

**Ministry of Environment and Tourism
Directorate of Forestry**

Draft
COMMUNITY FORESTRY GUIDELINES

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Windhoek

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ABBREVIATIONS

CBO	Community-based organisation
CBNRM	Community-based natural resource management
CF	Community Forest
CFWG	Community Forest Working Group
CFEDP	Community Forestry and Extension Development Project
CFNEN	Community Forestry in North-Eastern Namibia
CLB	Communal Land Board
CLRA	Communal Land Reform Act
DFO	District Forest Office(r)
DoF	Directorate of Forestry
FMB	Forest Management Body
FMPU	Forest Management Planning Unit
MAWRD	Ministry of Agriculture, Water and Rural Development
MET	Ministry of Environment and Tourism
MLRR	Ministry of Lands, Resettlement and Rehabilitation
MRLGH	Ministry of Regional, Local Government and Housing
NDP2	Second National Development Plan
NFFP	Namibia-Finland Forestry Programme
NFF	National Fire Forum
NFI	National Forest Inventory Unit
NGO	Non-Governmental organisation
NRSC	National Remote Sensing Centre
NTFP	Non-timber forest product
PRA	Participatory rural appraisal
RFO	Regional Forest Office
TA	Traditional Authority
VDC	Village Development Committees

PREFACE

The Community Forestry Guidelines are a result of a co-operative effort involving a wide range of Namibian community forestry practitioners. They incorporate lessons learned in various projects, including Namibia-Finland Forestry Program (NFFP) and its community forestry efforts in the North West and North East during the last six years; Okongo Community Forestry Project; Community Forestry and Extension Development Project (CFEDP); and Community Forestry in North-Eastern Namibia (CFNEN). Further, the guidelines have built on the considerable experience obtained over the years in the Namibia's CBNRM programme (CBNRM) at MET. The guidelines also draw on lessons learned from community forestry experiences internationally.

The Community Forestry Working Group (CFWG) was given the main task of overseeing the development of the guidelines. At the time of developing the guidelines the members of the CFWG included: Magdalena Ya Kasita (DoF Community Forestry Officer) Michael Otsub, Mathew Masule, Simon Mutabazi, Simon Angombe, Fillemon Kayofa, and Nyambe H. Nyambe. An international community forestry consultant supported the work of the CFWG throughout the process. The work was made possible with direct inputs, advice and suggestions from leaders and participants in community forestry projects in the different sites, national and local Government officials, non-Governmental organisations (NGOs) and community-based organisations (CBOs). The inputs were gained mainly through a series of consultations, including visits North East and North West regions and a community forestry workshop in Windhoek.

The basic *premises* and *principles*, which were adopted in the process of developing the Community Forestry Guidelines, are summarised below:

- *Building on past lessons* to make best use of existing information and lessons (to avoid reinventing the wheel)
- *Adopting a participatory process* to tap the experience and knowledge of the Namibian experts and community representatives
- *Linking with the regulation drafting process* to ensure consistency between the two parallel processes
- *Adopting a modular approach in structuring the guidelines* to enable flexible adaptation of the guidelines depending on the context

PART I BACKGROUND

1. NEED FOR THE GUIDELINES

Community forestry has for long been an integral part of the policy of the Ministry of Environment and Tourism (MET) and its Directorate of Forestry (DoF) through the community-based natural resource management (CBNRM) and community forestry programmes.

Several projects in Namibia have experimented with community forestry since the early 1990s. Pilot projects have tried different approaches resulting in valuable experience when expanding community forestry to new areas. However, despite the relatively long experience with CBNRM and community forestry no official and explicit community forestry guidelines are in place. Consequently the process, procedures, and methods look different from site to site without necessarily reflecting variations in the conditions. Due to the lack of guidelines community forestry has been based on an *ad hoc* approach often repeating old mistakes and not making use of positive lessons. Without guidelines neither the professional staff nor the communities will have a clear idea what should and could be done and what their respective rights and responsibilities are.

Presently, the DoF is in the process of declaring and developing community forests (CFs) in a total of 29 sites in seven regions covering a total of 1.39 million ha. It is urgent to ensure that the process and the administrative requirements for declaration are clear, unambiguous and easily understood, and available for those who work with community forestry at different levels. It is also urgent to ensure compliance with the existing legislation and regulations governing forest land-use, and explicitly clarify the roles of different stakeholders in community forestry.

The mid-term review of the Namibia-Finland Forestry Programme (NFFP) suggested in early 2002 that it is time to consolidate and streamline community forestry procedures into a set of formal guidelines. In 2004, when the process of declaring the first community forests in Namibia was due, it was found necessary to proceed swiftly with the preparation of the guidelines for community forestry development. A Community Forestry Working Group (CFWG) was established by DoF in April 2004, with a mandate to prepare the guidelines for official approval before the end of 2004.

2. OBJECTIVES OF THE GUIDELINES

“Hierarchy of Guidelines”

There are a range of documents, which guide, community forestry development and implementation. Forest policy and strategy, forest legislation, land-related policies and legislation, administrative instructions, various technical guidelines and tool boxes all guide community forestry (Annex 1). They can be seen as a hierarchical system, with policies at the “top” and tool boxes at the “bottom”. Guidelines at different levels have different objectives and users, because of different needs.

These community forestry guidelines provide procedural and operational guidance to community forestry establishment and management. The guidelines address mainly legal establishment, planning, and general implementation practices relevant to community forestry, leaving detailed technical aspects to be covered by technical guidelines and toolboxes. They outline at local, regional and national levels the suggested approaches and institutional arrangements that enable establishment and legal recognition of community forests and their sustainable management. A pragmatic booklet aimed at community forestry field practitioners will complement the guidelines.

Objectives

The specific *objectives* of the guidelines are to:

- Provide a unifying system or methodology for establishing community forestry;
- Describe in detail the process of legally establishing community forests and specify the respective roles of Government forestry officials, communities and other stakeholders in the process; and
- Describe the organisational arrangements, administrative procedures and responsibilities necessary for the sustainable management of community forests.

The Directorate of Forestry should start applying the guidelines as soon as they have been formally approved. However, they need to be improved on the basis of informed dialogue among the practitioners and stakeholders of community forestry/CBNRM, in response to lessons learned. More field-testing and refinements are required before the guidelines can become truly effective. This will require systematic monitoring of community forestry experiences, which should feed into improving the guidelines and revising related policies, strategies and legislation.

Who Are the Guidelines for?

The guidelines will be for any partner with an interest in the management of a community forest, or in community-based management of forest resources.

The *primary target groups* for the guidelines are:

- Any staff involved with CBNRM under MET, including DoF staff at the national, regional and districts level, and staff of the Directorate of Parks and Wildlife Management involved with conservancies;
- Local communities (represented by a forest management body), who would want to pursue a process to establish and manage a community forest, or conservancy committee members interested in managing forests;
- Traditional authorities; and
- “Intermediaries” such as NGOs and CBOs, who may act as awareness-raisers, facilitators, “brokers”, or service providers to local communities.

Secondary target groups include:

- Government authorities representing land administration, including Communal Land Boards; and
- Regional and local Government representatives such as Regional Councils, Regional Development Committees, and Local Community Development Committees.

Separate, more practical guidelines or instructions in a simple and concise format (a leaflet or booklet) and in local languages will be developed for the communities and field practitioners.

What Is in the Guidelines?

Part I contains background information and instructions for using the guidelines. *Part II* describes the policy, legal and administrative framework for community forestry development in Namibia, including the roles and responsibilities of the main stakeholders. *Part III* includes an overview of the steps in establishing and declaring a community forest, and guidelines for managing and

monitoring the declared community forest. The annexes contain model application forms, management agreements, and management plans¹.

Part III forms the core of the guidelines, because it describes step-by-step the community forestry process. Because of the large number of steps involved, the process has been divided into three main phases. The steps build on each other, and for each step the following are provided:

- Objective and rationale of the step;
- Expected outputs/outcomes after completing the step;
- Description of activities needed to complete the step, including allocation of responsibilities; and
- For each step and related activities references to technical guidelines and toolboxes (i.e. practical “how to do” manuals).

It is envisaged that the guidelines will be used together with technical community forestry manuals and toolbox(es). Some of the guidelines already exist prepared as part of the other project activities e.g. in NFFP and Community Forestry in North-Eastern Namibia (CFNEN). Some new guidelines, such as for monitoring and evaluation, may have to be developed.

PART II FRAMEWORK FOR COMMUNITY FORESTRY

1. RATIONALE AND SCOPE OF COMMUNITY FORESTRY

The *rationale* for community forestry is based on a number of aspects:

- Community forestry can be an effective strategy to contribute to poverty reduction and livelihood improvement mainly through creation of:
 - Subsistence and commercial use of forest products according to management plans;
 - Employment opportunities;
 - Promotion of technical, organisational and marketing skills; and
 - Contribution to sustainable land use planning, benefiting e.g. agriculture and livestock management in addition to forestry.
- Community forestry can provide a mechanism for the people in communal lands to re-enforce traditional rights to communal land.
- Community forestry can provide a mechanism for community decision-making and conflict resolution, which can improve social cohesion and co-operation and facilitate the process of addressing other community development needs.
- Community forestry allows building on comparative strengths of management partners to make sustainable forest management a feasible goal.

There is considerable *potential* for community forestry, especially in open communal land areas, that cover 26-27 million hectares, of which an estimated 7.5 million hectares is forests based on 1996 data². About 68% of the population, i.e. 1.8 million people, live in the communal areas, and about 85% of the poor households are in the rural areas, mainly in the communal lands in the northern regions. The rural communities depend largely on subsistence agriculture (including livestock) and utilisation of forest resources. While rural communities vary in the extent of their

¹ Some of the models can be modified to fit the local situation.

² The majority of communal land is savannah, which offers more opportunities for wildlife management and tourism under conservancies or rangeland than for community forestry. Almost 6 million ha of total communal land (33 mill. ha) has been demarcated for commercial use (agriculture). The forested area of 7-8 million ha offers potential both for community forestry and conservancies.

forest dependence, most rely on forests for both subsistence (non-market) needs and for marketable products to earn extra income.

Forest areas provide a wide variety of essential goods – such as cooking fuel, building and household materials (poles, thatching grass), food, traditional medicines, and livestock feed (grass). Forests also provide important cultural and environmental services. For many ethnic groups and individuals, forests have spiritual associations and values that are integral to people's way of life and existence.

Table 1 shows the status of community forestry development in Namibia in mid-2004.

Table 1 Number and Size of Community Forest Activities by Region in 2004

DOF Admin. Region	Political Region	CF sites (no.)	Size (ha)	Mean area (ha)	Population
North East	Caprivi Region	9	90 075	10 008	20 000
	Kavango Region	9	224 500	24 944	6 950
	Otjozondjupa Region	2	221 161	110 581	6 860
Sub-total		20	535 736	26 787	33 810
North West	Oshikoto Region	2	5 879	2 940	2 816
	Ohangwena Region	2	76 096	38 048	12 800
	Omusati Region	2	280 800	140 400	183 050
	Kunene Region	3	492 448	164 149	6 000
Sub-total		9	855 223	95 025	204 666
GRAND Total		29	1 390 959		238 476

Once the first community forests have been declared it is likely that there will more applications for declaration. The future scope of community forestry will depend on the demand. Community forestry is appropriate where communities are willing to take responsibility for sustaining forest resources, and where they are aware of the opportunities and their rights to manage community forests.

