

**Ministry of Agriculture, Water and Forestry
Directorate of Forestry**

COMMUNITY FORESTRY GUIDELINES

Windhoek, 2005

Windhoek

Annexes

- Annex 1 A System of “Guidelines” for Community Forestry
- Annex 2 A Model Community Forest Agreement
- Annex 3 A Model Application for Declaration of a Community Forest
- Annex 4 A Model Outline of a Provisional Forest Management Plan
- Annex 5 A Model Outline of an Integrated Forest Management Plan

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

ACKNOWLEDGEMENTS

These *Community Forestry Guidelines* were formulated through the co-operative efforts of a wide range of Namibian community forestry practitioners. They incorporate lessons learned from several projects, including the *Namibia-Finland Forestry Program (NFFP)* and its community forestry efforts in the North West and North East; the *Okongo Community Forestry Project*; the *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 by Namibia's *CBNRM programme* and from international community forestry experiences.

The *Community Forestry Working Group (CFWG)* was given the main task of overseeing the development of these guidelines. Members of the CFWG involved in this process 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 developed through a series of consultations, including visits to the North East and North West regions and a community forestry workshop held in Windhoek.

PART I
BACKGROUND INFORMATION

THE RATIONALE FOR COMMUNITY FORESTRY

Community forestry provides an opportunity to build on the strengths of all forest management partners. It makes *sustainable forest management* a feasible goal.

Community Forestry is capable of: -

- Contributing to *poverty reduction and rural livelihood improvement* through:-
 - The *controlled harvesting and management of forest products* for subsistence and/or commercial use;
 - The provision of *employment opportunities*;
 - The promotion of *technical, organisational and marketing skills*; and
 - Its contribution to *sustainable land use planning* that will benefit agriculture and livestock management as well as forestry.
- Providing an opportunity for rural communities to *re-enforce their traditional rights to communal land*.
- Providing an opportunity for *community decision-making and conflict resolution*. This can improve social cohesion cooperation.

THE SCOPE FOR COMMUNITY FORESTRY IN NAMIBIA

Communal land in Namibia covers 26-27 million hectares and currently supports approximately 68% of the population. Of this land, an estimated 7.5 million hectares is forested¹. The majority of Namibia's poor households live on communal land in the northern regions and are dependent, to one degree or another, on subsistence agriculture and the utilisation of forest resources (Box 1) for their survival. Consequently, the potential scope for community forestry in Namibia is considered to be extensive.

The essential goods and services provided by natural forests

Forest resources include:- *wood* for fuel, building and household materials; *food* from fruits, seeds, roots and wild animals; *traditional medicines* made from a variety of plant materials and ; *livestock grazing*.

Forests also provide important environmental services. They act as corridors for wildlife movement and as carbon dioxide 'sinks' - helping to *slow down global warming*. The presence of forests helps to *prevent land degradation* and riverine forests play an important role in *flood control*. Many ethnic groups and individuals feel that forests have spiritual values that are essential to human well being.

Community forestry is only appropriate where communities are aware of their rights to manage the forests in their vicinity and where they are willing to take responsibility for sustaining their forest resources. The future scope of community forestry will depend on demand and it is believed that the first community forests to be declared will establish a trend with many others following suit. Table 1 summarises the status of community forest (CF) development in March 2005.

¹ 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.

Table 1 Number and Size of Community Forest Activities by Region in 2005

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

THE NEED FOR THESE GUIDELINES

In recent years, community forestry has become an integral part of the Ministry of Agriculture, Water and Forestry community-based natural resource management (CBNRM) programme.

Although several pilot projects in Namibia have been involved with community forestry since the early 1990s, procedures have varied from site to site. Ultimately, a concise set of guidelines are required to help ensure a consistent and more streamlined approach – one that will inform professional staff and communities of their respective rights and responsibilities and help them to avoid the common pitfalls associated with community forest development and management.

