



MINISTRY OF ENVIRONMENT,  
FORESTRY AND TOURISM



## Governance Framework and Management System for Sustainable Bush Control in Selected Communal Areas of Namibia

**OCTOBER 2023**

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**MEFT-FAO SUSTAINABLE FOREST MANAGEMENT IMPACT PROGRAM ON DRYLAND SUSTAINABLE LANDSCAPES (DSL-IP) NAMIBIA CHILD PROJECT**



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DRYLAND SUSTAINABLE LANDSCAPES



# ACKNOWLEDGEMENTS

The compilation of the governance framework and management system is based on several stakeholder engagements hosted between March and October 2023 within communal areas, which are either bush-thickened and/or woodland areas.

We thank the representatives of communal land areas, community forests and conservancies predominantly in bush-thickened areas who participated in all stakeholder consultations. We particularly thank the Otjinene Constituency Office, Otjinene Community Forest, the Okakarara Constituency Offices, Ozonehi Community Forest and Conservancy, Otjituuo Community Forest and Conservancy, George Mukoya Community Forest and Conservancy, Muduva Nyangana Community Forest and Conservancy, King Nehale Conservancy, Communal Land Areas East and West of Omuthiya in the Oshikoto Region, Mangetti (East and West) Small Scale Farmers, Namibia National Farmers Union (NNFU) but particularly the representatives of the Kavango East, Kavango West and Mangetti and Oshikoto NNFU offices. We especially thank the Honourable Councillors, Erwin Tjizeu (Otjinene), Abdal (Ramana) Mutjavikua (Okakarara), Gideon Shikomba (Onyaanya) and Joseph Shilongo (Oshivelo) for their regular attendance of the stakeholder engagements.

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The review and finalisation of the governance framework and management system was implemented by the Directorate of Forestry involving Technical Advisors of GIZ and the Sustainable Forest Management Impact Programme on Dryland Sustainable Landscapes (DSL-IP) Namibia Child Project. We also thank the Southern African Office of the Forest Stewardship Council (FSC) for their review and inputs.

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# FOREWORD

The utilisation of natural resources on a sustainable basis for the benefit of all Namibians is enshrined in the Namibian Constitution. The emphasis on accountability, transparency, and inclusiveness in managing forestry resources is then crucial to ensure benefits for all Namibians while safeguarding the environment for future generations. These principles should be integrated into designing structures and processes, so the government can uphold the rule of law, promote stability, and empower communities to participate in decision-making. This approach not only protects the environment but also fosters socio-economic development and equity across the nation. Governance framework in the context of bush-biomass resource use is therefore informed by the strategy or strategic direction the MEFT wishes to adopt. The Directorate of Forestry has already adopted the 'National Strategy on Sustainable Management of Bush Resources (2022-2027).

We furthermore wish to assist the management structures in communal land areas to streamline forest governance relating to organisational efficiency, regulatory compliance, technological advancement for value chain development, and ecological monitoring and evaluation.

This governance framework is based on existing best practice in forest resources management and is presented as principles, criteria and guidelines which communities would be required to follow for sustainable management of bush resources.



The Government of the Republic of Namibia is firm in its commitment to ensure that its people, especially those living in communal areas, are offered equal opportunities for economic emancipation.

We have included a management system which is the implementation plan, for both public office bearers and officials, and community representatives on how to comply to the governance framework.

The Government of the Republic of Namibia is firm in its commitment to ensure that its people, especially those living in communal areas, are offered equal opportunities for economic emancipation. The bush-based resources offer such opportunity. We therefore encourage our communities to manage the resources responsibly, follow best practices and share the benefits from the supply and value chain equitably within the communities.

We thank the GIZ, the FAO and GEF for their financial contributions and technical support towards the development of the forest governance framework and management system in communal land areas. We look forward to continued collaboration with all stakeholders in successfully implementing this forest governance framework in communal land areas together.

Honourable Pohamba Shifeta  
**Minister**



# PREFACE

The purpose of establishing a nationally recognised forestry governance framework for communal land areas is to pursue sustainable natural resource management of the bush-biomass resource, including for species known to cause bush thickening, but excluding timber resources. This will ensure sustainable bush control, harvesting, processing and trade with forest resources. It will further improve on quality of products and promote biodiversity conservation and socio-economic development, as envisioned by the Namibian constitution.

The forestry governance framework and management system for selected communal land areas is based on the provisions of the Forestry Act, the respective Regulations and certain aspects of the Nature Conservation Ordinance in controlling and permitting the use of forest resources. The provisions of the Labour Act must be complied with too. The Directorate of Forestry endorses this governance framework to ensure that communities who wish to commercialise the use of bush biomass do so responsibly and share the benefits equitably among its community members.



The purpose of establishing a nationally recognised forestry governance framework for communal land areas is to pursue sustainable natural resource management of the bush-biomass resource, including for species known to cause bush thickening, but excluding timber resources.

The following conditions will be interrogated before granting permission to communities residing in communal land areas to harvest, process and trade with bush-based produce on a commercial basis:

- Geographic target areas with problem species or bush-thickening species which were proven to be abundant and which can sustain a bush-based value chain,

- Legally demarcated communal land areas, such as gazetted community forests, and small-scale farms with a leasehold title,
- Harvesting scale and methods as well as type of processing of and/or technology used for the bush biomass for selected product groups.

The Forest and Environmental Management Plan (FEMP) and site visits will be used to verify applications from communities, before any forestry permits will be granted. Regular monitoring will be conducted.

The Directorate of Forestry is committed to assist the communities in accomplishing sustainable forest resource management to ultimately ensure well-being of our people.



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# ABBREVIATIONS

<b>ABS</b>	Access and benefit-sharing
<b>BCBU</b>	Bush Control and Biomass Utilisation Project
<b>BE/ha</b>	Bush Equivalent per hectare
<b>BIS</b>	Bush Information System
<b>C</b>	Conservancy
<b>CA</b>	Corrective Action(s)
<b>CAoN</b>	Charcoal Association of Namibia
<b>CF</b>	Community Forest
<b>DAS</b>	Debushing Advisory Services
<b>DoF</b>	Directorate of Forestry
<b>ECC</b>	Environmental Clearance Certificate
<b>EIA</b>	Environmental Impact Assessment
<b>ESG</b>	Social, economic and governance
<b>FSC</b>	Forest Stewardship Council
<b>FEMP</b>	Forest and Environmental Management Plan
<b>GEF</b>	Global Environment Facility
<b>GIZ</b>	Gesellschaft für Internationale Zusammenarbeit GmbH
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MAWLR</b>	Ministry of Agriculture, Water and Land Reform
<b>MET</b>	Ministry of Environment and Tourism (until 20 March 2015)
<b>MEFT</b>	Ministry of Environment, Forestry and Tourism (from 21 March 2015)
<b>MSME</b>	Micro, Small and Medium Enterprises
<b>N-BiG</b>	Namibia Biomass Industry Group
<b>O/M/A</b>	Offices, Ministries, Agencies
<b>PEFC</b>	Programme for the Endorsement of Forest Certification
<b>SAIEA</b>	Southern African Institute for Environmental Assessment
<b>SPAN</b>	Strengthening the Protected Area Network Project
<b>TE/ha</b>	Tree equivalent per hectare
<b>UNCTAD</b>	United Nations Conference on Trade and Development
<b>UNDP</b>	United Nations Development Programme



# GLOSSARY OF SELECTIVE TERMS

Term	Definition / Explanation
<b>Communal land</b>	Namibia has two main land tenure systems: freehold in declared urban areas and so-called commercial farms, and customary tenure on communal land, all of which is rural.
<b>Criterion/Criteria</b>	A criterion (singular) is a factor on which you judge or decide something. (Criteria is the plural of criterion).  Synonyms: standard, test, rule, measure
<b>Guidance</b>	Advice or information aimed at resolving a problem or difficulty, especially as given by someone in authority. It assists in directing to obtain the correct advice.  Synonyms: advice, direction, information, tips, suggestions
<b>Key risk areas</b>	For communities involved in the commercial use of bush-resources, the following key hazards or threats are examples:  Operational: incorrect operation of equipment and machinery, inadequate training, inadequate or no management systems in place  Social: improper health and safety of workers, inadequate living conditions, inadequate payment for work  Environmental: over-harvesting, incorrect use of pesticides, pollution, disruptive activities, poaching  Technological: inappropriate harvesting, processing or conversion equipment  Economic: no market for forest produce  Financial: no funds to establish or expand the business, lack of third-party investors or business partners  Governance: non-compliance to legal provisions
<b>Leasehold (communal farmer)</b>	Right of leasehold is usually made when someone wants to use the communal land for another reason (other than customary land right to live on the land or farm on the land) such as business purposes or for purposes that fall outside those that allow you to apply for a customary land right. A leasehold farmer must pay rent for the lease of this land.  The rules for applying for a customary or leasehold right are contained in the Communal Land Reform Act (Act 5 of 2002, and Amendment Act 13 of 2013). The prospective leaseholder must make an application in writing on the correct form depending on what type of right s/he is applying for.
<b>Organisation</b>	An organised group of people with a particular purpose. For the purposes of the forest governance framework, it can be a community forest, a company (MSME, small scale farmer), or an individual holding a legal tenure or similar who will be responsible for the implementation of the management system of the forest governance framework.
<b>Principle</b>	A fundamental proposition that serves as the foundation for a system or for a chain of reasoning. In the context of this governance framework, it serves as the 'what must be done' at all times.  Synonyms: philosophy, proposition, fundamental, idea, basis

<p><b>Recognised community</b></p>	<p>A recognised community is registered and gazetted, in this case as a community forest.</p> <p>A principal source of income from community forests is the commercial extraction of Namibian hardwoods. The Directorate of Forestry calculates an 'annual allowable offtake', based on an inventory of timber or bush-based resources, which is binding for a 5-10-year period.</p> <p>Community members themselves conduct the inventory, as they know their areas intimately. Technical guidance is given by the Directorate of Forestry, which analyses the data and compiles inventory reports. These then form the key components of the management plan and are used to compile the FEMP under this governance framework.</p>
<p><b>Risk management</b></p>	<p>Is a process used to identify potential hazards and analyse what could happen if a disaster or hazard occurs. This process commonly involves 5 steps: identify hazards, assess the risks, control/eliminate the risks through prioritisation, record your findings and review the controls. The controls are required to lessen the impact of unfortunate events or to maximise the realisation of opportunities.</p> <p>A risk assessment in the forestry environment will protect workers and the business of the communities, as well as help communities to comply with the law.</p> <p>Synonyms: action plan for judgement and control of unwanted events or exposures; hazards evaluation plan</p>
<p><b>Risk mitigation</b></p>	<p>Is a process a business undertakes to reduce its exposure to the various risks it might face. Mitigation is a prudent step every organisation should take to avoid such unwanted events. There are four ways to mitigate risks, i.e. avoidance, reduction, transference and acceptance.</p> <p>Risk mitigation is an essential part of the risk management process and lessens the effects of threats which an organisation could face.</p> <p>Synonyms: alleviation or relief of negative effects, strengthen the capacity of organisation to overcome hazardous events</p>
<p><b>Verifier</b></p>	<p>Someone who/ something that vouches for another or for the correctness of a statement.</p> <p>Synonyms: evidence, proof.</p>

# INTRODUCTION

## Objectives

The forestry governance framework seeks to address the plight of communal farmers within recognised community settings to utilise the forest resources for commercial gain in the immediate term.