2. INSTITUTIONAL FRAMEWORK FOR COMMUNITY FORESTRY

2.1 Policy and Legal Framework

Namibia's Constitution lays the foundation for community-based natural resource management. Article 95 state that the State shall actively promote and maintain the welfare of the people, by adopting policies, which include: *".. the maintenance of ecosystems, essential ecological processes and biological diversity of Namibia and utilisation of living natural resources on a sustainable basis for the benefit of all the Namibians, both present and future"*.

The Government is following two main strategies to fulfil the constitutional obligation of utilising natural resources sustainably:

- Declaration of and management of conservancies through the community-based natural resource management (CBNRM) programme; and
- Declaration and management of community forests.

Community-based natural resource management (CBNRM) has been piloted since the late 1980s. MET has taken the lead in developing an enabling policy and legal framework for CBNRM. The

policy on Wildlife, Management, Utilisation and Tourism in Communal Area promotes devolution of rights over wildlife and nature-based tourism to communities managing conservancies. In 1996 the Government introduced the Nature Conservation Amendment Act that gave communal conservancies the same rights over wildlife and tourism as had been given to commercial farmers.

Until now conservancies have been mainly concerned with wildlife (game) and related tourism. Conservation and management of other resources such as biodiversity, forest products and services have received less attention. However, there is ongoing discussion on adoption of a more integrated approach to resource management in conservancies. The Namibia's Vision 2030 document includes a scenario, where legislation would be expanded to allow conservancies to manage other common resources such as rangelands, community forests, water, etc. This would be consistent with the needs of the communities, which view and manage resources more holistically. However, it would also require that the differences regarding beneficiaries of resource use and the implications for other sector legislation would be harmonized.

Community forestry was brought explicitly into the Namibian forestry development agenda through two key policy documents: the *Namibia Forestry Strategic Plan* (1996) and the *Development Forestry Policy* (2001). One of the aims of the forestry policy is to reconcile rural development with biodiversity conservation by empowering farmers and local communities to manage forest resources on a sustainable basis. There are several instruments to implement the policy, including assignment of effective property rights for sustainable forest management, development of a supportive regulatory framework, strengthening of the extension service, promoting forest management, including community forestry, supporting forest research, and education and training.

The policy highlights the importance of effective property rights for sustainable forest management. The absence of clear property rights, including the right to benefit from management and exclude "free riders" in the communal areas, is a major cause for forest degradation and environmental damage.

The Namibia Forestry Strategic Plan, through its core programmes, is the main instrument for implementing the Government forest policy. One aim of which is the community level management of natural forests. Community forestry falls under this programme.

The enabling policy and legal framework for community forestry was completed with the promulgation of the Forest Act (2001). The supporting regulations are being drafted. The Act contains provisions, which allow transferring management rights over a specified communal land area to be managed as a community forests to a body representing the interests of people who have rights over that land. Section 15 of the Forest Act specifically requires the following before a specified communal land area can be declared a community forest:

- Geographical boundaries of the proposed community forest must be specified;
- The consent of the Traditional Authority is needed;
- A management plan must be prepared, in accordance with Section 12 of the Forest Act;
- A body, responsible and able for managing the community forest in accordance with the management plan and representing the community, must be appointed;
- An approval by an authority, which is authorised to grant rights over communal land (interpreted to include Communal Land Boards and MLRR);
- Description of how members of communal land will be ensured equal use of the forest and equal access to the forest produce;

- A description how future forest management efforts will be financed, possible surplus benefits from forest management are distributed equitably and equal access is ensured; and
- All the above must be made part of the agreement with the Minister of Environment and Tourism.

The forestry policy documents and legislation related to community forestry support the implementation of the Namibia Vision 2030. In this documents the following vision for the forestry sector is presented: *“Namibia’s diverse natural woodlands, savannahs and the many resources they provide, are managed in a participatory manner and sustainable manner to help support rural livelihoods, enhance socio-economic development and, and ensure environmental stability”*. The vision document emphasises securing tenure over all resources to appropriate community structures and developing community institutions to manage forests sustainable as key strategic measures.

The Second National Development Plan (NDP2) can be considered as the first 5-year development programme of the Vision 2030 document. NDP2’s objectives and targets set for the forestry sector include declaration of 15 community forests by 2005. It is notable that the objectives in the NPD2 include close integration of the community forestry programme with other CBNRM initiatives. The NDP2 programme on community participation in forest management supports directly the following NDP2 National Development Objectives: reducing poverty, increasing employment, promoting economic empowerment, and enhancing environmental and ecological sustainability.

2.2 Organisational Framework

The main functions and responsibilities in community forestry development are summarised in the following matrix:

Table 2 Proposed Allocation of Organisational Responsibilities

Stakeholder	Function/Responsibility	Comments
TA (King, Chief, Headmen) Village Headman (Senior)	<ul style="list-style-type: none"> • Provide leadership, support and consent to enable the community to proceed with community forestry • Identify, and approve CF boundaries and the entire CF application • Take lead in conflict resolution • Take initiative in organising initial community meetings and forming a forest management body • Act (often) as a chairperson (patron) or member of the forest management body (FMB) • Identify CF boundaries and approve forest management plans 	Depending on the structure in the concerned community
Forest Management Body	<ul style="list-style-type: none"> • Represent the community in managing the CF following an agreement with the Minister • Responsible for management planning, implementation and internal control as well as reporting back to community and District Forest Office (DFO) • Organising and supervising day-to-day management activities • Link with Government organisations, NGOs and other non-state institutions 	
MET (Minister, Permanent Secretary, under secretaries, directors of directorates) Regional Forest Office (RFO)/MET	<ul style="list-style-type: none"> • Provide highest policy guidance in CBNRM, including community forestry • Co-ordinate the national CBNRM programme • Confer the rights on FMB to manage forests through an agreement and declaring the CF • Advise DFOs in implementing community forestry Government • Monitor that Government community forestry programmes 	A logical alternative is to allocate the forest management control function entirely to RFO (but this

DFO/MET	<ul style="list-style-type: none"> are being implemented and inform Governor and DoF of progress • Provide guidance and technical backstopping for the implementation of management plans • Monitor and control that forest management operations adhere to laws and regulations • Co-ordinate with other ministries/departments and stakeholders in the region • Allocate resources to districts • Seek for approval from Communal Land Board for declaring a community forest • Identify human resource and training needs • Provide extensions services to communities • Supervise and assist communities in various CF activities, including preparatory work • Monitor and control that forest management operations adhere to laws and regulations 	<p>may require additional resources.)</p> <p>Control should be separated from extension and training.</p>
MLRR	<ul style="list-style-type: none"> • Review that the proposal of establishing the CF is in accordance with the Land Act and Communal Land Reform Act, and other land-related legislation • Based on the review, endorse and support the declaration of the community forest • Maintain list of declared CFs 	<p>There is a problem in terms of transferring tenure rights under Land Act or Communal Land Reform Act, because these acts do not recognise community forests as a land-use category</p> <p>The LA and CLRA only deal with land tenure not with resource tenure</p>
Ministry of Justice	<ul style="list-style-type: none"> • Review the legal consistency of the CF application 	<p>Focus on the constitution and by-laws</p>
Other ministries and departments, including Agriculture Development Centres and veterinary services	<ul style="list-style-type: none"> • Advise and support non-forest land use and development activities • Facilitate marketing of non-forest products from CFs 	
Governor/Regional Government	<ul style="list-style-type: none"> • Provide support for CF in line with regional development policies • Review and endorse the CF application 	
CLB	<ul style="list-style-type: none"> • Review the appropriateness of the proposed community forest area from the viewpoint of Communal Land Reform Act (CLRA) 	<p>CLRA requires CLB to consult Conservancy Mgt Plans but not e.g. CF Mgt Plans</p>
NGOs/CBOs (potential functions)	<ul style="list-style-type: none"> • Assist forest officers and communities in the process of declaring CFs • Support communities in their management efforts • Help with networking to mobilise other resources to help e.g. with non-forest related land-uses and community development activities 	<p>Where applicable (e.g. communities ask for support and there are NGOs/CBOs with adequate capacity)</p>

Community forestry will change the way forests will be managed. In addition, participatory approaches and techniques are becoming established and streamlined in the Namibian forest sector. Therefore, institutional reorientation and capacity building is needed for DoF to be able to provide the required services. Table 1 implies a great need for support services, such as training and extension, just on the basis of existing plans to declare community forests. As stated in the Namibia Vision 2030 document, a major capacity building programme should be undertaken in order to develop capacity in community forestry. This can be done effectively only if community forestry is truly institutionalised at the central, regional and district levels.

The following matters will need attention in institutionalising community forestry:

- Ensuring that community forestry would have the necessary mandate and resources to enable efficient implementation;
- Developing the mission statement for the Community Forestry Unit (or whatever organisational unit that will be responsible for community forestry) and the job descriptions

for officers responsible for community forestry, including e.g. the process of monitoring CF progress, filing procedures and databases for monitoring;

- Improving integration between inventory, planning and community forestry functions in DoF, including development of technical guidelines and procedures that support community forestry;
- Closer integration of MET's CBNRM programme, including the possibility of pooling resources in implementation (e.g. delivery of extension services and monitoring) in the field;
- Ensuring that capacity building through education and training, adequately reflects the needs of the community forestry;
- Developing the Community Forestry Tool Box and a "field guide" (e.g. a booklet) to CF declaration process; and
- Ensuring that community forestry research requirements are included in the forestry research agenda.

