributed to students during the previous week's session).

DURATION: Two hours.

LINK WITH OTHER SESSIONS: Basic skills acquired in this session will be used in all other sessions.

SESSION OBJECTIVES: Students will have acquired the key communications skills required for successful completion of the course and relevant for their later work in policy analysis.

PREPARATION:

By the lecturer:

a. Handout overviewing sessions, topics, dates, and teams (two names each) responsible for preparing presentations on these topics. This is the result of the previous week's activity in which students indicated preferences for assignments.
b. Handout of Criteria for Peer Review of Presentations (example following).
c. Prepare test questions related to Giving Presentations. For examples of types of questions see: http://college.cengage.com/polisci/anderson/public_policy/6e/students/test_questions/index.html
d. Lists of key points for each topic as a basis for comments on student presentations, for discussion questions (two per assignment).
e. Handout: Reading and Assignment 1.

ASSIGNMENT 1: THEORIES OF THE POLICY PROCESS

1. All students to read and take notes of the readings.

2. Three groups will each present on one paper, conducting the following tasks:

   - Study the assigned paper
   - Identify the key points for presentation
   - Identify two key questions for discussion
   - Prepare a presentation (refer to guidelines in Handout 1 Giving Presentations) of a maximum of 10 slides to be presented in 15 minutes with:
     - Key points
     - Conclusions
     - Two questions for discussion

Readings

1. Sabatier, P.A. 1999. The need for better theories, Chapter 1, p. 3-13. In: Sabatier, P.A., 1999. *Theories of the Policy Process*. WestView Press, Boulder, USA. (Available at http://scholar.google.co.th/scholar?hl=en&rlz=1C1GPEA_enTH334TH334&q=author:"Schlager"+intitle:"A+comparison+of+frameworks,+theories,+and+models+of+..."+&um=1&ie=UTF-8&oi=scholarr; also available at: http://www.questia.com)

2. Polski, M.M. and E. Ostrom. 1999. *An Institutional Framework for Policy Analysis and Design*. Workshop in Political Theory and Policy Analysis, Department of Political Science, Indiana University, W98-27. http://mason.gmu.edu/~mpolski/documents/PolskiOstromIAD.pdf

3. Kamieniecki, S. 2000. Testing alternative theories of agenda setting: forest policy change in British Columbia, Canada. *Policy Studies Journal*, Vol. 28, No. 1, 2000. pp. 176-189. Available at: http://www.questia.com

Theories of the Policy Process

DESCRIPTION: Students will study, present, and discuss different frameworks, theories, or models, to understand and analyze policy processes. One major framework (Institutional Analysis and Design) will be discussed in more detail. Also its application and illustration of how different perspectives can be used to understand policy development will be explored. Student teams will present and discuss their findings from their assignments.

DURATION: Two hours.

LINK WITH OTHER SESSIONS: In most other sessions, different frameworks or theories (or combinations) will be used. This session provides the understanding and appreciation of these differences and their strengths and weaknesses.

SESSION OBJECTIVES: Students will understand different theoretical frameworks commonly used in policy analysis. They will be able to explain the strengths and weaknesses of different frameworks and their relevance for different purposes.

PREPARATION:

By the lecturer:

a. Introduction to the session, with a brief explanation of the rationale for three papers: Overview of different theories of the policy process; institutional analysis and development framework; case-by-case application of different theories on agenda setting in forest policy.
b. Preparation of a list of key points from each of the three papers as a basis for comments on student presentations and for discussion questions (two per assignment).
c. Handout of student peer reviews of presentations.
d. Handout: Reading and Assignment 2.

By students:

a. All students read assigned papers and make notes of key points.
   Three teams of two students each prepare presentations for Assignment 3.

DESCRIPTION OF ACTIVITIES:

a. Introduction to the session by the lecturer: 10 minutes.
b. Three presentations by student teams on topics:

- Maximum 10 slides
- Handout based on slides
- To be presented in 15 minutes (five minutes Q&A)

c. Three discussion groups (30 minutes discussion, 10 minutes sharing).
d. Wrap up and provide Reading and Assignment 2 (10 minutes).

ASSIGNMENT 2: HISTORY OF FOREST POLICY AND INSTITUTIONS

1. All students to read and take notes of the readings.

2. Three groups will each present on one paper, conducting the following tasks:

   - Study the assigned paper
   - Identify the key points for presentation
   - Identify two key questions for discussion
   - Prepare a presentation (refer to guidelines in Handout 1 Giving Presentations) of a maximum of 10 slides to be presented in 15 minutes with:
     - Key points
     - Conclusions
     - Two questions for discussion

Readings

1. Edmunds, D. and E. Wollenberg. 1991. Historical perspectives on forest policy change in Asia. An introduction. Environmental History, 6 (2)190-212. (Available at: http://www.environmentalhistory.net/issues/6-2.htm)

2. Ross, M.L. 2001. Timber Booms and Institutional Breakdown in Southeast Asia. Cambridge University Press. Cambridge, England. (Also available at: http://www.questia.com). Selected chapters, see above.

3. World Bank. 2006. East Asian Region Forestry Strategy – Draft for Comment (p.1-26) http://www-wds.worldbank.org/servlet/main?menuPK=64187510&pagePK=64193027&piPK=64187937&theSitePK=523679&entityID=000011823_20061010160645

II. FOREST POLICY AND INSTITUTIONS

The general objectives are to enhance students' understanding of forest policy as intention and as action (referring to Policy and Process), as well as of the history and present state of forest policy and institutions in Asia. There are two sessions in this module:

- History of Forest Policy and Institutions
- Forest Policy

History of Forest Policy and Institutions

DESCRIPTION: Students will analyze, present, and discuss the history of policy change, some key historical processes affecting forestry institutions, and one assessment of the present state of forestry in Southeast Asia.

DURATION: Two hours.

LINK WITH OTHER SESSIONS: In this session some of the insights from Understanding Policy Analysis will be used to analyze forest policy. The understanding in this session will be used in the process and practical sessions.

SESSION OBJECTIVES: Students will understand some of the important historical processes that contributed to the present state of forestry institutions and policy in Asia.

PREPARATION:

By the lecturer:

a. Introduction to the session, with a brief explanation of the rationale for three papers: An overview of forest policy change in Asia; impact of logging booms on forestry institutions; present state of forest policy in Asia.
b. For Assignment 2. Ross (2001) *Timber Booms and Institutional Breakdown in Southeast Asia*, select relevant chapters for scanning and for study. For example, for the Philippines, Malaysia, and Indonesia, focus on relevant country chapter + Chapter 8, Conclusions, scan Chapters 1-3, and skip other country cases. For other countries focus on Chapters 1, 3, and 8, skip country cases.
c. Preparation of a list of key points from each of the three papers as a basis for comments on student presentations and for discussion questions (two per assignment).
d. Handout for student peer reviews of presentations.
e. Handout: Reading and Assignment 3.

By students:

a. All students read assigned papers and make notes of key points.
b. Three teams of two students each prepare presentations on assigned papers.

DESCRIPTION OF ACTIVITIES:

a. Introduction to the session by the lecturer: 10 minutes.
b. Three presentations by student teams on topics:
   - Maximum 10 slides
   - Handout based on slides
   - To be presented in 15 minutes (five minutes Q&A)
c. Three discussion groups (30 minutes discussion, 10 minutes sharing).
d. Wrap up and provide Reading and Assignment 3 (10 minutes).