The consideration to allow commercial use of forest resources in/ from communal land areas is based on using the bush-biomass-based value chains to be supported in selected communities, and primarily includes the ability of a community/ communal farmer to prove:

- Compliance with legal provisions
- Land ownership and/or tenure
- Sustainable<sup>1</sup> resource management
- Responsible bush control and responsible use of technology
- Access and benefit sharing modalities available in a community or community-based organisation applying for forestry related permits and licenses

Additional factors for consideration include:

- Organisational structure of the community to implement the management system of the forest governance framework
- Internal capacity of the community, e.g., knowledge/ skill of community members to fulfil the terms and conditions attached to obtaining permits and licenses

## Legal provisions underpinning the governance framework

Under this forest governance framework for selective communal land areas, the Environmental Management Act (EMA, Act 7 of 2007) and its regulations (Government Notice 30 of 2012) must be fulfilled first. The Forestry Act (Act 12 of 2001) and its amendments as well as all its regulations and the Nature Conservation Ordinance (Ordinance 4 of 1975, and as amended) are valid and must equally be adhered to.

Harvesting permits are being given to communities on a case-by-case basis and limited to special purposes. These permits are generally of short duration and for pilot, commercially oriented projects only. For example, permits were provided for pilot projects, where donor funding was also involved to establish the level of bush thickening, test bush control methods and process the wood-based biomass into, e.g., animal fodder, charcoal/ biochar (with FSC certification) and poles/droppers. Commercial markets for these products were not developed to date. The permits for all such pilot projects ceased to be valid by 2022.

Where permits were provided outside a project framework, the community had to state valid reasons for commercial use of the resource, like poles production, clearing land for crop fields and the like. Forest related permits were in general not provided for where bush control and charcoal making were the primary reasons for application for such permits.

Through the forest governance framework, it is envisaged to follow a stepwise approach towards allowing commercial utilisation of the forest resources, excluding timber use, as envisaged by the Forestry Act and the Nature Conservation Ordinance. Timber use is already extensively covered in the Forestry Act.

The framework is underpinned by bush-biomass resource assessments, stakeholder engagements and interviews with community members. The framework should henceforth provide both, communities and regulators (the executive arm of government), a holistic assessment basis for permit application and approval/ denial processes.

## To whom the Governance Framework applies (Applicability)

The forest governance framework was developed to support communities from recognised community forests and small scale/leasehold farms to participate in the bush-based biomass value chain, with proven bush thickening at a commercial scale. Communities or persons wishing to harvest bush and trade with the biomass or its products must therefore fulfil all conditions of the forest governance framework.

This forest governance framework and management system is not applicable to communities or communal land farmers who wish to utilise timber from woodland areas or where natural forests occur. How these forest resources may be utilised is already embedded in the Forest Act (Act 12 of 2001) and the ensuing Forest Regulations. Figure 1 provides an overview of the delineation of conservancies, community forests and the extent of bush thickening, which are indicative of the applicability of the forest governance framework.

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<sup>1</sup> Sustainability in this regard does not only refer to environmental, but also to social, economic and governance (ESG) sustainability and directly responds to the risks identified and the risks in need of mitigation.

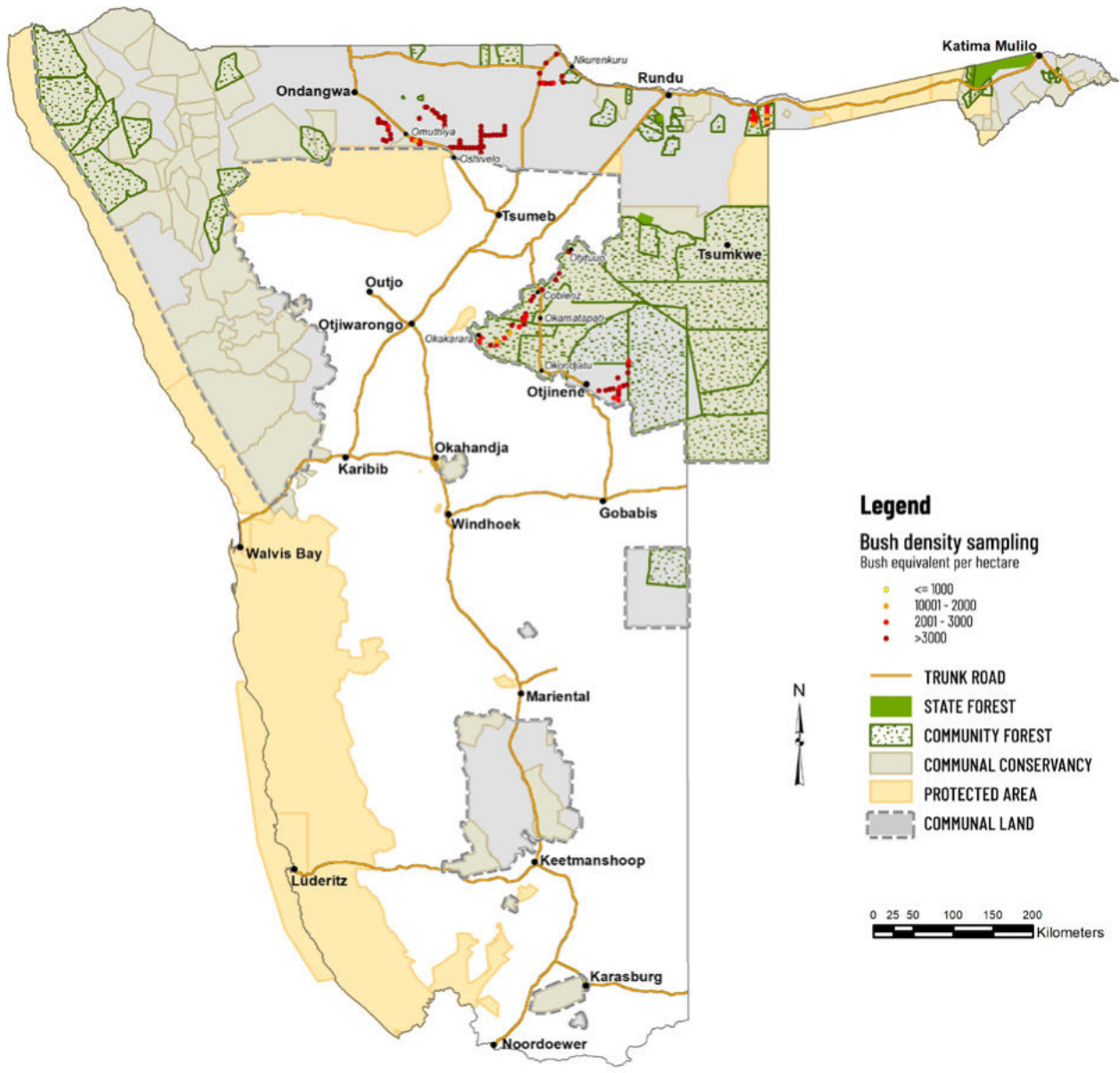


Figure 1: Conservancies and Community Forests of Namibia, with bush-biomass sampling (assessed in May 2023). Left: Gazetted community forests and conservancies. Right: Overall bush thickening based on the SAIEA<sup>2</sup> Map (2016).

Conservancies<sup>3</sup> and open<sup>4</sup> communal land areas are also excluded from the commercial use of bush-biomass and their products under this governance framework.