PART III GUIDELINES FOR ESTABLISHING AND MANAGING COMMUNITY FORESTS

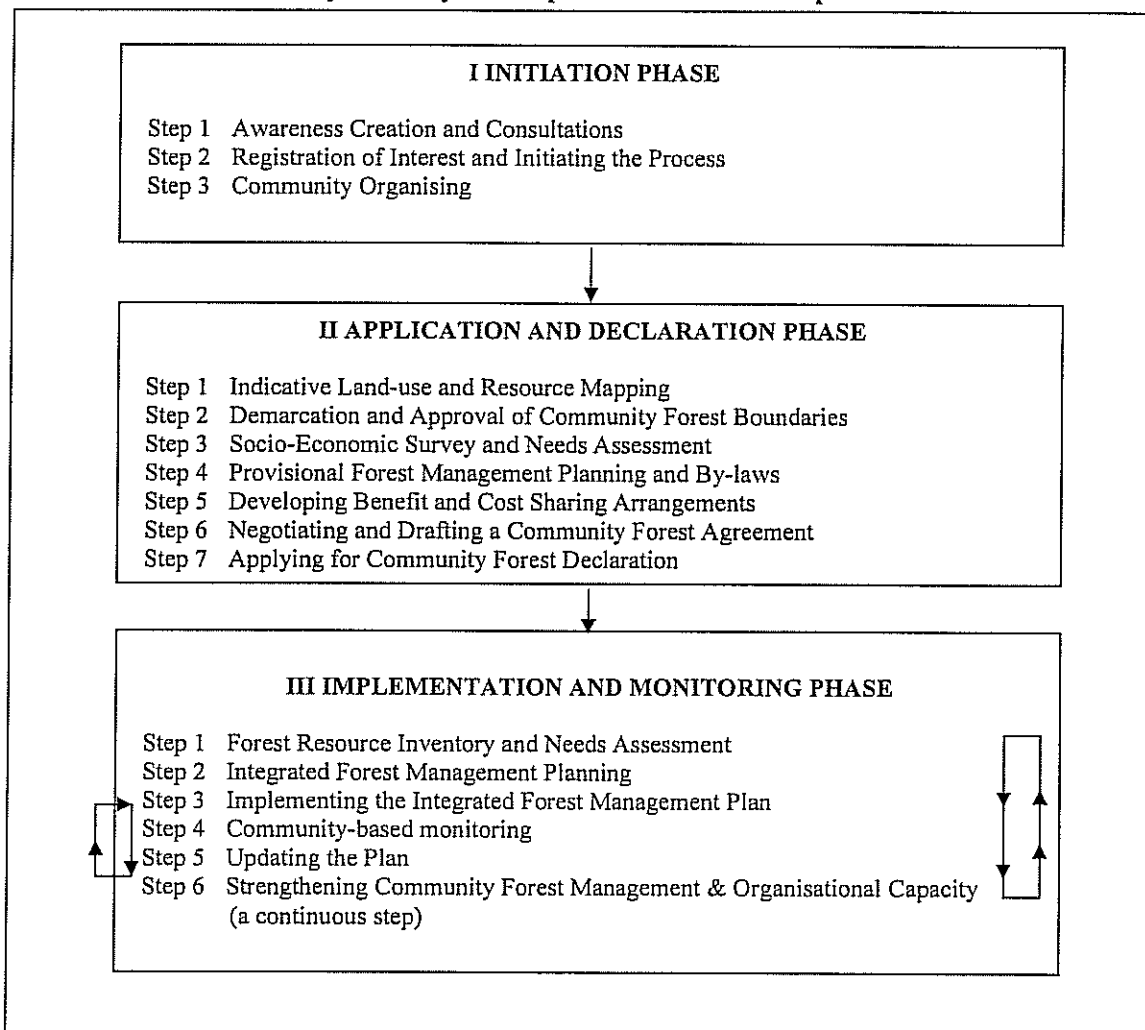
1. OVERVIEW OF THE BASIC PHASES AND STEPS IN COMMUNITY FORESTRY DEVELOPMENT

1.1 Overview and Basic Principles

There is no blueprint or “one size fits all”-approach to community forestry in Namibia or elsewhere. There are considerable differences between regions in terms of land-use history, ecological conditions, socio-economic environment, ethnicity, cultural practices, etc. The varying conditions and needs require the adoption of a flexible but still uniform approach that would give the necessary guidance for establishing community forestry in the country.

In the following, community forestry development is presented in three phases: *Initiation Phase*, *Application and Declaration Phase*, and *Implementation and Monitoring Phase*.

Box 1 Community Forestry Development Phases and Steps



Under each phase a number of steps are described. It is emphasised that these phases and steps should not be used as a rigid formula for negotiating community forestry agreements and

implementing management plans. They should be adapted as found necessary based on the local conditions and as more experience is gained. For example, it is not always necessary to complete all the steps; this would in many cases result in too intensive and costly management inputs in relation to the potential benefits that communities can make from the CFs. The steps often overlap and sometimes they can even be merged.

The main steps are listed under two representative, but general contexts:

Table 3 Implementation of Community Forestry Development Steps under Different Contexts

	<i>Context 1:</i> Forest-poor area ³ Subsistence use dominates Forestry not a priority land-use	<i>Context 2:</i> Forest-rich area Both subsistence and commercial forestry potential Forestry an important land-use	Comments
Phase I			
Step 1	Yes	Yes	
Step 2	Yes	Yes	
Step 3	Yes	Yes	
Phase II			
Step 1	Yes, qualitative assessment may suffice	Yes, quantitative inventory may be needed	Steps 1, 2, and 3 can be combined
Step 2	Yes	Yes	
Step 3	Yes	Yes	
Step 4	Yes	Yes	
Step 5	Yes	Yes	
Step 6	Yes	Yes	
Step 7	Yes	Yes	
Phase III			
Step 1	No	Yes	
Step 2	No, provisional management plan will form the basis for implementation	Yes	
Step 3	Not necessary, if done during earlier phases	Yes	
Step 4	Yes	Yes	Monitoring and reporting requirements would differ, depending on the importance of forests
Step 5	Yes	Yes	
Step 6	Yes	Yes	

Although these examples are a simplification, there is enough basis to allow some conclusions. In a large share of planned community forest areas, forest resources are limited. Consequently, the potential benefits from forestry cannot compete e.g. with livestock and agriculture, or in some situations, potential income from game management. If these areas do not provide important environmental services, it makes sense both from the community perspective and the viewpoint of the Government (e.g. in light of resource constraints) to adopt a less resource-intensive and simpler approach to forest management (see Context 1)

The low-intensity approach to community forestry would build upon the following:

- Devolution of management to communities through community forest declaration and the agreement. This will apply to a specified area, where communities have rights and obligations,

³ This needs to be defined. For example a land area with trees that is not classified as forest according to the FAO classification would be a forest poor area.

which allow them to benefit from management but also make them more responsive to the degradation of land and forest resources;

- Giving rights to the community to use and to control forest use, including a community-based permit system and rights to exclude outsiders from encroaching the area,;
- Strengthening the institutional and technical capacity of the forest management body (FMB) to manage the forest on behalf of the community;
- Using a simple management plan (presenting the vision and description of how this vision will be achieved) and especially by-laws as management tools; and
- Focusing on basic monitoring to help the FMB to make sound decisions.

As a generalisation, this “light” approach to community forestry would be most relevant in large areas of the North West and parts of North East. The more intensive approach to community forestry could be justified in conditions represented in Caprivi and Kavango. In fact, the low-intensity approach should become the dominant procedure in community forestry . Until recently, however, community forestry has been implemented everywhere more or less following the approach and steps described under Context 2.

Even in Context 2, the steps should be regarded as best practise assuming that all human and financial resources would be available. In most cases, it is best to adopt an incremental approach to community forestry, and add elements as the capacity of both the communities and forestry staff, as well as the benefits increase.

Whatever the context, it is vital that the agreement truly transfers rights and responsibilities over a specified area to a community, and that a well-functioning forest management body representing the interests of the community is in place. Strengthening the capacity of the management body to make sound, transparent and accountable decisions will create a good foundation for promoting sustainable forest management.

It is essential, that forestry staff and projects avoid initially raising the bar for forest management too high. This can easily happen, when community forestry is developed primarily with external inputs from donors and NGOs. In reality, there may not be sufficient financial and human resources or knowledge (e.g. growth data) to implement community forestry following “best practises”. When the forest resources are valuable enough (from an economic or environmental perspective), the communities (assisted by forestry staff) can over time aim at moving towards the “ideal” model.

1.2 Overview of the Initiation Phase

The steps under the Initiation Phase are:

1. *Awareness Creation and Consultations;*
2. *Registration of Interest and Initiating the Process; and*
3. *Community Organising (including establishment of the management body and constitution.*

The initiation phase can be viewed from two levels. *At the national level*, a clear strategy for promoting community forestry should be in place. The Government will not have enough resources (funds, trained personnel, etc.) in the immediate or short term for promoting and supporting community forestry throughout the country. Clear criteria should be established for determining priority areas. Criteria could include the following: the interest shown by the community, the extent/value of the forest resources, and the significance of threats to forest-related economic and environmental values in a specific communal area. DoF could prioritise

areas, where the likelihood of success is the greatest, e.g., areas which do not have serious land use conflicts and where forests can provide attractive benefits. Success breeds success, whereas possible failures may slow down community forestry expansion.

The Government must also be ready to support community forestry. It must have clearly established procedures and administrative responsibilities, trained personnel to provide support services (e.g. training of trainers) at various levels, and capacity to monitor community forestry.

At the community level, the basic requirement is that there should be demand for community forestry; it should not be imposed. In many areas communities have their own interests and a commitment to manage certain areas as community forests. However, elsewhere it may be necessary to make people and other stakeholders aware of Government policies and the opportunities available in community forestry; i.e., the demand must be created.

During this stage, the community must organise itself by e.g. establishing a Forest Management Committee or some other form of Forest Management Body (FMB) to continue with the next steps. Having an efficient and accountable FMB that can make sound decision is crucial for sustainable community forest management. It is essential that the community institutions involved in the management are strengthened over time.

1.3 Overview of the Application and Declaration Phase

The steps under the Application and Declaration Phase are:

1. *Indicative Land-use and Resource Mapping;*
2. *Demarcation and Approval of Community Forest Boundaries;*
3. *Socio-Economic Survey and Needs Assessment;*
4. *Provisional Forest Management Planning and By-laws;*
5. *Developing Benefit and Cost Sharing Arrangements;*
6. *Negotiating and Drafting a Community Forest Agreement; and*
7. *Applying for Community Forest Declaration (including Community Forest Declaration).*

This phase is the most important stage in community forestry. The agreement and finally the declaration, which is the ultimate aim of this phase, provide the legal basis for the community forest and the management body. Furthermore, international experience has shown that just the legal declaration of a community forest, by improving security of land tenure, and by clarifying the rights and responsibilities of land managers, will promote sustainable resource management. The legal declaration provides the foundation and the incentives for long-term investment into forest land and for adopting sustainable practices. In the declaration, the Minister formally transfers management rights and responsibilities to the communities.

1.4 Overview of the Implementation and Monitoring Phase

The steps under the Implementation and Monitoring Phase are:

1. *Forest Resource Inventory and Needs Assessment;*
2. *Integrated Forest Management Planning;*
3. *Implementing the Integrated Forest Management Plan;*
4. *Community-based Monitoring;*
5. *Updating the Plan; and*
6. *Strengthening Community Forest Management and Organisational Capacity.*

It is important to note that the first five steps are closely inter-connected. The first step feeds into management planning and is consequently an integral part of management rather than a separate survey. In reality, the same team will implement these steps. Monitoring (Step 4) should again be seen as feed back to improve management (Step 5 and Step 3).

Annual work plans are prepared and implemented each year. Through this repeated activity and the associated learning-by-doing, it is hoped that both the management capacity of the community, and the support services capacity of the District Forest Office (DFO) and other Government agencies is likely to improve. Stakeholder collaboration should also become more established and smooth over time.