ASSIGNMENT 3: FOREST POLICY

1. All students to read and take notes of the readings.

2. Three groups will each present on one paper, conducting the following tasks:

   - Study the assigned paper
   - Identify the key points for presentation
   - Identify two key questions for discussion
   - Prepare a presentation (refer to guidelines in Handout 1 Giving Presentations) of a maximum of 10 slides to be presented in 15 minutes with:
     - Key points
     - Conclusions
     - Two questions for discussion

Readings

1. a. *India National Forest Policy 1988.* (Available at: http://www.envfor.nic.in/nfap/detailed-policy.html)
   b. Country's National Forest Policy Statement: Source to be included here by the lecturer. Students are to compare both statements and indicate two strengths and two weaknesses of each statement, with reasons why.

2. Mayers, J. and Bass, S. 1999. Executive Summary, p. i-xiii. In: *Policy that works for Forests and People*. Policy that Works Series No. 7: Series Overview. International Institute for Environment and Development, London. (Available at: http://www.iied.org/pubs/display.php?o=9276IIED&n=4&l=21&s=FPTW)

3. Larson, A.M. and J. C. Ribot. 2007. The poverty of forestry policy: double standards on an uneven playing field. *Sustainability Science*, Volume 2, Number 2/ October, 2007. (Available at: http://pdf.wri.org/sustainability_science_poverty_of_forestry_policy.pdf)

Forest Policy

DESCRIPTION: Students will study, present, and discuss the differences between forest policy statements as intentions and the gap between those intentions and the implementation of the policy on the ground. Also students will identify and discuss some of the key issues in forest policy and the reasons why they are difficult to resolve.

DURATION: Two hours.

LINK WITH OTHER SESSIONS: In this session some of the insights from Understanding Policy Analysis will be used to analyze forest policy. The understanding in this session will be used in the following process and practical sessions.

SESSION OBJECTIVES: Students will understand the importance of differentiating between intention and action in forest policy, and the reasons for the implementation gap in forest policy. Students will also be able to identify some of the key issues in forest policy development and implementation.

PREPARATION:

By the lecturer:

a. Introduction to the session, with a brief explanation of the rationale for three assignments: Examples of forest policy statements from Australia or India for example and policy statements from own countries; critical assessment of the state of forest policies and some common weaknesses; key issues in forest policy: double standards on an uneven playing field.
b. Preparation of a list of key points from each of the three papers as a basis for comments on student presentations and for discussion questions (two per assignment).
c. Identification of sources of own country national forest policy statement to be included in the assignment below.
d. Handout for student peer reviews of presentations.
e. Handout: Reading and Assignment 4.

By students:

a. All students read assigned papers and make notes of key points.
b. Three teams of two students each prepare presentations of assigned paper.

DESCRIPTION OF ACTIVITIES:

a. Introduction to the session by the lecturer: 10 minutes.
b. Three presentations by student teams on topics:
    - Maximum 10 slides
    - Handout based on slides
    - To be presented in 15 minutes (five minutes Q&A)
c. Three discussion groups (30 minutes discussion, 10 minutes sharing).
d. Wrap up and provide Reading and Assignment 4 (10 minutes).

ASSIGNMENT 4: POLICY IMPLEMENTATION AND DECENTRALIZATION

1. All students to read and take notes of the readings.

2. Three groups will each present on one paper, conducting the following tasks:

   - Study the assigned paper
   - Identify the key points for presentation
   - Identify two key questions for discussion
   - Prepare a presentation (refer to guidelines in Handout 1 Giving Presentations) of a maximum of 10 slides to be presented in 15 minutes with:
     - Key points
     - Conclusions
     - Two questions for discussion

Readings

1. Open University. n.d. *The Public Policy-Action Relationship*. Learning Space. B 856_1. http://openlearn.open.ac.uk/mod/resource/view.php?id=183048&direct=1

2. Larson, A.M. 2004. *Democratic Decentralisation in the Forestry Sector: Lessons Learned from Africa, Asia and Latin America*, CIFOR. http://www.cifor.cgiar.org/publications/pdf_files/interlaken/Anne_Larson.pdf

3. Merlo, M. and M. Paveri. 1997. Formation and implementation of forest policies: a focus on the policy tools mix. In: FAO, 1997. *Formulation, Analysis and Implementation of Forestry Policies*, Proceedings of the XI World Forestry Congress. Vol. 5, Topic 32, p. 233-254. Rome. http://www.fao.org/forestry/docrep/wfcxi/PUBLI/PDF/V5E_T32.PDF

III. FOREST POLICY PROCESSES AND MEASURES

This module aims to enhance students' knowledge and understanding of processes, measures, instruments, and tools for policy planning and implementation. There are four sessions:

1. Policy Implementation and Decentralization
2. Institutional Analysis
3. Multi-stakeholder Processes
4. Economic Analysis

Policy Implementation and Decentralization

DESCRIPTION: In this session students will study and explore different models in order to describe and explain the relationship between policy and action. Policy instruments are introduced and discussed and the case of decentralization is used to illustrate some of the issues in the relationship between policy and action.

DURATION: Two hours.

LINK WITH OTHER SESSIONS: This session sets the stage for the following session focusing on different policy processes and instruments.

SESSION OBJECTIVES: Students will understand the value of modeling the public policy–action relationship and be able to explain different models and policy instruments and understand the main issues in decentralization in the forest sector.

PREPARATION:

By the lecturer:

a. Introduction to the session, with a brief explanation of the rationale for three papers: Policy implementation models; policy issues in decentralization in the forest sector; overview of forest policy tools (instruments or measures).
b. Preparation of a list of key points from each of the three papers as a basis for comments on student presentations and for discussion questions (two per assignment).
c. Handout for student peer reviews of presentations.
d. Handout: Reading and Assignment 5.

By students:

a. All students read assigned papers and make notes of key points.
b. Three teams of two students each prepare presentations of assigned papers.

DESCRIPTION OF ACTIVITIES:

a. Introduction to the session by the lecturer: 10 minutes.
b. Three presentations by student teams on topics:
   - Maximum 10 slides
   - Handout based on slides
   - To be presented in 15 minutes (five minutes Q&A)
c. Three discussion groups (30 minutes discussion, 10 minutes sharing).
d. Wrap up and provide Reading and Assignment 5 (10 minutes).

ASSIGNMENT 5: INSTITUTIONAL ANALYSIS

1. All students to read and take notes of the readings.

2. Three groups will each present on one paper, conducting the following tasks:

   - Study the assigned paper
   - Identify the key points for presentation
   - Identify two key questions for discussion
   - Prepare a presentation (refer to guidelines in Handout 1 Giving Presentations) of a maximum of 10 slides to be presented in 15 minutes with:
     - Key points
     - Conclusions
     - Two questions for discussion

Readings

1. Ostrom, E. 2008. *Design Principles of Robust Property-Rights Institutions: What Have We Learned?*
   Workshop in Political Theory and Policy Analysis, Indiana University and Center for the Study of Institutional Diversity, Arizona State University. (Available at: http://dlc.dlib.indiana.edu/dlc/handle/10535/3785)

2. Vatn, A. and A. Angelsen. 2009. Options for a national REDD+ architecture. Chapter 5, pp. 57-74, In: Angelsen, A. with Brockhaus, M., Kanninen, M., Sills, E., Sunderlin, W. D. and Wertz-Kanounnikoff, S., eds. 2009. R*ealising REDD+: National Strategy and Policy Options.* CIFOR, Bogor, Indonesia. (Available at: http://www.cifor.cgiar.org/Knowledge/Publications/Detail?pid=2871)

