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SCHOOL OF LAW AND GOVERNANCE STUDIES

CENTER FOR FEDERAL STUDIES

**THE INFLUENCE OF DECENTRALIZATION ON FOREST RESOURCE
MANAGEMENT IN ETHIOPIA: THE CASE OF ADABA-DODOLA
DISTRICT FOREST MANAGEMENT, OROMIA NATIONAL REGIONAL
STATE**

BY

FRAOL ABDISSA

ADVISOR: PROFESSOR TEGEGNE GEBREGZABER

*A Thesis Submitted to Addis Ababa University, the School of Law and
Governance Studies, Center for Federal Studies in Partial Fulfillment of the
Requirements for the Degree of Master of Governance in Federal Studies*

June, 2015

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DECLARATION

I the undersigned, declare that this thesis is my original work, and has not been presented for a degree in any other university, and that all the sources of materials used for the thesis have been fully acknowledged.

Fraol Abdissa _____

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LIST OF ACRONYMS AND ABBREVIATIONS

CBO-Community Based Organizations

EFAP -Ethiopian Forest Action Program

EIA-Environmental Impact Assessment

EPA-Environmental Protection Authority

EWCA-Ethiopian Wildlife Conservation Authority

FAO-Food and Agricultural Organization

FARM-Africa -Food and Agricultural Research Management, Africa

FDCUPS-Forest Development, Conservation and Utilization Policy and Strategy

FDRE-Federal Democratic Republic of Ethiopia

FFE-Forum for Environment

FRA-Forest Right Act

FRFPCU-Farichu Rayya Forest Protection and Conservation Union

GDP-Gross Domestic Product

GFA - Gesellschaftfur Agrarprojekte, M.B.H. Germany

GTP-Growth and Transformation Plan

GIZ (GTZ) - Gesellschaftfur Internationale Zusammenarebit

IBAMA-Brazilian Environment Institute

IBC-Institute of Biodiversity Conservation

IFMP- Integrated Forest Management Project

JICA-Japanese International Cooperation Organization

MARD -Ministry of Agriculture and Rural Development, Ethiopia

MEF-Ministry of Environment and Forest

MOA-Ministry of Agriculture

NFPA -National Forest Priority Areas,

NGO-Non Governmental Organization

OAB-Oromia Agriculture Bureau

OFWE- Oromia Wild Life and Forest Enterprise

OPADC- Oromia Pastoralist Area Development Commission

ORLEPB- Oromia Rural Land and Environmental Protection Bureau

PA -Peasant Association

PASDEP-Plan for Accelerated and Sustainable Development to End Poverty

PFM-Participatory Forestry Management

REDD+-Reducing Emission from Deforestation and Forest Degradation

SDPRP-Sustainable Development and Poverty Reduction Strategy Program

SISNAMA-National Environmental Management System

SNNPR-Southern Nations, Nationalities and Peoples Region

SOS-Sahel-Save our Souls

SSLFMP-Strengthening Sustainable Livelihood for Forestry Management Program

STOTFDA- Scheduled Tribes and Other Traditional Forest Dwellers Act,

SUPFM-Scaling Up Participatory Forestry Management

UNEP-United Nations Environmental Program

UNFF-United Nations Forum on Forests

USAID-United Nations Agency for International Development

WAJIBs-Waldaa Jiraattota Bosonaa (Forest Dwellers Association)

WB-World Bank

WBISPP-Wood Biomass Inventory and Sustainable Planning Project

WCOED-World Commission on Environment and Development

ABSTRACT

In Ethiopia preventing environmental degradation especially forest degradation and alleviating poverty are the twin goals of sustainable development. That is why decentralized forest management taken as strategy to tackle the challenge of preventing the degradation of forest resources while sustaining forest and benefits to people's livelihoods. However, it is controversial whether decentralization is increasing forest sustainability and improving forest dwellers livelihood in balanced way. This study is conducted in South East of Ethiopia in the Oromia region in the district of Adaba-Dodola. The main objective of the study is to examine the influence of decentralization on forest resource management. Data were collected through questionnaires over two month period supplemented by key informant interviews and documents analysis. The results show the improvement of forest dwellers livelihood; improvement forest coverage and recovering of forest resource. Therefore, the study concludes that decentralized forest management is a viable option for forest resources management and sustainable livelihood development; is growing in a local peoples. However, there were lacks of incentive to manage natural forest a major source of diversity, absence of national policy coverage for Participatory Forest Management (PFM), blurred line of accountability, etc. These imply that commercialization of forest over forest conservation as a threat; community based forest management need to get policy and legal foundation to make forest for people; and difficulties to hold answerable forest related institutions.

CHAPTER ONE

INTRODUCTION

1.1 Background of Study

Decentralization of the authority over administering natural resource to local government bodies, communities and semi-autonomous enterprise has become widespread in the developing world in order to prevent forest degradation and alleviate poverty, which are the twin challenges of sustainable development. Accordingly, forest resource management decentralization aims to give local resource users greater control over the natural resource on which they depend. Decentralization is often motivated by the idea of bringing government closer to the people; a move that many observers maintain will allegedly create new spaces for increased interaction between state agencies, traditional leaders and communities (Larson and Soto, 2008). According to Bardhan and Mookherjee, (2006), the trend toward greater decentralization has been motivated by disenchantment with previous centralized modes of governance, due in part to a perception that monolithic government breeds high levels of rent-seeking corruption and lack of accountability of government officials. Indeed, in recent years, there have been growing calls for greater public participation in decision-making processes throughout the developing world, with more attention being given to issues of democratization, accountability and transparency.

Since the mid-1980s, decentralization has become a global issue affecting most developing countries. Forest resource management decentralization has emerged as an important instrument of environmental and development policy in the last two decades (Agrawal and Gupta, 2005). So far about 60 developing countries are engaged in decentralizing their natural resource management policies (Ribot, 2002). In several African Countries, recent decentralization processes have entailed a transfer of natural resource management responsibilities from central to local government bodies. Among these countries Ethiopia is the one which has decentralized natural resource governance.

Throughout much of its contemporary history, the modern Ethiopian state has been a highly centralized polity leaving very little responsibility and authority to sub-national levels of

administration. Ever since the history of a transition from a centralized form of rule of emperor Minilik II to bureaucratic centralism, with the emperor Haile Selassie constituting an ‘elite of one’ (Clapham, 2013), local governments and branch offices of central government departments operated as field agents rather than as autonomous local government structures with full and adequate decision making authority and control over resources. Thus, the system was very much centralized because local government units had no authority over their budgets and could not undertake development on their initiative. Moreover, the imperial system proved entirely unable to manage the sole formal exercise in federalism, the federation with Eritrea created under UN auspices in 1952, and its relentless suppression of Eritrean autonomy paved the way, at a tragic human cost, for armed resistance and eventual Eritrean independence (ibid).

Following the collapse of imperial rule, the Derg government assumed power in 1974. The regime continued with the same tradition of highly centralized post imperial state inherited from its monarchist predecessor. It reinforced the tradition of a centralized state by instituting a Marxist-Leninist ruling party that imposed tight control on state and society (Tegegn and Taye, 2007). A radical land reform policy that nationalized rural and urban land was implemented thus ending many years of landed oligarchy. This was followed by sweeping nationalization of private business, including small and pervasive role of the state in the economy. Simply put, economic management and planning were state dominated and the government kept a tight rein on agriculture and rural development through the policy of state farms and state imposed cooperativization of peasant agriculture (Andargachew, 1993).

The Derg was the most repressive regime that the country has seen in recent memory. The regime’s repression had no bounds: thousands were arbitrarily killed imprisoned and forced to flee the country. Its authoritarian rule generated ethnic-based opposition that resulted in fratricidal civil wars for nearly two decades (1974-1991). One of the causes of resistance to the Derg was its highly centralist policies (Tegegn and Taye, 2007). The regime’s uncompromising stance on a centralized polity generated a great deal of opposition by ethnic-based liberation movements who took up arms demanding secession and/or ethnic autonomy, particularly in the northern and south-eastern parts of the country. Tigray, Eritrea and the Ogaden regions were the worst affected by unrest and ethnic-based liberation organizations that put up stiff resistance

against the Derg (ibid). In 1987 the Derg established the Institute of Nationalities, which drafted a constitution that established 5 autonomous regions and 25 administrative regions with 354 sub-provinces *awrajas* thereby abolishing *weredas* as administrative tiers. Though the objective of granting autonomy under the Derg for the 5 regions (Tigray, Afar, Somali, Aseb and Gambella) was to respond to the demands of opposition groups through granting of self-rule, no significant progress was made in allowing the participation of the regions in the administration (ibid).

The ethnic-based anti Derg groups rejected the decentralization gesture outright because they considered it only a temporary respite to appease the widespread ethnic based opposition. With the failure of halfhearted decentralization reform effort under the most authoritarian regime, the country was thrown into further turmoil that precipitated the collapse of the regime and its replacement by the Ethiopian People Revolutionary Democratic Front (EPRDF) in May 1991 (Meheret, 1998). When the EPDRF government came to power in 1991, it introduced a broad-based power structure and decentralized state. Starting in 1990s, it has put in place a decentralization policy that aimed to transfer powers, responsibilities and resources from the central government to the regional, zonal, *warada* and *kebele* levels of administration.

At present the FDRE government has formally created a federal state comprising regional sub government carved out on the bases of ethno- linguistic criteria. The federation comprises nine ethnic based regional states and two autonomous city administrations that includes Tigray; Afar; Amhara; Oromia; Somale; Binishangul-Gumuz; Southern Nations, Nationalities and People Region; Gambella and Harari national regional state and two federal city administrations Addis Ababa and Dirre-Dawa. Constitutionally, all regional governments have been given substantial formal powers to plan and execute social and economic programs in the localities.

The FDRE constitution (article 52 sub articles 2(d)) indicates the power to administer land and other natural resources in accordance with Federal laws have been given for regional governments. Even though there is no specific provision about forest as part of a natural resource the responsibilities to establish manage and utilize forests, and most of the protected areas have been passed on to the regional governments. However, based on Wood Biomass Inventory and

Sustainable Planning Project (WBISPP, 2004) assessment, some 95% of the existing forest is located in three regions: the Oromia, Southern Nations, Nationalities and People Region (SNNPR), and Gambela regions which constitute 43% of the land area of the country (Yemiru, 2011). Among these Oromia region is purposively taken for this study because, it shares the wide forest coverage in the country and has been highly affected by forest degradation. In an attempt to assess the role of decentralized forest resource management in Ethiopia, particularly Adaba-Dodola district was purposively chosen because it provides evidence of a decentralized approach to forest management.

Adaba-Dodola forest was already an officially designated state forest (GFA, 1991). Moreover, in the 1980s, an attempt was made to settle all forest dwellers in one area within the forest through a villagization program (Yemiru, 2011). However, the local people didn't accept the stated government's motive for villagization and thus resettled in their former area after the fall of the 'Derg' government. The forest area was identified as one of the National Forest Priority Areas (NFPAs) in 1988. However, it was later changed to a regional forest priority area as a consequence of being administered by the regional government following decentralization (ibid).

Currently some part of the forest is inhabited by legally registered farmers. These people were also permitted to use subsistence forest products for household consumption. Otherwise, local people are legally prohibited from entering and using the forest. Forest management, protection, and planting activities by the local forest department were focused on the plantation areas that were established in the peripheries of the natural forest. Illegally harvested timber and pole were seized and confiscated only when it was noticed. Otherwise, active inspection and guarding in the natural forest was very weak. However, the inventory of the Integrated Forest Management Project (IFMP) document (GFA, 1991) shows that the forests cover shrank by 10% over a period of nine years (1975 – 1984). In the same period fifty seven percent (57%) of the closed forest was converted to disturbed forest (Yemiru, 2011).

The Integrated Forest Management Project (IFMP) which is a bilateral technical cooperation project of the governments of Ethiopia and Germany has been operating since 1995 with the objective of developing and implementing Participatory Forest Management (PFM) approach that would enhance the ownership of the forest by community users and actively engage them in managing the resources for the benefits of all community members (Yemiru, 2011). It has established and strengthens community based organization called WAJIB (Walda Jiraattota Bosonaa) whose statutory rights and duties are defined in the Forest Block Allocation Agreement (FBAA), concluded between forest dwellers' association, and the district Agricultural and Rural Development Office. The project was phased out in 2006. Currently, the Adaba-Dodola district forest managed by local government (political decentralization), WAJIBs (Forest right devolution) and OFWE/Delegation form of decentralized forest management.

1.2 Statement of the problem

Preventing environmental degradation especially forest degradation and alleviating poverty are the twin goals of sustainable development in Ethiopia. Since 1995 the FDRE government has adopted a decentralized forest management as a pivotal approach for balancing biodiversity conservation with demand for economic development, and for improving the livelihoods of forest-dependent peoples. However, the issue of decentralized forest resource management has become a controversial issue in developing country. Therefore, in the research process the following are found to be the controversies at hand in achieving the sustainable forestry management through decentralized approach in Ethiopia.

At the center of the theoretical argument Larson, (2005) argue in favor of decentralizing natural resource management as it has the potential to bring decision making closer to grassroots (Larson, 2005). Also Ribot (2002) stated that decentralization reduces administrative and management transaction costs, and improve natural resource governance by using the proximity of local participants to decision makers.

The argument for centralized forest management defended or promoted by Mohammed and Inoue (2011) argue that, under the guise of decentralization policies, the central government

extends its authority and also forced the high costs of its policy on to local people. Supporting the opponents Sunderlin *et al.*, (2005) stated that forest devolution will affect the future of millions of hectares of tropical forest and the livelihoods of millions of people living in or near forests. Also Evans, *et al.*, (2008) argues that under forest devolution, rights are being transferred to the people who are often the most marginalized and least empowered to defend themselves. Powerful forces can step in and take the forest back by fiat, fraud or force caused or furthered the disenfranchisement of the poor, the creation of open access conditions, resource conflict and forest degradation (ibid).

Regarding to the actual problem, Mulugeta and Melaku, (2008) argued that unwarranted denial of access or right of resource use has instigated locals to utilize the forests in an unsustainable manner, which in turn is resulting in significant reductions of subsistence and cash income options particularly to the most poor and disadvantaged groups in Ethiopia. Also, Yetebitu, *et al.*, (2010) stated that deforestation and forest degradation continued unabated at annual rate of 2% in Ethiopia. At 2% of deforestation, about 700,000 ha of ‘forests’ will be destroyed every year, releasing nearly 110 million CO₂ to the atmosphere (ibid). Land cover change made using satellite imagery by Wood Biomass Inventory and Sustainable Planning Project (WBISPP, 2004) indicated that natural forest to be cleared from 1990-2020) is about 1.33 million hectares only from three regions (i.e. Oromia, Gambella and SNNPRS). According to this report, annual clearing rate for Oromia National Regional State is 1.6 percent. Therefore, it is inevitable to pose further resource degradation and climatic change in the region.

As Ethiopians depend heavily on forest resources, forest resource management entangled with multifold problem. For instance, Ethiopia’s modern energy sector is not well developed, and therefore, biomass fuel consumption incorporates 96% of total energy consumption ((Mekonnen, 1999; Mekonnen and Bluffstone, 2008), 82% of which comes from fuel wood (Dambala and Koch, 2011). Also expansion of farm land, illegal commerce in forest product, furniture and construction, mobility and settlements to relatively non degraded areas especially for the demand for farm land has been the common trend in Ethiopia. The tendency toward income generating and comforting life exceed forest conservation (ibid). Thus unbalanced utilization which is aggravated by poverty is against sustainable management of forests in our country.

On the contrary to the above empirical evidence, the Ministry of Agriculture in its recent announcement said, “Ethiopia was able to increase its forest coverage to nine percent now from only three percent previously” (Ethiopian Herald; 21, Dec., 2013, Hit: 368). Moreover, the Ministry of Environment and Forest announced, the forest coverage of Ethiopia has reached 15 percent, a 4 percent increase over a decade. The State Minister Kebede Yimam told ENA that the increased coverage is the result of the extensive natural resource conservation campaigns. The Minister said, “The national reforestation program and green economy strategy contributed for this success”. (ENA, Addis Ababa, 1, April, 2015).

As one can look through the above divergent ideas, it is contentious whether decentralization increases forest development and conservation, particularly, in the trend of forest coverage. Adaba-dodola district is a local forest institution which is decentralized in its practice and thousands of households’ life relied on forest resource as a means of livelihood whereas sustainable forest management is expected. Hence, it is not free from the influence of decentralization and above controversies. The study uses the case of Adaba-Dodola district forest management to assess the influence of decentralization on forest management. In particular the study examines how decentralization affects forest conservation and development; Policy, legal and institutional framework; Status and trend of decentralization, the mandate of forest institutions and their effectiveness and the livelihood improvement brought as a result of decentralization.

Although there are some studies on natural resource in Ethiopia, less attention is given to decentralized forest management. In particular, the existing researches on Adaba-Dodola do not assess the influence of decentralization on forest resource management. This research would therefore attempt to fill this gap and contribute to the knowledge/literature of decentralization in forest resource management.

1.3 Objectives of the Study

The overarching objective of this study is to examine the influence of decentralization on forest resource management in Adaba-Dodola forest district, Oromia national regional state since 1995s.

Specific Objectives

Specifically, this study is intended to:-

- i) assess the policy, legal and institutional framework of decentralized forest management.
- ii) review the power, duties and autonomy of institutions in decentralized forest management.
- iii) describe the status and trends of decentralized forest Management.
- iv) identify the contribution of decentralization in sustaining forest development and conservation.
- v) identify the economic contribution of decentralized forest management for forest dwellers livelihood.

1.4 Research questions

In order to meet the objectives of the research, the study will have the following basic questions.

- i) What are the gaps in the policy, legal and institutional framework of decentralized forest management?
- ii) What are the power, duties and autonomy of institutions in decentralized forest management?
- iii) What are the status and trends of decentralized forest Management
- iv) To what extent does decentralization contributes for sustainable forest management?
- v) What are the economic contributions of decentralized forest management for forest dwellers livelihood?

1.5 Significance of the study

The importance of doing such research on the influence of decentralization on forest resource management in Adaba-Dodola district has the following benefits:

- First, the information generated from the research will help include participatory forest management and community forest ownership in forest policy. If the government included these issues in forest policy, it would develop the sense of ownership in community. It also promotes forest devolution rights which in turn increase the role of community based organization in forest development and conservation.
- Second, the study will point out the problem within the division of power and responsibilities among forest institutions. This can help to reshape the division of power and duties.
- Third, while pointing out the effect of decentralization, it contributes to a better mechanism to enhance the level of forestry management at sustainable level.
- Fourth, it could also be used as an academic reference as a current literature on decentralized natural resource management.