The last step, concerned with strengthening capacity, is not really an independent step but an important, continuous cross-cutting process. The capacity of communities to manage a forest, even in collaboration with Government staff, is initially limited. The capacity of District Forestry Officers to provide support services and become effective management partners also varies. Further, the participatory community-driven forest management approach requires reorientation, new skills and even new institutional arrangements, including possibly an increasing use of NGOs and CBOs. Some of the capacity building will take place as a natural learning process while community forestry implementation proceeds. However, a more systematic approach to capacity building, including organisational development and human resource development, is needed to enable a more homogenous approach and better quality implementation.

2. MAIN PHASES AND STEPS

2.1 Initiation Phase

2.1.1 Step 1 Awareness Creation and Consultations

Objective:

To create awareness in the forest adjacent and dependent communities (in communal land areas) about the opportunity to establish a community forest in line with of existing Government policies and legislation.

Main output(s)/outcome(s):

- Involved parties understand the potential and limitations of establishing community forests; and
- A working relationship established between the concerned communities and the Government.

Rationale:

Communities must be aware of the opportunities that are available for them in community forestry based on the Government policies and legislation.

Principles:

- Everything should be based on the principle of voluntary action; communities should not be made to feel that they need adopt community forestry, because it is a Government policy;
- Awareness creation should concentrate both on the rights and responsibilities, and the benefits and duties;
- It is crucial to be realistic about potential benefits when working with communities and not to raise undue expectations; and

- It is also important to explain what kind of support the community can expect during the process, and explain the principles used in setting priorities in situations, where support cannot be immediately provided because of resource constraints.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Target areas for awareness campaigns	Publicise through TA meetings, DFO through pamphlets		DoF RFO DFO	
Inform regional and local Government authorities about community forestry and steps needed to establish CFs	Inform Governor, Regional Council, Traditional Authority, Communal Land Board, MAWRD, etc. Distribute information on policy and legislation Discuss their role in the process	Information leaflets prepared	RFO DFO	
Disseminate information to communities on community forestry and steps needed to establish CFs	Convene meetings with Traditional Authority (TA) and community leaders Hold community meetings Discuss their role in the process	Information leaflets in key languages prepared Staff members should understand related policies and legislation	DFO NGOs CBOs	Forest Act and Regulations Conservancy legislation
Build relationships between community and DFO	Hold informal meetings and find out about community expectations Assess general readiness and interest to proceed with community forestry		DFO NGOs CBOs	

2.1.2 Step 2 Registration of Interest and Initiating the Process

Objective:

To indicate to MET/DoF and other relevant Government authorities that the community wants to proceed with community forestry.

Main output(s)/outcome(s):

- A written registration of interests (formally called Letter of Interest) from the community to DoF asking for support to establish a community forest;
- Relevant authorities (see table) are informed that the community, supported by the Traditional Authority (TA), wants to proceed with the establishment and declaring of a community forest; and
- The community is informed about the requirements for community forest declaration.

Rationale:

A Letter of Interest addressed to the DoF is needed to demonstrate that a community is interested and committed to set aside a certain forest for management and conservation. This initial contact will mobilise the process of declaring a community forest starting with making the community aware of the detailed steps and responsibilities during the process.

Principles:

- It must be ensured that that the expressed intention to establish a community forest really represents the interests of the wider community.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Agree on the idea of community forestry	Community meetings Community to discuss with TA	There is demand for community forestry in the community	Local community leaders assisted by DFO	
Prepare the Letter of Interest	Area concerned, management purpose, managers		TA signs the letter Village Headman to draft the letter DFO facilitates	
Submit the letter to DoF/MET (via DFO/RFO)	Attach also a list of community members, who support the proposal Send to Governor and CLB for information		Community through TA	
Inform the community about sending the letter	Use meetings to disseminate information Display letter in various places in the community		Village Headman	
Register the Letter of Interest	Apply standard DoF filing procedures		DFO/RFO DoF Community Forest Officer	DFO/RFO filing systems DoF filing system
Inform the community, TA and councillor(s) about registration and next steps (often TA has already a member in FMB so information is already available)	Often TA has already a member in FMB so information is already available		DoF Community Forest Officer via DFO/RFO	Regulations

2.1.3 Step 3 Community Organising

Objective:

To organise the community for integrated forest resource management by appointing a responsible management body with clearly established functions and responsibilities.

Main output(s)/outcome(s):

- Management body for the community forest is established and functioning;
- A constitution for the management body is prepared and approved, and the management body is divided if necessary into an executive committee;
- Conflict resolution mechanisms in place (in the constitution); and
- Links with other concerned Government agencies and NGOs/CBOs established.

Rationale:

The declaration of a community forest requires that a community must organise itself to manage the forest. From a practical viewpoint, having a management body established as early as possible is important. There are a number of decisions and concrete actions, such as boundary demarcation and initial management planning, some with potential legal implications that must be organised and decided at an early stage. A formal management body, e.g. a Forest Management Committee, is also a pre-requisite for signing a community forest agreement.

The management body will gradually develop its policies, rules, reporting systems and other operational procedures. It may take years before the management body will become strong enough to take full responsibility for management and be less dependent on outside support. Extension officers must provide support to strengthen both the organisational and managerial capacity of the FMB. Community organising and strengthening should go hand-in-hand with planning and implementation.

Institutional and organisational development must include links with Village Development Committees (VDCs), conservancy management committees (when areas overlap) and other agencies and non-Governmental groups. Such links may help addressing e.g. water, agriculture, veterinary, and human health (e.g. HIV/AIDS) issues. In some areas, it will be important to co-operate with conservancies, which will require clarification of co-operation and co-ordinating arrangements with conservancy committees.

Principles:

- Community organising and capacity building is a process; it does not end with establishing the management body and drafting a constitution;
- *One should build management structures and organisations on existing arrangements to the extent possible and respect the views of the Traditional Authority;*
- Transparency of decision-making is essential;
- The management body should communicate actively with the community to which it is accountable, so that it does not end up working too much on its own;
- Immediate priority should be in organising those functions, which are crucial for ensuring the support of community members and declaring the community forest; and
- In regions and districts with limited staff and resources, DFO/DoF should consider contracting NGOs and CBOs to undertake selected activities following approved guidelines and instructions.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Discuss priority functions needed in CF establishment and declaration.		DFO staff trained in organisational and managerial aspect of CF	DFO facilitates	
Assess adequacy of existing organisational arrangements and identify development/training needs	Community meetings involving village Headman and VDCs	See above	DFO	Tool box
Design management arrangements	Agreeing on structure, membership criteria and election procedures of the management body Agree on means of co-operation with conservancies if relevant	See above	General village meeting	Tool box
Establish a management body	Use democratic election to ensure adequate representation and ensure approval of TA List members		General village meeting TA DFO facilitates	Tool box
Appoint a chairperson, treasurer and secretary			FMB	
Draft and approve the constitution	Explain the need for a constitution	FMB members appointed	FMB DFO facilitates	constitution Tool box

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
	Use a facilitator to draft the constitution Discuss constitution in a general meeting Signing by Village Headman and FMB Chairperson			
Organise the management body into an executive body and a working arm	Form working groups/committees to undertake priority work Define internal rights and duties, terms of reference for different positions Develop financial management and reporting systems		FMB DFO facilitates NGOs and CBOs can also help	Tool box
Establish a system for reporting back to community and to TA	Use meetings to disseminate information Display and distribute information Use radio		FMB with community members	
Inform the community about constitution and organise the responsibilities	Use meetings to disseminate information Display information in various places in villages		FMB	
Establish links with other partners and specify roles	VDCs Conservancy management committees NGOs/CBOs Relevant Government organisations	FMB established	FMB DFO	
Develop management capacity	Provide training in bookkeeping, financial management, keeping minutes, negotiation and meeting skills, general managerial skills, etc	RFO and DFO staff trained in these topics	RFO DFO NGOs and CBOs can support	Tool box

2.2 Application and Declaration Phase

2.2.1 Step 1 Indicative Land-use and Resource Mapping

Objective:

To identify and carry out indicative zoning of the area to be proposed as a community forest.

Main output(s)/outcome(s):

- Zonation map for the community forest;
- Increased understanding of land use categories, and the location of various forest types and key forest resources;
- Forest land management issues, and associated threats and opportunities identified;

- Community forest mapped; and
- Areas for proposed forest management interventions are identified and zoned on a map; sometimes based on indigenous land-use and other land use, including areas for protection for environmental and cultural reasons.

Rationale:

It is essential for the local communities and local Government authorities to identify those forested areas, which they think should be protected and managed as a community forest while simultaneously recognising other land requirements. Because of the range of needs, and the varying capacity of land to meet them, it is important to zone the area to allow for different management objectives, including protection for environmental and cultural reasons.

Principles:

- Land use mapping and planning must be simple and indicative using cost-effective methods, and carried out jointly by community members and district forestry staff (without requiring direct involvement of DoF staff from the head office;
- Mapping must be closely integrated with boundary demarcation and provisional forest management planning;
- More detailed land-use planning should apply only to the area that will be the CF area;
- Existing information, such as aerial photographs, regional forest inventory data, vegetation classifications, spatial biodiversity information, and satellite imagery should be used but presented in such a way that villagers can understand and use the information;
- All important land resources inside a community forest should be assessed in forest management plans based primarily on priorities set by villagers but also acknowledging conservation objectives when they are of national importance;
- For non-forest land use, co-operation with relevant ministries and organisations has to be sought; and
- One should avoid including large areas that are currently used or may be used in the near future as (fenced) private farms or leaseholds.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Obtain maps, aerial photographs satellite imagery, and relevant spatial information on natural resources	DoF should help in accessing materials; emphasis on acquiring recent satellite imagery (some of it freely available), and using already existing imagery/maps	Funds to procure imagery when free data not available	DoF	
Identify key stakeholders	Meetings with CLB, TAs and villages		DFO facilitates	
Form and train the Survey and Planning Team	FMB to appoint members Representatives from adjoining communities must be included	DoF must train DFO staff (training of trainers)	DFO facilitating with support from DoF DFO also team member TA assigns a representative Communal Land Board Members from adjoining villages	Training guidelines to be prepared Tool box
Carry out reconnaissance surveys to map forest resources and other land-use	Meetings with local people to identify land use pattern; using GPS to mark		Survey and Planning Team	Tool box

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
	way-points			
Define indigenous land units as sub-areas of the community forest (part of provisional management planning)	Demarcation of units or zones can be done using satellite imagery with inputs from local people		Survey and Planning Team assisted by DFO and identified communal user groups with resource us priorities	Tool box
Conduct indicative land-use planning as an input to management planning (forest zonation)	Carrying out community meetings to discuss land-use trends and land requirements		Survey and Planning Team	Tool box
Prepare a sketch map of land-use and the proposed community forest area	Survey and Planning Team and discussions in community meetings		Survey and Planning Team	Tool box
Inform community about results	Display the map in villages		FMB	

2.2.2 Step 2 Demarcation and Approval of Community Forest Boundaries

Objective:

To demarcate the boundaries of the community forest to enable legal recognition of the forest and tenure rights, and to form the basis for integrated forest management planning.