3a. Pettenella, D. 1997. New trends in public forestry administration. In: FAO, 1997. *Formulation, Analysis and Implementation of Forestry Policies, Proceedings of the XI World Forestry Congress.* Vol. 5, Topic 31, p. 215-222. Rome. (Available at: http://www.fao.org/forestry/docrep/wfcxi/PUBLI/V5/T31E/1.HTM#TOP

3b. Durst, P., C. Brown, J. Broadhead, R. Suzuki, R. Leslie and A. Inoguchi, eds. 2008. *Re-inventing Forestry Agencies – Experiences of Institutional Restructuring in Asia and the Pacific.* Asia-Pacific Forestry Commission. FAO-RAP Publication 2008/5. Bangkok. (Overview re-inventing forestry institutions, p.1-6). (Available at: http://www.fao.org/docrep/010/ai412e/ai412e00.htm)

Institutional Analysis

DESCRIPTION: Three different examples of the importance of institutions and ways to study them will be presented and discussed: The design principles of common property institutions, the changes in national forestry institutions required for REDD+, and the changes in forestry administration in general and in forestry agencies in Asia in particular.

DURATION: Two hours.

LINK WITH OTHER SESSIONS: This session builds on earlier discussions of institutional aspects and approaches.

SESSION OBJECTIVES: Students will be able to explain the importance of institutional arrangements in policy and policy change, and know how to analyze them.

PREPARATION:

By the lecturer:

a. Introduction to the session, with a brief explanation of the rationale for three papers: Design principles for property rights institutions; building institutions for REDD; change in forestry administration.
b. Preparation of a list of key points from each of the three papers as a basis for comments on student presentations and for discussion questions (two per assignment).
c. Handout for student peer reviews of presentations.
d. Handout: Reading and Assignment 6.

By students:

a. All students read assigned papers and make notes of key points
b. Three teams of two students each prepare presentations of assigned papers

DESCRIPTION OF ACTIVITIES:

a. Introduction to the session by the lecturer: 10 minutes.
b. Three presentations by student teams on topics:
    - Maximum 10 slides
    - Handout based on slides
    - To be presented in 15 minutes (five minutes Q&A)
c. Three discussion groups (30 minutes discussion, 10 minutes sharing).
d. Wrap up and provide Reading and Assignment 6 (10 minutes).

ASSIGNMENT 6: MULTI-STAKEHOLDER PROCESSES

1. All students to read and take notes of the readings.

2. Three groups will each present on one paper, conducting the following tasks:

   - Study the assigned paper
   - Identify the key points for presentation
   - Identify two key questions for discussion
   - Prepare a presentation (refer to guidelines in Handout 1 Giving Presentations) of a maximum of 10 slides to be presented in 15 minutes with:
     - Key points
     - Conclusions
     - Two questions for discussion

Readings

1. FAO. 2006. *Understanding National Forest Programmes. Guidance for Practitioners.* The National Forest Programme Facility, FAO, Rome (Available at: http://www.nfp-facility.org/18735-1-0.pdf) Focus on Chapter 3, scan other chapters.

2. O' Hara, P. 2009. *Enhancing Stakeholder Participation in National Forest Programmes.* Tools for Practitioners. The National Forest Programme Facility, FAO, Rome. (p.1-21) (Available at: http://www.nfp-facility.org/18939-1-0.pdf)

3. Gilmour, D.A., P.B. Durst and K. Shono. 2007. *Reaching Consensus-Multi-Stakeholder Processes in Forestry: Experiences from the Asia-Pacific Region*, Asia-Pacific Forestry Commission, FAO-RAP, Bangkok. (Focus on Chapters 1, 2, 4 and 5, scan Chapter3). (Available at: ftp://ftp.fao.org/docrep/fao/010/ai390e/ai390e00.pdf

Multi-Stakeholder Processes

DESCRIPTION: In this session students will study multi-stakeholder processes with a focus on the framework for national forest programs, the use of multi-stakeholder processes in that framework, and the status of multi-stakeholder processes in Asia.

DURATION: Two hours.

LINK WITH OTHER SESSIONS: In this session the application of some of the general process principles discussed earlier are illustrated through their application in forest policy analysis, formulation, and implementation generally and in Asia.

SESSION OBJECTIVES: Students will be able to explain the key principles and practices proposed for national forest policy planning and implementation and the status of application of these principles in Asia.

PREPARATION:

By the lecturer:

a. Introduction to the session, with a brief explanation of the rationale for three papers: The national forest program as the proposed framework for forest policy planning and implementation; the use of multi-stakeholder approaches in that framework; the status of the application of multi-stakeholder processes in Asia.
b. Preparation of a list of key points from each of the three papers as a basis for comments on student presentations and for discussion questions (two per assignment).
c. Handout for student peer reviews of presentations.
d. Handout: Reading and Assignment 7.

By students:

a. All students read assigned papers and make notes of key points.
b. Three teams of two students each prepare presentations of assigned papers.

DESCRIPTION OF ACTIVITIES:

a. Introduction to the session by the lecturer: 10 minutes.
b. Three presentations by student teams on topics:
   - Maximum 10 slides
   - Handout based on slides
   - To be presented in 15 minutes (five minutes Q&A)
c. Three discussion groups (30 minutes discussion, 10 minutes sharing).
d. Wrap up and provide Reading and Assignment 7 (10 minutes).

ASSIGNMENT 7: ECONOMIC ANALYSIS

1. All students to read and take notes of the readings.

2. Three groups will each present on one paper, conducting the following tasks:

   - Study the assigned paper
   - Identify the key points for presentation
   - Identify two key questions for discussion
   - Prepare a presentation (refer to guidelines in Handout 1 Giving Presentations) of a maximum of 10 slides to be presented in 15 minutes with:
     - Key points
     - Conclusions
     - Two questions for discussion

Readings

1. Othman, M.S.H. and A.N.A. Ghani. 2002. Responses of Timber Concessionaires to Selected Policy Instruments: The Case of Peninsular Malaysia. EEPSEA Research Report, No. 2003-RR1. IDRC, Ottawa.
   (Available at: http://www.idrc.ca/eepsea/ev-33035-201-1-DO_TOPIC.html)

2. Hartono, B.T. 2002. Can Forest Plantations Alleviate Pressure on Natural Forests? An Efficiency Analysis in Indonesia. EEPSEA Research Paper. IDRC, Ottawa.
   (Available at: http://www.idrc.ca/eepsea/ev-25332-201-1-DO_TOPIC.html)

3. Nabangchang, Orapan. 2008. Private Contributions Towards the Provision of Public Goods: The Conservation of Thailand's Endangered Species. EEPSEA Research Report No. 2008-RR7, IDRC, Ottawa.
   (Available at: http://www.idrc.ca/uploads/user-S/12429628791OrapanRR7.pdf)

Economic Analysis

DESCRIPTION: In this session three examples of economic policy analysis are studied and discussed. Topics include responses of timber concessionaries to different policy instruments and the question of whether plantations can reduce pressure on natural forests and citizen's willingness to pay for conservation.

DURATION: Two hours.

LINK WITH OTHER SESSIONS: This session is particularly relevant for the sessions First Draft Policy Briefs and Second Draft Policy Briefs, when developing practical solutions for well-defined policy problems.