1.6 Scope of the study

Geographically the study focuses on Oromia National Regional State particularly the Adaba-Dodola district forest management, which is a cross border, shared between Adaba warada (Bale zone) and Dodola (West Arsi zone). This study mainly focused on impact of decentralization in forestry development and conservation, and livelihood of forest dwellers.

1.7 Limitation of the Study

In the study area, the sample taken was almost a quarter of total population because shortage of time and difficulty terrain and scattered population settlement. However, to avoid hasty generalization, the results were triangulated and supported with hard fact taken from the Adaba-Dodola district's household annual survey. Also lack of transport facility, time and financial constraints were supply for the limitation of the study.

1.8. Organization of the Thesis

It is organized in to five chapters. The first chapter which is commonly known as the proposal deals with general introductory remarks of the whole paper. So the statements of the problem, objectives, scope, significance, limitation as well as how the thesis is to be organized are included.

The second chapter contains review of the literature, in which theoretical understanding of decentralization; forms of decentralization; forest resource management; decentralized forest resources management and sustainable development; forest management in federalism; the experience of a few selected federal countries: India, Brazil and Australia; forest management in Ethiopia and lesson drawn from the experience of these countries.

The third chapter of this research deals with the background of the study area and methodology; background of the study area includes physical conditions of the area; population, socioeconomic description while research methodology contain data type and source; sampling design; instruments and techniques of data collection; data processing and analysis.

The fourth chapter provides data presentation and analysis of assess the Policy, Legal and Institutional framework; Power, duties and autonomy of institutions; the status and trends of decentralized forest management; the economic of contribution of decentralization; and contribution of decentralization in sustaining forest development and conservation. Finally the last parts of the paper come up with conclusions and policy implication.

CHAPTER TWO

REVIEW OF THE LITERATURE

Literature on decentralization and natural resource management especially forest resource management is fairly thin. This section reviews some of the recent studies that have relevance to the Ethiopian situation.

2.1 Theoretical Understanding of Decentralization

Although there is great diversity in empirical decentralization, the basic theoretical definitions presented in the literature are common. Olowu (2001) on his part further argued that the concept of decentralization is complex, instrumental and multidimensional process. Also the motives for decentralization is vary from country to country. Some times in order to get control over local government, central government force them to share their financial and administrative controls. On other face the tight control of central government leads towards political and economic instability resulting demand for decentralized programs (ibid).

Decentralization typically refers to a transfer of powers from central authorities to lower levels in a political-administrative and territorial hierarchy (Larson and Soto, 2008). In the same vain decentralization can be define as the intentional and planned transfer of authority and resources away from the central government to the next tiers of governments (Bird, 1995). According to Conyer, (1984) fundamental decentralization is all about the transfer of authority and responsibility from government to responsible private and non-governmental organizations and community based organizations (CBOs). On the other hand, territorial decentralization refers to the transfer of authority and responsibility to territorially defined local authority. He further argued that the two concept of decentralization should go hand in hand to ensure efficient utilization of local resource for national development. Decentralization should be also considered in relation to centralization as a continuous visible filling in between fully centralized decentralized system (Watt, 2008). Treisman in Abdulhamid, (2004) defined decentralization as

a compound system. This scholar identify distinct concept of decentralization as: The number of tiers, decision making authority, appointment, and fiscal resource and governmental personnel.

In past three decades, developing countries for example, Indonesia and Philippines had faced major economic crisis and had made major administrative changes resulting decided for decentralization (Balisacan, 2007). Moreover, decentralization has emerged as an important instrument of environmental and development policy. Along this, governments play a role in decentralizing decision making and policy implementation to achieve diverse goals: among them social development, democratic participation, resource management, and service provision (Agrawal, and Ostrom, 2001). At its most basic, decentralization aims to achieve one of the central aspirations of just political governance: democratization, or the desire that humans should have a say in their own affairs (Agarwaal and Gupta, 2001). But decentralization is also synonymous with redistribution of power, resources, and administrative capacities through different territorial units of a government and across local groups (ibid).

The other more popular and high agenda of modern time is the issue of democratic decentralization which has been continuous to be advocated as vital component of policy package to improve governance in developing countries. However; the idea that it will lead to better governmental performance particularly in the formulation and implementation of locally oriented development polices is debatable. Arguing that decentralization is not only an administrative act but also a political process, several researchers have proposed a more dynamic definition of decentralization that takes into account bottom-up demands for change.

Democratic decentralization usually implies transfers to lower-level governments, such as (a) local or municipal governments, (b) state governments in federal systems or (c) regional autonomous governments where these exist (Larson and Soto, 2008). This form of decentralization refers to representative and downwardly accountable local actors who have autonomous, discretionary decision making spheres with the power and resources to make significant decisions pertaining to local people's lives. Democratic decentralization "is a set of institutional arrangements among public institutions and social actors that emerge from a broader

process with two principle dimensions: (a) top-down measures aimed at transferring responsibilities [and powers]-political, administrative and/or fiscal-to lower levels of government and (b) the gradual opening of spaces for participation from below, induced by the actions of social movements and local governments that challenge the traditional (centralized) way in which public policy decisions have been made'' (Larson, *et al*, 2007).

In context of the management of natural resources, decentralization can be defined as any act by which a central government cedes decision-making rights over resources to lower-level actors and institutions (Agrawal and Ribot, 1999) and in the process reshapes power and accountability relationships among involved actors (Devarajan, *et al.*, 2007 and Yilmaz *et al.*, 2010). Moreover they argued decentralization is a dynamic process, in which actors at each level of government interact and find the appropriate balance among the authorities responsible for forests. Decentralization aims to give local resource users greater control over the natural resources on which they depend.

2.2 Forms of Decentralization

Decentralization has a variety of aspects that warrant careful analysis. There are some overlaps and interactions between types / & forms of decentralization facets. Decentralization reforms most commonly come in forms such as deconcentration, delegation, and devolution (Yilmaz, *et al.* 2010). These forms of decentralization are not monolithic. To understand them, it is therefore useful to deconstruct them into their main elements. The three fundamental elements of any form of decentralization are actors involved, types of decision-making powers transferred, and accountability relations of actors (Agrawal and Ribot, 1999).

Deconcentration

Deconcentration has a more spatial connotation in that it implies a shifting of functions and resources, including personnel, by central government from the metropolis to other locations (Katsiaouni, 2003). Administrative decentralization redistributes responsibility for local planning and operational management (Popic & Patel, 2011). Administrative decentralization typically

involves the transfer of administrative responsibilities from a central government to lower level agencies which are upwardly accountable (Barr, *et al.*, 2006). In a hierarchical state structure, these might include provincial or district governments to the extent that their leadership is responsible to the central government, or regional offices and local implementing agencies of particular national government ministries.

Delegation

Delegation is a stronger form of administrative decentralization and refers to the redistribution of decision making and operational responsibility to local authorities which maintain a certain degree of independence from the central government and yet have to report to it (Popic and Patel, 2011). Delegation is the transfer of decision-making power to a semi-autonomous organization that is not a political and administrative extension of a government (Oyono, 2004b). Accordingly delegation related or overlap with market decentralization. Market decentralization takes place when government withdraws from provision (or perhaps just from production) allowing the private sector and civil society to take up expanded roles (Popic and Patel, 2011). Market decentralization can occur within a sector when the central government gives non-state providers (private sector, but also NGOs, FBOs, communities, and users) roles in decision making and management. Increasing reliance on non-state provision can have effects on user fees, funding of the sector as a whole, levels and type of provision, and gender or ethnic sensitivity. It may also have effects on efficiency and accountability (*ibid*).

Devolution

When decision-making power is transferred to lower-level elected or appointed leaders (Oyono 2004b) or to communities (Larson and Soto, 2008), it is called devolution. Devolution generally refers to a broader set of transfer options, including the transfer of authority to community organizations. Given the importance of community organizations to local resource management, as well as the blurry categories that arise in practice (Conyers, 1983) and the frequent combination of decentralization and devolution policies, it is often difficult to discuss decentralization without also addressing devolution. Devolution (Political decentralization)—also commonly referred to as democratic decentralization – occurs when decision-making power and

control over resources are “transferred to authorities representative of and downwardly accountable to local populations” (Ribot, 2002).

Democratic decentralization aims to expand the arena for public participation in governance processes by devolving power and authority to institutions at lower levels of a hierarchical state apparatus. Also Ribot (2002) explains, “through greater participation, democratic decentralization is believed to help internalize social, economic, developmental, and environmental externalities; to better match social services and public decisions to local needs and aspirations; and to increase equity in the use of public resources.” In this way democratic decentralization “concerns the domain of rights that local government can exercise on behalf of constituents, it is about enfranchisement and democratization” (ibid).

2.3 Forest Resource Management

Forestry resource management issues described in this thesis is all about sustainable forestry management, it is necessary to deal with the concepts of sustainable forestry management as a sub set of the whole environment. Considering sustainable forestry management as global basic issue, the United Nations Forestry Forum (UNFF) acknowledged the following thematic elements of sustainable forest management which are considered to offer a reference framework for sustainable forest management. The General Assembly of UN adopted in Dec., 2007 the definition which includes the following elements:

Sustainable Forest Management as a dynamic and evolving concept to maintain and enhance the economic, social and environmental value of all types of forests, for the benefit of present and future generations which is characterized by seven elements including 1/extent of forest resources; 2/forest biological diversity; 3/forest health and vitality; 4/productive functions of forest resources; 5/protective functions of forest resources; 6/socio economic functions of forests; and 7/legal policy and institutional framework (Secretariat of Convention on Biodiversity, 2009).

In maintaining sustainability of forests and balancing biodiversity conservation with demand for economic development different countries use different approaches mainly either decentralized forest management or centralized forest management/top-down approaches. In some countries governance of the forest sector is centralized (e.g., Costa Rica) while in others the main responsibility and authority reside either in the second level of government or even in the third tier. The top-down approaches may not complement with the necessary commitment and enthusiasm from the local people and even met with resistance that ended with little outcome to show for the enormous investments (Keeley, *et al.*, 2000). Centralized governance can protect forests and enhance regrowth, but it requires costly enforcement (Oestreicher, *et al.*, 2009); is isolated to within park boundaries (Brandon, 2005); and can result in resentment among excluded users, which undermines conservation goals (Peluso, and Vandergeest, 2001). On the contrary, decentralization of forest management refers to the process by which a central government "cedes powers to actors and institutions at lower levels in a political-administrative hierarchy" (Mawhood, 1983).

The transfer of authority over significant aspects of forest administration from national ministries to forestry agencies at the provincial, district, or municipal levels or public enterprise are the central theme of decentralized forest governance. In some contexts, it has also included a formal expansion of local communities' roles in managing or conserving forest resources in their areas. The concept of community-based natural resource management (CBNRM) as a feasible policy to replace centralized command and control of resource management by the state has received considerable attention in recent years and is being actively promoted across the world (Balooni and Inoue, 2007). Especially in the developing world, where natural resource degradation has significant impact on rural livelihoods, CBNRM has received substantial attention (Banana, *et al.*, 2007). Moreover, as Larson (2005) points out, informal types of decentralized forest management are also widespread – "even where forest sector decentralization is not part of national policy, local governments and local people often manage local forest resources, with or without formal mandates to do so."

2.4 Decentralized Forest Resources management and Sustainable Development

The term sustainable development is amorphous because it incorporates various principles and components. Sustainable development is not a fixed state of harmony, but rather a process of change in which exploitation of resources, the direction of investments, the orientation of technological development, and institutional change are made consistent with future as well as present needs” (Brundtland Commission, 2007). In 1987 the World Commission on Environment and Development (WCOED) sought to address the problem of conflicts between environment and development goals by formulating a working definition in such a manner that sustainable development means development that meets the needs of the present generation without compromising the ability of future generation to meet their own needs (WCOED, 1987). The 1992 Rio Declaration states that the right to development must be fulfilled so as to equitably meet developmental and environmental needs of the present and future generations (Principle 3). In the process of achieving sustainable development, environmental protection is an integral part of development and we cannot think of it in isolation from it (Principle 4).

The role of forests in a sustainable development framework is crucial not only for the role it play in maintaining the ecological balance but also the fact that it is a rich reservoir of resources that can sustain communities and generate revenue for the state (Srivastava, *et al*, 2012). Forests play a critical role in supporting the livelihoods of people worldwide, particularly in meeting the daily subsistence needs of the world’s poor (Brundtland Commission, 2007). In her official development discourse the ex-Indian Prime Minister, Indira Gandhi was linked environmental problems to inadequate development: ‘Poverty is the greatest polluter’ (Baumann, *et al*, 2003). Thus since the Earth Summit of 1992, the need to manage forests sustainably has been well-recognized by international community (*ibid*).

In developing country alleviating poverty mostly relies on utilization of natural resource especially forest resource can be used in various way. As in a number of developing and emerging economies, Ethiopians depend heavily on forest resources, and the reasons for that

dependence are many. Ethiopia's modern energy sector is not well developed, and, therefore, biomass fuel consumption incorporates 96% of total energy consumption ((Mekonnen, 1999; Mekonnen and Bluffstone, 2008), 82% of which comes from fuel wood (Dambala and Koch, 2011). Also expansion of farm land, illegal commerce in forest product, furniture and construction, mobility and settlements to relatively non degraded areas especially for the demand for farm land has been the common trend in Ethiopia. The tendency toward income generating and comforting life exceed forest conservation (ibid).

Many developing countries including our country take decentralized forest resource management approach to promote more socially balanced growth which respect equity and community participation and meet the basic need of millions of populations in the developing world. Decentralization viewed as an indispensable part of sustainable development efforts, particularly those focused on alleviating poverty (White, *et al*, 2011). Sustainable forest management can contribute to economic development by providing income, employment, food security and shelter where it is most urgently needed (ibid). More Scholar's and policy research paying much emphasis since 1980 on the decentralized forest management and participatory development for sustainable growth of communities because the lives millions of households are affected by how governments manage forests and admit local claims(Baumann, *et al*, 2003).

Generally, in most of developing country peoples life depend on natural resource primarily forest resource. Thus equal footing or integration of decentralized poverty reduction and decentralized forest resource helps to managing forest resource in a sustainable base.

2.5 Forest Resource management in Federal system

Given the complexity involved and the importance of the context faced in each country, it is not surprising that the linkages between federalism and decentralized forest governance are in many cases difficult to identify and verify. Thus it is too difficult to point out the peculiar feature of the relationship between federalism and forest resource management because the socio-economic-political context, dissimilar federalization processes, the extent of the forest and income generated from the forest, nature of democracy and the extent of decentralized governance at

lower levels of a given country can determine good decentralized forest management (White, *et al*, 2008). While federal countries are expected by definition to operate in non-centralized ways, variations between federal systems of government are considerable and thus federalism per se does not guarantee non centralized governance. For instance, the forestry sector in the Nepal which is unitary state is more decentralized than in federal state of Brazil(Brazil before 2006) which has long history of federalism(ibid).

The degree of responsibility and authority vested in the federal government and other tiers of government vary widely. Further, various functions can be decentralized with different degrees of intensity. Thus, federal systems of government can be simultaneously decentralized in some respects and centralized in others. In some countries governance of the forest sector is relatively centralized while in others main responsibility and authority reside either in the second level of government or even in the third tier. In Australia, Canada, India, Malaysia, and Switzerland, comparatively strong meso-level government forest agencies dominate, to some extent because there is little federal forest land and consequently the functions, powers and responsibilities of federal agencies are relatively less important (ibid). In US and other countries where there is comparatively more federal forest land, federal agencies are entrusted with more substantial power and responsibilities (ibid). In all cases, federal governments are responsible for those decisions that cut across the interests of meso level governments, such as the establishment of national environmental standards, administration of national and international trade forest product and the administration of international relations in forestry.

In a federal system, the central government usually has overall responsibilities and powers to govern the use of resources, activities and events that affect more than one state and that involve the production and administration of national public goods, and in some cases, international public goods associated with the environmental services, including those produced from forests. Member states or sub-national government, in turn, regulate and guide the actions of lower levels of government, local community entities, private individual landowners and private companies operating within the states. With a large number of functions undertaken at the lower levels of government, there is a greater possibility of forest governance being more responsive to local realities, but at the same time there is the risk of losing national policy

coherence and creating conflicts among states competing for central resources. Also, there is the very real danger of local elites capturing the local governance institutions, in the same way that national elites can capture decision making for the sector when it is centrally dominated (Colfer, *ed.*, 2012) and regional disparity between the forest resource endowed and the have not (White, *et al*, 2008). Thus, the balance between levels is an important consideration.

Often, the federal government influences or controls state activities that require national concerted action through federal laws, incentives (such as federal grants) and checks and balances related to uses of resources that have cross-state or multi-state implications(*ibid*). Also, because of their multilevel centers of power and responsibilities, federal structures of forest governance are complex, involving many institutions and strong cross sector linkages, e.g. with agriculture, water, transportation, sectors. Therefore, management and coordination of government activities becomes critical for quality forest governance (Schmithusen, 2003 and Brodhead, 2003).

Generally, forest governance in federal countries can exist in many different forms and with varying degrees of decentralization, depending mainly on how the central and sub-national governments are structured and organized, and on how strong they are.

2.6 The Experience of A Few Selected Federal Countries

The experience a few countries helps to view out area of strength and weakness in our countries and enables to draw out lesson from the experience of some countries tried to use on the sustainable base and mainly rely on large utilization of forest resource for economic development. Accordingly the experience of India, Brazil and Australia was assessed.

2.6.1 India

India was taken for assessment because it has a long account of federal system of government and joint forest management circular with local users of indigenous peoples. It is composed of 29 states and territories. It was deliberately kept flexible and envisaged that '*the Constitution can be*

both unitary as well as federal according to the requirements of time and circumstances’ (Radha, 2012). The 73rd Amendment to the Constitution passed in 1992 institutionalizes three tiers of local government at district (usually called *Zilla Parishad*), block (various local names) and village levels (*Gram Panchayat*), collectively called *Panchayati Raj* Institutions (ibid), and required states to decentralize governance further by granting powers and responsibilities to local self-governance institutions known as Panchayati Raj Institutions (Sarin, *et al.*, 2003).

In the forestry sector, decentralization of forest management began with the acceptance of people oriented forest policy in 1988, which gave priority to villagers’ needs and accepted their first ‘claim’ on the resource and followed by Forest Right Act (FRA), 2006, continuous process of decentralization (Ghate, 2009). The Joint Forest Management Circular issued by the central government in 1990 outlined the rights of local communities to use and manage forest lands (Steven Lawry *et al*, 2012). Joint Forest Management (JFM) has been employed in some areas, which involves partnerships between government and communities (White *et al*, 2008).