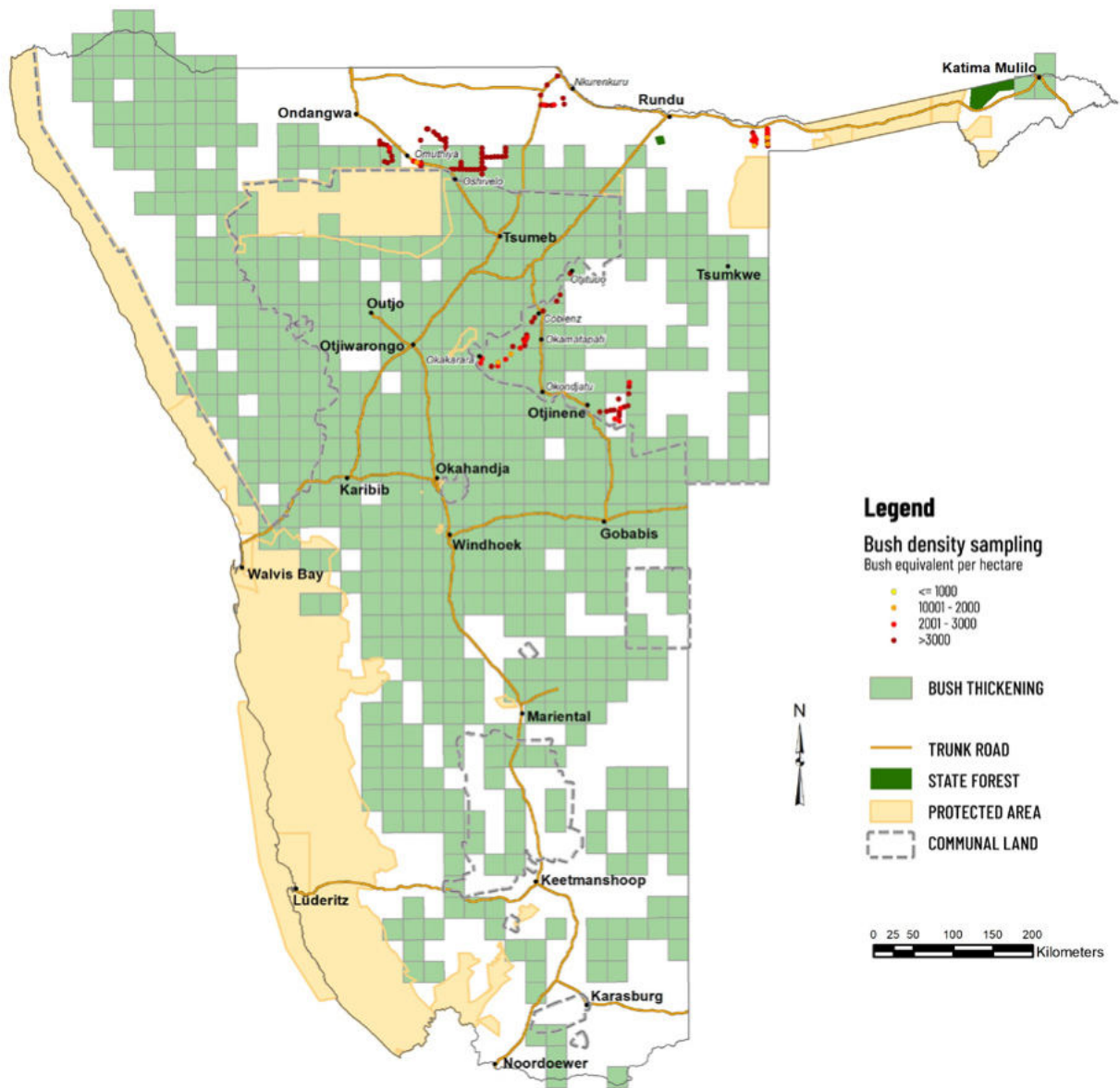
The forest governance framework does not cover the commercial trade of timber products, neither does it cover non-timber products like devil's claw or honey.

Table 1 summarises community forests and leasehold farms in communal land areas which are bush thickened and may apply for the commercial use of bush-based forest produce. All applications for commercial use of bush-based biomass are subject to DoF inspections and approval. The list under Table 1 is indicative and neither conclusive nor absolute.

<sup>2</sup> SAIEA.2016. Strategic Environmental Assessment of Large-scale Bush Thinning and Value Addition Activities in Namibia. Prepared for MEFT/GIZ Bush Control and Biomass Utilisation (BCBU) Project. Available online at <https://n-big.org/download/studies/STUDY-BushThinning-Final.pdf>.

<sup>3</sup> Conservancies are gazetted in terms of subsection (2) of section 2A of the Nature Conservancy Ordinance, 1975 (Ordinance 4 of 1975). Only registered members of the conservancy may benefit from the activities of the conservancy, and activities are based on sustainable use of wildlife resources. No forest resources are allowed to be used. Where a conservancy is also gazetted as a community forest, the community is eligible to apply for commercial use of bush-biomass. Community forests are gazetted in terms of subsection (3) of section 15 of the Forest Act, 2001 (Act No. 12 of 2001).

<sup>4</sup> The lack of formalised management structures in open communal land areas poses serious challenges towards sustainability of the resources.



“

The forest governance framework was developed to support communities from recognised community forests and small scale /lease hold farms to participate in the bush-based biomass value chain, with proven bush thickening at a commercial scale.

Table 1: Summary of communal land areas which are eligible to apply for forestry permits under this governance framework.

Region	Name	Dominant bush thickening species
Omaheke	Otjinene Community Forest	<i>S. mellifera</i> <i>D. cinerea</i> <i>T. sericea</i>
	Epukiro Community Forest	<i>S. mellifera</i> <i>D. cinerea</i> <i>T. sericea</i>
	Ondjou Community Forest and Conservancy	<i>S. mellifera</i> <i>D. cinerea</i> <i>T. sericea</i>
	Eiseb Community Forest and Conservancy	<i>S. mellifera</i> <i>T. sericea</i>
	Omuramba Ua Mbinda Community Forest and Conservancy	<i>S. mellifera</i> <i>T. sericea</i>
	Otjimbinde Community Forest	<i>S. mellifera</i> <i>T. sericea</i>
Otjozondjupa	African Wild Dog Community Forest and Conservancy	<i>S. mellifera</i> <i>D. cinerea</i> <i>T. sericea</i> <i>V. reficiens</i> <i>G. flavescens</i>
	Ozonahi Community Forest and Conservancy	<i>S. mellifera</i> <i>V. reficiens</i> <i>T. sericea</i> <i>G. flavescens</i>
	Otjituuo Community Forest and Conservancy	<i>S. mellifera</i> <i>V. reficiens</i> <i>T. sericea</i> <i>T. prunoides</i>
	Mkata Community Forest	<i>T. sericea</i>
Oshikoto	Ohepi Niilonga Community Forest	<i>T. sericea</i> <i>D. cinerea</i> <i>V. nilotica</i> <i>V. luederitzii</i>
	Mangetti Small Scale Leasehold farms	<i>T. sericea</i> <i>D. cinerea</i> <i>G. bicolor</i> <i>V. nilotica</i>

The list under Table 2 is indicative of the bush densities prevalent during the May 2023 assessment period. Sustainable use – current and potential commercial future use – were equally indicated.

Please refer to the Management System for further details.

Table 2: Potential offtake densities for selected communal land areas in Namibia.

Communal land site	Dominant bush thickening <sup>5</sup> species	Potential Offtake	Potential (bush-biomass) yield <sup>6</sup>	Feasible use of the biomass
Otjinene (Omaheke Region)	<i>S. mellifera</i> * (27.1%) <i>D. cinerea</i> (16%) <i>T. sericea</i> (11.1%)	1,187.5BE/ha offtake feasible	6.43t/ha	Firewood, charcoal/ biochar, poles/dropper, fodder
Ozonahi (Otjozondjupa Region)	<i>S. mellifera</i> (36.6%) <i>G. flavescens</i> (27.2%) <i>V. reficiens</i> ** (20.6%)	633BE/ha offtake feasible	5.59t/ha	Firewood, charcoal/ biochar, poles/dropper, fodder
Otjituuo (Otjozondjupa Region)	<i>S. mellifera</i> (42.3%) <i>V. reficiens</i> (22.1%) <i>G. flavescens</i> (16.2%)	1,700BE/ha offtake feasible	13.7t/ha	Firewood, charcoal/ biochar, poles/dropper, fodder
Nkurenkuru and Mpungu (Mangetti West farms) (Kavango West Region)	<i>T. sericea</i> (11.8%)	-1,097.5BE/ha offtake not feasible	0.0t/ha	Limited use droppers, fodder
Muduva Nyangana (Kavango East Region)	<i>T. sericea</i> (14.9%)	-1,285.5BE/ha offtake not feasible	0.0t/ha	Limited use droppers, fodder
George Mukoya (Kavango East Region)	<i>T. sericea</i> (13.5%)	-1,100BE/ha offtake not feasible	0.0t/ha	Limited use droppers, fodder
King Nehale (Oshikoto Region)	<i>V. nilotica</i> ** (55.3%) <i>D. cinerea</i> (32.1%)	2,008.3BE/ha offtake feasible	17.5t/ha	Firewood, charcoal/ biochar, wood chips, fodder
Omuthiya East (Oshikoto Region)	<i>C. gratissimus</i> (23.3%) <i>T. sericea</i> (11.3%)	-37.5BE/ha offtake not feasible	0.0t/ha	Limited use droppers, fodder
Omuthiya West (Oshikoto Region)	<i>C. mopane</i> <sup>7</sup> (90.2%)	3,660BE/ha offtake feasible	33.0t/ha	Firewood, charcoal/ biochar, wood chips, poles/ dropper, fodder
Oshivelo (Mangetti East farms) (Oshikoto Region)	<i>T. sericea</i> (18%), <i>C. gratissimus</i> (15.5%) <i>G. bicolor</i> (11%)	762.7BE/ha offtake feasible	3.4t/ha	Firewood, charcoal/ biochar, wood chips, fodder

\* *Senegalia mellifera* was formerly known as *Acacia mellifera*

\*\* *Vachellia reficiens* and *Vachellia nilotica* were formerly known as *Acacia reficiens* and *Acacia nilotica* respectively

<sup>5</sup> As per forest regulations

<sup>6</sup> Honsbein, D. 2016. Bioenergy modelling for Southern Africa – benchmarking Namibia and South Africa. Aston University, Birmingham. UK.

<sup>7</sup> Please note, *C. mopane* is a protected tree species. As per forest regulations, its commercial utilisation is restricted.

## How to use the Governance Framework and Management System

The Governance Framework is built on Principles and Criteria. The principles must be satisfied by fulfilling the criteria enlisted. There are four principles and ten (10) criteria. Proof or evidence must be provided by communities on how the principles were satisfied and how criteria were fulfilled. A detailed checklist for the Governance Framework and Management System is attached in the annexures and a summary is presented in Table 4. This document also provides several templates which seek to ease proving compliance to the governance framework (see annexures). The mind map in Figure 2 provides an overview of the governance framework and management system.

The governance framework follows the approach used for commonly known forest standards applied internationally. Examples of forest standards are the Programme for the Endorsement of Forest Certification (PEFC), the Forest Stewardship Council (FSC) and the Rain Forest Alliance. The FSC's National Forest Stewardship Standard for the Republic of Namibia (NFSS) is recognised in the Forest Act and applied in Namibia.