SESSION OBJECTIVES: Students will understand and can explain how economic concepts and methods contribute to policy analysis.

PREPARATION:

By the lecturer:

a. Introduction to the session, with a brief explanation of the rationale for three papers: the case of timber concessionaries' responses to policy instruments; analysis of contributions from plantations to reduced pressure on natural forests; investigating willingness to pay for conservation.
b. Preparation of a list of key points from each of the three papers as a basis for comments on student presentations and for discussion questions (two per assignment).
c. Handout for student peer reviews of presentations.
d. Handout: Reading and Assignment 8.

By students:

a. All students read assigned papers and make notes of key points.
b. Three teams of two students each prepare presentations of assigned papers.

DESCRIPTION OF ACTIVITIES:

a. Introduction to the session by the lecturer: 10 minutes.
b. Three presentations by student teams on topics:
   - Maximum 10 slides
   - Handout based on slides
   - To be presented in 15 minutes (five minutes Q&A)
c. Three discussion groups (30 minutes discussion, 10 minutes sharing).
d. Wrap up and provide Reading and Assignment 8 (10 minutes).

ASSIGNMENT 8: INTRODUCTION TO THE EIGHTFOLD PATH

1. All students to read and take notes of the readings.

2. Three groups will each present on one paper, conducting the following tasks:

   - Study the assigned paper
   - Identify the key points for presentation
   - Identify two key questions for discussion
   - Prepare a presentation (refer to guidelines in Handout 1 Giving Presentations) of a maximum of 10 slides to be presented in 15 minutes with:
     - Key points
     - Conclusions
     - Two questions for discussion

All groups read the Introduction (p. xiii-xvi) and Part II. Gathering data for policy research (p. 47-71), In: Bardach, E., 2000. *A Practical Guide for Policy Analysis: The Eightfold Path to More Effective Problem Solving*. Chatham House Publishers. New York. (Available at: http://www.questia.com).

Based on chapters in Bardach (2000) three teams study and present on:

1. Chapters 1-3: Define the Problem; Assemble some Evidence; Construct the Alternatives
2. Chapters 4-5: Select Criteria; Project the Outcomes
3. Chapters 6-8: Confront the Trade-offs; Decide; Tell your Story

IV. PRACTICING FOREST POLICY ANALYSIS

This module offers the opportunity for students to practice what they have learned in earlier sessions by applying Bardach's *Eightfold Path to More Effective Problem Solving* to one of five selected forest policy issues. There are three sessions in this module:

- Introduction to the Eightfold Path
- First drafts covering the first four steps of the Eightfold Path
- Second drafts covering the last four steps of the Eightfold Path

Introduction to the Eightfold Path

DESCRIPTION: Five forest policy issues will be selected by the lecturer, an overview of the Eightfold Path will be presented, and three student teams will present their assigned part of the Eightfold Path. Students will also select the topics for their final papers in the format of a policy brief (see Examples of Policy Briefs under Sources of Course Materials).

DURATION: Two hours.

LINK WITH OTHER SESSIONS: In this session a framework for practical analysis will be presented to be used by students for preparing their own analysis of a selected policy issue. Lessons from earlier sessions are to be incorporated in this analysis.

SESSION OBJECTIVES: Students will understand and be able to use a practical approach to analyzing forest policy issues and develop recommendations for solving the issues.

PREPARATION:

By the lecturer:

a. Introduction to the session, with five selected policy issues, a brief overview of the Eightfold Path, and an explanation of the process for preparing papers (team formation and what needs to be presented in the next two sessions, when final papers will need to be handed in and graded).
b. Preparation of handouts:
   - List of five key policy issues with brief descriptions
   - Overview of the Eightfold Path with brief descriptions
   - Schedule of work on papers (following week's preparation and peer reviews of first drafts; subsequent week: preparation and peer reviews of second drafts; two weeks after the end of the course: hand in final paper in the form of a memorandum to a superior – maximum 2,000 words)
c. Preparation of questions for group discussion (fishbowl format to be considered) on lessons from Part II: Gathering data for policy research in *The Eightfold Path to More Effective Problem Solving.* Students will be asked to share the most useful hints for gathering data for policy research that they have identified from reading Part II.
d. Handout: Assignment 9.

By students:

a. All students read assigned papers and make notes of key points.
b. Three teams of two students each prepare presentations of assigned papers.

DESCRIPTION OF ACTIVITIES:

a. Introduction to session by the lecturer: 10 minutes.
b. Three presentations by student teams on topics:
   - Maximum 10 slides
   - Handout based on slides
   - To be presented in 15 minutes (five minutes Q&A)
c. Group (fishbowl) discussion on main hints from *the Eightfold Path to More Effective Problem Solving*. Gathering data for policy research (20 minutes).
d. Students select topic of their choice (10 minutes).
e. Wrap up and provide Assignment 9 (20 minutes).

ASSIGNMENT 9: FIRST DRAFTS COVERING THE FIRST FOUR STEPS OF THE EIGHTFOLD PATH

1. Students present their first working drafts on their selected topics, covering the first four steps of the Eightfold Path (how they defined the problem, what evidence they have assembled, what alternatives have been constructed, and what criteria will be used to select alternatives).

2. Students review the drafts of their peers in groups of three. They review, comment, and offer suggestions for clarification and improvement of their colleagues' drafts on a rotating basis, 20 minutes per draft.

3. The drafts should not exceed 2,000 words.

First Drafts Covering the First Four Steps of the Eightfold Path

DESCRIPTION: Students will share the first working drafts of their papers on one of five selected forest policy issues. Students will present how they defined the problem, what evidence they have assembled, what alternatives have been constructed, and what criteria will be used to select alternatives.

DURATION: Two hours.

LINK WITH OTHER SESSIONS: Builds on Setting the Stage: Understanding Policy Analysis, and forms a basis for Sharing Second Draft Findings.

SESSION OBJECTIVES: Students will be able to demonstrate and share their knowledge and skills in analyzing forest policy issues. Students will benefit from comments from peers and the lecturer on their first draft.

PREPARATION:

By the lecturer:

a. Introduction to the session (with a reminder of focus on the first four steps in the Eightfold Path, and explanation of the peer review process: Groups of three students are proposed by lecturer and they review/comment on drafts; 3 x 20 minutes).
b. Handout list of student peer groups (three students per group).
c. Handout: Assignment 10.

By students:

a. All students prepare the first drafts of their papers on their selected topic, covering the first four steps (how they defined the problem, what evidence they have assembled, what alternatives have been constructed, and what criteria will be used to select alternatives).

DESCRIPTION OF ACTIVITIES:

a. Introduction to the session by the lecturer: 10 minutes.
b. Peer reviews of drafts: Rotating peer review in which two students review, comment, and make suggestions about the third student's paper: 20 minutes per paper, total 60 minutes.
c. Plenary sharing; groups share main comments and issues with all other students, facilitated by the lecturer (20 minutes).
d. Wrap up by the lecturer and provide Assignment 10 (patch up present draft based on comments received and add the other four steps of the Eightfold Path) (20 minutes).

Second Drafts Covering the Last Four Steps of the Eightfold Path

DESCRIPTION: Students will share the first working drafts of their papers on one of five selected forest policy issues. Students will present how they defined the problem, what evidence they have assembled, what alternatives have been constructed, and what criteria will be used to select alternatives.

DURATION: Two hours.