The Directorate of Forestry (DoF) is currently 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. In November 2004, the first 13 CF agreements were signed between the Minister and the communities. Consequently, the need for standardised guidelines and community forestry procedures that help to ensure compliance with the existing legislation and regulations governing forest land-use has become a matter of urgency.

THE BASIC PRINCIPLES AND OBJECTIVES OF THESE GUIDELINES

The basic principles of these guidelines have been to :-

- ***Build on past lessons.*** In order to make the best use of existing information.
- ***Adopt a participatory approach.*** In order to tap the experience and knowledge of all stakeholders involved in community forestry projects.
- ***Link up with the regulation drafting process.*** In order to ensure consistency between the two parallel processes.
- ***Adopt a modular approach*** that enables flexibility of implementation depending on the circumstances of each community.

These basic principles have laid a solid foundation for the main objective of these guidelines

The main objective of these guidelines is: ***To provide all stakeholders with a standardised, but flexible, method for establishing and managing community forests***, by :-

- Describing the ***legal procedures*** involved in setting up a community forest ;
- Describing ***the organisational arrangements and administrative procedures*** necessary for the sustainable management of community forests; and
- Specifying ***the respective roles*** of Government forestry officials, communities and other stakeholders involved with establishing and managing community forests.

Many documents are used to guide community forestry development and implementation. These include:- Forest and other land-related *policies and legislation*; forest *management strategies*; *administrative instructions*; *technical guidelines* and *tool boxes* (Annex 1). These documents should be seen as part of an interlinked hierarchical system, with policies at the “top”, leading down to guidelines and toolboxes at the “bottom”.

The community forestry guidelines provided in this document aim to offer practical procedural and operational guidance for the establishment and management of community forests. They address the general implementation practices relevant to community forestry, leaving detailed technical aspects to be covered by technical guidelines and toolboxes.

WHO ARE THESE GUIDELINES FOR?

The *primary target groups* for these guidelines include:

- ***All MAWF and MET staff involved with CBNRM*** 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 want to establish and manage a community forest;
- ***Conservancy committee members*** interested in managing forests;
- ***Traditional authorities***; and
- ***NGOs and CBOs*** who act as awareness-raisers, facilitators, “brokers”, or service providers to local communities.

The *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.

More practical instructions in local languages will be developed for the communities and field practitioners in leaflet form. In the years to come systematic monitoring of community forestry experiences should lay a foundation for policy, legislative and strategy revision. Consequently these guidelines are part of a dynamic process and it is hoped that they will be constantly be improved upon in response to lessons learned over time.

WHAT IS IN THESE GUIDELINES?

Part II of these guidelines describes the *policy, legal and administrative framework* for community forestry development in Namibia, including the *roles and responsibilities of the main stakeholders*.

Part III describes the *3 phases* involved in establishing a Community Forest. It includes instructions for managing and monitoring the declared community forest. This process is explained in a step-by-step manner and, for each step, the following information is provided:

- The *objective and rationale* of the step;
- The expected *outcomes* after completing the step;
- A description of *activities* needed to complete the step, including allocation of *stakeholder responsibilities*.

The **annexes** contain model *application forms, management agreements, and management plans*².

It is envisaged that the guidelines will be used together with technical community forestry manuals and toolboxes.

² Some of the models can be modified to fit the local situation.

PART II
THE INSTITUTIONAL FRAMEWORK FOR
COMMUNITY FORESTRY

THE POLICY AND LEGAL FRAMEWORK FOR COMMUNITY FORESTRY

The Namibian Constitution proclaims its commitment to sustainable development through the inclusion of two key environmental clauses (Article 91: *The Function of the Ombudsman* and Article 95: *Promotion of the Welfare of the People*). These clauses establish a framework for environmental protection and wise natural resource management in the country.

Article 95 (1) of the Constitution states that Namibia shall actively promote and maintain the welfare of the people, by adopting policies, which include: "... *the maintenance of ecosystems... and utilisation of living natural resources on a sustainable basis for the benefit of all the Namibians, both present and future*".