In Joint Forest Management agreements, sub-state governments are responsible for forest resources planning (ibid) and approved guidelines for its implementation since all of the states have adopted JFM (Kishwan *et al.*, 2007). The recent passing of ‘Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights) Act, (STOTFDA) in Indian parliament on 15th December 2006’, can be principally considered as ‘ideal recipe’ and one that has the necessary ingredients to make devolution meaningful (Ghate, 2009). The Act is presented as an effort to set right the injustice inflicted on forest dwellers by handing over ownership of local resources to the local communities.

For most of the 20th century, India’s forest management was strongly oriented toward timber production as a revenue generating and economic development strategy, often at the expense of rural livelihoods (Veron and Fehr, 2011). However, its 1988 National Forest Policy reframed forest management into a sustainable development strategy and emphasizes on environmental conservation and forest rehabilitation (Lawry, *et al*, 2012). The policy set a goal of placing 33 percent of India’s area under forest cover, highlighted the importance of forests as

sources of livelihood opportunities, and called for greater local participation in forest protection and management (Kishwan, *et al.*, 2007). While the earlier policy changes had impacted access and use of mainly non-timber forest products, the Forest Rights Act (FRA) has gone a step further by transfer of ownership as well as authority for managing the resource (Ghate, 2009).

FRA ensures that tribal communities and other traditional forest dwellers will have the legal right to live in forest land under the individual or common occupation for habitation of self-cultivation for livelihood; (1) own, collect, use and dispose of all minor forest produce (including bamboo and tendu, excluding timber); (2) have traditional seasonal resource access for nomadic and pastoralist communities; (3) rights to disputed lands; (4) rights of access to biodiversity and (5) community rights to intellectual property and traditional knowledge, etc. (FRA, Chapter II, section 3). Along with rights, FRA also empowers communities to protect wildlife, forest and biodiversity (Ghate, 2009). It fixes responsibility of protecting catchment areas, water sources and other ecological sensitive areas (FRA, Chapter III, section 5), thus creating a new democratic system of forest governance, which included rights with responsibilities (Sahu, 2008). However, controversies also arise even where the law is quite explicit about customary use rights. For example, the 2006 Forest Rights Act explicitly includes bamboo among non-timber forest products use rights, yet many state forestry officials continue to require villagers to develop management plans and obtain licenses to harvest bamboo (Narain, 2010).

Forests are governed by laws of both states as well as center since forest is a concurrent subject (White *et al*, 2008). States ownership of public land and natural resources coupled with legislative powers conferred by Article 246, List I and II of Schedule VII, of the Constitution defines the sharing of powers and responsibilities between center and states with respect to environmental and natural resources forest is concurrent (Srivastava, *et al*, 2012). The Central Ministry of Environment and Forests establishes the guiding legislative framework (Blaser, *et al.*, 2011), issues national policy directives and has responsibility for other functions that are national in scope, such as forestry research and monitoring of policy implementation, while the State Forest Departments have main operational duties and adopt state policies that must be in agreement policies issued by the central government (White, *et al*, 2008). Moreover, in the Indian context, due to poor experience of devolution attempted through various programs in

forestry sector, Sundar (2008) has even argued that “more, rather than less, direct government intervention – in the form of enforcing the rule of law, or providing a countervailing power to local elites – may in fact have more democratic consequences than formal devolution”(Ghate, 2009).

To conclude this part, India has registered better improvement towards forest resource management though there are some problems that affect efforts being done. For instance, the Forest Rights Act gives authority to the communities to own and manage a resource, but they are not aware of it (Ghate, 2009). The other positive note, India’s courts have a relatively strong record in supporting environmental protection and forest conservation, and in 2010, India established a National Green Tribunal to expedite the hearing of environmental and forest law case (Desai and Sidhu, 2010). India’s forested area grew at an annual rate of 0.21 percent between 2005 and 2010 (FAO, 2010). Furthermore, the international agreements made at different times and place positively affect Indian government to revise its laws, including the land to overcome or minimize environmental and natural problems.

2.6.2 Brazil

Brazil was taken for assessment because several challenges identified in the Brazilian case studies are common to community forests around the world, in both developing and developed countries. Since its independence in 1822 Brazil has had a federal structure (Kopp & Prud’homme, 2005). However, Brazil has experienced two centralizing dictatorships since 1930, though federalism remains quite strong in comparative perspective (Samuels and Abrucio, 2000).

There are three tiers of government in the Brazilian federation: the federal government, 27 states and more than 5500 municipalities (Kopp & Prud’homme, 2005). Brazil’s 1988 Constitution transferred significant autonomy and power to municipal governments (ibid). Thus Brazil’s public sector is highly decentralized (ibid) but until recently, there was no specific policy to transfer powers over natural resources or the environment to local governments and most key decisions and implementation of programs were under the aegis of the Federal Environment Institute.

Brazil recently passed a forest law that sets a framework for allocating the public forest domain to different levels of government, creates a new federal forest administration, a federal forest development fund, and decentralizes regulatory authority to the states (White, *et al*, 2008). Accordingly forest management decisions are shared among the federal and state governments, with many activities largely devolved to states and municipalities (Lawry, *et al*, 2012). While the national government generates overarching rules such as the placement of indigenous territories and protected areas, and conducts monitoring and enforcement, states have parallel departments that develop more specific regulations and enforcement programs (ibid). According to Nepstad, *et al*. (2009) the rules are clearer, it has become easier to identify illegal landholders, prosecution is more streamlined, and the cultural fear of land title legalization is subsiding.

The National Forest Service has responsibility for articulating the coordination between Federal, State and Municipal governments (White, *et al*, 2008). Forest management units must obtain environmental use license from the relevant entity of the National Environmental Management System (SISNAMA)(ibid). The Brazilian Forest Service, within, is the regulatory body for forest concessions, and managed and coordinated National Forest Development Fund and acts exclusively in public forest administration (USAID Country Profile, 2010). The National Forest Development raises and allocates funds for forest conservation and for the Forest Service (White, *et al*, 2008). The Brazilian Environment Institute (IBAMA) serve as Federal Forest Agency has responsibilities for monitoring and control in coordinating with state environmental agencies integrating the National Environmental Management System, SISNAMA (USAID Country Profile, 2010). State government can enter in to partnerships with federal agencies to introduce state level regulations and monitoring and control of compliance with them (White, *et al*, 2008). States are responsible for issuing regulations for the management of forest, and monitoring as well as compliance control (ibid).

The Brazilian government (Federal, state, municipal and federal district governments) owns rights to forest resources, though many tenure types allow communities management and exclusion rights (Lawry, *et al*, 2012). In the Legal Amazon, 44 percent of land has been placed into Indigenous Territories or Conservation Units. Private land occupies 23 percent of the

Amazon and Rural and Quilombola (slave descendent) settlements and military areas occupy 6 percent (ibid). The final 27 percent of the Brazilian Amazon is still in dispute. Indigenous and Quilombola communities have use, management, and exclusion rights of their forest resources, although they still must create forest management plans to commercialize their forest resources (ibid).

A few decades ago in Brazil communities had few rights over forest resources and received little in terms of benefits from forest industries operating in their areas (Innes, *et al*, 2012). Community forestry in Brazil came about from an exogenous push largely by non-governmental organizations (NGOs) trying to promote more sustainable forest practices (Neto, 2000). Since the early 1990s, community-based timber management projects have been initiated in national forests, extractive reserves, and agricultural colonization areas, after community-based management was identified as one of the principal means to reduce deforestation (Porro and Stone, 2005). In 1996, a program known as Pro-Manejo was put in place to promote formal timber management by communities, and Brazilian forestry law was reformed to create a category for community forest management for timber in 1998 (Hajjar, 2011). Up to 25 million hectares of public forests are expected to be destined for local communities (ibid). After the turn of the century, community forestry proliferated in the Brazilian Amazon, representing a variety of different experiences, with diverse organizational structures, business models, target social groups, and differing access to forest resources and end products (Neto, 2000). However, Pokorny and Johnson (2008) stated that existing support strategies for community forestry in the Amazon are based on the top-down transfer of knowledge generated by offsite experts. Medina *et al.* (2009) state that “community forestry has been dominated by the interests of powers outside the communities and has been transformed into an issue that only well-educated forest engineers can discuss”, noting that, in many cases in Brazil, either the logging companies or the development organizations are making the decisions.

Generally, the decentralization of forest resource management in Brazil contains both decocentration and forest devolution governance investments aspect of decentralization. Forest governance in Brazil has dramatically improved in the past decade. The Brazilian government and several NGOs have also made significant advances in detecting deforestation and

degradation through remote sensing and have been using this information to enforce forest management laws.

2.6.3 Australia

Australia was taken for assessment because it is a developed federal country which is well known with its forest product. Also it can convey information about local users of indigenous peoples. Australia was formed as a federation of previously independent colonies (Gregersen, *et al.*, 2004). Many Australians regard the main direction of change in Australia's systems of government, since the 1940s, as primarily one of centralization – the growth of federal power, and the progressive decline in influence of the once-powerful state governments (Craven, 2005). On the other side, regionalism (strong centralized governance at the state level) has a long and somewhat tortuous history in Australia (Brown, 2011). Thus in Australia, comparatively strong meso-level government forestry agencies have dominated and continue to dominate the picture (White, *et al.*, 2008).

The three levels of government (Federal; State and Territory; and Local government) in Australia have specific interests in and responsibilities for forest management (NFPS, *ed.*, 1995). However, the governments share a vision of ecologically sustainable management of Australia's forests. Federal Forest Agency and federal responsibilities; the Department of Agriculture, Fisheries and Forestry responsible for environmental protection; Management of the federal forest estate; Control of international trade in forest products; Land use in the territories; and General directives for forest resources management for all states or overall sectorial strategies deals with forest governance as a forest institution (State of the Forests' reports, Criterion 7, 2013). Thus forestry is now just a small component of larger integrated departments or multi-resource agencies. The coordination among multiple levels of government guided by the National Forest Policy Statement (*ibid*), Regional Forest Agreement and Natural Heritage Trust (White, 2008). In addition the Australian Forestry Council has developed a set of national principles to be applied in the management of native forest resources used for wood production on both public and private lands (*ibid*).

In recognition of the constitutional responsibility of the States for land use decisions and their ownership of large areas of forest, State (region) and Territory governments have primary responsibility for forest management (White, 2008). State Forest Agencies' responsibilities cover Land tenure; Land use; Public forest management; Water supply; Regulation of private forestland practices State governments (but not territorial governments) legislate forest practices and apply the same codes of practices as on public forest land; and grant licenses for forest management on public land (ibid). Local governments have responsibilities for local land use planning and rating systems, which affect public and private forest management and use (NFPS, 1992, *ed.*, 1995).

Private landowners, collectively as managers of large tracts of forest or cleared land suitable for plantations are also important in the development of a national forest policy (ibid). One part of the national policy changes described by Gregersen *et al.*, (2004) sought to encourage private sector investment in plantations and did so principally by promoting incentives in which the primary one (applicable to all primary production, not just forestry) was the capacity to charge the costs of establishment against taxable income at the time those costs were incurred, rather than waiting until the timber revenues were realized. Until the early 1990s, state governments were the major plantation owners (Australian governments' report, 2013). Since then, there has been increasing private sector investment in plantations. As such, private ownership of plantations increased from about 30 per cent in 1990 to more than 74 per cent in 2010-11. About 70% of Australia's forests are under private management (ibid). In short, the trend to privatization in the plantation sector has demonstrated the capacity of privatization, or the move towards it, to achieve greater allocative efficiency while maintaining and improving environmental standards, and to create a favorable environment for appropriate investment in growing and processing (Ferguson and Chandrasekhar, 2004).

Government has a shared responsibility to ensure that the community receives the optimum return from all uses of public native forests (NFPS, *ed.*, 1995). This involves two aspects of management of those forests: first, meeting community service obligations such as providing recreation access and facilities, and meeting other social and conservation objectives; second, managing forests for commercial products and uses (ibid). However, Australian government

does not devolve forest management to the community rather it promotes community engagement and privatization.

Community engagement in Australian forest management has been described as anything from providing contact information for people to use if they have a concern about plantation management, to long-term community advisory groups that advise local government and forest management companies on local concerns and measures to actively address such concerns (Dare, Schirmer, & Vanclay, 2008). To increase community engagement, the National Forest Policy Statement (Commonwealth of Australia, 1992) calls for public awareness and involvement in the management of Australia's public forests through consultation processes and the availability of forest information (State of the Forests' reports, Criterion 7). Along this, raising awareness and increasing indigenous community participation in forest management is encouraged as a key aim of the National Indigenous Forestry Strategy (State of the Forests' reports, Criterion 7, 2013). Thus National Indigenous Forestry Strategy 2005 encourages Indigenous community participation in the forest industry and contributes to the overall sustainable development of Indigenous land and communities, addressing areas such as natural resource management, business development, cultural heritage, education, employment and training (ibid). This is to be accomplished through regional planning forums and networks, which are intended to bring together Indigenous communities, industry and all levels of government (ibid).

Generally Australian forest resource management envisioned ecologically sustainable management of Australia's forests. Relatively, strong meso level government, privatization and de-concentration or administrative decentralization of forest resource management/governance are the mode of Australian forest governance in which vertical accountability dominates the downwardly accountability. Thus the Australia's National Competition Policy has led to several reforms that affect the competitive climate for Australian forest-based industries, including that commercial state-owned forest entities be competitively neutral with the private sector.

2.7. Lesson Drawn From the Experience of the above Countries

As shown in the above, even federal countries have a wide variety of legal and administrative structures with different degrees of decentralization. Thus this review of patterns of decentralization of the forest administration reveals that there is no one model for decentralization of authority and decision making and that decentralization processes in many of the countries are still in a transitional state. Functions that are decentralized are variable as is the extent and intensity of decentralization. Interactions between agencies of government are generally complex at all levels of government as also are the interactions with private sector and the civil society. Some governments allow more local governance and the participation of other non-public sector actors either in the form of consultation related to key local decisions or more active sharing of decision related to key governance decisions. Some decentralized governments are according a greater recognition to traditional rights of rural communities and thus creating a completely new sphere of government administration of forestlands (e.g. India legislate new Tribal property right bill), while others continue to subdue or deny these traditional rights thus imposing forest management decisions that often are intensely resisted by traditional communities and often not in their best interest.

Until recently the despite her long lived federal system of government forest governance in Brazil were centralized. The majority of forest ownership rest on federal government in both Brazil and India while in Australia majority of the forest own by provincial government (Colfer, *ed.*, 2012). In Australia without constitutional change the central government gradually empowered itself through the use of intergovernmental relation and media influence, tend to dominate the provinces.

Also, this review of patterns of decentralization reveals that strong central government guidance and overall leadership is desirable. The central government should be active enough in overall leadership and Local government should act in conformity with national law. Decentralized forest management does not mean less need for a strong central government. Subsidiarity: appropriate responsibilities and power for each level of government. Countries with

effective forest governance have implicitly or explicitly advanced in applying the subsidiarity principle, which states that forest governance functions should take place at the lowest administrative level of government (e.g. Indian Tribal community forest management).

2.8. Forest Management in Ethiopia

Before 1995, the successive forest management regimes largely based centralized approaches to manage forest resource in Ethiopia which in turn has had a largely negative impact on the resource base, stripping local communities of their access to and control of resources to a greater and greater extent (Abebe, *et al*, 2009). However, there was some private forest of land lords, church and nobilities during Emperor Haile Sellessie (Kathleen and John, 2011). After 1941, Emperor Haile Selassie declared a law to privatize land and limit access to forest land (Tadesse and Alemtsehay, 2012). This proclamation was in operation until the Derg regime came to power. In 1975, the Dergue regime came into power with a new proclamation, nationalizing lands and putting administration of land under highly centralized system. The proclamation no. 31/1975 of Derg government was made all rural land under property of the state and abolished private ownership of forest with its negative implications for long term investment in land such as tree planting by individuals (Alemu and Bluffstone, 2008). The proclamations in the two regimes did not save the forest resources from degradation as majority of the lost forests were destroyed in this period.

The Ethiopian People's Revolutionary Democratic Front (EPRDF), has introduced regionalization as a key strategy towards decentralized governance. Regions have been given responsibility for self-government, working under a federal administration. Constitutionally, all regional governments have been given substantial formal powers to plan and execute social and economic programs in the localities. According to the FDRE constitution (article 52 sub article 2(d)) the power to administer land and other natural resource in accordance with Federal laws have been given for regional governments. Since, 1995 the FDRE government has adopted decentralized forest management as a pivotal approach for balancing biodiversity conservation with demand for economic development, and for improving forest-dependent peoples'

livelihoods. However, the forms and fate of decentralization varies from Werada to Werada or region to region.

In Ethiopian forest management there are three forms of decentralization: Devolution to government administrative branches; Devolution of selected decision-making power to local communities; and Delegation to enterprises has been practicing. Devolution to government administrative branches enables Weredas to govern themselves and downwardly accountable to local populations. Devolution of selected decision-making power to local communities is practiced through participatory forest management (PFM) in which the users' right and management responsibility transferred to organized local community. The delegation to enterprises refers to delegation of high priority and other forest to semi-autonomous enterprises. The first objective of this enterprise is to develop, conserve and utilize forest resources on a sustainable base, and profit maximization in its concession.

CHAPTER THREE

BACKGROUND OF THE STUDY AREA AND METHODOLOGY

3.1 Background of the Study Area

Adaba-Dodola is one of the Forest Priority Areas (FPA) in the Oromia Region of Ethiopia. In the past the forest was privately owned by a number of landlords. In 1974 the forest was nationalized. In 1986 it was designated a state-owned FPA covering 140,000 ha. Its forest remnants cover part of the northern slopes of the Bale Mountains in the two districts of Adaba and Dodola. In 2006, the district forest covers 340,000 ha (OWFE, 2014). About 30 villages (Kebele) are more or less close to the forest. Three of the kebele territories cover about one quarter of the area or 15,000 ha still considered forest. These are Barisa, Bura-Adele and Danaba peasant association (ibid).