Main output(s)/outcome(s):

- A Boundary Map showing the community forest area including boundary and co-ordinates of corner points;
- Community forest beneficiaries (i.e. villages benefiting from the community forest) are identified;
- The proposed community forest boundaries are clearly understood by everyone, and are formally approved by the Traditional Authority and the villages involved; and
- The risk of boundary conflicts and competing land claims are minimised.

Rationale:

Forest management require clear boundary demarcation. Clear boundaries strengthen ownership, promotes more responsible behaviour, and reduces potential conflicts. The legitimacy of resource use is based on the local agreement concerning the boundaries. The adjoining communities and relevant TAs must agree on the boundaries at the local level. The community should then get an opinion from the Communal Land Board for establishing a Community Forest.

Principles:

- The demarcation process should not be too technical but allow for negotiation and conflict resolution (the use of GPS equipment is recommended);
- One should try involve the same people in boundary demarcation⁴, land-use and forest management planning to ensure consistency, efficiency and continuity in work, and to build local capacity ; and
- Well known and established natural or landscape features (ridges, roads, dry river beds, fences etc.) should be used as much as possible to help demarcation and the maintenance of the boundary.

⁴ However, boundary demarcation requires inputs also from the adjoining communities.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Obtain maps, aerial photographs or satellite imagery		Most of this available already from previous step At least a topographic map 1:100 000; preferably recent aerial photographs (if available) or satellite imagery	DoF	
Identify key stakeholders	Most are identified earlier Organise meetings involving adjoining villages; involve village elders / senior representatives in discussions Consult also conservancies, water point committees, etc.		TA DFO	
Mobilise the boundary demarcation team	Same as Survey and Planning Team Meetings with Traditional Authorities and communities	Prior agreement to proceed with boundary demarcation	FMB DFO	
Train the team and plan the work		DFO staff trained in the topic	DFO supported by DoF (training of trainers) Sub-contracting an option	Training guidelines to be prepared Tool box
Draw a sketch map and identify preliminary corner points	Meetings with TA and communities In addition to GPS co-ordinates, traditional permanent features of corner points can be described on a topographic map, aerial photograph or satellite image		Survey and Planning Team (assisted by DFO) TA	Training guidelines to be prepared Tool box
Examine and check the boundaries in the field	Determine and visit corner points or other boundary co-ordinates	GPS equipment	Survey and Planning Team (assisted by DFO)	Tool box
Prepare a community forest boundary map and schedule	Complement by a table with technical description of boundaries and corner points		Survey and Planning Team (assisted by DFO)	Tool box
Make important sections of the boundary accessible for field visits by Traditional Authorities and Headmen in order to confirm approval	Sections bordering traditional areas, settlements, private leaseholds should be targeted with priority		Survey and Planning Team (assisted by DFO) and accompanied by TA and headmen	
Discuss the boundary map in community meetings	Cross-checking and validating the boundaries		Survey and Planning Team (assisted by DFO)	
Sign the CF boundary proposal (map and schedule)	Store copies of the map with FBD, DFO,		FMB/Village (Senior) Headman	Signing by TA represents the

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
	RFO		TA	consent required in Forest Act
Submit boundary proposal for community forest declaration to Communal Land Board for review	Review and signing by Communal Land Board (CLB) Copy of the map to be filed at CLB		RFO to submit to CLB to review	Communal Land Reform Act Forest Act and Regulations
Obtain a letter of recommendation from MLRR supporting the application	DoF/MET to inform and request consent from the Minister of MLRR on behalf of the community Alternatively, this can be done as part of the overall application for the declaration of a Community Forest	A letter of recommendation from CLB and RFO	RFO to send signed documents to Community Forestry Unit/DoF DoF/MET will send to MLRR addressed to the Minister	Forest Act and Regulations Communal Land Reform Act
Inform FMB of the decision	DFO to inform the community of the decision and next steps		DoF/MET through RFO/DFO	

2.2.3 Step 3 Socio-Economic Survey and Needs Assessment

Objective:

To collect socio-economic and important environmental information (that has not been collected during the previous steps) that can help communities and District Forest Officers in forest management planning and monitoring.

Main output(s)/outcome(s):

- Better understanding of the social relationships and decision-making systems that affect forest land use;
- Threats to forest resources and livelihoods, and forest users or user groups, including vulnerable groups identified;
- Better understanding of existing use management practices and rules, including access rights of internal and external users as an input e.g. to the development of by-laws and the management plan;
- The role of forestry in addressing livelihood and environmental issues is clarified and agreed upon and possible forestry interventions are initially identified; and
- Organisations providing support services to address priority livelihood issues (through other than forestry-related strategies and measures) are identified, and brought into the planning and development process

Rationale:

Sustainable forest management is one way to help meeting people's needs. Socio-economic surveys are useful to assist villagers to analyse in what way forestry could help to improve their livelihoods and to address challenges and opportunities. Surveys should always be action-oriented and direct, and stimulate stakeholders to analyse the collected information to identify possible interventions (rather than preparing a report for foresters).

Principles:

- Villagers and foresters should collect only data that can be used as a direct input to management planning and monitoring;

- Focus should be to help villagers to analyse (and not only collect information), and to see the linkages between specific events (e.g. excessive fires) and changes in their well-being;
- The scale and scope should depend on the extent and value of the forest resources as well as the number of villages and people affected by forest management planning;
- It is important to analyse threats and opportunities from a stakeholder perspective; the likelihood of success of forest management is often higher when the benefits outweigh the costs for any stakeholder; and
- NGOs/CBOs could be increasingly contracted as facilitators under the supervision of DoF.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Form the Survey and Planning Team (formed already during step 1)	Conduct a community meeting involving FMB	Community is already organised e.g. into a FMB	DFO	Tool box
Train the team in socio-economic issues		RFO and DFO staff trained in these topics	DFO supported by DoF (training of trainers) Sub-contracting an option	Training manuals Toolbox
Plan and carry out surveys	Community meetings Focus groups discussions Time line Carry out historical trend analysis	FMB members trained	Survey and Planning Team (Socio-economic/village survey team) (What Is This Team?) DFO facilitating	Tool box
Undertake basic needs and socio-economic assessment	Using community meetings, focus group discussions, semi-structured interviews; problem ranking, transect walks, etc.		Survey and Planning Team DFO facilitating	Socio-economic Information Collection and Utilisation: Guidelines for Community Forestry (2001) Toolbox
Report findings to all community members and discuss implications on forest management and other activities	Community meetings Prepare summary in local languages File report at community and DFO and RFO		FMB/Village survey team(What Is This Team?) Survey and Planning Team	Tool box

2.2.4 Step 4 Provisional Forest Management Planning and By-laws

Objective:

To develop a system for the management of the community forest in the form of a provisional management plan and by-laws to ensure the sustained and fair provision of forest products and services to meet community needs.

Main output(s)/outcome(s):

- Provisional Management Plan outlining the use and management of the community forest;
- By-laws outlining the rules and regulations for the use of the community forest;
- General understanding of current forest resource use, priority forest-related needs, threats, and opportunities to meet community needs;
- General understanding of the role forestry could play in contributing to people' livelihoods (the vision) and what needs to be done to address the identified issues;
- Zonation of the community forest for different management purposes such as grazing, protection and conservation, wood extraction and farm forestry;

- A simple Provisional Management Plan (max 5 page) containing: area description, forest produce and use, management objectives and activities, and description of the body responsible for management (see Annex 4 for a model Provisional Management Plan); and
- Proposed by-laws outlining the rules governing the use of forest resources (and e.g. the envisaged control interventions)

Rationale:

It is important, both for the FMB and forestry staff, to adopt a gradual approach to forest management planning. Planning should reflect priority needs and be based on the available capacity for planning and implementation. Simplified, less ambitious planning at an early stage, will make it easier to adopt a truly participatory and more self-reliant approach to forest management. In most situations, a provisional management plan, supported by by-laws regulating the forest use is sufficient. Once the community forest has been declared and more information is available on the resources and the development needs, and the communities have better capacity, the FMB can proceed with more thorough planning.

A more comprehensive management plan at this stage would delay the declaration of the community forest, and would invite a top-down approach to forest management relying heavily on external support.

Principles:

- The Provisional Management Plan should be simple and flexible, while still meeting the requirements of sections 12 and 15 of the Forest Act;
- The plan should be prepared by the community with assistance from Government staff and NGOs/CBOs, and be based, as much as possible, on existing management practices and rules;
- The planning process must be community-driven and participatory, involving all key groups, because people have different interests and priorities; consequently there will be trade-offs between different objectives;
- Management planning must be based on an integrated approach where attention is paid to both forest products and environmental services (e.g. biodiversity, protection of river beds and other riparian forests), and other resource use, such as cropping, livestock grazing, fire management, and non-timber forest products (the balance depends on the context);
- Conservation (e.g. biodiversity) issues must be tackled at two levels: starting from people's needs e.g. soil conservation or medicinal plants. Expert knowledge on conservation issues of national importance (e.g. on spatial distribution of biodiversity) should be consulted;
- The depth and scope of resource assessment should depend on the context; in many situations a qualitative resource assessment covering forest and land resources prioritised by community members may sufficient; and
- Focus should be more on agreeing on the issues and developing a shared vision how to address the identified priority problems rather than on preparing a technical plan based on systematic and scientific analysis.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Form a forest management planning team	Same as Survey and Planning Team	FMB in place	DFO FMB will select members	
Train the team	Training Meetings	Trained DFO staff	DFO with support from DoF (training of	

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Map and assess forest and resource use (qualitatively and quantitatively)	Qualitative assessments could be done by simple stand descriptions, using e.g. photos or drawings for comparison	Community forest boundaries demarcated	Survey and Planning Team DFO facilitating	Preparing a Forest Management Plan Guidelines on Integrated Forest Management Planning for Communal Land Tool box
Identify forest management problems	SWOT analysis	Socio-economic survey	Survey and Planning Team DFO facilitating	Tool box
Set management objectives	Identify priority products/services and uses by zone Problem-resource-opportunity analysis		Survey and Planning Team DFO facilitating	Guidelines for Preparing a Forest Management Plan Guidelines on Integrated Forest Management Planning for Communal Land Tool box
Identify management interventions	SWOT analysis		Survey and Planning Team DFO facilitating	See above
Prepare a provisional forest management plan (including identification of possible future inventory and planning needs in an annex)	Consolidate the outputs from previous activities and discuss the plan in FMB and community meetings		Survey and Planning Team DFO facilitating	See above Tool box
Negotiate rules and/or forest management by-laws including a benefit distribution plan (agree on preliminary rules on access, grazing and forest product collection rights, monitoring, fees, fines, etc.)	Community meetings to discuss proposals prepared by FMB Build on existing, local arrangements Benefit distribution plan must ensure equitable use of forest, financing of SFM and fair distribution of possible surplus		Survey and Planning Team DFO facilitating	Tool box
Finalise provisional management plan	FMB meeting		Survey and Planning Team DFO facilitating FMB must approve	Guidelines for Preparing a Forest Management Plan Guidelines on Integrated Forest Management Planning for Communal Land Tool box
Inform other community members of the final Provisional Management Plan	Community meetings Make the plan accessible to community members		FMB	
Review and approve the Provisional Management Plan	FMB to submit to the DoF (via RFO) with help from DFO	DoF must have a clear system for reviewing management plans	RFO DoF to review and Director to approve	Forest Act and Regulations Technical requirements
Inform FMB about approval or need for improvements	Send a letter		DoF assisted by DFO	
File the Provisional Management Plan	File the plan at DoF, RFO, DFO and FMB		RFO DFO FMB	

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Send the Provisional Management Plan to CLB for information			FMB DFO	

2.2.5 Step 5 Developing Benefit and Cost Sharing Arrangements

Objective:

To develop fair benefit and cost sharing arrangements and to ensure that stakeholders' benefits exceed management costs.