The declaration of *conservancies* and *community forests* are two key strategies that have been adopted by the Government in its attempt to fulfil this important constitutional obligation.

Namibia's Vision 2030 document for natural resources³ emphasises sustainable development. It acknowledges that secure tenure over all natural resources must be awarded to communities in order to help meet this goal. The 'vision' for the forestry sector in this document reflects this by stating that :-

"Namibia's diverse natural woodlands, savannahs and the many resources they provide, (must be) managed in a participatory and sustainable manner to help support rural livelihoods, enhance socio-economic development and ensure environmental stability".

The objectives for the Forestry Sector in Namibia's 2nd National Development Plan (NDP2) include close integration of the community forestry programme with other CBNRM initiatives. These objectives directly support the national objectives of poverty reduction, employment creation, economic empowerment, and enhancing environmental and ecological sustainability.

The enabling policy and legislation for CBNRM

The MET has taken the lead in developing an enabling policy and legal framework for CBNRM. *The Community-Based Tourism Policy (MET 1995)* was developed in recognition of the fact that tourism could bring social and economic benefits to previously disadvantaged people, whilst also promoting biodiversity conservation. The policy on *Wildlife Management, Utilisation and Tourism in Communal Areas* and 1996 *Nature Conservation Amendment Act* further promote the devolution of rights over wildlife and nature-centered tourism to communities that manage their own conservancies.

³ National Planning Commission 2001. *Namibia's Natural Resource Sector: A Contribution to Vision 2030*. Internal report prepared for the NPC by the Namibia Natural Resource Consortium.

Despite the success of the CBNRM programme, it is generally accepted that conservancies need to adopt a more integrated approach to natural resource management. To this end, Namibia's *Vision 2030 document* suggests that current legislation is expanded to allow conservancies to manage all other essential natural resources – not just wildlife. These other resources include *rangelands, forests and water*. Although this policy shift would be more consistent with the needs of the communities, its implementation demands intersectoral cooperation and harmonisation of legislation, which is not always easy to achieve.

The enabling policy and legislation for Community Forestry

Two policy documents have laid a foundation for the implementation of Community Forestry in Namibia. These are the *Namibia Forestry Strategic Plan* (MET 1996) and the *Development Forestry Policy* (MET 2001) which have culminated in *Namibia's Forest Act* (Act No. 12 of 2001)

The Development Forestry Policy identifies several instruments that are needed for its successful implementation. These include the acquisition of *effective property rights* for sustainable forest management, the development of a *supportive regulatory framework*, the strengthening of *extension services*, and the promotion of forest management, including *community forestry*, supporting *forest research, education and training*.

The Namibia Forestry Strategic Plan is the main instrument for implementing the Development Forest Policy. One important aim of this Plan is the development of community level natural forests management.

The enabling policy and legal framework for establishing community forests was completed with the promulgation of the *Forest Act* in 2001.

Section 15 of the Forestry Act specifies that the following stipulations must be met before an area can be declared a community forest ...

- The geographical boundaries of the proposed community forest must be specified
- The consent of the Traditional Authority must be granted
- A management plan must be prepared in accordance with Section 12 of the Forest Act
- A body, representative of the community, must be appointed. This body will be responsible for managing the community forest in accordance with the management plan
- Approval from an authority (the MLRR or Communal Land Boards), able to grant rights over communal land, must be granted
- A description of how members of the community will be granted equal use of the forest and equal access to forest produce;
- A description how forest management will be financed, potential surplus benefits distributed and equal access is ensured.

THE ORGANISATIONAL FRAMEWORK OF COMMUNAL FORESTRY

The main stakeholders in community forestry development, their functions and responsibilities are summarised in Table 2.