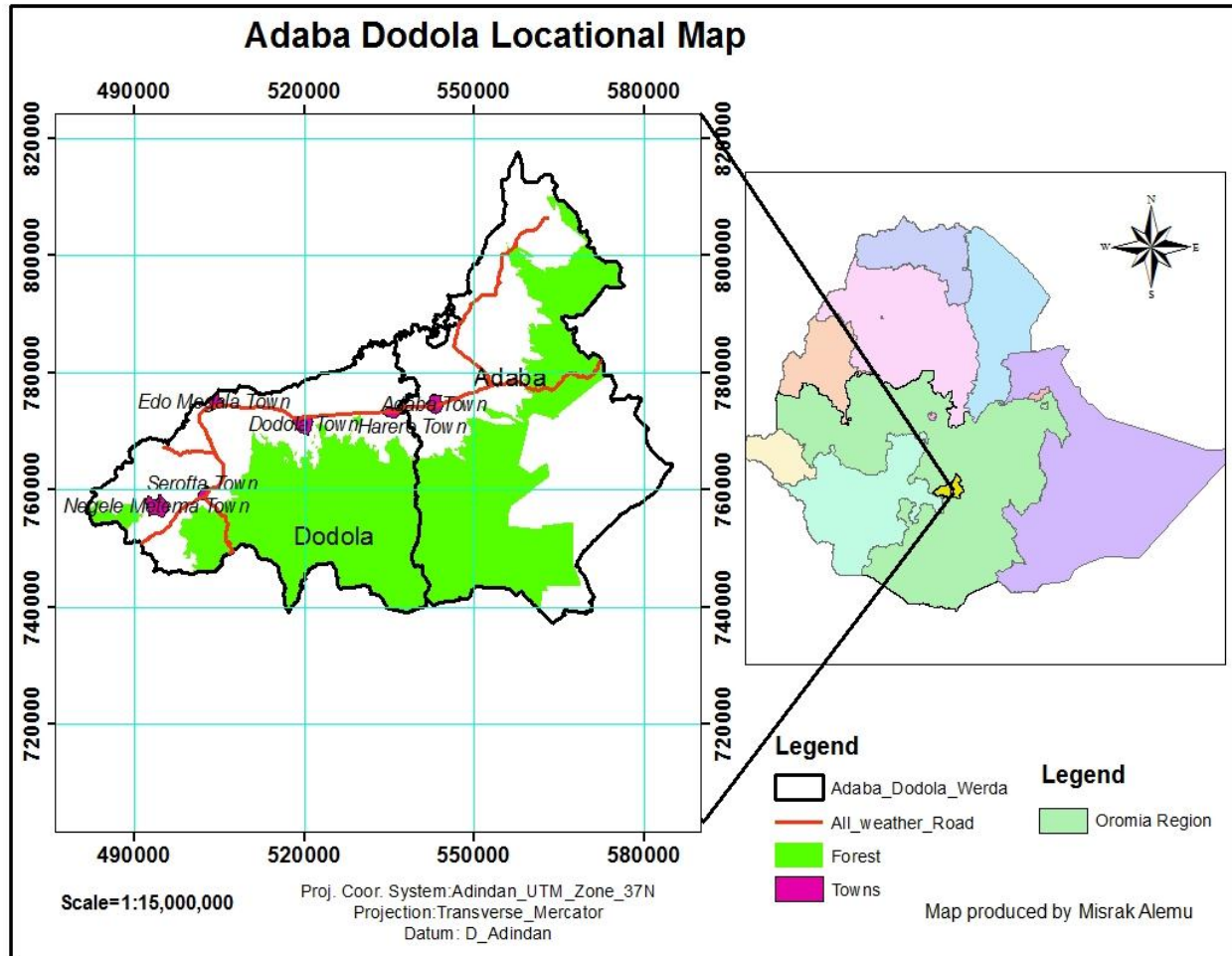
Currently the district forest managed by OFWE and 92 Community Based Organizations which are called Waldaa Jiraattota Bosonaa (WAJIB), 12 Cooperatives and Farichu Rayya Forest Protection and Conservation Union (FRFPCU, 2014). In this district the OWFE administer a total of 61953 ha. Among this 1519 ha used as plantation area, 42480 as natural forest and 17954 ha is denoted 'other land' (Regulation No. 122/2009, Art 16). The Community Based Organizations (WAJIBs) shall administer totally 36288 ha in which 690 ha is a plantation area, 32854 ha contain natural forest and 2744 ha denotes 'other land' (FRFPCU, 2014).

3.1.1 Physical Conditions of the Area

Location: The project site is Adaba-Dodola, which is located in West Arsi zone (former part Bale zone), Oromia region. This Forest Priority Area established in 1982 at a total area of 140,000 ha. By then it was named as Adaba-Dodola-Lajo Forest Priority Area. The Lajo part is deforested and converted to other land use system and the name of the priority area is renamed as Adaba-Dodola. The Adaba- Dodola natural high forest found adjacent to a tree less high plain Bale and Arsi Zone that is intensively cropped and densely populated areas. According to

Ministry of Agriculture, Adaba-Dodola forest is an integral part of the main Bale-Mountain forest. It is situated in the mountain range south of the Wabeshebele River with Dodola in the West, Adaba in the middle and south and Lojo in the east. It is located at 38055' - 39040' east longitude and 6040' - 7005' north latitude (OWFE, 2014).

Figure 1: Location and Main road takes to the study area



Source: OWFE

Topography: The topography is rugged, made up of mountain chains. It consists of a range of hills on top of the continuous mountain landmass. The altitude ranges from 2500 – 3753 meter above sea level. It is the source of several streams, which are tributaries to the Wabe Shebele river. It is the most important source of water for the Melka-Wakene hydroelectric 15 dam. 80 percent of the total area has slopes of less than 200, 40 percent of total has slopes less than

3(OWFE, 2014). The Bale Mountains eco-region is known for its extensive area of Afro-alpine, as the origin of four major rivers which are the only sources of perennial water for the arid lowlands of the east and southeast of Ethiopia, and for its unique and diverse fauna and flora (CRSO-BARD).

Climate: The climate is cool in the mountain range, and warmer in the lower valleys. The climate of Bale ranges from tropical in the southeastern lowlands to alpine in the northwestern highlands, the altitude varying between 400 and 4377m. The mean annual temperature ranges from 15⁰ C to 25⁰ C (OWFE, 2014). The daily temperature varies between 14°C and 17°C at an altitude of 2500m (ibid). About 60% of the rainfall comes in the main rainy season from June to August while a small amount of rainfall occurs between January and March followed by a dry spell in May. The mean annual rainfall is 1000mm with two peaks, one during February/March, and the other from June-September (OWFE, 2014).

Soil: The soil is volcanic in origin, mainly from alkali basalt and tugs and generally of well-structured silt or clay-loam of more than one-meter depth on the gentle slopes, in the valleys and depressions. It is generally shallow on slopes and on top of hills whereby rocky outcrops are regularly observed. The color is reddish brown, well drained and of medium texture. If forest cover is removed, erosion can be expected (OWFE, 2014).

Forest types and species: The Adaba-Dodola forest is one of the last remnants of afro-montane, dry evergreen coniferous forests in the country, which makes it a unique source of species diversity. The forest area is situated in the Bale Mountains eco-region. Vegetation cover is very heterogeneous. Above 2700 m Hagenia forest, between 2300-2700 junipers forest. In the lower sections (steep and moist valleys) also Podocarpus forest. *Juniperus procera*, *Podocarpus facatus*, *Hypericum lanceolatum*, *Erica arborea*, *Aiophylus abyssinicus* and *Maytenus addata* and *Hagenia abyssinica* are the main indigenous tree species. Some other tree species include: *Maytenus*, *Allophylus*, *Olea*, *Prunus*, and *Schefflera*. Some small trees: *Rapanea*, *Melanophloeos*, *Bersama*, *Dombeya*, *Ekebergia*, *Ilax*, *Lepidotrichilia*, *Olinia* and *Hypericum* (OWFE, 2014).

3.1.2 Population

The total population of the two Wereda of Adaba and Dodola is about 392,980 persons. The total population of the Dodola Wereda is about 194,000 in which urban population is about 35, 000 (18%). The total population of the Adaba Wereda is about 198,980 in which urban population is about 17221 (8.655%). There two forms of households in Adaba-Dodola forest district. The non WAJIB members household which live in and nearby Adaba-Dodola forest outnumber the WAJIB members' household. Accordingly, there are about 2498 households members of WAJIB in Adaba-Dodola forest district in which male headed households account about 1927 and female headed households account about 571(Adaba and Dodola Woreda, 2014).

3.1.3 Socio-economic description

The agricultural system of Arsi-Bale is predominantly a cereal farming system (OWFE, 2014). The crops are mainly cereals, pulses and oil crops with root crops generally being of minor importance. On the other hand, integration between crops, livestock and trees is very weak compared to other agricultural systems. Livestock provides draught power but manure is not important in the cropping system. Accordingly, the cereal land system in the Bale-Arsi highlands is characterized by very large plateaus that are almost totally devoid of trees except the steeper uncultivated slopes where remnants of the natural forest can be seen (ibid).

A particular feature of the Adaba-Dodola forest area is its quite homogenous occupancy by livestock dependent farmers. The vast plains to the north of the forested mountains are characteristically devoid of trees and greatly dependent for forest products on the Adaba-Dodola and other nearby forest areas. More than 200,000 people depend on their living from the forest of Adaba-Dodola (ibid). On average one third of the households' incomes are forest incomes (Campbell, *et al*, 2011). The share of forest *cash* income was even higher, 53 %(ibid).The main sources of income for the local communities are selling of crop, livestock and forest products obtained from forests. Moreover, some farmers are now working with off-farm activities such as guides to tourist sites, renting horses to tourists and serving in the tourist huts, which were built by the project for the purpose of income generation for local communities (ibid).The forest

dwellers mainly depend on animal husbandry. Crop production plays a minor role in their livelihood. Within the forest zone, the importance of livestock grows with rising altitude. Open spaces at the forest edge are mostly used for wheat cultivation; the coverage of barley fields in the mountains is much less. Instead, grazing livestock is highly prevalent. In some areas there are *enset* plantations (edible plant) around homesteads (OWFE, 2014).

It is observed that the livelihood of the majority of the WAJIB members is dependent on mixed farm, which constitutes farming outside the forest area and animal husbandry. Commercialization of forest product by the WAJIB members undertaken in form of supply to cooperatives (FRFPCU, 2014). The households have been expected to sell their forest produce to the cooperative. Then cooperatives supply to open markets. Individual supply to open market makes difficulty the effort to control illegal activities or encroacher. Supplying to the local market is considered an illicit practice. Similarly, timber products bought from the local market are considered as contrabands and cannot pass check points. Traders must therefore bid for and buy these products from the cooperatives and obtain authorization from the agricultural bureau to transport them to larger towns such as Shashamene. Otherwise, they have to smuggle them illegally. However, as the price set in the cooperative is less flexible and usually lower than the market price, considerable numbers of households still sell to consumers or wholesalers in the town. Forest products, including charcoal and firewood are also purchased by traders from nearby towns who transport and resell these products for profit.

3.2 Research Methodology

In an attempt to examine the impact of decentralization on forest resource management, case study research design was used. Along this, a mixed approach that was a blend of both qualitative and quantitative approaches was used in which quantitative approach was more used. This approach would help the researcher to gather both qualitative and quantitative data at the same time and merge or integrate them to understand and come up with a comprehensive as well as deep analysis (Creswell, 2005; Creswell, 2009; Gay, Mills and Airasian, 2009) of the research problem so as to uncover the influence of decentralization in forest resource management. The Qualitative approach is used because it provides in depth information about the district while the

quantitative approach was developed because it provides wide information that reflect general patterns of the district. The study is conducted desk review (document analysis) and then followed by actual field visits that included the various echelons of the environmental and natural resource management system.

3.2.1 Data Type and Source

The data were gathered from both primary and secondary sources from federal, regional and warada level environmental institution. The primary source includes household in Waldaa Jiraattota Bosonaa (WAJIB), Ministry of Environment and Forest (MEF) official and experts; Oromia Agriculture Bureau (OAB) official and expert; Oromia Rural Land and Environmental Protection Bureau (ORLEPB) expert; Oromia Pastoralist Area Development Commission (OPADC) official; Warada Agricultural Office (WAO) experts (from both Dodola and Adaba); Oromia Wild Life and Forest Enterprise (OWFE) experts; Forest Cooperatives (Umbrella organization for WAJIBs) leaders and Board of Farachu Rayya Forest Union.

Secondary sources of data include the 1995 Constitution; ‘Magalata Oromia’ or Oromia Constitution, 1995; The FDRE Criminal Code/Proclamation No. 414/2004; A Proclamation to Provide For the Development, Conservation and Utilization of Forest (Proclamation No.542/2007); Rural Land Administration and Use Proclamation (Proclamation no.456/2005); Proclamation No. 72/2003 Forest Proclamation of Oromia Region; Forest Block Allocation Agreement (2009) at Adaba-Dodola; Proclamation No. 295/2002, provides for Environmental Protection authority reestablishment; Proclamation No.803/2013, provides to amend the Definition of Powers and Duties of the Executive Organs of the Federal Democratic Republic of Ethiopia; Proclamation No. 295/2002, provides for reestablishment of Environmental Protection authority reestablished under; Proclamation No.456/2005, provides for Federal Democratic Republic of Ethiopia Rural Land Administration and Land Use; Proclamation No.120/1998 provides for establishment of Ethiopian Institute of Biodiversity Conservation; Proclamation No. 381/2004 provides amendment for Institute of Biodiversity Conservation; Proclamation No. 575 /2008 for establishment of Ethiopian Wildlife Conservation Authority; Regulation No. 163/2008, provides for wildlife development, conservation and utilization of Ethiopian National Parks and

Sanctuary; and Regulation No. 122/2009, provides for the establishment of Oromia Regional State Forest and Wildlife Enterprise.

3.2.2 Sampling Design

Oromia region possess a vital position in terms of both forest and population. It has about 70 % of the country's natural high forest. From Oromia region, Adaba-Dodola district forest management was purposively selected, because it can provide the information on three aspects of decentralization (political decentralization, Delegation, and forest right devolution) in one district. Simple random and Purposive samplings were employed. In simple random sampling, lottery method was used to select 370 (14.8%) including both sexes, female 93(3.72%) and male 277(11.08%) from 2498 WAJIBs members households/total population.

In the second type 29 key informant respondents were purposively selected and interviewed. These respondents were selected from Ministry of Environment and Forest (MEF) officials and experts (4 respondent); Oromia Agricultural Bureau (OARDO) official (1 respondent); Oromia Rural Land and Environment Protection Bureau (ORLEPB) experts (1 respondent); Oromia Pastoralist Area Development Commission (OPADC) expert (1 respondents); Warada Agricultural Bureau (WAB) experts (2 respondents); Warada Rural Land and Environment Protection Bureau(WRLEPB) (2 respondents); OWFE expert (4 respondents); Forest Cooperatives (umbrella organization for WAJIBs) leader (11 respondents) and Board of Farachu Rayya Forest Union(3 respondents). The following table depicts the Simple random sampling of household briefly.

Table: 1 Household random Sampling

No.	Name of Cooperatives	Population/ Households			<i>Sample Taken</i>			Area occupied	
		M	F	Total	<i>M</i>	<i>F</i>	<i>Total</i>	Block	Hectare
1	Ashana Robi	94	26	120	23	4	27	4	1685
2	Dobado Kusse	202	85	287	23	15	38	10	--
3	Bubissa Nagele	35	10	45	3	0	3	2	--
4	H/Dakiye	140	40	180	12	7	19	7	2791
5	Bucha Rayyo	77	13	90	21	0	21	3	1170
6	Gannata	71	17	88	17	3	20	4	1066
7	Addele	236	78	314	29	14	43	12	5781
8	Buraa Calle	206	48	254	37	8	45	10	3419
9	Dannaba	313	109	422	48	22	70	15	5101
10	Qacama	244	34	278	34	8	42	10	2596
11	Barisa	134	28	162	17	1	18	6	2635
12	H/Bubiftu	175	83	258	13	11	24	4	2508
Total		1927	571	2498	277	93	370	87	--

3.2.3 Instruments and Techniques of Data collection

Questionnaires, Key Informant Interview and Document review were used for collecting the data pertinent to the study. This is because using more than one data gathering instrument is advisable to assure the reliability of the data (Yalew, 2004).

Questionnaires: It was chosen because it enables to get detailed data to understand the general pattern of the district. It was utilized to collect data from forest dwellers households. The questionnaires have two parts; the first part contains direction and background information while the second part contains 24 closed items. The second part was prepared to gather data about status and trends of decentralized forest management in study area; the contributions for decentralization for sustainable forest management and economic contributions of decentralization in forest resource management for forest dwellers.

Each items consisted of five points of scales with ‘Strongly Agree’, ‘Agree’, ‘Undecided’, ‘Disagree’ and ‘Strongly Disagree’. The questionnaires were directly developed from the research questions of this study and from review of the literature. Initially questionnaires were prepared by English language and later translated to Afaan Oromo for household better understand. Before the actual implementation of the questionnaires a pilot test was conducted in a certain WAJIBs organized under Barisaa and Qacama cooperatives to check the reliability of the questionnaires. The reliability of questionnaire items was found using Croon Bach Alpha and the result was found to be 0.89. Thus the questionnaire items are reliable. Regarding to the Validity of questionnaire, items on a questionnaire directly click or touch the issues and agent of decentralization. Therefore this questionnaire was designed to measure what actually claimed to measure. Finally, the questionnaire was distributed and administered with the support of three district’s inhabitants namely Sanyii Mohammed, Gada Waaqoo, and Umar Kadir.

Key Informant Interview: it was chosen because of the expectation that these key informants have extra or special knowledge on the study arena. Unstructured in depth interviews on six major questions have been used. Key Informant Interview would be hold with Ministry of Environment and Forest (MEF) official and experts; Oromia Agricultural Bureau (OAB)

official; Oromia Land and Environment Protection Bureau (OLEPB) expert; Oromia Pastoralist Area Development Commission (OPADC) experts; Warada Agricultural Bureau (WAB) experts (from both Dodola and Adaba); Warada Land and Environment Protection Bureau (WLEPB) expert; OWFE official and expert; OWFE/district level Experts; Forest Cooperatives (Umbrella organization for WAJIBs) leaders; Board of Farachu Rayya Forest Union and NGO's Workers.

Document Reviews: all the relevant documents identified in the above subtopic 'data type and source' in secondary sources of data were reviewed or appraised.

3.2.4 Data Processing and Analysis

The analysis of qualitative data gathered through key informant interviews, started by understanding the process, study people or what happening there; then organized into a variety of meaningful themes and category of narration; validated by review literature; coding and connection and reflection between research question and data analysis have made. Finally, from the similar themes, some direct quotations have been used to show direct views and words as they were told by the informants. The quantitative data obtained through questionnaires was systematically organized, categorized and tabulated for all stakeholders. The researcher used a Statistical Package for the Social Sciences (SPSS) to produce tables, frequencies and percentage. For simplicity only three scales: 'Agree' (Agree +Strongly Agree), 'Undecided' and 'Disagree' (Disagree + Strongly Disagree) were used in the analysis. Following this, the data were presented, analyzed, discussed and interpreted in an attempt to draw meaning out of it. Indeed, the entire data (Qualitative and Quantitative) of the study were critically analyzed, interpreted and reported.