LINK WITH OTHER SESSIONS: Builds on Setting the Stage: Understanding Policy Analysis, and forms a basis for Sharing Second Draft Findings.

SESSION OBJECTIVES: Students will be able to demonstrate and share their knowledge and skills in analyzing forest policy issues. Students will benefit from comments from peers and the lecturer on their first draft.

PREPARATION:

By the lecturer:

a. Introduction to the session (with a reminder of focus on the first four steps in the Eightfold Path, and explanation of the peer review process: Groups of three students are proposed by lecturer and they review/ comment on drafts; 3 x 20 minutes).
b. Handout list of student peer groups (three students per group).
c. Handout: Assignment 10.

By students:

a. All students prepare the first drafts of their papers on their selected topic, covering the first four steps (how they defined the problem, what evidence they have assembled, what alternatives have been constructed, and what criteria will be used to select alternatives).

DESCRIPTION OF ACTIVITIES:

a. Introduction to the session by the lecturer: 10 minutes.
b. Peer reviews of drafts: Rotating peer review in which two students review, comment, and make suggestions about the third student's paper: 20 minutes per paper, total 60 minutes.
c. Plenary sharing; groups share main comments and issues with all other students, facilitated by the lecturer (20 minutes).
d. Wrap up by the lecturer and provide Assignment 10 (patch up present draft based on comments received and add the other four steps of the Eightfold Path) (20 minutes).

ASSIGNMENT 10: SECOND DRAFTS COVERING THE LAST FOUR STEPS OF THE EIGHTFOLD PATH

1. Students present their first working drafts on their selected topic, covering the last four steps of the Eightfold Path (how they projected outcomes, how they dealt with the trade-offs, what they decided and what their story line will be).

2. Students review their peers' drafts in groups of three. They review, comment, and offer suggestions for clarification and improvement of their colleagues' drafts on a rotating basis, 20 minutes per draft.

3. The drafts should not exceed 2,000 words.

TIPS AND TEMPLATE FOR WRITING A POLICY BRIEF

Policy-makers seldom have the time to read through all the literature related to a specific policy question. To make well-informed decisions, they rely on short, tightly written briefs that quickly and clearly relay the important policy facts, questions, and arguments about an issue.

Characteristics of a Good Policy Brief

A policy brief must give a persuasive argument in a concise, clearly organized fashion. A policy brief does not include a lengthy analysis or review of the literature.

General Outline for a Policy Brief

Introduction:
- Begin with a brief overview and state the problem or objective
- Map where your argument will take the reader and clearly outline your thesis

Recommendations:
- Clearly state your recommendations

Background:
- Outline a brief history or background relevant to the theme

Analysis:
- Constructively criticize arguments, ideologies, and the quality of technical evidence
- Use evidence from literature and other sources to support your views and advance your recommendations

Conclusion:
- Conclude with a persuasive argument and summary statement

Note: Place recommendations and most effective evidence in sidebars or boxes. However, do not overuse graphics and sidebars.

Source: Anon, n.d. (see Examples of Policy Briefs under References)

5 ADDITIONAL MATERIALS AND SOURCES

To adapt or expand the course to fit the specific needs of the students' curriculum, additional materials and sources are provided in this chapter.

Additional materials and sources are provided to assist in expanding or changing the sessions in each of the four main prototype modules. These materials or sources are also recommended for lecturers as study materials, enabling them to become more proficient in guiding students, if and as needed. The last section of this chapter provides some sources and materials addressing topics that have not been addressed in the prototype course, but are relevant for forest policy analysis.

Setting the Stage: Understanding Policy Analysis

What is Public Policy?

There are many useful standard sources or textbooks on the nature of public policy and also online textbooks, plus study hints and test questions (see Chapter 4, under Effective Communication):

Anderson, J.E. 2005. *Public Policymaking: An Introduction. Sixth Edition*. Wadsworth Publishing. (Available at: http://college.cengage.com/polisci/anderson/public_policy/6e/students/index.html)

Knill, C. and J. Tosun. 2008. *Policy Making*. Chair of Comparative Public Policy and Administration. Department of Politics and Management. University of Konstanz. Working Paper 01/2008
(Available at: http://kops.ub.uni-konstanz.de/volltexte/2008/6352/pdf/WorkingPaper2008_01.pdf)

For other similar textbooks on public policy see: http://www.amazon.com/Public-Policymaking-Introduction-James-Anderson/dp/0618506861/ref=sr_1_2?ie=UTF8&s=books&qid=1260845400&sr=1-2 ("customers who bought this, also bought")

See also: Swanson, D., and S. Bhadwal, eds. 2009. *Creating Adaptive Policies: A Guide for Policy-making in an Uncertain World.* Sage/IDRC
(Available at: http://www.idrc.ca/en/ev-145152-201-1-DO_TOPIC.html)

What is Policy Analysis?

Two handbooks and one additional source are recommended:

Moran, M., M., Rein, R.E. Goodin, eds. 2006. *The Oxford Handbook of Public Policy*. Oxford University Press, USA (largely available through Google Books) See particularly Chapter 20. Rhodes, R.A.W. Policy Network Analysis, p. 435-447. To be considered for inclusion in one of the existing sessions or one of the materials in a session dedicated to policy networks and communities (also Kenis and Schneider, below)

Fischer, F., G.J. Miller and M.S. Sydney, eds. 2007. *Handbook of Public Policy Analysis: Theories, Politics and Methods.* CRC Press, Boca Raton, USA (partially available through Google Books)

See also: Kenis, P. and V. Schneider. 2007. Policy networks and policy analysis: scrutinizing a new analytical toolbox. Chapter 2, p. 25-49, In: Fischer, F., G.J. Miller and M.S. Sydney, eds., 2007. *Handbook of Public Policy Analysis: Theories, Politics and Methods.* CRC Press, Boca Raton, USA.
(Also available at: http://www.uni-konstanz.de/FuF/Verwiss/Schneider/pubVS/91PKVS-Polnets.pdf).

Sabatier, P.A. 1999. *Theories of the Policy Process.* WestView Press, Boulder, USA. (Available at http://scholar.google.co.th/scholar?hl=en&rlz=1C1GPEA_enTH334TH334&q=author:"Schlager"+intitle:"A+comparison+of+frameworks,+theories,+and+models+of+..."+&um=1&ie=UTF-8&oi=scholarr). (Also available at: http://www.questia.com)
See particularly Chapter 9. Schlager, E.A. Comparison of Frameworks, Theories and Models of Policy Processes (Available at the Sabatier source).

Sutton, R. 1999. *The Policy Process: An Overview.* Working Paper 118. Overseas Development Institute, London. (Available at: http://www.odi.org.uk/resources/download/1868.pdf)

Forest Policy and Institutions

Forest Policy

The classic forest policy publication (recommended by Dr. Juan Pulhin, UPLB) is:

Worrell, A.C. 1970. *Principles of Forest Policy.* New York: McGraw-Hill.
In particular, Worrell's distinction between policy formation (the equivalent of agenda setting in other stage heuristics) and policy formulation (or decision making in other heuristics) may be relevant as it is often referred to in the forest policy literature (Pulhin, personal communication).