Table 2 The main stakeholders in community forestry development and the proposed allocation of their organisational responsibilities

Stakeholder	Function/Responsibility	Comments
TA (King, Chief, Headmen) Village (Senior) Headman	<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 	
MAWF and MET (Minister, Permanent Secretary, under secretaries, directors of directorates) Regional Forest Office (RFO)/MAWF DFO/MAWF	<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 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>A logical alternative is to allocate the forest management control function entirely to RFO (but this may require additional resources.)</p> <p>Control should be separated from extension and training.</p>
MLR	<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 	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 The LA and CLRA only deal with land tenure not with resource tenure
Ministry of Justice	<ul style="list-style-type: none"> • Review the legal consistency of the CF application 	Focus on the constitution and by-laws
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 	

	<ul style="list-style-type: none"> • 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) 	CLRA requires CLB to consult Conservancy Mgt Plans but not e.g. CF Mgt Plans
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 	Where applicable (e.g. communities ask for support and there are NGOs/CBOs with adequate capacity)

Due to its reliance on community involvement and improved stakeholder participation, CF will completely change the way forests are managed. In order to meet this challenge the DoF will have to place more focus on capacity building and institutions will need to reorientate themselves. Table 2 highlights the fact that the declaration of a community forest, let alone its long-term sustainable management, will demand considerable expansion of training, extension and other support services.

The Vision 2030 document states that a major drive should be undertaken in order to develop the capacity necessary for community forestry. This can be effectively achieved only if community forestry is truly institutionalised at the central, regional and district levels.

For efficient implementation of the community forestry programme :-

- An appropriate *mandate for community forestry* must be drawn up;
- A pertinent *mission statement* for the organisation that will be responsible for community forestry must be developed;
- Relevant *job descriptions* for the all officers involved in CF - including those responsible for monitoring CF progress, filing procedures and constructing CF databases must be developed;
- *Coherency and integration* between inventory, planning and community forestry functions in DoF must be improved. Human and other resources needed for the delivery of extension services and monitoring in the field should be pooled with the CBNRM programme
- *Capacity building* through education and training must reflect the needs of the community ;
- A *Community Forestry Tool Box* and “*field guide*” booklet on the process demanded for CF declaration must be developed; and
- *Community forestry research requirements* must be included in Namibia’s forestry research agenda.