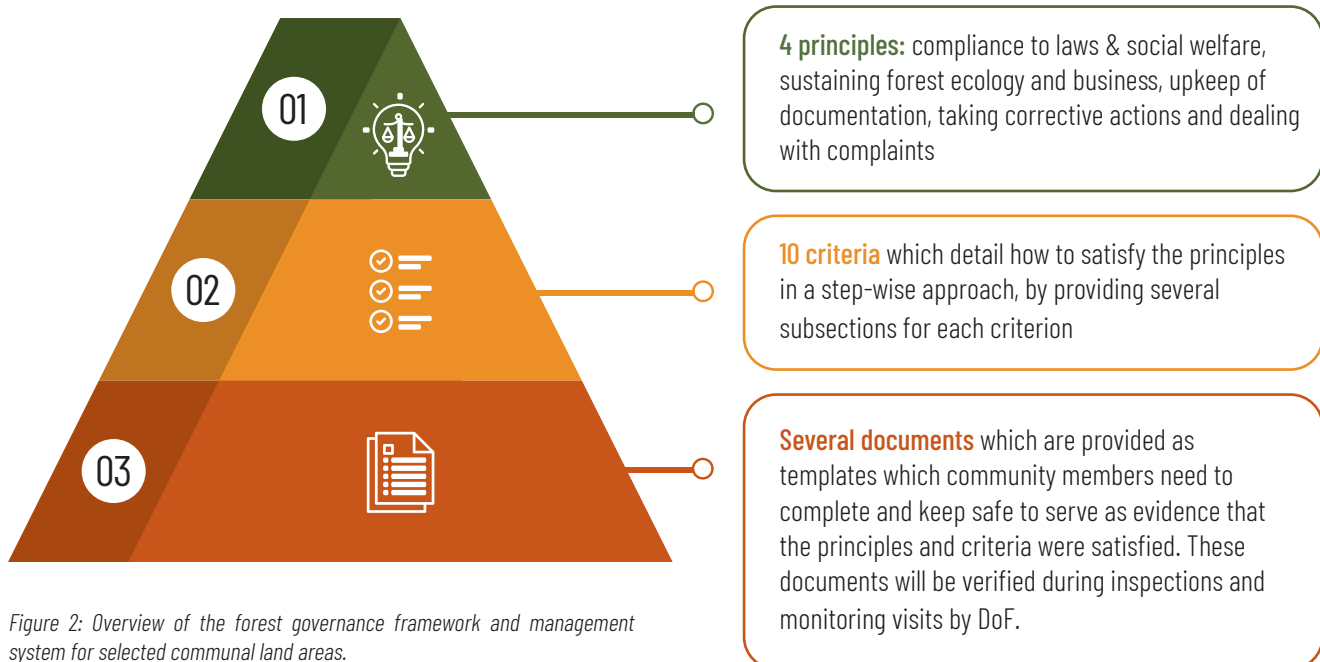


Figure 2: Overview of the forest governance framework and management system for selected communal land areas.

The management system provides further information.



Proof or evidence must be provided by communities on how the principles were satisfied and how criteria were fulfilled.



# PRINCIPLE 1 - COMPLIANCE WITH LAWS, REGULATIONS AND AGREEMENTS; ORGANISATIONAL SETUP

The community and/or organisation (in case of title land ownership) and/or person shall comply with all applicable laws, regulation and nationally ratified international treaties, conventions and agreements.

## **Criterion 1.1 - Forest operations comply with national legislation**

All provisions of the Environmental Management Act (Act 7 of 2007) and their respective regulations and guidelines as well as the Forestry Act (Act 12 of 2001) are fulfilled. This includes any amendments to the latter that must be always fulfilled.

All provisions of the Labour Act (Act 11 of 2007) and its respective regulations are adhered to at all times.

For equitable access to, and benefit sharing of, selected forest resources and as may be governed by the UNCTAD Biotrade principles, equitable benefit sharing mechanisms must be put in place at community level.



For equitable access to, and benefit sharing of, selected forest resources and as may be governed by the UNCTAD Biotrade principles, equitable benefit sharing mechanisms must be put in place at community level.

## **Criterion 1.2 - Organisational set-up complies with national legislation**

Activities respect all national laws, agreements and regulations that are applicable and relevant to the forestry, community forests and the communal land tenure rights, with the aim of biodiversity conservation and socio-economic sustainability.

A community and/or organisation and/or person is a legally defined entity with clear, documented and unchallenged legal registration, with written authorisation from the legally competent authority for specific/specified activities.

- 1.2.1. Legal registration is granted by a legally competent authority.
- 1.2.2. Proof of legal tenure to manage and provide/use forest resources within the scope of the forest permit(s) and/or license(s) is available and undisputed.
- 1.2.3. Organisational ownership (community forest, business ownership, etc.) is known, validly documented and undisputed.
- 1.2.4. Activities respect agreements relevant to ethical biotrade, including agreements concluded by parties active in the trade of forest resource and their products.
- 1.2.5. Applicable, legally binding access-benefit agreements between parties are in place and honoured.



## PRINCIPLE 2 – FOREST ECOLOGY AND SUSTAINABLE UTILISATION

All relevant ecological and practical details regarding forest resources are known and/or collected, analysed and used to ensure sustainable utilisation of the resource.

The provisions of the relevant, applicable forest management plan as agreed by the respective community must be fulfilled.

### **Criterion 2.1 – Pre-harvesting assessment**

Prior to the start of harvesting activities, the resource shall be identified and quantified.

- 2.1.1 Prior to the start of harvesting activities, the extent of bush-thickening shall be identified and quantified through an ecological resource assessment.
- 2.1.2 The resource assessment shall be based on actual data collection and not estimations and provide information on biomass offtake capabilities.
- 2.1.3 Harvesting period known and/or adhered to, in accordance with permit terms and conditions.
- 2.1.4 There is a system in place to ensure the adequate protection of the resource.
- 2.1.5 Training has been provided regarding resource assessment and harvesting periods.

### **Criterion 2.2 – Harvesting and harvesting techniques; bush control; processing of biomass**

During harvesting, the best practice harvesting technique(s) shall be followed to ensure the sustainable utilisation of the resource (i.e., follow the community forest management plan).

- 2.2.1 Harvesting techniques and protocols are known and followed.
- 2.2.2 Potential impacts of the harvesting on the local environment are identified and modified to avoid or mitigate negative impacts.
- 2.2.3 During harvesting the appropriate equipment is used to ensure health, safety and well-being of workers, as well as ecological soundness of the environment and biodiversity recovery of the area.
- 2.2.4 Only approved hazardous chemicals, which are not harmful to the environment, to be used for bush control and/or aftercare activities in line with prevailing legislation.

2.2.5 Communities/landowners will ensure monitoring of activities during harvesting to ensure compliance regarding techniques and prevent overutilisation of resource and other irregularities.

2.2.6 On-site rapid assessment should be conducted regarding the harvesting techniques employed; the tools used for the type of species harvested; harvesting, cutting, drying, packaging and storage and transporting of the resource or processing – to ensure compliance and immediate corrective actions to avoid overutilisation and/or contamination of the soil.

### **Criterion 2.3 – Post-harvesting activities; monitoring and reporting**

After harvesting activities, the resource shall be protected to ensure long-term sustainability of the resource.

- 2.3.1 Communities/landowners will conduct a post-harvest impact assessment. This may also be supported by an official from the Directorate of Forestry.
- 2.3.2 No removal of protected species, for both fauna and flora.
- 2.3.3 Ensure that the harvesting techniques were followed (including, no bush/trees >3m and no bush/trees with diameter >18cm).
- 2.3.4 Ensure that the harvesting protocols were followed – i.e., where bush/ trees were uprooted, holes are closed and other plants not damaged.
- 2.3.5 No collateral damage of other species observed at harvesting sites.
- 2.3.6 No litter left at harvesting sites.
- 2.3.7 No evidence of poaching at harvesting sites.
- 2.3.8 No open fire made at harvesting sites and/or cooking areas cleared of all combustible material.
- 2.3.9 No unauthorised harvesting takes place.
- 2.3.10 Determine regeneration and/or mortalities at harvesting sites, especially for biodiversity regeneration and/or maintenance.
- 2.3.11 Implement and maintain a Monitoring and Evaluation protocol.

- 2.3.12 Maintain documentation and ensure accurate and safe record keeping supporting the sustainable utilisation of the resource.
- 2.3.13 Maintain sound business practices.
- 2.3.14 Ensure that harvesters receive refresher training in harvesting techniques, etc. as required and before the next harvesting cycle.
- 2.3.15 Ensure that suppliers and buyers have entered into product specification agreements (incl. having agreed on measures of quality and quality assurances).
- 2.3.16 Ensure that all the parties have entered into terms of trade agreements on all possible aspects (to inter alia avoid disputes, complaints and recalls).

**Criterion 2.4 – In-process controls; storage; transportation**

At each stage of processing or further production and packaging, storage and distribution operations, measures must be taken to produce a semi or finished product that meets the defined and agreed characteristics.

- 2.4.1 In-process controls and their acceptance criteria should be defined, adhered to and documented, including primary processing, packaging and storage of materials and waste management.
- 2.4.2 Clearly marked waste-bins should be available, emptied regularly and cleaned. All waste must be disposed of in a responsible manner.
- 2.4.3 Appropriate packaging for forest produce must be provided and identifiable, also to ensure that community members are duly compensated for their produce.
- 2.4.4 Forest produce and packaging materials must be stored under appropriate conditions for an appropriate length of time. If necessary, products should be monitored while stored (e.g., wood fibre for animal feed; firewood or wood chips are prone to insect attacks).
- 2.4.5 Distribution and/or transportation of forest produce must be done under appropriate conditions and with all necessary authorisations in place (e.g., unweathered charcoal may not be transported nor shipped in a container).
- 2.4.6 Appropriate training must be provided on a regular basis regarding processing, storage, distribution and transport of forest produce and evidence thereof must be in place (record keeping).



Appropriate training must be provided on a regular basis regarding processing, storage, distribution and transport of forest produce and evidence thereof must be in place (record keeping).



# PRINCIPLE 3 – DOCUMENTS AND RECORD KEEPING

The community/organisation or business/person shall have and maintain applicable/appropriate documentation relating to the harvesting, processing and delivery of bush control activities and the biomass or forest produce so rendered.

## Criterion 3.1 – Types of documents

Each community/organisation or business/person within the communal land areas shall establish, design, install and maintain a system of documentation that is appropriate to its organisational structure and the type of products. An electronic system can be used to prepare and manage documents.

- 3.1.1 All processes and procedures that could affect the resource sustainability of forest resources must be documented.
- 3.1.2 All processes and procedures that could affect the quality of the product must be documented (e.g., charcoal/biochar or animal fodder).
- 3.1.3 Extraordinary circumstances during the growth period that may affect the forest resources such as extreme weather conditions and pests must be documented.
- 3.1.4 The application of pesticides must be documented (e.g., at least date of application, product and quantity used, area where applied).
- 3.1.5 The geographic location of the harvest and processing area and the harvest period should be described as precisely as possible.
- 3.1.6 Where perishable forest produce (e.g., animal fodder) is provided by a community/organisation or business/person, batches of such produces should be unambiguously and unmistakably traceable to their sources. Therefore, appropriate labelling and batch assignment should take place as early as possible. Harvested material should carry different batch numbers.
- 3.1.7 Batches from different geographical areas shall be mixed only if it can be guaranteed that the mixture itself will be homogenous. Such processes should be documented.