Two sources recommended by Dr. Dodik Ridho Nurrochmat, Institut Pertanian Bogor, Indonesia, are:

Fraser, A.I. 2002. *Making Forest Policy Work.* Kluwer Academic Publishers. The Netherlands

Krott, M. 2005. *Forest Policy Analysis.* Springer

See also: Introduction to Forestry, Forest Policy and Economics – An open and interactive learning resource- Forest Policy: at http://foper.unu.edu/course/?page_id=119

(Journal of) *Forest Policy and Economics*, at: http://www.elsevier.com/wps/find/journaldescription.cws_home/620157/description#description

Institutions

An excellent paper on institutions, learning, and change is:

Mantzavinos, C., D.C. North and S. Shariq. 2003. *Learning, Institutions, and Economic Performance.* Preprints of the Max Planck Institute for Research on Collective Goods Bonn. 2003/13.
(Available at: http://ideas.repec.org/e/pno11.html)

Kant, S. and R.A. Berry, eds. 2005. *Institutions, Sustainability and Natural Resources.* Institution for Sustainable Forest Management. Springer, The Netherlands
(partially available at: http://books.google.co.th/books?id=jLNJg9SSVdAC&dq=shashi+kant+institutions&printsec=frontcover&source=bl&ots=ftal1s1lu0&sig=GDnJpIo90jAqtFSdVBwxlW-G_EE&hl=en&ei=QxknS_L3CM6IkAXA7cXzDA&sa=X&oi=book_result&ct=result&resnum=3&ved=0CA0Q6AEwAg#v=onepage&q=&f=false)

See also: Ostrom, E. 2009. A polycentric approach for coping with climate change. *World Bank Policy Research Working Paper Series No. 5095.*
(Available at: http://ideas.repec.org/p/wbk/wbrwps/5095.html)

And other papers by Ostrom at: http://www.iascp.org/ as well as more digital resources on the commons at: http://www.iascp.org/resources.html (also note *The International Journal of the Commons*, in the list of digital resources)

For an excellent example of forest policy analysis in the region using an adaptation of the Institutional Analysis and Development framework, see: Clement, F.C. 2008. *A Multi-Level Analysis of Forest Policies in Northern Vietnam: Uplands, People, Institutions and Discourses.* PhD thesis submitted to Newcastle University, UK. (Available at: http://www.ceg.ncl.ac.uk/cluwrr/Related%20Documents/Floriane_Thesis.pdf)

For forest tenure see: The Rights and Resources Initiative – *Supporting Forest Tenure, Policy and Market Reforms* at: http://www.rightsandresources.org/index.php and the resources (publications and other online resources) including:

RRI. 2009. *Who Owns the Forests of Asia? An Introduction to the Forest Tenure Transition in Asia, 2002-2008.* (Available at: http://www.rightsandresources.org/documents/files/doc_1343.pdf)

Forest Policy Processes and Measures

Many of the contributions to the journal on *Forest Policy and Economics* address policy implementation issues and policy instruments. However access to these sources requires subscription to the journal. For details see http://www.sciencedirect.com/science/journal/13899341.

A good example is: Cubbage, F., P. Harou, and E. Sills. 2007. Policy instruments to enhance multi-functional forest management. In: *Forest Policy and Economics*, Vol. 9, Issue 7, April 2007. p. 833-851

A topic (or rather, field) not addressed in the course is public administration, see for example:

Turner, M. 2002. Choosing items from the menu: new public management in Southeast Asia. In: *International Journal of Public Administration*, Vol. 25, 2002. (Also available at: http://www.questia.com)

For a tool to rank policy alternatives: FAO, 2005-2008. FAO Policy Learning Programme Module 4: Policy and Strategy Formulation, Module 4: Policy and Strategy Formulation, Session 4: EXTRAPOLATE, Ex-Ante Tool for Ranking Policy Alternatives.
(Available at: http://www.fao.org/docs/up/easypol/549/4-4_extrapolate_178en.pdf)

Multi-stakeholder Processes

Wageningen International, 2004-2009. MSP Resource Portal – Building your capacity to facilitate multi-stakeholder processes and social learning. (Available at: http://portals.wi.wur.nl/MSP/?page=1180)

Practicing Forest Policy Analysis

An important alternative to this entire module which can be more interesting for students is a Policy Formation and Analysis Simulation Exercise where students are asked to simulate the Congress (parliament) in their country where they act as congressmen/congresswomen (parliamentarians) tasked to prepare their proposed bill, undergo the entire processes involved in crafting a bill into law, from the first to the third reading of the proposed bill, and where students are required to defend their proposed bill during the plenary sessions.
In a course in the Philippines, this usually takes about five to seven meetings (of three laboratory hours per meeting) from bill preparation to the final readings; or a maximum of 21 hours. This is ideal for laboratory classes of more than 20 students, particularly fourth year BSc students who have ample knowledge about forestry already and are in a position to draft their own bills. Before the actual exercise commences, students conduct an educational trip to observe actual Congressional proceedings including committee meetings and actual plenary sessions to prepare them for the simulation exercise. There are many benefits:

1) it enhances students' analytical skills in reviewing existing forest policy and designing their own bills;
2) it develops their ability to write a proposed bill based on identified gaps or problems;
3) it develops their confidence to defend their work in front of other students by defending their proposed bills, and
4) it enhances their negotiation skills by lobbying their colleagues to support their bills.

In addition, it provides a better understanding and appreciation of what it is like to be a policy-maker/legislator and hence sharpens their analytical skills in policy making (contributed by Dr. Juan Pulhin, UPLB, jpulhin@yahoo.com).

Other Topics

There are many other topics and issues that can be considered for inclusion in a course on forest policy analysis.

Research Methods

These include interviewing informants, key informants, and focus groups. In addition to Part II: Gathering data for policy research in *The Eightfold Path to More Effective Problem Solving*, see the tools of the Wageningen, MSP resource portal (http://portals.wi.wur.nl/msp/?page=1211)

Environmental and Social Impact Assessment (ESIA)

ESIA is included in most forest policies. If lecturers find that this topic is not addressed in other parts of the curriculum and that students need understanding or at least exposure or introduction to the topic, many guides and critical assessments of this instrument are available. Examples include:

Barrow, C.J. 1997. *Environmental and Social Impact Assessment: An Introduction.* London and New York (availability through the Internet uncertain).

For Asia and the Pacific:

Lohani, B., J.W. Evans, H. Ludwig, R.R. Everitt, Richard A. Carpenter and S.L. Tu. 1997. *Environmental Impact Assessment for Developing Countries in Asia. Volume 1* – Overview. 356 pp. Asian Development Bank, Manila. (Available at: http://www.adb.org/documents/books/environment_impact/env_impact.pdf)

However, both publications are more than a decade old. Meanwhile lessons from ESIA have contributed to some doubts about its ability to address environmental impacts. As Table 3 (and its source) may show, a new approach is emerging called Strategic Environmental Assessment (SEA), aiming at more general sustainability issues; it is expected to be more effective at the policy level.

UNU (2006) is likely to be the best source for adaptation in developing a course session or module on ESIA in the forest policy analysis course.