PART III
GUIDELINES FOR ESTABLISHING AND MANAGING
COMMUNITY FORESTS

AN OVERVIEW OF THE BASIC PRINCIPLES AND PHASES OF COMMUNITY FORESTRY DEVELOPMENT

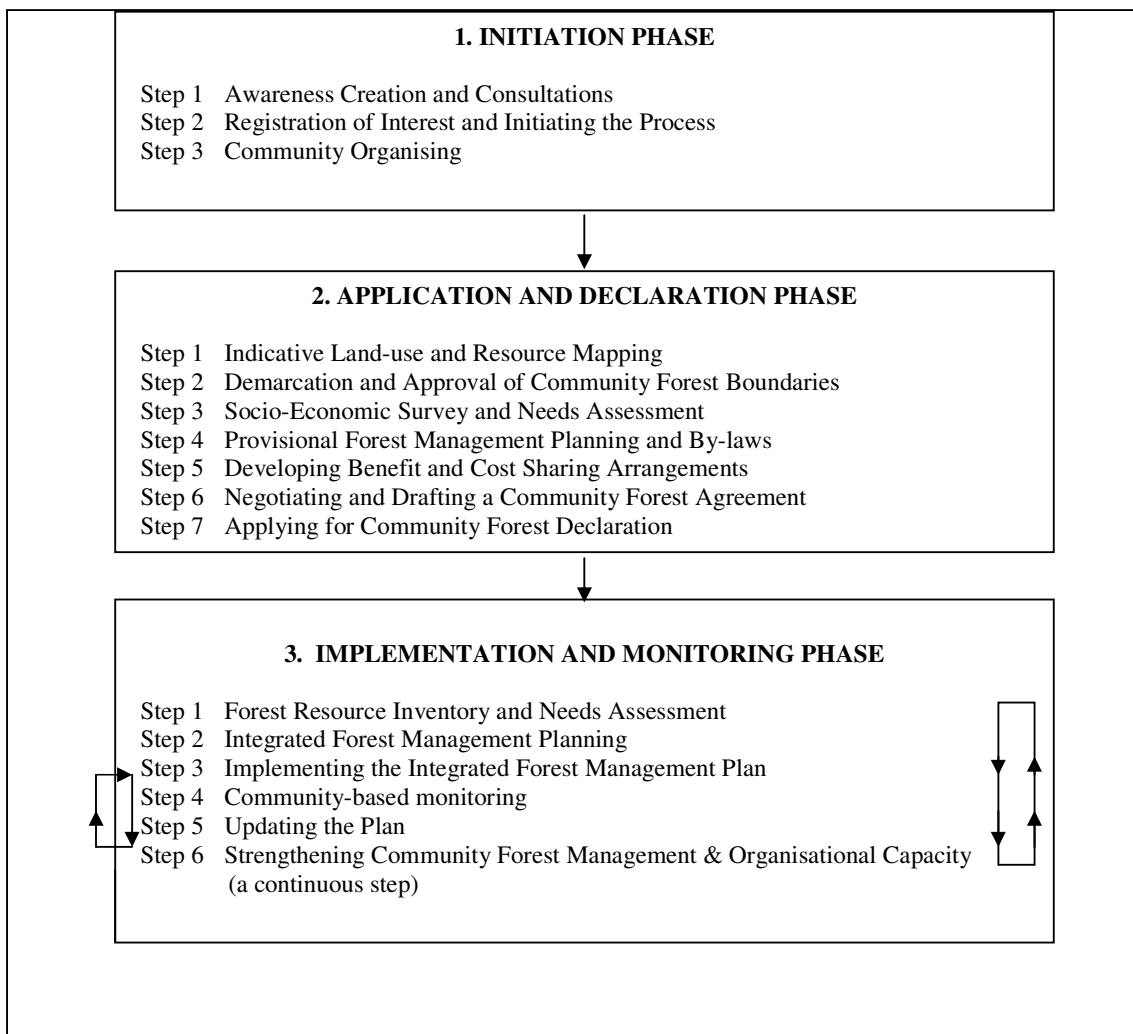
There is no blueprint for establishing a community forest. The experience of each community will be affected by its land-use history, ecological conditions, socio-economic challenges, ethnicity and cultural practices. These variable conditions demand the adoption of a standardised but flexible approach to developing community forestry in Namibia.

In these guidelines community forestry development is presented in three phases:

1. The *Initiation Phase*
2. The *Application and Declaration Phase*, and
3. The *Implementation and Monitoring Phase*.

An overview of these phases is given in Box x. Under each phase a number of steps are described. These phases and steps should not be used as a rigid formula for negotiating community forestry agreements and implementing management plans but should be adapted to suit local conditions.

Box x Overview of community Forestry Development Phases and Steps



The main steps should be conducted according to what type of forest will be developed (Table 3). Type 1 forests represent *forest poor areas*. These are areas that support indigenous trees, but are not classified as forest according to the FAO classification. Type 2 forests are those found in *forest rich areas*.

Table 3 Implementation of Community Forestry Development Steps for Type 1 (poor) and Type 2 (rich) forests.

	TYPE 1: Forest-poor area Subsistence use dominates Forestry not a priority land-use	TYPE 2: 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	

Until recently community forestry has been implemented throughout Namibia more or less following the approach and steps described under Type 2 forests. However, in many areas forest resources are limited and the benefits from community forestry cannot compete with potential income from game management, livestock or other forms of agriculture. In these cases it makes sense to adopt a less resource-intensive and simpler approach to forest management (Type 1, Table 3).

It is essential that forestry staff avoid over ambitious projects especially in the early stages of community forest development. This is because there may not be sufficient knowledge or financial and human resources to implement “best practises”. When the forest resources are economically and/or environmentally valuable enough, the communities (assisted by forestry staff) can aim to move towards the “ideal” model

Although the more intensive approach to community forestry (represented by Type 2, Box 3) could be justified in parts of Caprivi and Kavango, the lower-intensity approach (represented by Type 1) should become the dominant procedure used in Namibia. In most cases, it is best to adopt an incremental approach to community forestry - only adding elements as the capacity of the communities, forestry staff and the benefits increase.