CHAPTER FOUR

DATA PRESENTATION AND ANALYSIS

This chapter deals with presentation and analysis of data. The Analysis begins with documents review on Forestry Management Policy, Legal and Institutional Aspects of Ethiopia and proceeds to the data gathered through questionnaires and key informant interview.

4.1 Background of the Households

The following table shows the distribution of samples taken by sex, age grade and educational qualification.

Table: 2 Backgrounds of the Households

No		Sex			Age			Educational Qualification				
		M	F	T	< 25	25-45	> 45	Illiterate	Adult Education	Primary school	Secondary	Diploma
1	Respondents	277	93	370	-	218	152	171	147	50	2	-
	Households	72.5 %	27.5 %	100 %	-	58.92 %4	1.08 %	47.88 %	39.19 %	12.51 %	0.54 %	-

As table 2 shows that 277(72.5%) of respondents are male households while female house households constituted 93(27.5%). This indicates that the number of female headed household in the study area is low. All of the households are above 25 years old. This indicates that young peoples have limited access to be members of the WAJIB. Moreover, the establishment of WAJIB and involvement of new members depend on the criteria and forest carrying capacity. Regarding to educational background 171 (47.88%) of household are illiterate; 147 (39.19%) of household have followed adult education; 50(12.51%) of household have completed primary

school, and 2 (12.51%) of household have completed Secondary school. This indicates that the slight majorities are relatively educated, this in turn support the process of forest management.

4.2 Legal, Institutional and Forest Policy in Ethiopia

In the national context; policy, institutional and legal documents of the country are substantial to integrate the principles of sustainable development in to country policies and programs and to reverse the loss of environmental resources. According to United Nations Forestry Forum (UNFF) policies, legal and institutional aspects are the significant elements of sustainable forestry management. Therefore, the policy, legal frame work and institutional frame work was assessed in detail in the following section.

4.2.1 Legal Aspects of Forest Management

Although, forest policy is a recent phenomenon in Ethiopian history, there are enactments and legislations concerning forestland ownership, utilization, and conservation over a period of time. Thus, since the legal aspect of the country contributes in enforcing environmental issues, related provisions of FDRE constitution, environmental offences and punishments enshrined in the criminal legislation of Ethiopia as well as other specific legislations on forestry management are to be reviewed.

A. Constitution

The Supreme law of the land, the constitution of the Federal Republic of Ethiopia, (Proclamation No. 1/1995) recognizes “*All persons have the right to a clean and healthy environment*” (Art. 44(1)). As many researches show, one of the mechanisms to ensure these issues is through forests, which can keep the air, soil and water free from pollutants. Even though, there is no specific provision concerning forest cover in the constitution, there are two provisions indirectly related to forestry as a part of natural resource/environment. These are Art.51 (5) which authorizes the federal government “*to enact laws for the utilization and conservation of land and other natural resources*” and Art.52 (2) (d) which authorizes the regional states “*to administer land and other natural resources in accordance with federal laws*” (FDRE constitution, 1995).

Therefore, in principle, every policies, strategy and law designed and made in relation to conservation and/or utilization of land and natural resources is based on these provisions.

B. The FDRE Criminal Code/Proclamation No. 414/2004

The FDRE Criminal Code is also very much concerned about environmental issues since it states type of offences committed against environment and the respective penalty or punishment. It gives emphasis on issues related to forestry protection either in explicit and implicit manner. For instance, propagation of parasite or germ to agricultural or forest crops is punishable (FDRE Criminal Code, 414/2004, Art.516). When the act is committed intentionally, it will be punishable with simple imprisonment or fine, or where the act is malicious or intentional to cause substantial danger, the punishment shall be simple imprisonment for not less than three months. While the crime is committed negligently, it entails simple imprisonment not exceeding six months or fine (FDRE Criminal Code, 414/2004, Art.515). In addition, offences of environmental pollution in breach of environmental law, discharges pollutants in to the environment are also punishable from fine to rigorous imprisonment as to the seriousness of the consequences caused by the discharge of pollutants. Whoever without obtaining authorization from the competent authority, implements a project on which an environmental impact assessment is required by law, or make false statements concerning such assessment, is punishable with simple imprisonment not exceeding one year (FDRE Criminal Code, 414/2004, Art.521).

C. A Proclamation to Provide For the Development, Conservation and Utilization of Forest (FDRE Proclamation No.542/2007)

Proclamation No.542/2007 contains prominent specific prohibitive provisions that have a significant role as source a forest law. New thing in this proclamation is that no person is allowed to cut or use endangered indigenous natural trees from state forest (Art.14 (1)). Without prejudice to the list of endangered species determined by directives issued by MOA or appropriate body, no one is allowed to cut trees, settle temporarily or permanently, graze domestic animals, carry out hunting activity, carry cutting saws and any other tools used for

cutting trees, or keeps bee-lives or extract honey within a state(Art.14(3)). However this proclamation has some gaps in addressing community forest ownership. Unlike the Oromia regional state, it does not recognize community forest ownership (Proclamation no. 72/2003, Art.6), which is the third type forest ownership. The federal Proclamation No.542/2007(Art.4) allows forests to be designated as either private or state owned, only two type of ownership. State forests may be given as concessions for enterprise, association and privately managed plantations or retained for conservation management by government organizations in participation with local communities (Proclamation No.542/2007(Art. 4(1 & 3)).

In articles 10(3) and 10(4) of the Proclamation No.542/2007: ‘... the local community may reap grasses, collect fallen woods and utilize herbs from a state forest in community with the management plan developed for the forest by the appropriate regional body’ and ‘... the harvesting of forest products, grass and fruit as well as the keeping of beehives in state forests may be permitted based on the objective realities of the locality.’ Thus beyond these subsistence use of forest this proclamation does not grantee community forest ownership. Accordingly, this proclamation only attempt to protect the subsistence of households in return to community participation rather than promoting community based forest management institution. Also along with state forests, private forests can be legally accessed. However, at present the authorities are not registering individually held land located in within high forests, as it is assumed to be within the boundary of a state forest.

D. Rural Land Administration and Use Proclamation (Proclamation No.456/2005)

Federal Democratic Republic of Ethiopia Rural Land Administration and Land Use proclamation no.456/2005 sub-article 6 states that rural lands, the slope of which is more than 60%, shall not be used for farming and free grazing; they shall be used for development of trees, perennial plants and forage production (Anonymous, 2005). According to this proclamation, it has become necessary to sustainably conserve and develop natural resources and pass over to the coming generation through the development and implementation of a sustainable rural land use planning based on the different eco-ecological zones of the country. Accordingly community holding is

recognized and given to the local residents for common grazing, forestry and other social services. Community holdings in the rural context are very important not only for developing community forests but also ensures grazing lands. This provision is very important for community development and conservation of forests and forestry related activities (PFM, bee keeping, etc.) by the community.

Along Federal government path regional government also legislate forest management policy, strategies and laws depend on their context. For instance, SNNPRS Forest Management, Development and Utilization Proclamation No. 77/2004 and Oromia Forest Proclamation 72/1995 and other regulation. The following subtopics reviewed the legal framework Oromia regional state forest state and Participatory Forest Management/WAJIBs of Adaba-Dodola district management

E. Proclamation No. 72/2003 Forest Proclamation of Oromia Region

This proclamation recognizes state, private and community forest resource ownership types (Proclamation No. 72/2003, Article 3). It incorporates detailed regulatory provisions and prohibited activities with their respective penalty (Id., Article 4, 7,9,14 and 15). Even though, participatory forest management (PFM) or community forestry did not get national policy coverage, Oromia Forest Proclamation 72/2003 recognized community forest ownership. Accordingly, community forests could include State owned forests or other patches outside State forests that are handed over to an organized local community (Proclamation no. 72/2003). The proclamation stipulates that the utilization of community forest should be according to the agreement among community members that is approved by the authority. The community members have the right to use forest products sustainably. They must also protect against encroachment, to ensure that utilization is less than forest growth and pay the rent set by the authority.

However this proclamation has gap, that is it does not designate the forest governance authority to any of regional government administrative branches. Accordingly, in Oromia national regional state the highest regional forest authority did not defined or well known. For

instance section two, article 4 of the proclamation issued that '*the Authority designated for protection, development and management of the state forest in Oromia region*'. According to article 4(10) the Authority expected to inspect the performance of forest enterprises based on their management plan, ensure the sustainable use of the forest resources for a long duration; and expected to provide the necessary technical support to the forest enterprise. At regional level there is no organ authorized among four forest related institutions: Agricultural Bureau; Rural Land Administration and Environment Protection, Oromia Pastoralist Commission and OWFE. Hence, currently there is no any Authority that has been inspecting the performance of OWFE.

F. Forest Block Allocation Agreement

Forest Block Allocation Agreement is a legal agreement under taken between Forest Dwellers Association and either district level Agricultural and Rural Development Office, or delegated enterprise. The Village Administration acts as a co-signatory accepting the role assigned to it in the agreement. All three signatories attest by their signatures and initials on every page of the document (including attachments) that they accept to adhere to the agreement terms, to fulfill their assigned duties and to impose or sustain the sanctions drawn up for breach of agreement neighboring (FBAA; 2009). This agreement remains valid for an indefinite period unless the forest utilization exceeds the allowable cut by more than 10% (ibid). In this case the agreement is cancelled and all WAJIB members will be expelled from the forest area and held responsible for the damage occurred. The forest block will be attributed to a corresponding number of dependents of the members of a successful neighboring (FBAA, 2009).

However, this agreement has strong binding force on the WAJIB because the duties given for it are allowable but the duties given for Village Administration and OWLE/Arsi Branch/Adaba-Dodola District are not allowable to bind for not fulfilling their responsibility. For instance duty number one is providing advice and support to WAJIB's on technical and organizational matters.

4.2.2 Ethiopian Forest Policy

Forest policy is a recent phenomenon in Ethiopian history. The first forest policy was adopted by the Council of Ministers in March 1994, and has been published as ‘A proclamation No. 94/1994 to provide for the Conservation, Development and Utilization of Forests’ (later repealed by new legislation in 2007). However, proclamation No. 94/1994 did not cover some of the other outstanding issues of catchment forestry development and associated benefits that accrue to local communities, nor does it deal with the marketing and pricing of forest products. Simultaneously, with this proclamation, a working document that has direct relation with forest development and conservation, called Ethiopian Forestry Action Program (EFAP) was also in use.

EFAP set forth as objectives of forestry development, to increase production of forestry products sustainably, to increase agricultural production by reducing land degradation and increasing soil fertility, to conserve forest ecosystems and to improve the welfare of rural communities. The EFAP represented the first attempt to systematically address the development needs of the forestry sector, but was left largely unimplemented following the subsequent decentralization of the country (Melaku, 2008).

The basis of the current policy and legal framework of forest resources management started with the Environmental Policy (FDRE, 1997). The objective of the Environmental policy is stated as:

To improve and enhance the health and quality of life and to promote social and economic development through the sound management and use of natural, human made and cultural resource and the environment as a whole so as to meet the needs of the present generation without compromising the ability of the future generation to meet their own needs (Environmental Policy, 1997: Art, 2(1)).

Along this, balancing biodiversity conservation with demands for economic development and improvement in the livelihoods of people who depend on these biodiversity resources is an imperative concern of the environmental policy of Ethiopia, where both biodiversity loss and poverty are serious problems.

The environmental policy of Ethiopia recognized a number of sectorial and cross sectorial policy elements. Among others, it has included Forest, Woodland and Tree Resource Sector issues as policy concern (Environmental Policy, 1997). It recognizes the roles of communities and entrepreneurs, forestry management activities including afforestation and conservation of forest ecosystems to ensure the wellbeing, promoting modern agricultural and natural resource management, pursue agricultural policies and programs, finding substitutes for construction and fuel and promotion of protected forest areas to reduce the pressure on forests (Environmental Policy, 1997: Art, 3(2)).

Since forest resource touches many sector, there are a number of forest related policy and strategies. Among others, the Plan for Accelerated and Sustained Development to End Poverty (PASDEP), 2005/06-2009/10, its successor the Growth and Transformation Plan (2010/11-2014/15), and Climate-Resilient Green Economy and Strategy. The major or pioneer that is Forest Development, Conservation and Utilization Policy and Strategy would be discussed.

The 2007 Forest Development, Conservation and Utilization Policy and Strategy

It is a comprehensive policy and recently, adopted in April 2007, by the council of ministers. Its main concern is contributing to the economic development of the country, maintaining the ecological balance and conserving our biodiversity through the sustainable utilization and development of forest resources (FDCUPS, 2007). Moreover, it is also specified that the strategy is developed to bring sustainable development through community participation and pursued a systematic control of forest resources to overcome the problems.

The overall objective of the policy is

‘... to meet public demand in forest products and foster the contribution of forests in enhancing the economy of the country through appropriately conserving and developing forest resource.’

In addition the specific objectives of the policy are:

- To encourage sustainable forest development by rendering technical assistance to farmers, pastoralists, investors and institutions engaged in forest resource development;
- To adequately meet the forest and forest product demands of the public through sustainably enhancing the production of forest resources in areas that are suitable for forest and forest resource development;
- To foster the contribution of forest resources to food security and industrial distribution development through identification, rejuvenation, multiplication and of tree species that are suitable for our country and capable of giving diverse benefits;
- To lay the foundation wherein forest resources deliver all-embracing services to the country in a sustainable manner, through the prevention of threats as well as conservation and development of forest resources; and
- To ensure maintenance of the natural ecological balance through adequately conserving and developing the forest resources of the country (ibid).

In the policy document six policy statements are given due recognition for their direct relationship with the increase of forest cover. These are:

- Fostering Private Forest Development and conservation through granting lease-free land, technical support, facilitating loan and subsidy on tree seeds and seedlings, rendering technical and professional support and designation of productive forest areas to be afforested by individuals and private organizations (Ibid).
- Expansion of Forest Development Technology through the appropriate use of technologies destined for forest development, conservation and utilization (Ibid).
- Expanding Market Development for Forests through supporting those who are engaged in the production of seedlings, enabling forest products to meet trade and industry standards based on proper forest management plan, establish systematic development of forest products that have high demand in markets, create awareness and provide training on forest development, conservation & marketing for rural people who live in agro-

ecological zones that are suitable to grow trees. It is aimed to enhance the market while the development and conservation of forests is not adversely affected (ibid).

- Administration and Management of State Forests in a two-pronged approach of protected forest and productive forest management system through preparing administrative and management plan; delineations; designing and implementing participatory management strategy; providing special emphasis for those tree species under extinction; encouraging farmers or agro pastoralist, etc. Protection of Forest Resources from Threats-through community participation, agreeing multilateral agreements and putting system to control communicable diseases; taking of preventive and regulatory measures on illegal movement of forest genetic resources that are threatened with extinction by insuring laws and guidelines *etc.* (ibid).
- Protecting Forest Resources from Threats through guarding priority state forest, community participation, issuing laws and regulation, bringing the encroachers before the court, etc.(Ibid)
- Establishing Modern Information Systems on forest development, Conservation Utilization through integrating forest information with national and international information networks; pertaining to the size and status of utilization of forest; processing information that is meant for implementation of forest development; disseminating to the public, training practitioners to upgrade the skills, educating public by using media, *etc.* (Ibid).

However, this policy has various gaps in integrating forest development, conservation and utilization with the global concern or issues. For instance, it does not contain the issue of green development, Climate change and REDD+ or Carbon trading. Also, it does not provide full power for local community institutions especially for those act in devolution aspect decentralized forest management and doesn't provide policy coverage for PFM by Community Based Organization rather as it designates community participation as instruments in vague way.

4.2.3 Institutional Aspects of Forest Management

Forestry in particular has suffered from the frequent restructuring of both federal and regional government institutions over the last 20 years (Abebe, *et al.*, 2009). During the 1980s, the forestry department consisted of around 60 staff. By 1995 it had been expanded into a ministry with 300 employees. But by 2004 it had been relegated to a section with less than 10 foresters. Today, institutional aspects of forest management are not free from gaps. Dr. Tafari Mengistu, Advisor to state minister at a MEF said,

“Until 2013 the institutional aspects of forest management was unstable, lacks focuses, it was dependents and exists indifferent sector”.

Also, Dr. Yigramachew Siyum; Policy, Strategies and Regulation Directorate at a MEF said,

“There were duplications, overlap of mandate and fusion of power among different actors in forest management. Moreover, he said that there was no integration; even there was a conflict of interest between agriculture sector for the expansion of farm land and forest sector for the expansion of forest land. Forestry sector was not as such strong enough to tackle the external pressure against it and to move further for international commitment”.

Following decentralization regional governments opted different forest management regimes. Currently, it is only Somali National Regional State that organized itself under a new Ministry of Environment Protection and Forest. The other left regions delayed to organize themselves under a new ministry. Following federal arrangement, the forest governance in Ethiopia involves the distribution of power from the central government to regional and local level institutions.

Federal institutions

When we are dealing with the Federal level forest institutions there are new Ministry of Environment Protection and Forest, and other forest related institution like Institute of Biodiversity Conservation and Ethiopian Wildlife Conservation Authority.

A. Ministry of Environment and Forest

Ministry of Environment and Forest by merging the ex-Environmental Protection Authority and Forestry sector from Ministry of Agriculture. It is re-established by the proclamation No.803/2013 (A Proclamation to Amend the Proclamation on the Definition of Powers and Duties of the Executive Organs of the Federal Democratic Republic of Ethiopia). Art. 4(2) of Proclamation No.803/2013, issued that the powers and duties given to the Ministry of Agriculture, with respect to matters relating to forest, by the provisions of other laws currently in force, are hereby given to the Ministry of Environment and Forest. Moreover, Art. 6 of Proclamation No.803/2013, added new sub article under Article 37 of the proclamation. Accordingly, article 37(11) issued that the rights and obligations of the Environmental Protection authority reestablished under Proclamation No. 295/2002 are hereby transferred to the Ministry of Environment and Forest. Scaling up the Ministry of Environment and Forest is the most important step in setting up the legal frame work to be implemented and regulated for the environment and forest in Ethiopia.