Table 3: Comparison between ESIA and SEA

EISA of Projects	SEA of Policies, Plans, and Programs
Takes place near the end of decision-making cycle: Aims to minimize impacts	Takes place at earlier stages of decision-making cycle: Aims to prevent impacts
Reactive approach to development proposal	Pro-active approach to development proposals
Considers limited number of feasible alternatives	Considers broad range of potential alternatives
Limited review of cumulative effects	Cumulative effects' assessment is key to SEA
Emphasis on mitigating and minimizing impacts	Emphasis on meeting environmental objectives, maintaining natural systems
Narrow view, high level of detail	Broad view, lower level of detail to provide a vision and overall framework
Well-defined process, clear beginning and end	Multi-stage process, overlapping components, policy level is continuing, iterative
Focuses on standard agenda, treats symptoms of environmental deterioration	Focuses on sustainability agenda, gets at sources of environmental deterioration

Source: United Nations University (UNU), 2006. Strategic Environmental Assessment – Course Module. (available online at: http://sea.unu.edu/course/?page_id=92)

For another source on social impact assessment, see:

Becker, H.A. and P. Vanclay, eds. 2003. *The International Handbook of Social Impact Assessment. Conceptual and Methodological Advances.* Edward Edgar Publishing Ltd., Cheltenham, UK (partly available through Google Books)

In particular, the introductory chapter may be useful as a source for preparing course materials on this topic.

Evidence-based Policy Development

Another theme not explicitly addressed in the prototype course, is the linkage between research and policy or the case for evidence-based policy making.

Sources for this topic include:

Carden, F. 2009. *Knowledge to Policy: Making the Most of Development Research.* Sage/IDRC. (Available at: http://www.idrc.ca/en/ev-135779-201-1-DO_TOPIC.html)

Tyler, S.R. and H. Mallee. 2006. Shaping policy from the field. Chapter 17. In: Tyler, S.R. ed. 2006. *Communities, Livelihoods and Natural Resources – Action Research and Policy Change in Asia.* Practical Action Publishing/IDRC. (Available at: http://www.idrc.ca/en/ev-97782-201-1-DO_TOPIC.html).

Tabor, S.R. and D.C. Faber. 1988. *Closing the Loop: From Research on Natural Resources to Policy Change.* (Policy Management Report No. 8). Maastricht: European Centre for Development Policy Management (Available at: http://www.ecdpm.org/)

See also: ODI-RAPID: Research and Policy in Development at:
http://www.odi.org.uk/programmes/rapid/

See publications such as the recent *Helping Researchers Become Policy Entrepreneurs* that provides a practical approach and tools for those interested in policy influence, and *Knowledge, Policy and Power* that explores the interface between research and development policy.

And:

IIED: Power tools: for policy influence in natural resource management at:
http://www.policy-powertools.org/

The 26 power tools provide a wide range of techniques, tactics, and tips based on experience in natural resource management around the world. They are available both as two-page summaries and as full-length reports. They offer sets of adaptable ideas rather than finalized blueprints for action.

To help users find the ideas they are looking for, the set of power tools is presented in a simple arrangement that conveys the sense of an ongoing cycle of action and reflection. There are four overlapping groups of tools – for understanding, for organizing, for engaging, and for ensuring. Each of these loose categories is explained further on its own page.

Other Teaching Methods

Facilitating a Fishbowl Discussion

What is it About?

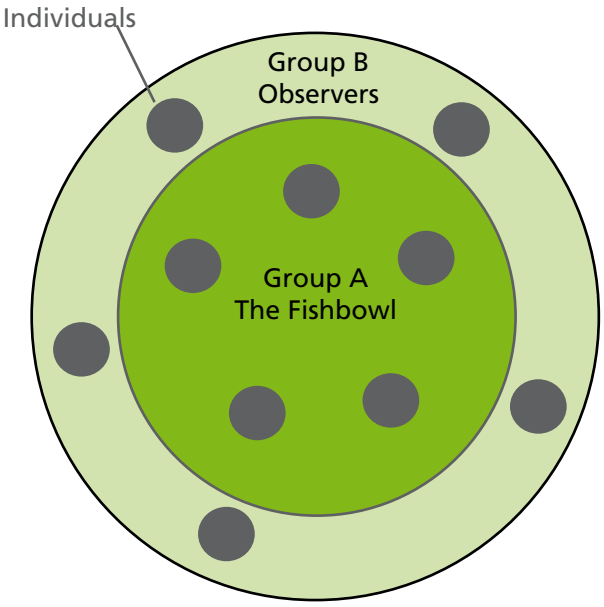
A fishbowl discussion is a type of dialogue that can be used when discussing topics within large groups.

Fishbowls involve a small group of people (the fish) seated in circle for discussion (Figure 4). They are surrounded by a larger group of observers, seated in an outer circle (the bowl). The facilitator (lecturer) gives a short input of five to 10 minutes which sets out the general outline of the discussion and after that the inner circle starts discussion. The discussion topics are derived from the discussion questions students have prepared in their assignments. There are three rounds of discussion, one for a selected topic from each of the three assignment teams. The outer circle usually listens and observes. Whenever someone wants to participate and move to the inner circle, a participant from the fishbowl must free a chair and move to the outer circle.

Reasons to Use

- To include the students from each of the three teams preparing presentations based on reading assignments in a small group discussion
- To generate dynamic group involvement and have active participation from all students
- To discuss sensitive topics (less productive for difficult teaching content)
- To observe, analyze, and learn from another group's thinking process (the outer circle)
- As an alternative to a traditional debate

Figure 4: The Fishbowl



How to Make it Work

Create an open fishbowl, in which one or two chairs in the inner circle (six people) remain empty. Any member of the audience can, at any time, occupy the empty chair and join the fishbowl. When this happens, an existing member of the fishbowl must voluntarily leave the fishbowl and free a chair. The discussion continues with participants frequently entering and leaving the fishbowl.

Limitations to participants joining the inner circle can be put in place:

- Time limit (1-5 minutes)
- Only make one substantial statement or comment
- Participants can only enter the inner circle by changing position with the one in the visitor's chair

When time runs out, the fishbowl is closed and the moderator summarizes the discussion.

Facilitator (Lecturer)

- Analyzes the appropriateness of this technique regarding the objectives of the session
- Explains to students participating in the fishbowl ahead of time how the process works and what their roles will be (no time for long presentation, etc.)
- Introduces the first topic for discussion and explains that there will be three rounds of discussion, one topic per round
- Summarizes the discussions
- Encourages discussion and keeps it only among the inner circle
- Prepares some questions to ask the students once they assemble back into a large group. This is where the real reflection often occurs

Tip

- One method to move to the inner circle is to tap someone's shoulder and take his/her place in the fishbowl. This however is not suitable in every culture. In some cultures physical contact is not appreciated and participants are not always assertive enough

Adapted from: L&T Blog: about learning, training and technology at ITC-LTO. (Available at http://itcilo.wordpress.com/2009/02/16/facilitate-a-fishbowl-discussion/)

See also: Braakman, L. and K. Edwards. 2002. The Art of *Building Facilitation Capacities. A Training Manual.* RECOFTC, Bangkok, Thailand. (Available at http://www.recoftc.org/site/fileadmin/docs/CABS/manuals/Facilitation/FM8_2.pdf)

Role playing

What is it About?

Role playing is a method for exploring the issues involved in complex social situations. It may be used for the training of professionals or in a classroom for the understanding of literature, history, and even science.

It is commonly accepted that we want to teach our young people to think, but thinking at any level of complexity requires an exercise of three interdependent categories of skills: problem solving; communications; and self-awareness. These skills cannot be learned by reading books, although some teaching material can be helpful in creating an intellectual framework for better learning. Rather, the kinds of skills needed for flexible, creative, rational thinking must be exercised, practiced, and learned. This is achieved via a process of interaction, risk-taking, self-expression, feedback, encouragement or in other words a process which is closer to learning to swim than learning the capital cities of various countries. Self-awareness is part of problem solving and communications. Self-awareness is essential for understanding others. The best way to learn all three categories of skills (each category containing over 20 component skills) is through role playing.