## Criterion 3.2 – Proof of documentation

Documentation is an integral part of the good governance principles. Therefore, the objective of documentation is to describe forest activities, access and benefit sharing from forest resources as defined in this governance framework, to relate the history of the activities and to prevent risks of interpretation, loss of information, confusion, or errors inherent to verbal communication. The documentation shall be always kept in a presentable manner to assist both the community/organisation or business/person in maintaining eligibility for forest related permits and traceability of forest produce.

- 3.2.1 All agreements (e.g., ABS, sell and buy contracts, harvesting and processing/offtake guidelines, contracts etc.) between e.g., regional council or traditional authority and community/organisation and its harvesters/producers as well as between the community/organisation and buyers (i.e., offtaker) should be in written form. It should be documented that harvesting and production/processing have been performed in accordance with these agreements. Minimum information included in the documentation should cover geographical location (for harvesting and processing), intended use of the forest produce, permit or licenses obtained and dates of delivery of the produce.
- 3.2.2 The results of inspections by Forestry Officials should be documented in a self-assessment and/or inspection report (copies of all documents, inspection reports, analysis reports) to be stored for a minimum of 10 years.
- 3.2.3 Documents should be updated when/where applicable and necessary and the revision number indicated. The reason for each revision or update should be retained.
- 3.2.4 Only original documentation should be archived and only controlled copies should be used by all parties.
- 3.2.5 The duration of archiving original documents should be defined according to applicable legislation and regulations. Where such legislation or regulation does not exist, the organisation's protocols prevail.
- 3.2.6 The storage of original documentation should be properly secured.
- 3.2.7 Documents may be archived as either electronic or hard-copies and their legality should be ensured.
- 3.2.8 Backup data should be stored at a separate location at regular intervals.

## PRINCIPLE 4 - CORRECTIVE ACTIONS

All corrective actions that fall within the scope of this forestry governance framework and are communicated to the community/ organisation or business/ person should be reviewed, investigated and followed-up on and corrected, as appropriate. The time allowable to take corrective actions may vary between incidences. However, in general, a period of six to twelve months will be granted for corrective actions to be made.

### Criterion 4.1 - Challenges, problems and non-compliance matters

All challenges, problems and non-compliance matters should be competently and honestly addressed to ensure compliance.

### Criterion 4.2 - Risk management

All risks are identified and mitigated in line with good practice, international and national agreements, conventions and legislation.

### Procedures to corrective actions

1. There should be a procedure in place to deal with non-compliance issues which may result from internal/ external auditing and/or customer complaints.
2. There should be a procedure in place for the identification of such non-compliances.
3. Non-compliances should be recorded and documented in a non-compliance register.
4. Non-compliances should be dealt with as Corrective Actions (CAs).
5. If five (5) or more CAs are encountered during an inspection, the harvesting permit and/or any other relevant permit should be suspended.
6. CAs should be rectified (i.e., evidence presented to indicate conformity) before the next harvesting permit and/or any other permit as relevant is issued.
7. All outstanding CAs should be rectified before the next harvesting and/or any other relevant permit is issued.
8. Responsibilities for implementing and resolving CAs are defined.
9. Actions for implementing and resolving CAs are defined.
10. Dispute resolution processes should be in place and implemented through culturally appropriate engagements with personnel, people, stakeholders and/ or affected parties; and the process is understood.
11. Adaptive measures should be in place to prevent recurring CAs incidents, including preventing disputes of any kind or nature.
12. Training has been provided regarding resolution of challenges, problems, non-compliance and taking corrective actions.



The time allowable to take corrective actions may vary between incidences. However, in general, a period of six to twelve months will be granted for corrective actions to be made.



# MANAGEMENT SYSTEM

This section seeks to explain how the forestry governance framework can be applied by utilising the various guiding documents provided in the annexures.

For each application for a harvesting and trade/export permit and/or license, the community or small-scale leaseholder must be able to provide information and documentation how forest activities are to be or were conducted. The validity (duration) of each permit will continue to be in line with current practice<sup>8</sup>

regardless of whether a forest and environmental management plan is already in place.

It is important to note that the forestry governance framework does not replace prevailing legislations but supports compliance to such legislations. Please note, the Forestry Regulations already prescribe which documentation must be in place in terms of intended harvesting operations by land area and are included in Table 3.

Table 3: Summary requirements for forestry permits and licenses as per Forest Regulations (2015) and guidelines stipulated in the Forestry and Environmental Authorisations for Wood and Harvesting Projects..

Intended area for harvesting per year	Purpose of harvesting	Requirements
Less than 150ha per year	Small-scale commercial wood harvesting	Compile the Forest and Environmental Management Plan (FEMP) and use the FEMP to apply and re-apply for Harvesting Permit.
From 150ha and up to 5,000ha per year	Medium-scale commercial bush harvesting, clearing for crop fields and similar development projects	Compile the FEMP and submit to DoF. DoF endorses the FEMP for Environmental Clearance Certificate (ECC) application. Once ECC is obtained, use FEMP and ECC to apply and re-apply for Harvesting Permit. FEMP must be in place before permits are applied for. Various types of forest produce permits must be applied for, depending on use.
From 5,000ha per year	Large scale bush harvesting, clearing for crop fields and similar development projects	An Environmental Impact Assessment (EIA) with the Environmental Management Plan (EMP) is required. FEMP and ECC must be in place to apply and re-apply for harvesting permit. Various types of forest produce permits must be applied for, depending on use.

Please note, at communal land level it is required that for any harvesting exceeding 150 hectares a FEMP and ECC are required. In preparing for forest permit or license applications for harvesting and trading with bush-based forest resources, i.e. excluding timber, formalised communities should have the following documents always valid and up to date:

☉ For community forest:

- Statutes
- Forest management plans, as already presented for gazettelement or their updates
- Environmental management plans

- Gazettelement documentation
- Consensus/ consent from regional and traditional authorities
- ☉ For open communal land areas, where land tenure is defined through a leasehold, present a valid title deed and/or leasehold certificate together with the relevant consent documents. It's also important to present:
  - Forest and Environmental Management Plan (FEMP)

<sup>8</sup> Forestry Permits and Conditions. 2022. Ministry of Environment, Forestry and Tourism. Available from Directorate of Forestry offices or on [www.forestry.gov.na](http://www.forestry.gov.na)

When applying for permits and licenses, the FEMP (template attached as annexure) must have been completed and must have been verified by the Directorate of Forestry. A pre-harvest resource assessment will be conducted by the Directorate of Forestry in accordance with the FEMP presented.

In general, no destructive or harmful mechanised harvesting methods may be used in communal land areas.

For those communities who wish to process bush-biomass into charcoal, processing methods may not be harmful to people and the environment. The good processing methods for charcoal making as published by the Directorate of Forestry shall apply. No earth mound charcoal making will be allowed in any communal area. All commercialised firewood and charcoal making practices must be approved by the Director of Forestry.

During the roll-out of the forestry governance framework, only recognised (gazettement or leasehold) communities with proven bush thickening will be considered under this framework.

The detailed process of application for forestry permits under this governance framework are elaborated in Annexure 1.

### **Roles and responsibilities in the various communal settings**

In rolling out the forest governance framework for communal land areas, various roles and responsibilities need to be assigned and adhered to at the community level/ communal farmer level. These roles pertain to:

- Organisational planning, implementation and maintenance, including financial
- Forest management planning and implementation
- Resource assessment and verification
- Resource protection and measures for its sustainability
- Harvesting and processing (production) planning and sustainability
- Storage, transportation and distribution of resources and/ or forest products
- Documentation (information) creation, capture and governance, including due record keeping
- Taking remedial actions where corrective actions were raised
- Training of community members, including awareness raising and adoption of the governance framework at community level

Table 4 summarises the management system for the forestry governance framework. Matters highlighted in bold are compulsory and need to be presented to the Directorate of Forestry for verification for permit and license application as well as during monitoring, evaluation and reporting.

Several template documents assist the community to implement and sustain the governance framework at communal land level, for both community forest and leasehold landowner. These pertain to, for example and are attached as annexures:

- Process to comply with the forest governance framework (Annexure 1)
- An application for bush control and biomass utilisation permits (e.g. harvesting, trading, export, etc.) (Annexure 2)
- The forest and environmental management plan (FEMP) (Annexure 3, and as per DoF template)
- Permit report back form (Annexure 4 and 5)
- Several registers which serve as proof of documentation/ evidence for compliance (Annexures 6 to 13)

The roles of the Directorate of Forestry would be to monitor all interventions, at least during pre-harvest assessments (i.e. FEMP verification) and for post-harvest resource and production assessments. A checklist is provided as Annexure 14.