The objectives of the MEF are to enhance the welfare of humans (foster social and economic development), sustainable forest management and the safety of the environment, and to spearhead in ensuring the effectiveness of the process of their implementation. According to this proclamation, MEF has the powers and duties:

- preparing environmental protection and forest policy and laws;
- up on approval, following up their implementation;
- prepare directives and systems which are necessary for evaluating projects on the environment; follow up and supervise their implementation.

- take part in international environmental agreements and as appropriate, initiate a policies, strategy process of their ratification;
- formulate or initiate and coordinate the formulation of policies, strategies, laws and programs to implement international environmental agreements to which Ethiopia is a party; and upon approved ensure their implementation.
- prepare a mechanism that promote social, economic and environmental justice and channel the major part of any benefits derived thereof to the affected communities to reduce emissions of greenhouse gases that would resulted from deforestation and forest degradation.
- coordinate, and as may be appropriate carry out, research and technology transfer activities that promotes the sustainability of the environment and the conservation and use of forest as well as the equitable sharing of benefits accruing from them while creating opportunity for green jobs.
- follow up the implementation of the country's environmental and forest policy, Environmental Impact Assessment and Environmental Pollution Control, etc.

B. Institute of Biodiversity Conservation

After ratifying the Convention on Biological Diversity (CBD) in 1994, the former Plant Genetic Resource Center which focused on plant genetic resources collection and conservation, it was up graded to IBC in 1998 to encompass biodiversity including animals, plants, microbial genetic resources and associated indigenous knowledge (Biodiversity Newsletter,Vo.1 No. 1, 2012). It is established by Proclamation No.120/1998 and further amended by Proclamation No. 381/2004 being accountable to Ministry of Agriculture. It is established to ensure the appropriate conservation and utilization of the country's biodiversity (Proclamation No. 381/2004, Art.5). In this institute forest conservation takes place. In order to do so, inventory of forests primarily takes place. Then those trees specious are prioritized according to their economic importance and degree of venerability to threats. In general IBC has the objective of conserving and preserving different genetic resources in scientific manner so that they are protected from extinction. So it plays a great role not only in the conservation but also in the rehabilitation of biodiversity including different types of forests.

C. Ethiopian Wildlife Conservation Authority

It is also one of the regulatory government bodies having the objective of creating conducive environment whereby the country's wildlife their habitats are protected and developed in sustainable manner, and to enable the sector to play an important role in the economic development of the country (EWCA policy objectives). EWCA is established by Proclamation No. 575 /2008 as an autonomous public agency of the federal government being accountable to the Ministry of Culture and Tourism (Proclamation No. 575/2008, Article 1 and 3).

When we are talking about the protection and conservation of wild life, one cannot separate the habitat from them. Accordingly, forest is the first and mostly used as habitats for the country's wildlife. Therefore, the protection and conservation aspect is obvious to include the forests. Article 4 of the regulation No. 163/2008, provides for wildlife development, conservation and utilization of Ethiopian National Parks and Sanctuary areas to be administered by the federal and regional governments. In order to facilitate the conservation of wildlife, natural resources including forest prohibited activities are enumerated and amongst them the following are instrumental in conserving of both wildlife and their habitats.

Picking, disturbing, destroying, damaging or defacing any natural or man-made object, Undertaking agricultural activities or preparing land for cultivation, planting, cutting, chopping, removing, taking, damaging or transferring any plant species, and Setting or attempting to set fire and others are some of the prohibited activities (Regulation No. 163/2008, Art.5).

Generally, the establishment of EWCA as government institution with its powers and responsibilities has to do a lot in the conservation of natural resources. It plays a great role in the protection and conservation of forests along with the protection of wildlife and national parks where by most dense natural forests are abundant. Therefore its establishment can be considered as one of the concern of the government to ensure sustainable forestry management along with conserving wildlife resources of the country.

Regional Institutions

Depend on the context of their regions different region may create different regional government administrative branches and semi-autonomous public enterprise to govern forest resource. For instance, Oromia has three regional government administrative branches: Regional bureau of agriculture and rural development (RBARD); Rural Land Administration and Environment Protection, and Oromia Pastoralist Commission. Regarding to semi-autonomous public enterprise, it is only Oromia and Amhara national regional state which have been created OWFE and AFE. However their accountability is different, while OWFE is directly accountable for the president office, the AFE is accountable for the RBARD. These in turn create absence responsible organ to provide unified periodic report, fragmented and loss of information, weakening federal-Oromia linkages.

Local Institutions

Local institution are the Wereda Agricultural and Rural Development Office, kebele, Branch of Forest Enterprise, Forest Dwellers Associations or Community Based Organization, cooperatives or forest user groups (FUGs) and Forest Dwellers Union. The last three institutions have no forest policy support except that the Proclamation No. 72/2003 Forest Proclamation of Oromia Region that recognizes Community Based Organization. For instance in Oromia there are two Forest Unions, other number of Forest cooperatives and Forest Dwellers Association but these institutions have no regulation for their establishment.

4.3 Power, Duties and Autonomy of Decentralized Forest Management Institutions

FDRE constitution, 1995; Art.52 (2) (d) authorizes the regional states “*to administer land and other natural resources in accordance with federal laws.*” Also the Oromia national regional state constitution, 1994, article 47(3) stated that the Oromia regional government administers land and natural resource based on the federal government legislation. Zonal administrative units are accountable for regional president and council of regional executives (ibid: Artic. 70(3)).

However, waradas are established by Warada council, hence they are accountable to the people and to the Regional Council. This can be attributed to political decentralization. Also there is regional semi-autonomous public enterprise (a delegated aspect of decentralization) and Community Based Organizations (devolution of forest rights to Community).

4.3.1 Power, Duties and Autonomy of Regional Level Actors

In Oromia three regional level governments bureau are concerned with the forest governance: the Oromia Agricultural Bureau (OAB); the Oromia Rural Land and Environmental Protection Bureau, and the Oromia Pastoralist Area development Commission. Also there is a regional semi-autonomous public enterprise which is called the Oromia Wildlife and Forestry Enterprise (OWFE).

The Oromia Agricultural Bureau (OAB)

Forest resources have a significant role in the strategy of fast and sustainable development based on the rural development and agriculture. The bureau has the following power and duties concerning forest.

- Give forest related extension services and training for farmers, so that the farmer can get better benefits from forest products.
- Carries out different programs that government prepares to bring economic growth and food security including settlement based on interest;
- Give, renew, cancel license for those engaged in trade activities related with forest products, control and work in collaboration with appropriate organs;
- Give professional support for the expansion of private forest development, cause establishment and expansion of eco-tourism areas;
- Facilitate conditions for the establishment of forest product input center, administer and follow up;

- Protect the forest from forest fire, pest and disease (Proc. No.163/2011: 15-17).

The OAB shall be accountable to the president of the region. It has the autonomy of preparing plan and budget; mobilizing fund or other resources for the implementation of the programs and projects, and issuing directives for the proper implementation. Concerning the outcome, the data taken from Oromia Agriculture Bureau reveals that in realizing GTP (2003-2007) the region has planned to increase forest coverage by 16% while from 2003-2005 it has increased by 8.5%. Some of OAB's powers and duties are also functioned by Oromia Rural Land and environmental protection bureau, and wildlife and forest enterprise. There is a mandate overlapping between OAB and OWFE. For instance, OWFE claim to provide pass permit and to collect royalty fees as political or executive organ of government.

The Oromia Rural Land and Environmental Protection Bureau

In the process of achieving sustainable development, environmental protection is an integral part of development. The role of forests in a sustainable development is crucial not only for the role it plays in maintaining the ecological balance but also the fact that it is a rich reservoir of resources that can sustain communities and generate revenue for the state. The bureau has the following power and duties concerning forest.

- Prepare and submit environmental protection policy and strategy, implement the same upon approval, follow up and control its implementation;
- Control the habitat to protect living from disaster, take and cause to be taken measure to correct wrongs;
- Control natural resource degradation and forest product take and cause to be taken legal measure with concerned organ;
- Work with concerned body regarding license issued for those who engaged in investment, forest output and development of forest, give technical support, inspect its visibility, control its implementation;

- Identified, demarcated, protect, conserved patches of natural forest lands and also sustainably use by the local community;
- Protect forest lands, bushes and grass and gullies from fire hazards, expansion of farm lands and also production of coal (Proc. No.163/2011).

The bureau shall be accountable to the president of the region. It has the autonomy preparing plan and budget; raising and mobilizing fund or other resources for the implementation of the programs and projects; and issuing directives for the proper implementation. Planting trees is a precondition to reduce land degradation which in turn contributes to regeneration of forest. Particularly, this bureau inspects the visibilities and environmental impact assessment of different investment which related to forest and environment. Regarding to outcome, there is visible changes in rangeland development and significant change in reducing environmental degradation (ORLEPB report, 2013).

The Oromia Pastoralist Area Development Commission

It is necessary to enable the pastoralist communities to play a greater role in the economic development of the region through the mitigation of adverse effect of change in climate on the livelihood of pastoralists and the national resource. Forest development is the first and foremost ingredients for ecological balance and livestock sustainability. The bureau has the following power and duties concerning forest (Proclamation No. 163/2011,).

- Initiate ideas and activities to be undertaken in the development and conservation of national resources which are environmentally friendly and implement same in collaboration with concerned bodies;
- Seek means of conservation and protection of range and natural resources in pastoralist areas and follow up the implementation;
- Prepare development and protection strategies for grazing land, rangeland and natural resources found in pastoral area, implement and follow up same;

- Demarcate government forest, parks, willed shelter and planting land with concerned bodies, take care of plant species, causes the society to become beneficiaries from these resource;
- Give technical support for the traders who participate on forest product trades and follow up its implementation.

The Commission shall be accountable to the Oromia Agricultural Bureau which in turn accountable to the president of the region. It has the autonomy preparing plan and budget; raising and mobilizing fund or other resources for the implementation of the programs and projects; and owning property; employing worker; issuing directives for the proper implementation. Accordingly, the commission has a management plan for planting fruits-10%, grass for livestock-40% and tree-50%. Along this there is visible changes in rangeland development and significant change in forest coverage in pastoral area (OPDAC report, 2013). Moreover, he admired the changes made in local community perception and attitudes including local leaders to wards effort done on developing and reforesting the pastoralist arid area.

The Oromia Wildlife and Forest Enterprise (OWFE)

Oromia Regional State Forest and Wildlife Enterprise established in 2009 as a semi-autonomous public enterprise to attain an organized, modern management and sustainable utilization of the forest (Regulation No. 122/2009). The Enterprise has the following power and duties concerning forest.

- Protect and develop forest resource occurring within its concession in line with the pertinent laws;
- Ensure sustainable supply of different forest products such as logs, transmission poles, construction materials, fuel wood, etc., to contribute to fulfillment of the growing demands for such product;
- Manufacture and supply to domestic and international markets value added forest products such as lumber, joineries construction materials impregnated wood, veneer,

particleboards , chip wood, pulp and paper, ply wood and other wood products ; by promoting forest industries;

- Process, produce and supply to domestic and international markets services and non-timber forest product such as ecotourism, wild coffee, medicine, honey, spices, bottled water and others;
- Develop a sound management plan for forest conservation areas, ensure proper allocation between protection and production forests in the plan, and implement the same when approved;
- Provide technical support to farmers living around the forest in their endeavor to develop own private forests;
- Provide the necessary support for modern development and sustainable utilization of community forest and also on provision of market information for forest products.
- Devote share of the revenue obtained from sales of forest product for socio-economic development of communities living around forest conservation areas
- Administer the forest found on the basis of article 21 of proclamation No.122/2009;
- Issue and implement different directives relevant for the attainment of its objectives.
- Centrally conduct domestic and international market studies to ensure effective marketing of forest products.
- Carry out research as well as introduce and domesticate new technologies that would help in modernizing management of forest resources.
- To own property, enter into contacts and to sue and be sued in its own name.
- Perform all other duties necessary for the attainment of its objectives.

The enterprise shall be accountable to the Board of Management which in turn accountable to Public Enterprise Regulatory Authority which in turn accountable to the president of the region. The Authority proposes chairperson and members of the board of public enterprises for

assignment to concerned body; follow up their performance and evaluate management plan or work plan. It shall be autonomous in administering the concession area; manufacturing and supplying forest product; financing; preparing forest management plan; budget and strategic plan; increasing their capital; employ, assign, dismiss and determine salaries and allowances of other employees of the Enterprise in accordance with the internal directives of the enterprise and appropriate laws.

4.3.2 Power, Duties and Autonomy of Local Actors

In Adaba-Dodola forest district three institutions are concerned with the forest governance namely, Warada Agricultural Bureau; Warada Rural Land and Environment Protection; OWFE Branch and WAJIBs (Community Based Organization).

Warada Agricultural Office

Warada Agricultural Bureau is one of the clients of the political decentralization. Accordingly, the bureau exercises the following power and duties:

- Implement and follow up the proclamation and other natural resource related law;
- Summon and attend WAJIB meetings and suggest points of the agenda when necessary;
- Obtain assistance of other government services to make the WAJIB respect the terms of the agreement;
- Collect 60% of the forest rent from each WAJIB and use it for expenses related to forest administration concerning WAJIB blocks;
- Provide advice and support to WAJIB's on technical and organizational matters;
- Organize periodic resource assessments and settlement census as necessary;
- Take appropriate measures to legally defend the interests of the WAJIB;
- Provide assistance for cases of litigation with unauthorized forestland uses;

- Assist in the formulation of internal regulations and management plan. Confirm that the demarcated forest block is situated within the Adaba/Dodola forest area and that no land or lease rights have been granted to other parties prior to this agreement;
- Collect 40% of the forest rent to be paid by each WAJIB and use it for village development activities as agreed by the village community;
- Play a mediating role in the event of a possible conflict between WAJIB and non-WAJIB members of the village community;
- Ensure the enforcement of laws regarding forest and forestland within the village;
- Confirm that the demarcated forest block belongs to its territory;
- Defend the interests of WAJIB as required;
- Enforce rent payment and the dissolving of homesteads that belong to non-members as required (ORLNRAA (ref. AT/1/-1/1161, 2003)).

Warada Agricultural Bureau freely made detail and most operational decisions such as what to plant, when and where, how much to harvest, when and who should harvest, and how it should be harvest. It coordinates the forest dwellers and provides some extension service because food security need forest development in the district. However, the all of key informant of cooperative manager voiced that warada office have been slacken in implementing the forest laws, while forest is protected by community strong commitment. Instead they request warada for special control on the illegal loggers and illegal expansion of farm land.

Warada Rural Land and Environment Protection Office

Warada Rural Land and Environment Protection is one of the clients of the political decentralization. Accordingly, the bureau exercises the following power and duties:

- Implement and follow up the policy and strategy, proclamation and other rural land and environment related law within its district.

- Supervise the visibility of different project that may have connotation with forest resource within its district.
- Work on the habitat to protect living from disaster, take and cause to be taken measure to correct wrongs within its district;
- protect natural resource degradation and forest product take and cause to be taken legal measure with concerned organ within its district;
- give technical support for forest related investment, forest output and development of forest, inspect its visibility, control its implementation within its district;
- Organize community participation in environmental protection
- Identified, demarcated, protect, conserved patches of natural forest lands and also sustainably use by the local community within its district;
- Protect forest lands, bushes and grass and gullies from fire hazards, expansion of farm lands and also production of coal within its district (Proc. No.163/2011).

Warada Rural land Environment Bureau freely made detail and most operational decisions, preparing plan and budget; mobilizing fund or other resources for the implementation of the programs and projects for the proper implementation.

Oromia Wildlife and Forest Enterprise's Branch

The enterprise branch shall have the following power and duties.

- Implement management plans of forest conservation areas when prepared and approved by the enterprise;
- Protect and manage, with participation of local communities, forest resources determined to be administered under the branch;
- Undertake forest development activities in concession area administered under the Branch;

- Based on the situation of existing forest resources, harvest and prepare forest such as logs, transmission poles, construction materials, fuel wood, etc. on a sustainable base;
- Manufacture forest products such as lumber, joineries, construction materials, impregnated wood, veneer, particleboard, chip wood, pulp and paper, pulp wood, briquette and other wood products through effective use forest industries administered under the branch;
- Process and produce forest services and non-timber forest products such as ecotourism, trophy hunting, wild coffee, medicines, honey, spices, and others;
- Provide necessary support to farmers living around forest areas in their endeavors to develop their own private forests;
- Provide necessary support for modern development and sustainable utilization of community forests which exist in zones and districts where the branch is operating and also assist in providing market information on forest products;
- Undertake socio-economic studies around the forest areas and based on the results of the study identify, incorporate into plan and submit to enterprise community development works and follow up and supervise its implementation when approved;
- Undertake marketing of forest products based on powers given and guidelines issued by the enterprise;
- Recruit and administer necessary employs based on the salary scale of enterprise and within the scope of power delegated to it by the enterprise;
- Implement different guidelines, in-house regulation and manuals prepared and approved by the enterprise;
- Based on the delegation entrusted to it by the enterprise, enter into contracts and to sue and be sued in its own name (Regulation No. 122/2009).

The branch enterprise shall be established by the enterprises. Accordingly is accountable for the mother enterprise. The branch has autonomy in preparing annual budget and management plan,

and recruit and administering employees based on the salary scale of the Enterprise and within the scope of power delegated to it by the Enterprise. The branch enterprise has contributed to the growth of district forest because it has been organizing the dwellers, resolving conflict, providing technical support and talking legal issues beyond the capacity of the district to the correct.

WAJIBs (Community Based Organization)

Article 4(3) of the Forest Proclamation no. 72/2003 of the Oromia regional state stipulates community based forest management as a strategy for forest conservation in the Oromia region. To this end WAJIBs have following power and responsibilities:

- Restrict Settlement that is restricting the number of homesteads within the forest block to one per member;
- Cause to dissolve homesteads belonging to dwellers that are not members within six months after the present agreement enters into force;
- Prevent any member from sub-letting his/ her homestead or his/ her membership for free or against payment;
- Participate in the periodic resource assessments together with the District RLNRRAA.
- Restrict forest use by non-members;
- Developed or at least maintained forest at its initial condition;
- Prevent livestock herding in regeneration areas until sufficient number of trees are at least 2 meters high;
- Raise and plant tree seedlings as required and protect the plantation from damage by livestock;
- Make proper use of the forest resources by harvesting old and dead trees in favor of young ones;
- Minimize the construction of fences made from cut trees and branches;

- Prevent practices that hamper tree growth such as debarking, burning out of trunks, etc.;
- The WAJIB pays an annual rent that is collected by the district RLNRRA and the village administration in exchange for the exclusive use rights it was granted;

The WAJIB as a collective is legally responsible for proper forest use. The WAJIB has exclusive right of forest use that includes production, collection, consumption, processing and trading of forest produce by family or hired labor sustainably. However, sub-leasing of use rights to other members, outsiders or commercial enterprises is not allowed.