Role Playing as Simulation

Role playing should be viewed as a natural vehicle for learning. Role playing is a simpler form of simulation.

What astronauts do in their practice for missions; what pilots do in learning to navigate in flight simulators; what thousands of soldiers do in the course of military exercises – this is all role playing. Teaching salespersons to deal with customers, teaching doctors to interview patients, or teaching lecturers to deal with difficult situations, all require some measure of actual practice and feedback.

Role playing, then, is nothing more than practice. Musicians and football players, actors and firefighters, all need to practice their skills. This is because complex operations cannot include all variables in a single lecture or even a thick book. Adapting general rules to one's abilities, behavior, and background; working out problems any complex system generates; and preparing for unforeseen results are all frequent goals of this kind of role playing.

Challenges with role playing

The most common challenge with role playing is that of the leader not appreciating the intention: it is an improvisational procedure, and improvisation requires a feeling of relative safety. This must be created in a group, the lecturer engaging the students in a warming-up process in which they get to know each other in a more trusting fashion and become involved in the theme to be learned. Learning how to warm up a class and how to keep the warm-up going is as much a part of role playing as a surgeon's knowing how to prepare a patient for an operation.

Another issue may arise when lecturers become too concerned with individual member's problems and slip away from dealing with the group problem.

There is also a common tendency to assume that interpersonal skills are easier than technical skills – though in fact they are even more difficult – and so people tend to think they can engage in directing role playing before they have really achieved a level of bare competence (much less mastery). Sometimes lecturers fail to appreciate the difficulty of a skill they are teaching, and it is important to emphasize that directing role playing is about as difficult as learning how to deliver a baby. And it helps if the person doing the learning is also trained in other ways.[4]

Example of Application in the Forest Policy Analysis Course

Based on Larson and Ribot's 2007 paper on the uneven playing field in forest policy, the following simulated policy debate could be staged: Assume that this question has been raised: How can we level the playing field in forest policy in our country?

To address the question students are grouped into the following categories:
a. Forest-dependent villagers
b. Forest industries
c. Urban middle class people
d. Researchers/academics
e. Forest administrators (forest departments)
f. Ministers or parliamentarians (policy-makers)
g. Donors
h. Development organizations
i. Conservation organizations

All nine groups of role players (or a selection, to be decided by the lecturer) prepare their answer to the question of how to level the playing field in forest policy, based on their understanding of the viewpoint of the category that they represent. Limit the answer to five main points, to be presented by a representative from the group in the debate. The debate can be organized through an adaptation of the fishbowl, or through panel presentations and discussions.

[4] This section is adapted from: Blatner, A. 2009. *Role Playing in Education.* (Available at http://www.blatner.com/adam/pdntbk/rlplayedu.htm)

The lecturer summarizes the discussion by highlighting the differences in viewpoints and the lessons to be drawn for how to deal with this diversity of viewpoints in reality (refer to deliberation and the importance of discourses, discussed in other sessions).

More Principles and Practices for Participatory Approaches in Higher Education

One of the better sources for the introduction of more participatory approaches, principles, and practices in the overall curriculum is provided by the Institute for Development Studies' program on Learning and Teaching for Transformation.[5] The materials presented in the program demonstrate various less common ways of designing courses and curricula than the introduction of some participatory methods into a content-based course outline as in the prototype course.

For an example of an entirely different format for teaching forest policy analysis, see the more intensive workshop format based on Bardach's Eightfold Path at the University of British Columbia: Policy Analysis Assignment, Forestry 415 (Available at: http://courses.forestry.ubc.ca/frst415/PolicyAnalysis/tabid/745/language/en-US/Default.aspx)

[5] For example, Taylor, P. and J. Fransman. 2004. Learning and Teaching Participation: Exploring the Role of Higher *Learning Institutions as Agents of Development and Social Change*. IDS Working Paper 219. Also other materials about Learning and Teaching for Transformation at: http://www.pnet.ids.ac.uk/guides/ltt/index.htm

6 COURSE EVALUATION

Evaluation can be done for many different purposes and in many different ways, involving different actors. Formative evaluation is practiced during the course so as to adjust the course based on the comments from students or from peer reviewers. Peer review, in which another lecturer is invited to sit in some of the sessions to give non-threatening/constructive feedback, may be the easiest to arrange, particularly in institutions where this is commonly practiced.

In some institutions evaluation of the instructor is part of the performance assessment of lecturers with consequences for the development of their career. This type of evaluation is not addressed here.

Here the focus is on evaluation at the end of the course, by getting comments from students, to enable improvement of future courses.

The following template is to be adapted by the lecturer to suit his or her own purposes.

Student Course Evaluation Questionnaire Template

Department		**Year of study**	
Course title		**Academic year**	

This questionnaire provides the opportunity to express your views about this course. Responses will be totally anonymous.The results will be used as part of an overall assessment of the effectiveness of this course and for course improvement.

Please answer all questions. For those questions which use numerical scales, please select the number closest to your view.

A. General Aspects of the Course					
Course Content					
1. Prior knowledge assumed:	Too much: 1	2	3	4	Too little: 5
2. Amount of material covered:	Too much: 1	2	3	4	Too little: 5
3. Degree of difficulty:	Too difficult: 1	2	3	4	Too easy: 5
4. Was there a coherent progression of the course from beginning to end?	No, seldom: 1	2	3	4	Yes, always: 5
Course Organization					
5. Quality of course outline: *(course aims,content, organization of teaching assignments, reading, assessment, etc.)*	Very poor: 1	2	3	4	Very good: 5
6. Clarity of course objectives:	Very vague: 1	2	3	4	Very clear: 5
7. Course expectations: *(i.e. what was expected of you)*	Very vague: 1	2	3	4	Very clear: 5
8. Organization of course activities: *(e.g. lectures, presentations, discussion sessions, etc)*	Very poor: 1	2	3	4	Very good: 5
Teaching and Learning Support					
9. Helpfulness of teaching staff:	Very unhelpful: 1	2	3	4	Very helpful: 5
10. Availability of course material: *(e.g. sources of reading materials, handouts, etc)*	Very poor: 1	2	3	4	Very good: 5
11. Usefulness of course materials:	Of very little use: 1	2	3	4	Very useful: 5
12. Feedback on progress:	Very poor: 1	2	3	4	Very good: 5
13. Clarity of presentation by the lecturer:	Very poor: 1	2	3	4	Very good: 5
14. Clarity of presentation by student teams:	Very poor: 1	2	3	4	Very good: 5
15. Interest in the subject as a result of the course:	Very much decreased: 1	2	3	4	Very much increased: 5
B. Overall Evaluation					
16. Overall, how would you rate the course content?	Very poor	Poor	Fair	Good	Very good
17. Overall, how would you rate the organization of the course?	Very poor	Poor	Fair	Good	Very good
18. Overall, how would you rate the quality of the teaching?	Very poor	Poor	Fair	Good	Very good
19. Overall, how would you rate this course?	Very poor	Poor	Fair	Good	Very good
20. Good features of this course:					
21. Poor features of this course:					
22. How could this course be improved?					
23. Other comments:					

Source: Adapted from Standard Student Course Evaluation Questionnaire (http://www.geodata.soton.ac.uk/cgi-bin/webquiz?quizfile=/home/httpd/html/ElecPub/WebQuiz/eval.qiz)

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