Main output(s)/outcome(s):

- Benefit and cost sharing arrangements clearly described in the Provisional Management Plan and by-laws;
- Benefit and cost sharing arrangements are known by all key stakeholders, especially the community; and
- Incentives created for forest management and protection activities.

Rationale:

Fair benefit sharing is an integral part of sustainable forest management. It is also a legal requirement for declaring a community forest. To be sustainable and self-reliant, communities must have the right to share revenue from sustainable forest management, e.g. from marketing forest produce as well as a mechanism for collecting and retaining fees. These rules must be covered in the FMB constitution and the by-laws, which, however, must be consistent with the Forest Act and other relevant legislation.

It must be noted that community members generally agree on these rules quite early, during the development of by-laws, before all parties fully understand the cost implications. Therefore, a process to monitor the impact of the agreement and rules must be established.

Principles:

- Benefit sharing must be transparent and based on the idea of compensation for the management and protection efforts and costs;
- Communities should develop their own rules to compensate forest management work and to distribute surplus that may remain after deducting the management costs;
- Community development should have the highest priority when distributing available surplus;
- Keep the benefit sharing schemes simple, because often there is not much surplus to distribute; and
- Keep both forest management and administrative costs low to ensure that benefits will exceed costs.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Review the implications of the community forest agreement	Assess how much of the work is actually done by the community and how much by Government Organise a community meeting	Community forest agreement	FMB and DFO	Tool box
Reach consensus on sharing costs, work and benefit	Can be done during the annual planning.		FMB and DFO	Tool box

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
sharing between community and Government	which must include organising work and a budget			
Share costs and benefits within a community	Review what by-laws say Review statistics on distribution of work load Organise a meeting to discuss if the system is fair			Tool box
Reach consensus on sharing costs, work and benefit sharing between community and Government	Can be done during the annual planning, which must include organising work and a budget. Forest management costs need to be covered first			
Obtain external resources	Contact NGOs and other external organisations to fill possible resource gaps		FMB DFO	

2.2.6 Step 6 Negotiating and Drafting a Community Forest Agreement

Objective:

To establish a common, formal understanding of how the community and the Government will work together in community forestry.

Main output(s)/outcome(s):

- A Community Forest Agreement signed between the community, represented by the Forest Management Body, and the Minister.

Rationale:

A Community Forest Agreement between the FMB representing the community and the Minister, is a legal requirement for declaration but it also forms the basis for implementation. Through this agreement the Minister transfers the responsibility for management of the specified area to the community with associated rights and responsibilities. The agreement is needed to clarify the duties and rights of the parties to the agreement. It binds both the community and DoF to the activities that need to be done as part of the community forestry declaration process and implementation. This step builds on previous steps and should result in the agreement as required in the Forest Act and Regulations. The Minister as part of the declaration (next step) signs the Community Forest Agreement.

Principles:

- The agreement must be clear, simple and understood by all involved parties, and should be translated to relevant local languages;
- The Traditional Authority and Regional Government must be actively involved in this step; and

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Identify co-operation needs and requirements based on legislation	Convene community meetings Discuss with forest users Many needs originate from legal requirements		DFO Community	Forest Act and Regulations
Agree on activities and functions	Discuss requirements concerning management plan implementation, monitoring extension services, etc.	Boundaries demarcated FMB with a constitution in place Management plan prepared	FMB DFO	Forest Act and Regulations
Specify duties, rights, responsibilities and need for support services	Parties to agreement must understand their respective roles in CF management		FMB DFO	Model agreement (Annex 2)
Negotiate and agree on main contents of the agreement (whose core contents are largely fixed as part of the Regulations)	Boundaries, management plan and by-laws, right to manage and use the CF resources, FMB and its constitution, ensuring equal access and use of forests, reinvesting surplus, dispute resolution, validity of the agreement, suspending/amending the agreement, etc.		FMB DFO MET/DoF	Forest Act and Regulations
Draft and sign the agreement as part of the application process (on community's behalf)			FMB/Village Headman DFO DoF MET	Forest Act and Regulations Model agreement (Annex 2)

2.2.7 Step 7 Applying for Community Forest Declaration

Objective:

To declare the community forestry according to the Forest Act, to be able to continue with collaborative forest management.

Main output(s)/outcome(s):

- Community forest declared by the Ministry of Environment;
- Notice of declaration in the Government Gazette and a Certificate of Declaration from the Permanent Secretary of the Ministry of Environment and Tourism; and
- Community forest registered at the Directorate of Forestry, and the Communal Land Board and Ministry of Lands, Resettlement and Rehabilitation.

Rationale:

This is a crucial step, because unless it is completed successfully, it will not be possible to proceed with community forestry. It step builds on the past work. If the earlier activities have been completed successfully following the legislation and guidelines, declaration should be a formality. Declaration of a community forests requires review and approval of a number of documents by various organisations at different levels.

Principles:

- The application must be handled rapidly to avoid losing momentum and making communities frustrated; and
- The decision-making process must be transparent and the reasons for not approving the application must be made explicitly clear, giving an opportunity to the community to respond.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Review that application requirements are fulfilled	FMB will review internally	Community-approved boundary map and schedule FMB established with constitution Contact information for FMB members Integrated forest management plan Draft by-laws Draft community forest agreement Description of revenue sharing	FMB with support from DOF DFO Region DOF/HQ	Forest Act and Regulations Model declaration form (Annex 3)
Prepare the application	Draft the application with supporting annexes Convene a general meeting to review the application Obtain consensus on the application	Signed by TA Village Headman FMB Chairperson	FMB with support from DFO	
Present the application locally	Use meetings to disseminate information Display the application e.g. in a communal notice board		Village Headman FMB	
Submit the application to DFO	Review and signing by DFO	All requirements met	DFO	
Submit the application to RFO for review	Review and signing by RFO Application to be filed	All requirements met	RFO	Forest Act and Regulations
Submit the application to CLB	CLB is expected to review only the proposed boundaries	This may not be needed if there is already a letter of approval of community forest boundaries (Phase II step 2)	RFO will deliver CLB Chairperson to sign	Forest Act and Regulations Communal Land Reform Act
Submit the application to Regional Governor for review	Review and signing by Regional Governor	All requirements met	RFO to submit to Governor Regional Governor to approve	Forest Act and Regulations Regional Councils Act
Submit the application to Director of Forestry for review	Director of Forestry to review application, based on a review by Community Forestry Unit Application to be filed in a register	All requirements met	RFO to send application to DoF/MET Director of Forestry Community Forestry Officer	Forest Act and Regulations
Submit the application to the Attorney General's Office for legal review	The legality of constitution and by-laws must be	All requirements met	Attorney General's Office	

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
	reviewed			
Submit the application to the Minister of Environment and Tourism for review (via Permanent Secretary)	Permanent Secretary to review and make the recommendation to the Minister Notice in a Government Gazette	All the prior activities in this step completed successfully	DoF to submit to MET Minister to declare	Forest Act and Regulations
Inform the community about the approval (if approved)	Permanent Secretary (PS) to issue FMB a Certificate of Declaration		MET via DoF	Forest Act and Regulations

2.3 Implementation and Monitoring Phase

2.3.1 Step 1 Forest Resource Inventory and Needs Assessment

Objective:

To have sufficient forest resource information to make sound forest management decisions using rules and by-laws or a forest management plan as a framework for implementation.

Main output(s)/outcome(s):

- Reliable and sufficiently accurate information in a simple report to be used as direct input to the preparation of the management plan

Rationale:

In many cases, the often qualitative resource assessment carried out earlier to prepare the Provisional Management Plan will be enough, and there is no need for the FMB and DFO to upgrade the plan. However, when forest resources are valuable and/or very large areas are involved, more detailed information on the species composition, stand structure, stocking and quality of the resource needed. Those who will be using the resources and making management decisions and monitoring should be involved in carrying out the inventory.

Principles:

- FMB and DFO should avoid stock-taking just for the sake of knowing the resource unless they can use that information in practical management; inventory should be seen as an integral part of management planning (next step) rather than a stand alone exercise;
- Inventory intensity should reflect the (commercial) importance of the resource and the seriousness of threats: DoF could develop methods and instructions for low intensity resource assessment, medium intensity resource assessment, and high intensity resource assessment;
- The methods should be low-cost and simple to allow replication, local implementation and to promote self-reliance; and
- Forest resource assessment should focus on those products and services, which have been identified as priorities by communities during the socio-economic survey and needs assessment.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Form community-based inventory team	Same as Survey and Planning Team		DFO (initially DOF members may participate) FMB to assign members	Training manuals Tool box
Define objectives and scope	Organise community	Provisional	DFO assisting FMB	

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
	meeting and review provisional management plan Identify key indicators e.g. on basis of the management plan	management plan DFO staff trained by NFI		
Design resource inventories and provide training	Select compartments to be inventoried, select inventory method and decide on sampling intensity based on required accuracy, lay out sample plots on maps, prepare inventory forms Use forest land-use zones as sampling units (strata)	Demarcated community forest boundaries and land-use map and plan	DFO (initially DOF may play a key role) Survey and Planning Team assisted by DFO	Manual for Woody Resource Inventory (2001) Supplement to the Manual for Woody Resources Inventory (2003) Appropriate inventory manuals Tool box
Carry out local forest inventories	Community-driven and simple inventory methods need to be developed	Forest inventory maps Teams capable of inventorying of NTFP resources	Survey and Planning Team assisted by DFO	See above
Calculate inventory results and prepare an inventory report		Carefully filled forest inventory forms	Survey and Planning Team assisted by DFO (initially DFO assisted by DoF is likely to do the work)	See above
Discuss inventory findings	FMB meeting Community meetings		Survey and Planning Team assisted by DFO	
Map the forest resources	Identify management zones / indigenous land units	Provisional Management Plan Forest resource assessment completed and analysed information reported	Survey and Planning Team DFO facilitating	Guidelines for Preparing a Forest Management Plan Guidelines on Integrated Forest Management Planning for Communal Land Tool box
Analyse needs in relation to available resources	Community meetings Focus group discussions Analysis of resource and socio-economic survey data	Information on current use of resources based on socio-economic survey Forest inventory report	Survey and Planning Team DFO facilitating	See above
File inventory report	Inventory report must be filed in the community, DFO, RFO and MET/DOF		Survey and Planning Team DFO	
Use inventory information in management planning and monitoring (next step)				

2.3.2 Step 2 Integrated Forest Management Planning

Objective:

To prepare an integrated management plan to enable sustainable management of forest resources in the designated area to meet community needs

Main output(s)/outcome(s):

- An integrated forest management plan in local language(s) and English containing: description of the planning process and surveys carried out, area description, forest produce and use, management objectives and activities, description of the body responsible for management and its functions, description of annual planning process, and monitoring and reporting (a model outline of a plan is provided in Annex 5);
- Good understanding of the available forest resources (location, extent, condition) and current forest resource use, and threats to priority forest-related needs;
- Key issues and challenges for forest management identified and priorities set by involving all key stakeholders in the planning process; and
- Constitution, by-laws and rules governing the operation of the Forest Management Body, the use of forest resources and the proposed management interventions.