Generally, there are four forests related institutions that administer the forest with unclear separation of power and duties without having regional overpowering forest Authority in Oromia. The Oromia national regional state constitution, 1994, article 47(16) stated that the Oromia regional government can decide and collect the royalty fees from forest product but this power has not been given for any of the forest related institutions. The Proclamation No. 72/2003 left the supreme/highest authority concerning forest resource governance in vacuum. This may affect Oromia regional state forest management in providing a unified report, communicate with MEF and coordinate with the other actors. Overlapping responsibilities of multiple agencies and limited interagency coordination have been roadblocks to the effective implementation forest policies and strategies.

4.4 The Status and Trends of Adaba-Dodola Decentralized Forest Management

The forests management in Adaba and Dodola were decentralized to become district forests by a directive from the ORLNRAA (ref. AT/1/-1/1161, 2003). There are three forms of decentralization that have been practicing in Adaba-Dodola forest resource management. These are political decentralization, semi-autonomous public enterprise (a delegated aspect of decentralization) and Community Based Organizations (devolution of forest rights to Community).

Political decentralization (Devolution)

The Political decentralization occurs when decision-making power and control over resources are “transferred to authorities representative of and downwardly accountable to local populations” (Ribot, 2002). Oromia National Regional State has the right to self-determination up to secession (FEDRE constitution art.39 and Oromia constitution art. 1, 8, 39(2) and 47(1D)), while Waradas govern themselves and downwardly accountable to local populations (Oromia constitution art. 78(2) and 84(1)). Accordingly the authority and actors involved in implementing policy, or involved as clients in political decentralization are Oromia Agricultural Bureau (OAB), Oromia Rural Land and Environmental Protection Bureau, Oromia Pastoralist Area Development Commission, Warada Agricultural Office, Warada Rural Land Administration and Environment Protection Office, kebele and local people. This aspect of decentralization is more a conservationists; provides extension services; and works on closure area, water shade management, conserve dispersed or patch forest, range land development through coordination of community participation.

Regarding the success of political decentralization different key informant forwarded in the following manner.

Dr. Tafari Mengistu said,

“Woradas are succeeding in recovering forest resource and degraded land through water shade management.”

In the same vain both Adaba and Dodola Warada Agricultural Office and Rural Land and Environment Protection Office’s experts affirms that forests were recovered by water shade development. For instance, Nura Ahmed said,

“The Worada call for Daagaa hidha campaign had a considerable role in changes scored in re-afforestation”.

Similar with the above respondents, all of the cooperative managers confirm wordas have been coordinating the local peoples so that they participate in water shade development. For instance, Hassen Ebbo (the manager of Ashana Roobi cooperative manager) said,

“The woreda is coordinating the local people to recover the cleared forest through Daagaa hidha”.

However, there are some gaps in the woredas effort in forest development and conservation. All of the cooperatives managers condemn the woredas for their slacken implementation of laws of forest. For instance, Ejerso Muktar (the manager of Qannata Cooperative) said,

“Even if, the woredas are working on water shade management, on the other side woredas are not as such strong enough in implementing the laws of forest. And they are slackening in controlling the inputs mechanism of private forest industry which depends on illegal loggers for their inputs”.

Also, all key informants from the members of the union, cooperative managers, MEF’s experts and OWFE’s experts charged the woredas for being their rent seeking. For instance, Kamal Oumar (the manager of the union) said,

“The woredas give false land ownership certificate for illegally expanded farm from the forest land”.

Generally, the political aspect of decentralized forest management is more oriented on providing extension service, and managing high priority area, and conservation of patch forest and community forest.

Delegation

The second form of decentralization is delegation of high priority and other forest to semi-autonomous enterprises. The first objective of this enterprise is to develop, conserve and utilize forest resources on a sustainable base, and profit maximization in its concession through participation of the local community (Regulation no. 122/2009). OWFE administer total land of ha 61953 of forestland conservation areas in which 1519 plantation, 42480 natural forest and 17954 other land (ibid). OWFE administer an extensive forest area which in turn capable the enterprise to generate more income. It runs its own business from its own pockets not from the government budgets (Proclamation no. 122/2009). That is why OWFE is more inclined to

commercialist approach of profit maximization even if it contributed to visible change scored in the district.

Regarding the success of OWFE (the delegation aspect of decentralization) different key answered back in the following manner.

Dr. Dr. Tafarra said,

“Enterprises are important for economic development and sustainable use of resource”.

Dr. Yigarem Siyoum said,

“OWFE has been playing a significant role in upgrading the contribution of forest and wild life resource in the socio-economic development of the region”.

All of the experts, cooperative manger and boards of union symbolized OWFE as commercialization of forest. For instance, Tola Bakiri (Dobado kussee Cooperative manager)i said,

“OWFE developed a certain number of plantation site for a commercial forest”.

Also, Admasu Ratta (OWFE expert) said,

“OWFE has been making a conceivable and important change in conserving and planting commercial trees”.

However, the above respondents did not ignore the gaps in the delegation aspect of decentralization. All respondents’ of woreda level and regional official and experts charged that OWFE act as a part of an executive office of the Oromia national regional government rather than as enterprises. For instance, Bekele Kafyalew (official at Oromia agricultural Bureau) said that,

“OWFE claim the authority to pass permit for forest product, which was the authority of agricultural bureau”.

On the other side all the cooperative and members of the union's boards charged that OWFE has been earning benefits without any work at the expense of WAJIBs. For instance, depending on the hard facts, Amano Waqo (Buchaa Rayyo Cooperative Manager) said,

“40% of income from rents of forest land for legal hunting freely given for OWFE, without its work”.

Overlapped multiple authority and distorted line of accountability were also mentioned as a gap by all respondent. For instance, Taddesse Lamma (expert at MEF) said,

“There are four forest related institution at Oromia regional state. These institutions have no any regional supreme forest authority which holds answerable them”.

Dr. Tafarra Mangistu said,

“MEF has no regionally instituted Environment and Forest Bureau in Oromia. Thus, it has no binding line of communication with the OWFE and challenged to get unified reporting from Oromia”.

Also, Mohammed Jibril (Bubbisa Negelle Cooperative manager) said,

“OWFE is not accountable for the local people, those directly or indirectly affected by the forest management”.

Generally, the delegated aspect of decentralized forest management is more oriented on conserving and developing commercial forest for maximization of profit. This implies that OWFE give low consideration for natural forest.

Devolution of Forest Rights to Community

The third form of decentralization in Adaba-Dodola is the transfer of specific power to local people (devolution) that is practiced through participatory forest management (PFM). The Oromia forest proclamation No. 72/2003 Article 6(2) issued that the users' right and management responsibility transferred to organized local community. Actors that have considerable role in this form of decentralization are local people, WAJIBs (Community Based

Organization), cooperatives and union. Accordingly, there are 92 Community Based Organizations which are called Waldaa Jiraattota Bosonaa (WAJIBs) (FRFPCU, 2006). In 2006 WAJIBs administer total land of ha 36288 of forestland conservation areas in which 690 plantation, 32854 natural forests and 2744 other land.

All the cooperatives manager and members of the boards union holds that the idea that community assumed forest as an indispensable part of their life. For instance, Waami Mohammed (H/Dakiyye cooperative manager) said,

“An individual come against the forest come against my life”.

Thus, WAJIBs feels high sense of ownership and relatively exercise democratic forms of forest management. In relation to this, (Agrawal and Ostrom, 2001) viewed that decentralization is seen as a means of upholding democratization, allowing the peoples to engage in their own affairs.

Dr. Tafarra Mangistu said,

“The role of WAJIBs/PFM cannot be undermined in increasing forest coverage and income generation”.

All leaders of forest cooperatives also confirms that WAJIBs are highly committed for effective forest management in which visible change seen in forest development could be taken as an evidence. The data taken from the Adaba-Dodola district reveal that from 1998-2005 the district forests coverage increased through WAJIBs/PFM by 15.6%. However, the most of the key informants informed the absence of the national policy coverage for the PFM/WAJIB and absence of recognition for community forest ownership. For instance, Dr. Yigramachew Seyum (Policy, strategy and regulation Directorate at MEF) said,

“Community Based Forerst Management has no national policy coverage and ‘Forest for people’ did not get legal foundation”.

Moreover, the following table of frequency distribution provides additional information on the status and trends of Adaba-Dodola forest management.

Table:3 Frequency Distribution that Describe Participation, Subsidiarity, Transparency, Accountability and Capacity

No.	Item		A	U	D	T	$\bar{X}$
1	The perceptions and attitudes of forest dwellers are right and positive toward the Community Based Forest Management.	F	344	5	21	370	3.97
		%	92.97	1.35	5.68	100	
2	Women participate in decision making in forest management actively.	F	261	9	100	370	3.56
		%	70.54	2.43	27.03	100	
3	Local communities can make subsidiary laws and act upon them freely.	F	271	4	95	370	3.66
		%	73.24	1.08	25.68	100	
4	The leader of 'WAJIB', 'Cooperatives' and Union are accountable for local community	F	246	3	119	368	3.34
		%	66.84	0.82	32.34	100	
5	WAJIBs and OWFE have the capacity to implement the decisions they make.	F	252	16	102	370	3.50
		%	68.10	4.32	27.58	100	
6	WAJIB alone can sustainably manage Community forest. Therefore, OWFE is unnecessary or extra cake share holder from the WAJIBs' concessions.	F	321	11	38	370	3.77
		%	86.75	2.97	10.28	100	
7	There is a transparency between WAJIB members as well as between WAJIB and OWFE.	F	235	5	128	368	3.35
		%	63.85	1.35	34.80	100	
8	The central government does not extend its authority by forcing the high costs of its policy on to local people.	F	308	8	50	366	3.33
		%	84.15	2.18	13.67	100	

A=Agree; U=Undecided, D=Disagree; T=Total and X= Mean

Regarding to the perceptions and attitudes of forest dwellers, 344 (92.97%) of respondents argued that forest dwellers have a right and positive attitude toward the Community Based Forest

Management. This indicates that local people have a progressive attitude or outlook toward participatory forest management. In relation to this Yemirru (2011) stated that the effect of PFM on households' was found to be more important in shaping members' attitudes and intentions. In the context of community based management, participants' understanding or perception of the purpose and the implication of the arrangement with respect to their interest, and thus the attitude they form, will influence the willingness and commitment for its implementation (Gelcich *et al*, 2005).

Concerning females' participation, 261 (70.54%) of respondents believed that women participate in decision making in forest management, while 9 (2.43%) of the respondents failed to decide, 100 (27.03%) of respondents disagree. This implies that there is a high level participation of women in the decision making. However, this does warrant that women are prominent in all aspects. In relation to this, Yemirru (2011) stated that female headed households have lower livelihood assets including adult labor, education level, and number of large stock and area of cropland.

Regarding making decisions and subsidiary, 271 (73.24%) of respondents believed that local communities can make subsidiary, and acting upon them. This implies that strong majority affirm that the right to make subsidiary and decisions is placed at the grassroots over forest resource. Moreover, proclamation No. 72/2003: Article 6(2) forest proclamation of Oromia issued that the users' right and management responsibility transferred to organized local community. To this end, decisions and actions must be taken at the lowest appropriate level, as close to the population concerned as possible (Ribot, 2002).

Concerning the accountability of Community Based Organization 246 (66.84%) of the respondents argued that the leader of 'WAJIB', Cooperative (Golbicha) and Union are accountable for the member's household, while 3 (0.82%) of the respondents failed to decide, 119 (32.34%) respondents disagree. This implies that community based organizations hold their leaders accountable seriously. In relation to this, La Vina, A., *et al* (2005) stated that accountability can also lead to the promotion of social justice and social cohesion, which has

implications beyond the bounds of natural resources management. However, OWFE is not accountable for the local peoples since its accountability for local people. Even the Forest Block Allocation Agreement (FBAA) signed between WAJIB and OWFE is not strong enough to hold OWFE legally accountable because the duties of OWFE stated in the agreement is not suitable to declare a charge on OWFE for its failure to fulfill its duties. However unlike OWFE, FBAA is applicable on WAJIB. For instance there was a time in which WAJIB members were sued in a court and their homestead dissolved for their failure to fulfill their duties on the FBAA.

Regarding capacity, 252 (68.10%) of respondents believed that WAJIBs and OWFE have the capacity to implement the decisions they make. This indicates that community based organization (WAJIBs) and OWFE have the capacity to implement the decisions they make. To this end Lavina A, et al, (2005) stated that local officials, institutions, and individuals must have the capacity to implement the decision they make in order to capitalize on the powers and authority they are given and execute their role in natural resource management.

Concerning the necessity of OWFE 321 (86.75%) of respondents believed that OWFE is unnecessary or is extra cake share holder. This indicates that WAJB is capable to manage the forest on sustainable base in its concessions whereas OWFE is unnecessarily sharing forest product.

Concerning transparency 235 (63.85%) of respondents believed that there is a transparency between WAJIB members as well as between WAJIB and OWFE, while 5 (1.35%) of respondents failed to decided, 128 (34.80%) of respondents disagree. Although, OWFE is not accountable for the local peoples, to some limited extent there is a transparency. In relation to this, La Vina, *et al* (2005) stated that amid a lack of transparent and effective mechanisms of information dissemination, consultation, and popular participation, the benefits of natural resource exploitation are often not accessible to the populations most affected by their use.

Regarding the intergovernmental authority, 308 (84.15%) of respondents argued that the central government does not extends its authority and does not force its policy on the local

people. This indicates that the central does not highly force the high costs of its policy on to local people.

Generally, the trends of decentralization shifted from the conservationist (Woreda/Political decentralization) to commercialist (devolution to local people and delegation to enterprise). Even though, there is an extensive forest regeneration of forest, along this trend some issues appeared with a further implication. These were: Community Based Organizations (WAJIBs) are being used as a means by OWFE; delegation is prominent one among the three aspects of decentralization; blurred line of accountability and lack of incentive to manage natural forest, a major source of bio-diversity are the ongoing issues.

4.5 The Contribution of Decentralization in Sustaining Forest Development and Conservation

Table: 4 Frequency distribution of contribution of decentralization in sustaining forest development and conservation.

No	Items		A	U	D	T	$\bar{X}$
9	WAJIB and OWFE better managed forest	F	341	2	26	369	3.95
		%	92.41	0.54	7.05	100	
10	Deforestation decreased and forest coverage increased.	F	265	5	100	370	3.55
		%	71.62	1.35	27.03	100	
11	Forest have been protected from encroachers	F	233	8	129	370	3.40
		%	62.97	2.16	34.87	100	
12	Local communities have better knowhow and can use their indigenous knowledge to conserve forest.	F	289	4	77	370	3.60
		%	78.10	1.08	20.82	100	
13	The local communities look after and perceive the forest as their personal property.	F	259	6	102	367	3.50
		%	70.57	1.63	27.80	100	
14	The local communities take into considerations future generations while they utilize the forest.	F	253	13	103	369	3.51
		%	68.56	3.52	27.92	100	
15	There is an extensive regeneration, reforestation and prohibition of farm land expansion.	F	266	7	94	367	3.61
		%	72.47	1.90	25.63	100	
16	There is a lack of incentive from the government to community to manage natural forests.	F	257	11	81	349	3.63
		%	73.63	3.15	23.22	100	

Concerning forest conservation and development, 341 (92.41%) of respondents argued that OWFE and WAIIB have been shifting forest development and more conservation. This indicates that the newly instituted local institutions committed to increase forest development and conservation. In relation to this Fisher, (2000); Rondinelli, *et al*, (1983); Conyers, (1985) stated that it is frequently expected that forests will be better managed in decentralized setting because decision makers are physically located closer to where the policies will be implemented.

Regarding deforestation and forest coverage, 265 (71.62%) of respondents believed that deforestation has decreased and forest coverage has increased. This indicates that there are better improvements in forest development, conservation and coverage. In relation to this the data taken from the Adaba-Dodola district office reveal that from 1998-2005, the district forests coverage increased by 15.6% through PFM. Also the data from Oromia Agriculture Bureau reveals that in realizing GTP (2003-2007), the region has planned to increase forest coverage by 16%. Accordingly, from 2003-2005 they had able to increase by 8.5%.

Concerning forest protection 233 (62.97%) of respondents argued that forest have been protected from encroachers, while 8 (2.16%) of respondents failed to decide, 129 (34.87%) respondents disagreed. This indicates that even if the communities safeguard the forests by shift, yet there are some encroachers, because it is challenging to control and protect illegal logging or theft from 360 ha by four guards per day. Moreover, two persons have died while guarding forest due to conflict with illegal loggers. The following photograph shows logs and charcoal that were manufactured illegally but returned to the district Office.



Picture: 1 shows log and charcoal illegally manufactured.

Concerning the knowhow of community, 289 (78.10%) of respondents believed that local community have better knowhow and can use their indigenous knowledge to conserve forest. This indicates that the local communities have been applying their indigenous knowledge. Local communities teach the generation about the knowledge of laws of forest and what tree to be cut, when and how. For instance, to cut a given tree, one needs to have the knowledge of using local calendar called ‘Dhaha’ to differentiate the period called ‘Caggino’ (Afaan Oromo term), because, pruning and cutting a tree during a period called ‘Caggino’ may dried out that tree.

Regarding the sense of ownership, 259 (70.57%) of respondents assume the forest as their personal property and seriously look over. This indicates that local communities possess a high sense of ownership. In relation to this Hermosilla, *et al*, (2008) stated that adequate decentralization has the potential to increase sense of ownership, a locative efficiency, equity and forest resource management.

On the issue of forest sustainability for future generation, 253 (68.56%) of respondents argued that local communities take into considerations future generations while they utilize the forest. This indicates that the local communities are utilizing forest resource in a sustainable way. In relation to this Yemirru (2011) stated that 90% of households see themselves as conscientious in terms of the benefit of the community, the environment, and the sustainable management of

the forest for future use. Also, WAJIB members used the motto that shows their concern for future generation: “*Ilman keenya hongee osoo hin taane qabeenye uumamaa horannee dhalchisuu qabna*” literally it means ‘we should have to transfer not famine but natural capital or wealthy for our children’.

On the issues of Recovery and preservation, 253(68.56%) of respondents argued that there is an extensive regeneration, reforestation and prohibition of farm land expansion. This indicates that there is an improvement of the forest resource. In relation to this there are principles of incentive and punishment in FBAA (Art 9(1) pp5). As an incentive, to increase forest cover, parts of the forest block that may be designated as conservation areas by the WAIIB shall be exempted from rent payment. If the conservation areas are not managed properly, the rent payment for these areas will be doubled based on the rent class the specific site was in. Under articles of FBAA, expanding farm land is also impossible because more than 10% in excess of the allowable cut leading to deforestation.