**Several template documents assist the community to implement and sustain the governance framework at communal land level for both community forest and leasehold landowner.**

Table 4: Summary of criteria to be fulfilled and documents to be presented under the Forest Governance Framework when applying for forestry permits and licenses

Criterion	Guidance	Types of proof to be presented upon assessment or inspection by officials (tasks for communities and verifiers)	Responsibility assigned to (position) in the community	Verification done by
1.1 Forest operations comply with national legislation	Compliance to national legislation, regulations, guidelines, processes, procedures  Safeguard socio-economic inclusion/inclusiveness	Membership lists; consent documentation from various authorities	In case of <b>Community Forest</b> , the Management Committee supported by Treasurer and/or Secretary has the obligation to do this.	Regional DoF Office
		Benefit sharing arrangements and distribution plan	For <b>Leasehold Farms</b> , the authorised lease holder has the obligation to do this.	
		Training records		
		Permits/ Licenses; report back forms		
		Proof on how law enforcement is done at community level; Proof of Monitoring and Evaluation; Reports	Forest rangers and/or production foreman	Regional DoF Office
1.2 Organisational set-up complies with national legislation	Formalised structure of the community (community forest/ titled (leasehold) land)	Organisational plan	In case of <b>Community Forest</b> , the Management Committee supported by Treasurer and/or Secretary has the obligation to do this.  For <b>Leasehold Farms</b> , the authorised lease holder has the obligation to do this.	Regional DoF Office, with verification by DoF HQ
		Gazette; consent documentation		
		FEMP		
		Overall management structure		
2.1 Pre-harvest assessments  2.2 Harvesting and harvesting techniques; bush control; processing of biomass	Safeguard environmental soundness  Follow market requirements  Safeguard socio-economic development	Pre- and post-harvest bush quantification reports	In case of <b>Community Forest</b> , the appointed Community members, assisted by forest rangers.  For <b>Leasehold Farms</b> , the authorised lease holder has the obligation to do this, assisted by DoF Officials.	Regional DoF Office
		Annual thinning quantities determination report		



Criterion	Guidance	Types of proof to be presented upon assessment or inspection by officials (tasks for communities and verifiers)	Responsibility assigned to (position) in the community	Verification done by
2.3 Post-harvesting activities; monitoring and reporting  2.4 In-process controls; storage; transportation		Map of annual harvesting sites demarcation	In case of <b>Community Forest</b> , the Management Committee verifies the plans as per Environmental Clearance Certificate.  For <b>Leasehold Farms</b> , the authorised lease holder has the obligation to do this, with verification as per Environmental Clearance Certificate.	
		Proof that sound rangeland management practices are followed, incl. restorative and aftercare actions	Forest rangers	
		Application and approval for EIAs and FEMP	Forest rangers in cooperation with Regional DoF Office	
		Record of harvesting, processing and other productive activities	In case of <b>Community Forest</b> , the Community members (all) and/or appointed contractors.  For <b>Leasehold Farms</b> , the authorised or appointed workers and/or contractors.	
		Proof (e.g. photos) that sound environmental management practices (harvesting and processing sites cleanliness; no poaching and other criminal activities against nature, etc.) are in place  Record of logistical arrangements for resources, products, and packaging	In case of <b>Community Forest</b> , Community members (all). For <b>Leasehold Farms</b> , all persons occupying the land. In case of <b>Community Forest</b> , Community members (as identified), and/or appointed contractors or service providers.  For <b>Leasehold Farms</b> , the authorised worker and/or appointed contractor or service provider.	

Criterion	Guidance	Types of proof to be presented upon assessment or inspection by officials (tasks for communities and verifiers)	Responsibility assigned to (position) in the community	Verification done by
3.1 Types of Documents 3.2 Proof of Documentation	Provide evidence of processes and procedures followed for planning, forest operations and compliance	Standard operating procedures  Proof that equipment/ systems for safekeeping of documentation are in place (safeguarding of information)  Present documentation for inspection, and if/when required to authorities	In case of <b>Community Forest</b> , the Forest Management Committee, assisted by Treasurer and Secretary.  For <b>Leasehold Farms</b> , the authorised/ appointed worker.  In case of <b>Community Forest</b> , the Secretary of Forest Management Committee.  For <b>Leasehold Farms</b> , the authorised leaseholder or his/her duly appointed representative.  In case of <b>Community Forest</b> , the Treasurer and Secretary of Forest Management Committee.  For <b>Leasehold Farms</b> , the authorised leaseholder or his/her duly appointed representative.	DoF HQ, and other authorities, and/or certification bodies if communities wish to become e.g., FSC certified
4.1 Challenges, problems, and non-compliance matters 4.2 Risk management	Risk mitigation	Identifying matters of non-compliance and risks Identifying corrective actions Implementing corrective actions Following up on where corrective actions were needed and verifying correctness Amendments to policies, procedures, processes	In case of Community Forest, the duly appointed community members from Forest Management Committee. Any issues posing a risk must be escalated to the Community Forest Management Committee.  The first instances of risks must be noted by the forest rangers and reported to the appointed community members for verification.  Only the Forest Management Committee may take decisions how imminent risks must be treated.  For Leasehold Farms, the authorised or appointed risk manager must escalate any imminent risks to the leaseholder or his/her duly appointed representative for decision making.	DoF regional office, with approval of DoF HQ where needed

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## **ANNEXURE 1**

PROCESS TOWARDS GAINING FORESTRY PERMITS FOR COMMERCIAL  
USE OF BUSH-BASED BIOMASS FROM COMMUNAL LAND AREAS

# SUMMARY OF PROCESS STEPS FOR COMMERCIAL USE OF BUSH-BASED BIOMASS IN COMMUNAL AREAS

01

## Preparatory Phase

- 1.1 The Management Committee of Community Forestry or the Lease Holder (for title deed communal farms) demarcates the appropriate areas for bush harvesting.
  - 1.2 The Management Committee of Community Forestry or the Lease Holder (for title deed communal farms) lays out the FEMP.
  - 1.3 The Management Committee of Community Forestry or the Lease Holder provides DoF with minutes where it is recorded that the activities for harvesting were discussed and approved by stakeholders, including benefit-sharing arrangements.
  - 1.4 The Lease Holder has consulted with her/his neighbours and obtained consent from them.
  - 1.5 The Management Committee of Community Forestry or the Lease Holder (for title deed communal farms) applies with MEFT for inspection and notifiable activities under the Environmental Management Act (EMA) for the next 3 years.
- 

02

## DoF site visit (regional office)

- 2.1 DoF carries out pre-harvest assessments and confirms the FEMP as well as all other documentation required for applications.
  - 2.2 DoF quantifies the available bush resources using the Bush Quantification (BQ) Tool.
  - 2.3 DoF (regional office) completes its parts on the FEMP and sends it to Windhoek.
- 

03

## DoF (Windhoek) and Environmental Commissioner approval

- 3.1 DoF approves/rejects the Forestry portion on the FEMP.
  - 3.2 If approved, DoF forwards the FEMP to the Office of Environmental Commissioner for final authorisation of the FEMP.
  - 3.3 After the FEMP is approved by all parties the ECC (Environmental Clearance Certificate) is issued.
  - 3.4 The ECC, following the approval of the FEMP, is valid for 3 years and renewable upon application.
- 

04

## Issuing of permits

- 4.1 Once the approved FEMP and thus the ECC is returned to the applicant (Management Committee of Community Forest or Lease Holder), forestry permit applications may be lodged with DoF for commercial use of firewood and charcoal making.
  - 4.2 The following permits are applicable:
    - Harvesting permit
    - Marketing permit
    - Transport/export permit
  - 4.3 The subsequent forestry permits will stipulate the allowable harvesting intensity and biomass quantity over a period.
- 

05

## Monitoring

- 5.1 DoF may perform ad hoc inspections (e.g. when complaints are received) to monitor the progress of harvesting.
- 

06

## Post-harvest assessments

- 6.1 Regular post-harvest assessments are done, at least once per year.
- 6.2 Annual reporting back (from the Management Committee or the Lease Holder) to DoF is compulsory – it includes resource assessment, harvesting quantities, marketing statistics. (Report template available)
- 6.3 A 3-year report is compulsory after a period of harvesting for 3 years. (Report template available in FEMP)

## IMPORTANT ADDITIONAL INFORMATION

- Only the Director of Forestry may grant permits for commercial use of forest resources from communal land areas for commercial use of firewood and charcoal making, ie., community forests and leasehold farms. No permits of this nature will be granted to open communal land areas and conservancies.
- No destructive harvesting methods are allowed.
- No earth mound charcoal making is allowed.
- Harvesting and marketing permits are granted for the legal period.
- Transport/export permits are granted to transport/export charcoal/wood/other bush-based biomass products for a stipulated quantity. The validity of permits is granted for the legal period.
- Renewals of forestry permits are granted based on harvesting and biomass utilisation performance in the respective area and inspections.
- Communities provide DoF with an annual report on activities in the area. Failure to hand these in may lead to forfeitures of the ECC and thus the FEMP.
- Follow up on permitting and documentation needs to be done by the management committee of the community forest or the lease holders, and DoF.
- Benefit sharing takes place as agreed by community members and within the community from sales.
- The Management Committee and/or the Leaseholders need to conduct M&E in the community for the year that passed. Any incidents must be reported and corrective actions taken.
- Safekeep documentation for future inspections.
- Update community or leasehold business plan regularly.
- Update FEMP and relevant authorisation applications.
- Renew forestry permits as applicable.

Please avoid the following scenarios as depicted in the pictures below. Pictures are courtesy of Ms D. Honsbein





## **ANNEXURE 2**

APPLICATION FOR A PERMIT TO HARVEST  
WOOD (AS PER DOF REGULATIONS)



**MINISTRY OF ENVIRONMENT,  
FORESTRY AND TOURISM  
Directorate: Forestry**

Private Bag 13306, Windhoek, NAMIBIA  
Tel +264 61 2842111 Fax +264 61 259101

**APPLICATION FOR A PERMIT FOR FOREST PRODUCE IN COMMUNAL LAND AREAS**

(Section 22/Regulation 5)

- First Application  Renewal of Permit  
 Group Application  Individual application (please tick)

Harvester group's name (**see below**): .....

Individual harvester's surname: .....

Individual harvester's first name: ..... Title: .....

Individual harvester's Identification Number: .....

Harvester group leader's Identification Number (if appropriate): .....

Postal address: .....

Residential address: .....

Region: ..... Area: .....

Tel: ..... Fax: .....

**1. TYPE OF APPLICATION (Mark with an X)**

Harvesting		Marketing		Transport		Export		Clearing	
------------	--	-----------	--	-----------	--	--------	--	----------	--

**2. STATE THE FOREST PRODUCE**

Tree Species	Quantity of Wood	Unit (tonnes/number/m <sup>3</sup> )	Hectares	Live/dry trees

**3. PURPOSE FOR HARVESTING (Mark with an X)**

Rangeland Management		Crop Production		Fire Belt		Ornamental		Other	
----------------------	--	-----------------	--	-----------	--	------------	--	-------	--

**4. PRODUCT (Mark with an X)**

Wood Carving		Firewood		Timber		Charcoal		Other	
Fencing Material									

**5. TRANSPORT/EXPORT**

Loading Point	Destination	Quantity	Transport means	Vehicle Reg. No.

**6. PERIOD REQUIRED**

From: ..... / 20..... To: ..... / 20.....

**7. PLACE OF ORIGIN**

Farm / Village Name	Number (if applicable)	Hectares	Constituency	GPS Coordinates/ Sketch

**8. I AM (Mark with an X)**

Owner	<input type="checkbox"/>	Lessee	<input type="checkbox"/>	Manager	<input type="checkbox"/>	Communal Occupant	<input type="checkbox"/>	Retailer	<input type="checkbox"/>	If Other, specify	<input type="checkbox"/>
-------	--------------------------	--------	--------------------------	---------	--------------------------	-------------------	--------------------------	----------	--------------------------	-------------------	--------------------------

If more than one harvester is applying for a group permit, please attach a list to this application form giving names of all harvesters who must be included on the 'Harvest' group permit. The list must be submitted under community forest authorisation or the leaseholder.