Rationale:

Where forest resources are valuable and have commercial potential, and/or provide important environmental functions, the FMB together with DFO must develop the provisional management plan into a more comprehensive plan. This plan should be based on a more systematic analysis of available resources and needs. In forest-poor areas, where other land-use dominates, it will in most cases be enough to use the provisional management plan as the basis for implementation.

Principles:

- The effort and detail going into management planning must be proportionate to the incremental value of the forest resources and the services that can be obtained through management interventions;
- Management planning, including setting the objectives, should be driven by the priorities and needs of local communities aimed at improving the livelihoods of local people while paying attention to the principle of sustainable use;
- Forest management plans should be as simple as possible to ensure that they are well-understood by everyone and can be easily updated; and
- Proposed management activities must be within the capacity of the community and DFO, be site specific, not too detailed, and leave room for flexibility in planning annual operations.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Further training of the Forest Management Planning Team	Training Meetings	Trained DFO staff Forest Management Planning Team established already during the previous step	DFO with support from DoF (training of trainers)	Training manuals
Specify in detail management problems and set management objectives	Community meetings e.g. to discuss sustainable use Problem-resource-opportunity analysis Threat analysis	Information on current use of resources based on socio-economic survey	Survey and Planning Team DFO facilitating	Guidelines for Preparing a Forest Management Plan Guidelines on Integrated Forest Management

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
	Problem tree analysis Demand analysis (household and market demand)			Planning for Communal Land Tool box
Identify management option and analyse trade-offs	Problem-resource- opportunity analysis Threat analysis Problem tree analysis		Survey and Planning Team DFO facilitating	See above
Draft an integrated forest management plan (most often for a 5-year period)	Estimate sustainable harvest Harvesting schedule by zone/compartment Identify interventions, including protection, regeneration and other silvicultural operations	Inventory data available Information on growth and mortality	Survey and Planning Team DFO facilitating	See above Model management plan (Annex 5)
Negotiate rules and forest management by-laws Specify rights, roles, responsibilities and benefits	Community meetings to discuss proposals prepared by FMB Build on existing, indigenous systems as much as possible Benefit distribution plan must ensure equitable use of forest, financing of operations, and fair distribution of possible surplus		FMB, Survey and Planning Team DFO facilitating	See above
Finalise management plan and submit for community approval	Consolidate the outputs from previous activities and discuss the plan within FMB and community meetings		FMB, Survey and Planning Team with support from DFO FMB must approve DFO is to ensure adequate quality	See above
Review and approve the management plan			DoF	Forest Act and Regulations Technical requirements
Inform FMB about approval or need for improvements			DoF assisted by DFO	
File the management plan	File the plan at DoF, RFO, DFO and FMB		RFO DFO FMB	
Send the management plan to CLB for information			FMB DFO	

2.3.3 Step 3 Implementing the Integrated Forest Management Plan

Objective:

To realise the benefits and move towards meeting the longer-term management objectives by undertaking annual activities based on an approved management plan.

Main output(s)/outcome(s):

- Simple, annual work plan prepared, paying attention to priority activities by zone;
- Use of wood and non-wood forest products taking place without exceeding limits set in the plan;

- Management prescriptions carried out successfully;
- Necessary reports and accounts prepared as required by the constitution and by-laws;
- Community-based licensing implemented; and
- Community-based monitoring implemented as part of the annual plan.

Rationale:

The FMB, with help from DFO, must prepare a simple annual work plan to describe in detail when, how and what sort of activities will be carried out during the year within the management plan. Annual activities, such as harvesting of poles, collection and sale of grass and fuelwood, fencing of protected sites, prescribed burning, and any silvicultural operations, aimed e.g. at rehabilitation should be specified in the work plan including a time-schedule and assignment of responsibilities. The plan should be prepared before the end of the year to allow smooth implementation from the beginning of the next year.

Principles:

- Concentrate on objectives and activities of high priority; there is often a danger of being too ambitious and planning for too much work;
- Avoid overambitious plans, especially in the first year of operation; and
- The plan must be simple; it could comprise of a list of activities, their timing and allocation of responsibility by management zone.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Review management plan and past implementation of activities	Analyse last years performance Identify priority activities for implementation	Management plan	FMB	Tool box
Carry out possible additional inventories			FMB	Tool box
Conduct training in annual work planning	DFO to train FMB members	DFO staff	DFO with support from DoF (training of trainers)	Tool box
Preparing annual work plan (comprising mainly the schedule of activities)	FMB planning meetings Community meetings Plan also external support	Management plan must include a description of the planning process	FMB	Guidelines for Preparing a Forest Management Plan Guidelines on Integrated Forest Management Planning for Communal Land Tool box
Implement by-laws and rules, including monitoring		By-laws controlling grazing, NTFPs, fire management, collection of poles and deadwood must be in place	FMB and its various teams	
Implement community-based permit system		By-laws include instructions and rules on permit system, consistent with legislation	FMB and its various teams	Forest Act and Regulations
Organise regular FMB meetings, annual general meetings, and meetings with VDC	The communities should agree on the meeting schedule			Tool box
Keep records of all key implementation activities and	Prioritise record keeping		FMB and its various teams	FMB constitution and by-laws

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
meetings	This is part of the community reporting system Minutes of all important FMB and community meetings must be kept			Forest Management Plan

2.3.4 Step 4 Monitoring

Objective:

To collect a minimum amount of information to enable the FMB and the community to assess if the management objectives are met and to adjust either the objectives or the interventions accordingly, as well as to enable DoF to assess compliance with the agreement.

Main output(s)/outcome(s):

- Monitoring reports (monthly, quarterly, annual) presented e.g. in a form of event books; and
- Trend reports.

Rationale:

Community forestry should be a process of adaptive management. Adaptive management (i.e. learning-by-doing) is not possible without actively monitoring the implementation and possible external factors, which may have influenced the results. Monitoring must become part of management, in addition to reporting to external stakeholders such as DoF. In many cases monitoring of trends may be the most important management measure and elaborate management plans may not be required. In the simplest form, trends showing improvement, degradation and maintained status may be sufficient. A prevailing negative trend which shows that crucial values are at risk, provides a justification for adopting a more systematic and planned approach to resolving the issue.

Depending on the priorities and capacity of people, the scope and intensity of field monitoring may cover following types of factors (listed as examples only): extraction of poles, logs, fuelwood, grass, NTFPs; grazing; land conversions; forest and veld fire incidences; illegal logging incidences; selling of forest products; revenue and costs flows (accounts); and changes in resource quality, abundance and structure.

Principles:

- Emphasis should be on internal monitoring, where those who will use the information to make management decisions, will also be directly involved in monitoring;
- The community interests reflected in the management plan and legal requirements (compliance monitoring) will largely determine what will be monitored by;
- Monitoring should be simple and low-cost to avoid unsustainable arrangements depending primarily on external inputs;
- A modular monitoring approach is preferred because communities will not have the capacity nor the need to monitor everything immediately;
- Monitoring should start with those indicators that are regarded as most crucial by the communities and are required by law;
- Ideally monitoring information should be reported in such a manner that the MET/DoF can use the information for national reporting; and

- At the national level, monitoring should concentrate on the process and contribution towards e.g. NDP objectives.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Form the monitoring team(s)				
Conduct training in participatory, local monitoring		Staff trained in community-based monitoring	DFO assisted by DoF/DEA (training of trainers) CFO to involve key players	Training manuals
Set objectives and indicators for local monitoring	Arrange community meetings and review land-use and forest management plans Timing and frequency must also be decided	A management plan and annual work plan	FMB with support from DFO	
Select appropriate monitoring methods	Semi-structured interviews, participatory mapping, matrix ranking and scoring, trend diagramming, photographs, diaries	Monitoring objectives and indicators must be approved		Community-based monitoring tool box (to be developed)
Organise monitoring			FMB in charge Forest patrols Honorary Foresters	
Gather and analyse information			Forest patrols Honorary Foresters	Tool box
Report and file information	Minutes of meetings Monthly reports Quarterly report to TA (e.g. Headman) Annual Report to TA (e.g. Headman) and DOF/DoF		Forest Patrols FMB Honorary Foresters	FMB constitution and by-laws Forest Regulations Tool box
Discuss findings as an input to management planning	FMB meeting Community meetings		FMB Interpretation support from DFO	Tool box
DoF-level monitoring of CF development	Register of applications showing the progress: number of CF applications, FMBs with constitutions and by-laws; number and area of declared CFs by region, number of beneficiaries by CF and region, inventories carried out management plans approved, area covered by CF management plans etc.)		Community Forestry Unit with support from DFO and RFO	DoF filing procedures Database formats

2.3.5 Step 5 Updating the Plan

Objective:

To keep the management plan up-to date and relevant in the changing conditions.

Main output(s)/outcome(s):

- An updated management plan.

Rationale:

Community forest management is an adaptive process. Management plans can become outdated, if the conditions affecting the original plan have changed considerably or there is a need to modify management interventions based on analysed monitoring information. The management plan objectives are usually of a more permanent nature. However, sometimes it may be necessary to change the objectives to better reflect, e.g. community needs in relation to their capacity to undertake management. The management plan must be updated before the end of the validity of the plan (most often after five years). If the plan is for ten years, it will be necessary to review it after five years to adjust the plan.

Principles:

- The need for updating could be assessed every three years (to decide if the plan needs to be updated), or the plan can be updated when the FMB or DFO find it necessary because of significant changes e.g. in resource conditions.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Review past performance against annual plan	This should be done as part of annual planning and implementation Proper review at mid-term or towards the end of the validity of the plan Concentrate on priority indicators	Various reports Monitoring information	Survey and Planning Team with support from DFO	Tool box
Analyse reasons for deviations and check if the overall management objectives are still relevant	Possible changes in the environment and people's preferences must be assessed Convene FMB and community meetings		Survey and Planning Team	Tool box
Agree if new surveys or assessments need to be carried out	Assess if annual reports and monitoring records provide an adequate overview of changes		Survey and Planning Team assisted by DFO	Tool box
Adjust and update plan	Follow earlier steps needed to prepare a management plan		Survey and Planning Team	Tool box

2.3.6 Step 6 Strengthening Community Forest Management and Organisational Capacity**Objective:**

To build the capacity of the communities and Government foresters to manage community forests in a collaborative way.