Concerning incentives, 257 (73.63%) of respondents argued that there is a lack of incentive to manage natural forests, a major source of biodiversity, This indicates that there is less/no incentive to protect and conserve natural forest. In relation to this Olowu (2001) noted that incentives have a strong meaning on increasing policy implementation and its effectiveness.

In addition to data collected through questionnaires, the key informants interview affirms that OWFE, WAJIBs and Woredas have been contributing for the forest development and conservation, though their contribution is vary in degree. Particularly, the experience of WAJIBs is taken as a model in Ethiopia for community based forest management. For instance, Gashaneh Damoze (experts at MEF) said that:

“Currently, MEF is expanding and strengthening the experience of WAJIBs in the other community based management”.

Admasu Ratta (experts at OWFE) said,

“OWFE made a visible change in forest development and conservation, even at their expense”.

Depending on the hard facts, Warqina Ragassa (expert at OWFE) said,

“OWFE increased forest coverage by 4.65% from 2009-2013 through reforestations on its concession”.

All of the managers of the cooperatives confirmed that forest development and conservation is being improved from time to time. For instance, Nasir Kabir (Addelle cooperative manager) said,

“After the OWFE and WAJIBs instituted and started functioning visible change observed in forest coverage”.

Kadir Yimar (Expert at Adaba Woreda, Rural Land and Environmental protection Office) said,

“Environmental degradation, especially, forest degradation reduced after cooperation of Woreda and WAJIBs”.

Xibabu Tafa (Expert at Dodola Woreda Agricultural Office) said,

“Forest related extension service improved the conservation of forest”.

Moreover, depending on the hard facts, Wogane Girma (Expert at Dodola Woreda Rural land and Environmental Protection Office) said,

“36.4% of degraded land was recovered where WAJIBs run it business”.

Generally, WAJIBs, OWFE and Woreda contributed to the improvement of forest development and conservation in Adaba-Dodola district forest management.

4.5 The Economic Contribution of Decentralized Forest Management for Forest Dwellers Livelihood.

Table:5 Frequency distribution of economic contribution of decentralized forest management for forest dwellers livelihood.

N _o	Item		A	U	D	T	X
17	PFM improved the economic condition of the forest dwellers households.	F	266	4	97	367	3.63
		%	72.47	1.08	26.45	100	
18	WAJIBs are empowering poor households in reducing poverty through income generation.	F	259	20	89	368	3.59
		%	70.38	5.44	24.18	100	
19	WAJIB improved consumption and food security.	F	256	6	107	369	3.50
		%	69.37	1.63	29	100	
20	Forest dwellers are capable to support themselves in their livelihoods.	F	307	3	57	367	3.68
		%	83.62	0.81	15.57	100	
21	WAJIB and OWFE help you, so that you to get access to various assets	F	245	5	113	363	3.46
		%	67.49	1.37	31.14	100	
22	OWFE and WAJIBs are improving market access, increasing the value of forest product and capacity of processing forest product.	F	249	7	101	357	3.61
		%	69.74	1.96	28.30	100	
23	The members of WAJIB enjoy economic benefits without negatively affecting forest development.	F	277	-	81	358	3.75
		%	77.37	-	22.63	100	
24	Forest dwellers' burdens are high as compared with their profits/benefits.	F	294	-	55	348	3.95
		%	84.34	-	15.66	100	

On the issues of livelihood condition 266 (72.47%) of respondents that argued PFM improved the economic condition of the forest dwellers households. This indicates that majority of the livelihood of forest dwellers has been relatively improved.

Concerning poverty reduction 259 (70.38%) of respondents argued that WAJIBs are empowering poor households in reducing poverty through income generation. Moreover, the Farachu Rayya forest Union Annual survey (2014) warrant as the household income increased with a varying rate of growth from 2002-2012. This indicates relatively WAJIBs help/ support households to lessen poverty. In relation to this Wollenberg (2000) stated that forest income is important in assessing the wellbeing of forest dwellers, the values of the forests, impacts of community forestry policies, enterprises and market development and trade- off among different possible land uses. Campbell, *et al* (2011), stated that in the Adaba-Dodola, forest income lifts 20 % of the population above the poverty line (1 USD/day) and constitutes consequently a *safety net* for the poorest forest inhabitants. Also, Yemiru (2011) stated that if forest income is excluded, the incidence of poverty would rise from 31.7% to 51%. Forest products are important source of income contributing to 34% and 53% of household per capita income and per capita cash income respectively(ibid). Therefore, Forest income helps many household from failing under the poverty level.

Regarding to consumption and food security, 256 (69.37%) of respondents argued that WAJIB improved consumption and food security. This indicates that households are relatively able to overcome food problem and reduce vulnerability. In relation to this Warner (2000) stated that forest income is an important complement to household income and plays an important role in households' livelihoods by improving food security and reducing vulnerability. The forest's role as a *safety-net* also means that it is the most important buffer in the case of a crisis, such as sickness in the household, or a failure of harvest (Campbell, *et al* (2011).

Regarding self-sufficiency, 307 (83.62%) of respondents argued that forest dwellers are capable to support themselves in their livelihoods. This indicates that local people are able to support themselves in all aspect of their livelihoods. In relation to this Castro, (2002) stated that sustainable livelihood centered on the ability of people to support themselves with a view of the

entire context of their livelihood both physical and social environments, and at the local to the global level.

Concerning access to various assets, 245 (67.49 %) of respondents believes WAJIB and OWFE helps forest dwellers so that they get access to various assets. This indicates that relatively, these institutions have created various accesses to assets for forest dwellers. In relation to this Gray and Moseley, (2005) stated that in the context of rural areas in developing countries access to various assets (asset wealth) is more important than monetary wealth or income in describing poverty.

Regarding improvement in production, distribution and market development, 249 (69.74%) argue for improvement. This indicated that relatively, there is better production, supply of forest product, and market access. In relation to this Campbell, *et al*, (2011) stated that efforts towards improving market access, increasing the value of forest products through small scale enterprises and increased capacity of processing forest products could have a potential to improve livelihoods and alleviate poverty. Also article 11 (i) of FBAA placed duties on OWFE to provide advice and support to WBIIB's on technical and Organizational matters.

Concerning to sustainable forest utilization 277 (77.37%) of respondents argued that members of WAJIB enjoy economic benefits without negatively affecting forest development. This indicates there is a threat of commercialization of forest over conservation. In relation to this Ellis, 2000 noted that a livelihood is sustainable when it can cope up with and recover from stresses and shocks maintain or enhance its capabilities and assets, while not undermining the natural resource base.

Regarding the burdens and benefits of forest dwellers 294 (84.34%) of respondents argued that Forest dwellers' burdens are high as compared with their profits/benefits. This indicates that relatively local people are not highly satisfied with their gains.

The data collected through key informant interview also support the above analyzed perception. All of the key informant ascertain that there is households' livelihood improvement from forest the outcome of forest management by WAJIBs, OWFE and woreda level government.

Dr. Tafarra Mengistua said,

“If we say the life of the Ethiopian farmer has improved, undoubtedly forest has been contributed for the improvement of household life”.

Depending on the Farachu Rayya Forest union Annual survey Kamal Oumar said,

“The annual income of housed increased with a varying degrees from 2002-2012”.

Abarra Dagafa (expert at Adaba-Woreda Agricultural office) said,

“The forest dwellers were capable to feed themselves and established food security”.

All of the cooperatives managers and districts experts viewed forest as a major source of income and wealth assets. For instance, Misha Haji Ahmed (Buraa Callee cooperative manager) said,

“Without income from the forest households can't able support their life”.

Kalid Gobana (Qacama cooperative manager) said,

“In addition to income gained from forest product, forest dwellers can used other opportunity like bee keeping and cattle fattening adjacent to forest”.

However the cooperative leaders (key informants) spoken that the household are not getting fair benefits as compared to their commitment. For instance, Hussen Oumar (Barisa cooperative manager) said,

“Even though, the income of forest dwellers increased, the value of household hard working is not proportional with the benefits or income they get, if all of their effort calculated in terms of money”.

Supporting this idea Dr. Yigramachew said,

“Even if, the income from the forest increased, the determination of forest dwellers exceeds the income they get from forest. Thus according to him there should be incentive for forest dwellers from the government or from international program like REED+ (Carbon trading)”.

Generally the Adaba-Dodola district forest management ascertains the potential of WAJIBs and OWFE as an important instrument for sustainable livelihood development. Income generation through Community based organization and OWFE enterprise prevailed in the area. However, incomplete subsidiarity, lack of downward accountability and lack of capacity seen especially in politically decentralized, lower government administrative units.

CHAPTER FIVE

CONCLUSION AND POLICY IMPLICATION

5.1 Conclusion

This thesis represents an effort to examine the influence of decentralization on forest resource management in Adaba-Dodola forest district, Oromia national regional state since 1995s. Accordingly the policy, legal and institutional framework of decentralized forest management; power, duties and autonomy of forest institutions; status and trends of decentralized forest Management; and the contribution of decentralization in sustaining forest development and conservation, and in improving dwellers livelihood were the central focus of the study.

Although there is a positive effect of decentralization in forest management, there are various gaps. For instance, the national policy has various gaps in integrating forest development, conservation and utilization with the global concern or issues. For instance, it does not contain the issue of green development, Climate change and REDD+ or Carbon trading. Also, the Ethiopian forest policy lacks legal cover and national-level policy coverage for PFM. However, Oromia Regional state forest proclamation 72/2003 recognize three type of forest Ownership: Private, Community and State forest ownership, while the federal proclamation 542/2007 recognizes Private and State forest ownership and does not recognizes community forest ownership.

Fusion of power, multiple authority, and blurred line accountability characterizes the forest institutions. There are four forests related institutions that administer the forest with unclear separation of their power and duties without having regional forest Authority in Oromia. The Proclamation No. 72/2003 left the supreme/highest authority concerning forest resource governance in vacuum. That is there is no regional highest authority in forest management. This may hinder Oromia regional state to provide a unified report, and challenge to communicate with MEF and to coordinate with the other actors. Although, transfer of meaningful discretionary power to local people or lower-tier governments that are accountable to the populace is a prerequisite to achieving a positive outcome from decentralization, this precondition is taken in

asymmetrical way in political decentralization. The public officials of lower government administrative branch are nominally accountable for local peoples, while enterprises are not completely accountable for the local people.

The trends of decentralization shifted from the conservationist to commercialist i.e., from political decentralization to devolution and delegation. Even though, there is an extensive forest regeneration of forest, along this trend some issues appeared. These were: Community Based Organizations (WAJIBs) are being used as a means by OWFE; delegation is prominent one among the three aspects of decentralization; blurred line of accountability; and lack of incentive to manage natural forest, a major source of bio-diversity are the ongoing issues. OWFE inclined toward income generation/profits maximization in more expansive way than (WAJIBs) and Woreda, though it has contributed for forest development.

From 1998-2005 the district forests coverage increased through WAJIBs/PFM by 15.6, while the woreda level government oriented on providing forest related extension service, and managing high priority area, and conservation of patch forest and community forest. OWFE is more oriented on conserving and developing commercial forest for profits maximization, though it shows priority for commercial forest over natural forest. Also, sustainable livelihood development ascertained through Income generation by WAJIBs/ Community based organization and OWFE. However, as compared to household great effort and commitment, the improvements seen in livelihood of household do not click higher satisfaction.

Generally, Adaba-Dodola district decentralized forest management has proven of the potential of decentralization as a viable option for forest resources management and sustainable livelihood development for the area.

5.2 Policy Implication

In an effort to examine the influence of decentralized forest management in Adaba-Dodola district, this thesis comes up with the following policy implication.

- The absence of policy coverage for global forest related issues implies that low facilities for stakeholder to participate in international issues. Also, PFM did not included in national level forest policy. It implies that government does not fully devolve the power to manage the forest for community based organization which in turn results in community alienation from forest.
- Oromia Regional state forest proclamation 72/2003 recognizes three type of forest ownership (Private, community and state forest ownership), while the federal proclamation 542/2007 recognizes only private and state forest ownership. This difference implies that there is a problem of consistence in a legal frame work that is there is a room for different interpretation on similar issues.
- Slacken downward accountability and blurred transparency in political decentralization implies that yet local institution and local people are not well empowered and weak to hold answerable their respective local government in forest management. The existence of fusion of power in forest governance by multiple authorities; and absence of responsible and overarching bureau in Oromia region implies that duplication of resource, limited interagency coordination, challenging line of communication and reporting system between federal government and Oromia region.
- OWFE give priority for commercial forest conservation and development over natural forest this implies there is a threat for natural forest conservation and development. Therefore, in order to conserve and develop natural forest it needs incentive for community.

Finally, as a case study the results of the study are expected to contribute to future studies on decentralization that emphasize international and internal comparisons or to develop empirical experience in decentralization in different countries and within country. However, since there is no nationwide study of decentralized forest governance with its all aspect, it should be studied in order for more successful decentralization.

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Appendix I.

Questionnaires prepared for Adaba-Dodola forest district, forest dwellers household.

Your excellency! Respondents

I requested that you should fulfill your civic responsibility wisely by providing genuine answer for the following questions. Please! Your genuine answers keep the researcher reliability.

Directions

Do not write your name.

Give answer for all questions according to the instruction.

Put (✓) mark in which you pleased in.

Background of the respondents

Sex: Male ☐ Female ☐

Age:

Educational back ground

Illiterate ☐ Adult education ☐ Primary level ☐ High school ☐ Diploma ☐

Marital status

Single ☐ Married ☐ Divorced ☐ Widowed ☐

Ranking scale

For each of item of the questions there are five alternatives indicating towards the item.

Please! Dear respondents put the (✓) for what you pleased in

Strongly agree (SA=5) Disagree (D=2)

Agree (A=4); Strength disagree (SD=1); Undecided (UN=3)

Agent of Decentralization and the use of Abbreviation

WAJIB (Waldaya Jiraattota Bosonaa/Forest Dwellers Association)

OWFE (Oromiya Wildlife and Forest Enterprise)

No.	Item	SA	A	UD	D	SA
1	The perceptions and attitudes of forest dwellers are right and positive toward the Community Based Forest Management.					
2	Women participate in decision making in forest management actively.					
3	Local communities can make subsidiary laws and act upon them freely.					
4	The leader of 'WAJIB', 'Cooperatives' and Union are accountable for local community.					
5	WAJIBs and OWFE have the capacity to implement the decisions they make.					
6	WAJIB alone can sustainably manage Community forest. Therefore, OWFE is unnecessary or extra cake share holder from the WAJIBs' concessions.					
7	There is a transparency between WAJIB members as well as between WAJIB and OWFE.					
8	The central government does not extend its authority by forcing the high costs of its policy on to local people.					
9	WAJIB and OWFE better managed forest.					

10	Deforestation decreased and forest coverage increased.					
11	Forest have been protected from encroachers					
12	Local community have better knowhow and can be used their local knowledge to conserve forest.					
13	The local communities look over and perceive the forest as their personal property.					
14	The local communities take into considerations future generations while they utilize the forest.					
15	There is an extensive regeneration, reforestation and prohibition of farm land expansion.					
16	There is a lack of incentive to manage natural forests, a major source of biodiversity.					
17	PFM improved the economic condition of the forest dwellers households.					
18	WAJIBs are empowering poor households in reducing poverty through income generation.					
19	WAJIB improved consumption and food security					
20	Forest dwellers are able to support themselves in their livelihoods.					
21	WAJIB and OWFE help you, so that you to get access to various assets					
22	OWFE and WAJIBs are improving market access, increasing the value of forest product and capacity of processing forest product.					
23	The members of WAJIB enjoy economic benefits without negatively affecting forest development.					
24	Forest dwellers' burdens are high as compared with their profits/benefits.					

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Appendix II.

Interview Guide for Key Informants

The information you are asked to provide is required for research purposes only and will not be used to jeopardize your position or compromise in any way the integrity of your office, job or status. Any information that you will provide will be kept in strict confidence and used solely for the purpose of this study. Your cooperation is greatly appreciated.

Interviewee: _____ Date of Interview: _____ Place: _____ Time
of Interview: _____ Gender: _____ Age: _____ Social Status_____.
Educational Level_____ Other (*if necessary*) _____

Thank you for showing me your interest to complete this interview!

1. What are the success and gaps under WAJIB, Woreda level government and OWFE in forest management?
2. What are the effects of decentralization (WAJIB, Woreda level government and OWFE) in sustaining forest resource?
3. What are the effects of decentralization (WAJIB, Woreda level government and OWFE) in improving forest dwellers livelihood?

LIST OF KEY INFORMANTS

No.	Name	Position	Organization
1	Abarra Dagafa	Expert	Adaba Wereda
2	Abebe Shuma	Expert	OWFE
3	Admasu Ratta	Expert	OWFE
4	Amano Waaqoo	Manager	Bucha Rayyo Cooperative
5	Bekele Irrana	Expert	OPADC
6	Bekele Kafyalew	Process frontrunner	OAB
7	Daffis Tumato	Expert	OWFE
8	Dr. Tafarra Mangistu	State Advisor	MEF
9	Dr. Yigramachew Siyoum	Directorate	MEF
10	Ejerso Muktar	Manager	Gannata Cooperative
11	Gashaneh Damoze	Expert	MEF
12	Hussen Eebbo	Manager	Ashana Cooperative
13	Hussen Oumar	Manager	Barisa Cooperative
14	Ibrahim Wadajo	Board member	Farachu Rayya Forest Union
15	Kadir Yimar	Expert	Adaba Wereda
16	Kalid Gobana	Manager	Qacama Cooperative
17	Kamal Oumar	Manager	Farachu Rayya Forest Union
18	Misha Haji Ahmad	Manager	Bura Calle Cooperative
19	Mohammad Jemal	Board member	Farachu Rayya Forest Union
20	Mohammad Jibril	Manager	Bubbisa Negelle Cooperative
21	Nasir Kabir	Manager	Addelle Cooperative
22	Nura Ahimed	Expert	ORLEPB
23	Qabato Jarra	Manager	H/Bubiftu
24	Tadesse Lemma	Expert	MEF
25	Tola Bakiri	Manager	Dobado Kusse Cooperative
26	Waami Mohammed	Manager	H/Dakiyye Cooperative
27	Warqina Raggasa	Expert	OWFE
28	Wogane Girma	Expert	Dodola Wereda
29	Xibabu Tafa	Expert	Dodola Wereda