Signature: ..... Place: ..... Date: .....

**Permission from the landowner/Local Authority/leaseholder**

I hereby authorise the above-mentioned person to harvest wood at the following site/land unit, of which I am the legal owner/representative.

Land unit/site: .....

Constituency: ..... Region: .....

Surname: ..... First name: .....

Position: (landowner, Traditional Leader, Community Forest Committee): .....

Postal address: .....

Residential address: .....

Tel: ..... Fax: .....

Signature: ..... Date: .....

**PTO**

**FOR OFFICE USE ONLY**

Confirm return of previous "Report Back" form: .....

RECOMMENDATIONS: .....

.....

.....

Permit Number allocated

**APPROVED / NOT APPROVED** (tick as appropriate)

.....

Signature of Issuing Officer

Place

Date

.....  
Name in Print

.....  
Official Date Stamp

## **ANNEXURE 3**

FEMP (AS PER DOF TEMPLATE)

**ONLY FOR LOW IMPACT ACTIVITIES**  
(Up to 5000ha and Semi-Mechanised Harvesting)

## Forest and Environmental Management Plan (FEMP)



### PURPOSE of the FEMP

The purpose of this FEMP is to facilitate sustainable management, conservation and utilisation of forest resources while promoting socio-economic development and environmental protection. This FEMP will enable the Directorate of Forestry (DoF), landowners and forest resource users to have a clear vision of what needs to be in place, which wood harvesting activities are planned, and when the activities will take place. It will further assist DoF in providing permits based on well-planned and documented management processes.

### OBJECTIVES of the FEMP

[Empty box for listing objectives]

### The following legislative instruments, policies and guidelines are inter alia applicable and considered in compiling this plan:

- Environmental Management Act (Act 7 of 2007)
- Forest Act (Act 12 of 2001) and Regulations (2015)
- Soil Conservation Act (Act 76 of 1969) & the Soil Conservation Amendment Act (Act 38 of 1971)
- Labour Act (Act 11 of 2007)
- Import and Export Control Act (Act 30 of 1994)
- National Forest Policy (1992)
- Namibia Agriculture Policy (2015)
- National Guidelines on Fires and Fire Management (2001)
- National Drought Policy and Strategy (1997)
- National Rangeland Management Policy and Strategy (NRMPS, 2012)
- National Strategy on the Sustainable Management of Bush Resources (2022-2027)

### The following documents to be attached to the FEMP (Depending on land ownership and tenure agreements):

- Proof of ownership (Title Deed) for harvesting on own property
- Lease Agreement if the producer is not the owner of the land
- Written permission from the Traditional Authority for harvesting on ungazetted communal land
- Written permission from the chairperson if the land is part of a Gazetted Conservancy or Community Forest
- Consent and Allotment letters from the Ministry responsible for lands and resettlement
- Complete Farm / Land Map with farm name, owner (+ tenant), camps, camp numbers & -sizes @ hectares, water points, farm- and official roads, location of homestead and charcoal village (if possible, GPS coordinates), current- (if any) and planned harvesting & exclusions (latter being all excluded areas like environmental sensitive habitats, fields, irrigation areas, cattle corridors, areas not planned to be harvested).

Date of Submission of FEMP

[Empty box for date of submission]

Prepared and Submitted by

[Empty box for name of preparer]

## **ANNEXURE 4**

ADDENDUM TO THE FORESTRY REGULATIONS NO. 170 OF 2015 ON CHARCOAL  
PRODUCTION IN NAMIBIA ALIAS "CONDITIONS FOR CHARCOAL PRODUCTION"

# ANNEXURE 4 – ADDENDUM TO THE FORESTRY REGULATIONS NO. 170 OF 2015 ON CHARCOAL PRODUCTION IN NAMIBIA ALIAS “CONDITIONS FOR CHARCOAL PRODUCTION”

1. Trees with stem diameter of more than 18 cm at ground level may not be removed unless special approval is granted.
2. An area of at least 30 m around the kiln must be cleared of any flammable material for charcoal production.  

Firebreaks of at least 5 m must be cleared around the border of the camp where burning takes place, or 200 m away from the central or cluster burning stations.
3. No protected species may be removed unless special approval is granted.
4. All employees/contractors must be treated according to all applicable laws in Namibia.
5. Permit owner must explain the permit content and conditions to all workers and contractors.
6. Permit owner must execute proper supervision over the operations.
7. Firefighting equipment must be always on site.
8. All kilns must be guarded all the time that they are burning.
  - a. No isolated burning of charcoal may be done unless there is special permission that there is no flammable material on the farm.
  - b. Only central burning or cluster burning is allowed throughout the year.
  - c. No wood may protrude at the top of the kiln.
  - d. When the kiln is burning, the lid must be placed on the kiln covering at least half of the opening to prevent flames at the top of the kiln.
  - e. During strong winds (exceeding 20 knots), lid must be closed completely, unless there are fire shields at the burning site.
  - f. A weathering process of at least 7 days must be implemented at the burning site to prevent fires during the transportation of charcoal. When the kiln is opened and charcoal is removed, the charcoal must be opened and left to weather for 7 days before it is placed in bags ready for transport.
- g. No sand and ash may be added to the charcoal bags as they can start a fire during transportation.
- h. No burning at night unless smoke extraction equipment is used.
9. Burning of charcoal may not be done within 1 km to the nearest house or dwelling.
  - a. In the case where the smoke has an impact on tourist destinations or other dwellings, the burning site must be moved to a place which does not have an impact on any person.
  - b. Burning may not be closer than 100 m from major roads or neighbours' border fences.
10. The permit must be always available for inspection purposes.
11. All charcoal workers need to be trained in basic firefighting.
12. General conditions not only applicable to charcoal production:
  - a. An area of 30 m must be cleared around all dwellings on a farm.
  - b. When general farm work is done with equipment that may cause veld fires (welding, chain saw operations), the area must be cleared at least 5 m around the place of work.
  - c. Firefighting equipment must be available when working with equipment that may cause veld fires.
  - d. No cooking in the veld unless the area is cleared at least 10 m and the cooking site is not left unattended. After cooking, the fire needs to be extinguished and workers must ensure that it will not start burning again at night.



## **ANNEXURE 5**

HARVESTER/CHARCOAL BURNER  
'REPORT BACK' FORM



Ministry of Environment, Forestry and Tourism

**Harvester/Charcoal Burner  
'Report Back' Form**

Harvester's/Charcoal burner surname:  
.....

Harvester's/Charcoal burner name:  
.....

Harvesting Permit Number:  
.....

Area and region harvested:  
.....

**TO BE SIGNED BY BUYER (WOOD/HARCOAL) and handed back to MEFT by harvester**

Date	Buyer/Company sold to	Transport/Export Permit Number	Number of bags	Weight of wood (kg)	Total weight of charcoal (kg)	Vehicle Registration No. of Transport Truck	Signature of Buyer/Company Representative

## **ANNEXURE 6-13 • REGISTERS**

The following registers are part of the Management System to be used by the communities to comply with the Governance Framework:

ANNEXURE 6: TRAINING REGISTER

ANNEXURE 7: PPE REGISTER

ANNEXURE 8: CHEMICAL REGISTER

ANNEXURE 9: STOCK REGISTER

ANNEXURE 10: EQUIPMENT REGISTER

ANNEXURE 11: INCIDENT AND ACCIDENT REGISTER

ANNEXURE 12: GRIEVANCE/COMPLAINTS REGISTER

ANNEXURE 13: NON-COMPLIANCE REGISTER AND CORRECTIVE ACTIONS (CAS) REGISTER

# ANNEXURE 6: TRAINING REGISTER

Type of training:

Training place:

Trainer:

Date of training:

	Name	Surname	Contact Information	Signature
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
21				
22				

# ANNEXURE 7: PPE REGISTER

Date	Name	Surname	PPE Provided (please tick)							Paid by (please tick)		Signature			
			Overall	Gumboots	Hat	Gloves	Safety boots	Other	Worker	Employer					

## ANNEXURE 8: CHEMICAL REGISTER

Date	Authorised by: (Name and Position)	Product Name	Active Ingredient	Location of treated site	Target species to be treated	Method of application	Chemical Use Start Date	Chemical Use End Date	Amount of chemical used	Applicator Signature

## ANNEXURE 9: STOCK REGISTER

Stock Records for  
Month / Year :

Record Holder:

Date	Packaging line (community/ harvesters)	Product origin (site/ location)	Stock quantity/ weight	Product batch number	Product packaging date	Value (N\$)	Signature	Remarks

# ANNEXURE 10: EQUIPMENT REGISTER

Equipment issued to:

Issued by:

Date issued	Axe	Panga/Slasher	Filing Kit	Chain saw	Chains for chain saw	Water Bottles	Rakes	Shovels	Wheel-barrow	Total value (N\$)	Signature	Remarks



# ANNEXURE 11: INCIDENT AND ACCIDENT REGISTER

Site name	<input type="text"/>	
Is the incident resolved (X)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Incident description	<input type="text"/>	
Equipment & persons involved	<input type="text"/>	
Damage cost	<input type="text"/>	
Location where event occurred	<input type="text"/>	
Incident date	<input type="text"/>	
Incident time	<input type="text"/>	
Immediate action taken	<input type="text"/>	
Preliminary findings (what went wrong?)	<input type="text"/>	
Reported by (name)	<input type="text"/>	Employee / Contractor / Other (circle correct choice)
Reported to (name)	<input type="text"/>	Employee / Contractor / Other (circle correct choice)
Is this a repeat event (X)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Full investigation required (X)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Notes	<input type="text"/>	

# ANNEXURE 12: GRIEVANCE/COMPLAINTS REGISTER

The following is a grievance and/or complaints register with actions undertaken. This will provide management with a record of the types of complaints received, the effectiveness of resolution strategies and a record of what was done as a risk management measure.