Main output(s)/outcome(s):

- The organisational, administrative and forest management capacity of the FMB strengthened;
- DOF, and sometimes also NGO/CBO, capacity in community forestry strengthened; and
- Co-operation modalities between FMB, VDC and DFO, and other relevant Government organisations established and functioning smoothly.

Rationale:

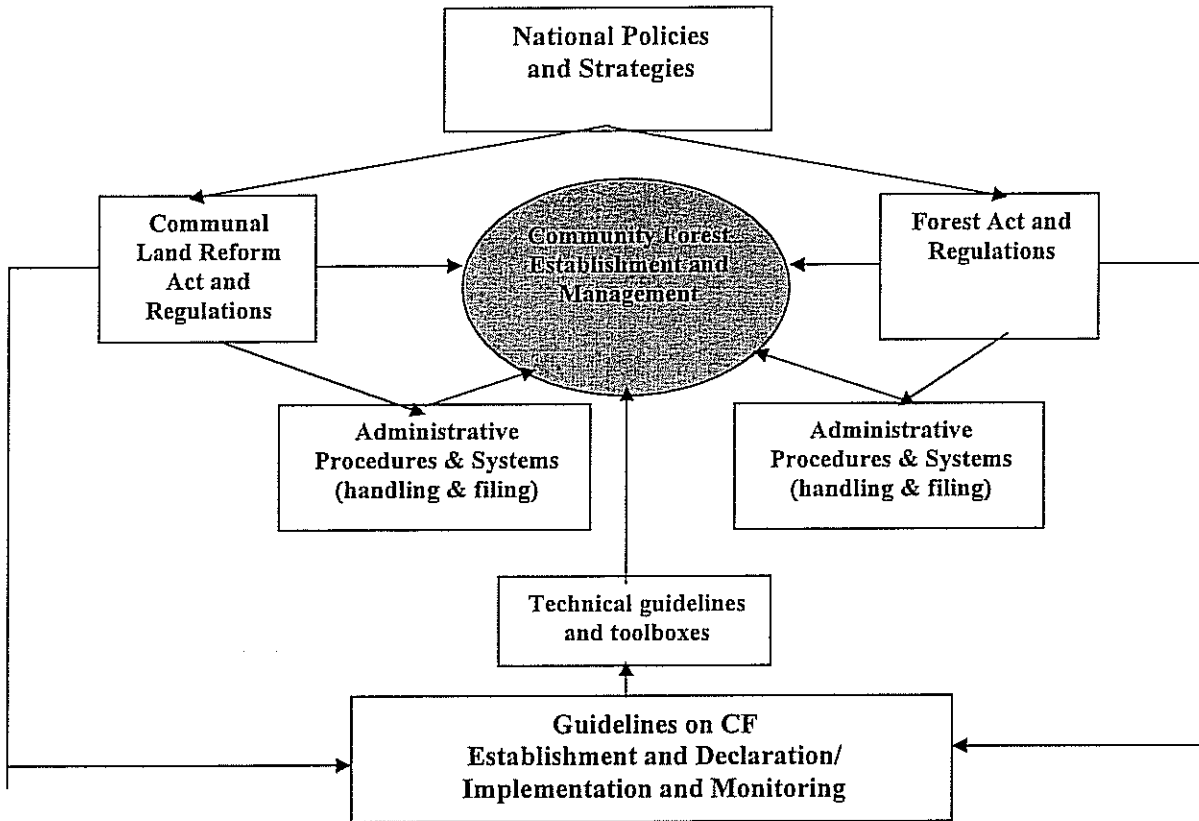
Effective collaborative natural resource management requires capable partners and functioning partnership arrangements. Much capacity building in villages is needed to strengthen institutions, technical skills in all aspects of community forestry, and in general to build up villagers' decision-making capacity and confidence. This can only be achieved with support from forestry and other extension staff. Training of trainers is important, because district and regional forestry staff do not always have the necessary capacity to promote community forestry. This step is not really an independent step but it cross-cuts through all the other steps. It is also of continuous nature, because it is closely linked to implementation and monitoring.

Principles:

- Capacity building should be demand-driven, based on the needs from the field;
- The simpler the management, the less need for intensive training;
- Emphasis should be more on on-the-job training and learning-by-doing than formal training;
- Skills training should be linked to implementation whenever possible to make it more meaningful and effective;
- Training should be provided in a timely manner so that it can help address immediate needs; this applies both to technical training and managerial (management body) training;
- Refresher training and repeating important activities are needed to build-up capacity and confidence; and
- Capacity building must also include strengthening of managerial and administrative skills of the Forest Management Body, and the NGOs/CBOs, which may be providing services.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Identify training needs and prepare a training plan		Management plan	DFO assisted by DoF DOF to involve other extension staff (agriculture, livestock, veterinary)	Tool box
Carry out new training	It is important not to burden villagers with too much training New training should be provided in connection with conducting new activities	DFO staff with capacity to train	DFO	Training manuals Tool box
Carry out refresher training	Refresher training should precede repeat activities such preparing annual report or annual work plan, carrying out inventory, etc.		DFO	Training manuals Tool box
Organise study tours to other villages and community forest areas		Funds	FMB with support from DFO	Tool box
Build capacity of the Forest Management Body	Provide training in legal aspects, leadership, group facilitation, financial management, record keeping, planning, communication, conflicts resolution		DFO Other facilitators such as NGOs and CBOs	Tool box

Annex 1 A System of "Guidelines" for Community Forestry



Annex 2 A Model Application for Declaration of a Community Forest

Annex 3 A Model Community Forest Agreement

Annex 4 An Outline of a Provisional Forest Management Plan

According to the Forest Act (2001) the management plan should cover the following:

- Area description;
- Forest produce and use;
- Management objectives;
- Management activities;
- Management authority; and
- Duration.

These are also the minimum requirements for a provisional forest management plan in community forests. However, these requirements must be interpreted so that they will not place too many demands e.g. on resource inventory and management planning. The proposed management plan outline is:

1. Area Description

- Geographical location, boundary points, area by main land-use, community(ies) involved, number of households, population by gender, area, region, constituency, traditional area, overview of infrastructure;
- Climate, hydrology, soils; and
- Map showing the community forest location and boundaries (annex).

2. Description of Forest Resources and Their Use

- Description of the methodology used in forest resource assessment; often a qualitative resource assessment is sufficient;
- Population, number of households;
- Description of existing forest resources and main forest land use (use e.g. a simple sketch map);
- Economically important forest products (e.g., timber, fuelwood, thatching grass);
- Description of current use of the resource based e.g. on PRAs; and
- Use opportunities (potentials) and problems.

3. Management Objectives

- Emphasis is on a *shared* vision; what is to be achieved through forestry in the long-term;
- Summary the core problem(s) and how they will be addressed;
- Productive objectives, i.e. sustainable supply of forest products (timber, poles, fuelwood, fruits, fodder for grazing, etc.);
- Protective objectives, i.e. sustainable supply of environmental services (soil conservation, conservation of biodiversity, wildlife management, etc.);
- Other objectives, such as protection of places of worship and burial forests;
- Trade-offs between management objectives (by stakeholder); and
- Setting of sustainable harvest levels (if not set, a proposal how sustainability of harvesting levels will be monitored).

4. Management Activities

- Forest managers and other stakeholders;

- Resource control and implementation of by-laws (how, who, penalties);
- Resource maintenance, use, improvement (silvicultural systems);
- General schedule of activities (what is going to happen, when?) as a framework for annual work plan;
- Internal monitoring against management and annual work plan; trend monitoring; and
- Updating of the plan.

5. Community Forest Management Body

- Composition of Forst Management Body (what committees, members, functions);
- Duties in community forestry (planning, supervision, implementation, monitoring, reporting);
- Constitution and by-laws (e.g. use regulations and penalties as defined by community);
- Election procedure and confirmation by Traditional Authority; and
- Benefit sharing.

Total length: 5-7 pages plus annexes

Annex 5 An Outline of an Integrated Forest Management Plan

1. Background

1.1 Area Description

- Geographical location, boundary points, area by main land-use, community(ies) involved, number of households, population by gender, area, region, constituency, traditional area, overview of infrastructure;
- Climate, hydrology, soils; and
- Map showing the community forest location and boundaries (annex).

1.2 Method of Preparing the Plan

- How boundary demarcation was done (method, by whom and when);
- How land-use planning and forest zonation was done (method, by whom and when);
- How forest resource assessment was carried out (method, by whom and when); often a quantitative resource inventory is needed;
- How the forest management plan was prepared (method, by whom and when); and
- Explanation why the provisional management plan needs upgrading (if such plan already exists).

2. Description of Forest Resources and Their Use

- Description of the methodology used in forest resource assessment; often a qualitative resource assessment is sufficient;
- Population, number of households, net population growth;
- Description of existing forest resources;
- Land-use plan inside the community forest (land-use map and plan in annexes);
- Economically important forest products (e.g., timber, fuelwood, thatching grass);
- Description of current use of resource based e.g. on PRAs;
- Use opportunities (potentials) and problems;
- Description of current resource use patterns and beneficiaries;
- Quantitative estimates of future demand for forest products and services;
- Use opportunities (potentials) and problems; and
- Economically important (e.g. timber) species.

3. Management Objectives

- Productive objectives, i.e. sustainable supply of forest products (timber, poles, fuelwood, fruits, fodder for grazing, etc.);
- Protective objectives, i.e. sustainable supply of environmental services (soil conservation, conservation of biodiversity, wildlife management, etc.);
- Other objectives, such as places for worship and burial forests;
- Trade-offs between management objectives; and
- Compatibility of objectives (where integrated/combined with conservancies).

4. Forest Management Approach

- Forest managers and other stakeholders;

- Setting the sustainable harvest levels for main products; and
- Describing other adopted principles ensuring sustainability.

5. Implementation

- Forest land-use mapping/zonation;
- Management prescriptions: resource maintenance, use, improvement and other proposed silvicultural systems;
- General schedule of activities by zone or compartment (what is going to happen, when?) as a framework for annual work plans;
- Measures to conserve soil, water, and biodiversity;
- Annual work plan for implementation;
- Selection of trees for harvesting;
- Resource control (how, who, penalties) covering all key resources including timber, NTFPs, poles, fuelwood, thatching grass etc.;
- Grazing management, fire management etc.;
- Projected output and revenue flows; and
- Resources needed to implement the plan.

6. Community Forest Management Body

- Composition of Forest Management Body (what committees, members, functions);
- Duties in community forestry (planning, supervision, implementation, monitoring, reporting);
- Constitution and by-laws (e.g. use regulations and penalties as defined by community);
- Election procedure and confirmation by Traditional Authority; and
- Benefit sharing arrangements.