Whether the area is forest-poor or forest-rich, it is vital that the agreement truly transfers rights and responsibilities over a specified area to the community, and that a transparent, accountable forest management body, representing the interests of the community, is in place. The ultimate goal is to achieve a set of circumstances in which

- **Management rights** over a specified area are devolved to the community level. Thus, the community has both user rights and management obligations which will allow them benefits but will also ensure that they become more proactive regarding the mitigation of land and forest resource degradation;
- The community will share responsibility regarding the **control of forest use**, through the implementation of a permit system and being given the right to exclude outsiders from encroaching on their forested area;
- **The institutional and technical capacity** of the forest management body (FMB) is constantly being strengthened;
- **A simple management plan** (presenting the vision and description of how this vision will be achieved) and **by-laws as management tools** are created; and
- Basic **monitoring** methods are developed to help the FMB to make sound decisions.

1. THE INITIATION PHASE

Summary of the initiation phase

This phase involves the following three steps:

3. **Awareness creation and consultations**
4. **Registration of interest and initiating the process**
5. **Establishment of the management body and constitution.**

At the national level, the government is unlikely to have enough resources (funds, trained personnel, etc.) in the immediate future for promoting and supporting community forestry. However, government must be prepared to assist community forestry development during this phase as best as possible.

This can be achieved through:-

- The establishment of a *national strategy for promoting community forestry*;
- *Identifying areas where community forestry is most likely to succeed* (see key information box below).
- *Creating awareness amongst all stakeholders* regarding community forestry policies and the opportunities available to communities to take care of their forest environment.
- *Building up the knowledge and capacity of government personnel* – particularly with respect to monitoring community forestry.

Criteria to be considered when identifying areas that are suitable for community forestry :-

- The level of interest shown by the community in community forestry;
- The extent/quality (value) of the forest resources available to the community;
- The economic and environmental threats to the forest resources available to the community; and
- Whether or not the forested area is likely to be subjected to serious land use conflicts.

During this stage, it is essential that interested communities establish a ***Forest Management Committee*** or other form of ***Forest Management Body (FMB)*** in order to proceed efficiently with the next steps.

Initiation Phase

Step 1: Awareness Creation and Consultations

Objective

To create awareness amongst communities regarding their opportunities to establish community forests in accordance with existing Government policies and legislation.

Main outputs

- The potential benefits and possible limitations associated with establishing a community forest are explained to interested communities; and
- A working relationship is established between the interested communities and the Government.

Rationale

If communities are made aware of their opportunities and the Government policies relating to community forestry they will be able to make an informed choice about whether or not they should proceed with establishing a community forest area.

Principles

- A principle of *voluntary action* must be adopted. Communities should not feel pressurised into developing a community forest simply because it is a Government policy;
- Awareness creation should concentrate on the *rights and benefits* of community forestry as well as the community's *responsibilities and duties*;
- It is crucial to be realistic about the community's potential benefits from community forestry. *Undue expectations must not be raised*; and
- It is important to explain *what kind of support the community can expect* during the community forestry development process and how this support will be determined by *available human and financial resources*..

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	

Initiation Phase

Step 2: Registration of Interest and Initiating the Process

Objective

To indicate to the MAWF/DoF and other relevant Government authorities that it is the community's intention to commit itself to becoming involved in community forestry.

Main outputs

- A written registration of interests (formally called a *Letter of Interest*) from the community to the 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 necessary to formalise the community's commitment to setting aside a certain forest area for management and conservation. This letter will mobilise the process of declaring a community forest.