Date	Full Name	Complaint	Investigated by	Investigation date	Explain action taken	Grievance resolved (Y/N)	If not, referred to

# APPENDIX 13: NON-COMPLIANCE REGISTER AND CORRECTIVE ACTIONS (CAs) REGISTER

Date:  Organisation/individual inspected:

Inspector:

Notes:

Site name	Description of non-compliance	Suggested corrective action	Major/Minor non-compliance	Person responsible for corrective action	Due date	Management member reported to

## **ANNEXURE 14**

DIRECTORATE OF FORESTRY CHECKLIST FOR  
ASSESSMENT AND COMMUNITY COMPLIANCE

## ANNEXURE 14: DOF CHECKLIST FOR ASSESSMENT AND COMMUNITY COMPLIANCE

Please note, for purposes of the checklist, "organisation" equally means community, landowner via leasehold or business or person in the communal area which/ who conducts an activity involving the harvest, processing and trading with a forest product, i.e. bush-based biomass and excluding timber.

Matters of compliance (must-haves to ensure permit and license conditions can be met by the community to ensure sustainability)

Checklist	Designation	Complied with			N/A	Justification and notes (add guidance notes for DoF)
		As a whole	Partly	Not		
	PI LEGALITY AND COMPLIANCE					
	C1.1 Comply with National Laws: Regulations					
1	All authorisations to conduct forest related activities are defined and unchallenged?					
2	Is the organisation legally defined and unchallenged?					
3	The land where forest activities will take place is defined and unchallenged?					
4	Does the organisation uphold fundamental human rights?					
5	Does the organisation employ children under the age of 14?					
6	Does the organisation prohibit the worst forms of child labour?					
7	Is there evidence of forced or compulsory labour?					
8	Does the organisation have health and safety practices in place to protect workers from occupational safety and health hazards that meet or exceed legal requirements?					
9	People, personnel and workers who are sick, injured, having open lesions or otherwise incapable to work, are excluded from the area of production, or are treated adequately and appropriately?					
10	Workers have adequate protective clothes?					
11	People, personnel and workers have adequate and appropriate living conditions?					
12	Have all people, personnel and workers received adequate training regarding their health, safety, and hygiene responsibilities?					
13	All evidence is available and in place?					

Checklist	Designation	Complied with			Justification and notes (add guidance notes for DoF)
		As a whole	Partly	Not	
	C1.2 Organisational set-up in place				
14	Is legal registration granted by the competent authority (e.g., gazettelement certificate, leasehold, consent documents)?				
15	Is legal tenure granted, and may forest resources be accessed?				
16	Has a forestry official, or another competent authority representative visited the area in the recent past (less than 12 months ago) to inspect the resource and assist the organisation to determine resource extent and/or obtain forestry permits/licenses?				
17	Organisational ownership is known/ defined and unchallenged? (eg, community forest is gazetted and resource/ business plan is readily available)				
	<b>Verifiers:</b> gazettelement certificates, company registration documentation; community forest registration documentation; title deed; permission to occupy/ use; lease/management agreement; customary tenure documentation Contracts: valid harvesting permit; letter from TA/MEFT/CF - ie written authorisation to harvest should be available for a designate area of harvesting, payslips, ID documents, labour inspector records, employment contracts, dispute and grievance records and interviews with workers. <b>Guidance:</b> Forestry Act; forestry regulations; Labour Act, written authorisations; forest management plan; EMA Act; MEFT permits. All other relevant national legislation governing the forestry resources sector, incl eg FSC documentation				
18	Are applicable benefit sharing arrangements at community level in place?				
	<b>Verifiers:</b> benefit sharing agreements, relevant permits; field inspection; forest resource management plan; relevant / applicable marketing agreements. <b>Guidance:</b> Nagoya Protocol; UNCTAD Biotope Principles; MEFT permits.				
	P2 FOREST ECOLOGY AND SUSTAINABLE UTILISATION				
	C2.1 Pre-harvest assessment				
19	Has a resource inventory (basic) been conducted, and results are available prior to harvesting activities?				
20	Is an environmental management plan in place?				
21	The basic resource inventory is in line with the forest management plan?				

Checklist	Designation	Complied with			N/A	Justification and notes (add guidance notes for DoF)
		As a whole	Partly	Not		
22	Changes in the resource availability assessed?					
23	Harvesting species and quantities known and/or permit conditions adhered to?					
24	There is a system in place to ensure the adequate protection of the resource?					
25	Training has been provided regarding resource assessment and harvesting periods?					
	<b>Verifiers:</b> Field inspection; organisation's forest management plan; inventory documents; training registers; training certificates issued by an institution recognised in Namibia.					
	<b>Guidance:</b> EIA/FEMP where available; MEFT permit; SOP's.					
	C2.2 Harvesting & harvesting techniques; bush control; processing of biomass					
26	Harvesting techniques and protocols are known and followed?					
27	Are potential impacts of the harvesting on the local environment identified?					
28	No hazardous chemicals, including highly hazardous pesticides are used for bush control and/or aftercare activities?					
29	Rapid site assessment is done to confirm harvesting techniques?					
30	Rapid site assessment is done to ensure employer safety?					
	<b>Verifiers:</b> Field inspection; organisation's forest management plan; inventory documents; photographic evidence					
	<b>Guidance:</b> EIA/FEMP where available/ applicable; MEFT permit; SOP's.					
	C2.3 Post-harvesting activities: monitoring and reporting					
31	Harvesting activities will/did not cause ecological harm?					
32	No open fire made at harvesting sites and/or cooking areas cleared of all combustible material?					
33	Where charcoal is produced, all guidelines will be/were followed (eg, 5m clearing around kilns retorts, etc.)					
34	Regeneration capacity and/or mortalities at harvesting sites are determined?					
35	Harvesting documentation is accurate and maintained?					

Checklist	Designation	Complied with			N/A	Justification and notes (add guidance notes for DoF)
		As a whole	Partly	Not		
36	Sound business practices in place?					
37	Product specifications available?					
38	Trade permits are in place?					
	<b>Verifiers:</b> Permits; disciplinary/legal action records; field inspection; organisation's forest management plan; inventory documents; photographic evidence; training records; agreements; product specification sheets; lab reports; consignment letters; offtake agreements; invoices, and proof of payments. <b>Guidance:</b> EIA/FEMP where available/ applicable; offtake agreements; MEFT permit; SOPs; MEFT permit; Nature Conservation Ordinance No 4 of 1975; Forest Act No 12 of 2001; HHP list used (Highly Hazardous Pesticide list)					
	C2.4 In-process controls; packaging; storage; transportation					
39	In-process controls defined?					
40	Primary processing: Do primary processing techniques conform to the processes as agreed between the contracting parties?					
41	Were applicable processing protocols in place?					
42	Waste bins are available?					
43	Training plan in place to provide training regarding processing of biomass?					
44	Is all forest produce and packaging material appropriately stored to guarantee product safety and safe use (eg, for animal fodder)?					
45	Will/s distribution (or transportation) of forest produce done under appropriate conditions (eg, unweathered charcoal may not be transported nor shipped in a container).					
46	Are all distribution and transportation of forest produce and processed goods with all necessary authorisations in place?					
	<b>Verifiers:</b> field inspection; resource management plan; impact assessment documents; M&E results and documents; MEFT records; harvesting/marketing/transport permits; delivery notes; weight lists; tax/supplier invoice, VAT, Income Tax; SOPs; manuals; field inspection; forest resource management plan and records; inventory documents, stock register, training records; all relevant documentation.					



Checklist	Designation	Complied with			N/A	Justification and notes (add guidance notes for DoF)
		As a whole	Partly	Not		
	<b>Guidance:</b> EIA/FEMP if available; SOPs; Nature Conservation Ordinance No 4 of 1975; Forest Act No 12 of 2001; MEFT permits					
	P3 DOCUMENTATION AND RECORD KEEPING					
	C3.1 Types of documents					
47	Is the geographic location of the collection area and the harvest period adequately described?					
	<b>Verifiers:</b> Appropriate SOPs, Manuals; in-field inspections; interviews with stakeholders; records, archives.					
	<b>Guidance:</b> SOPs/Manuals, E.g., FSC manuals.					
	C3.2 Proof of documents					
48	Are all agreements (sell and buy contracts, etc.), harvesting and production/ offtake guidelines, contracts etc.) between eg, regional council or traditional authority and community/ organisation and its harvesters/ producers as well as between the community/ organisation and buyers (i.e. offtaker) in written form?					
49	Is all relevant information included in the documentation (for harvesting and processing)? Eg, intended use of the forest produce, permit or licenses obtained and dates of delivery of the produce?					
50	Were the results of assessment and/or inspections by Forestry Officials documented in an inspection report?					
51	Are documents updated when/where applicable and necessary, and the revision number indicated?					
	<b>Verifiers:</b> Agreements, contracts, consignment notes, proof of payments; appropriate SOPs, Manuals; infield inspections; interviews with stakeholders; records, archives.					
	<b>Guidance:</b> Forest Act, ABS Act & Regulations; Nagoya Protocol, UNCTAD BioTrade Principles					
	P4 CORRECTIVE ACTIONS					
52	Were all corrective actions that fall within the scope of this framework and are communicated to the organisation reviewed, investigated and followed-up on and corrected, as appropriate?					

Checklist	Designation	Complied with			N/A	Justification and notes (add guidance notes for DoF)
		As a whole	Partly	Not		
	C4.1 Challenges, Problems, Non-Compliance					
53	Is a system in place to ensure compliance?					
	C4.2 Risks					
54	Were all risks identified and mitigated in line with good practice, international and national agreements, conventions, and legislation?					
	C4.3 Procedures to corrective actions					
55	Are procedures in place to deal with non-compliance issues which may result from internal/ external inspection and/or customer complaints?					
56	Are procedures in place for the identification of such non-compliances?					
57	Was the harvesting permit, and / or other permits suspended (until further notice) due to five (5) or more CAs being encountered during an inspection?					
58	Were all CAs rectified, ie evidence presented to indicate remediation being in place?					
59	Were all outstanding CAs rectified before the next harvesting permit and/or any other permit was issued?					
60	Were responsibilities for implementing and resolving CAs defined?					
61	Are actions for implementing and resolving CAs defined?					
62	Is a dispute resolution processes in place and implemented through culturally appropriate engagements with personnel, people, stakeholders and/or affected parties?					
63	Is the dispute resolution process understood by all parties covered under agreement or minuted?					
64	Are adaptive measures in place to prevent recurring CAs incidents?					
65	Are adaptive, dispute prevention measures in place to prevent recurring incidents?					









*Committed to equal opportunities for economic emancipation.*