Principle

- It must be ensured that that the expressed intention to establish a community forest really represents the interests of the 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/MAWF (via DFO/RFO)	Attach 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

Initiation Phase

Step 3: Community Organisation

Objective

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

Main outputs

- A *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* are stated in the constitution; and
- Collaborative links with *other Government agencies* (e.g MET, MLR) and *NGOs/CBOs* are established.

Rationale

The development of a formal management body, for example a *Forest Management Committee* (FMC), is a pre-requisite for signing a community forest agreement. The development of a formal forest management body will provide the opportunity for collaboration and co-ordination with Village Development Committees (VDCs), conservancy management committees (when areas overlap) and other agencies and NGO's that operate in their area. Such links will help to integrate forest, water, agriculture, veterinary and human health (e.g. HIV/AIDS) management issues. They will encourage a more efficient use of human and material resources.

Principles

- The management body should be established as early as possible in the community forest development process. Immediate priority should be in organising those functions which are crucial for ensuring the support of community members and declaring the community forest (for example, forest boundary demarcation)
- Community organisation and capacity building is a process; it does not end with establishing the management body and drafting a constitution. The management body will gradually develop its policies, rules, reporting systems and other operational procedures and it may take years before it is strong enough to take full responsibility for forest management.
- Extension officers must provide assistance to strengthen both the organisational and managerial capacity of the management body. Community organisation and strengthening should go hand-in-hand with planning and implementation
- Wherever possible community forest management structures should be built on existing institutions
- The community forestry management body must respect the views of the Traditional Authority;
- Transparency in decision-making is essential;
- The management body should communicate regularly with the community to which it is accountable, so that it does not end up working in isolation;
- 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	See above	General village meeting	Tool box

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
	Agree on means of co-operation with conservancies if relevant			
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 Use a facilitator to draft the constitution Discuss constitution in a general meeting Signing by Village Headman and FMB Chairperson	FMB members appointed	FMB DFO facilitates	constitution Tool box
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. THE APPLICATION AND DECLARATION PHASE

Summary of the Application and Declaration Phase

This Phase involves the following seven steps:-

- Indicative Land-use and Resource Mapping
- Demarcation and Approval of Community Forest Boundaries
- Socio-Economic Survey and Needs Assessment
- Provisional Forest Management Planning and By-laws
- Developing Benefit and Cost Sharing Arrangements
- Negotiating and Drafting a Community Forest Agreement
- Applying for Community Forest Declaration (including Community Forest Declaration)

The legal declaration of a community forest provides a community with the incentive for investing in forestland in the long term and adopting sustainable practices. Through gazetting, the Minister formally transfers management rights and responsibilities to the communities.

International experience has shown that the declaration of a community forest alone, through improving the security of land tenure and clarifying the rights and responsibilities of the land managers, will promote sustainable land resource management. *Consequently, this phase can be considered the most important stage in community forestry development.*

Application and Declaration Phase

Step 1: Indicative Land-use and Resource Mapping

Objective

To identify and carry out indicative zoning of the proposed community forest.

Main outputs

- A *zonation map* for the community forest;
- Improved understanding of *land use categories*, the *location of various forest types* and *key forest resources*;
- *Forest land management issues*, associated *threats* and *opportunities* are identified.

Rationale

It is essential that local communities and Government authorities identify all forested areas that could be protected and managed as community forests and, at the same time, recognise other potential land uses for the area. The resultant 'zoning for multiple uses', both within and outside the community forest area, is a key sustainable development strategy. Not only will zoning help to avoid conflict and land degradation, but it will enhance biodiversity conservation and economic efficiency regarding land use.

Principles

- Land use mapping and planning must be simple and cost-effective. They must be carried out jointly by community members and district forestry staff;

- 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 must be 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
- Large areas that are currently used or may be used in the near future as (fenced) private farms or leaseholds should not be included.

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 way-points		Survey and Planning Team	Tool box
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	

Application and Declaration Phase

Step 2 Demarcation and Approval of Community Forest Boundaries

Objective

To demarcate the boundaries of the community forest in order to enable legal recognition of the forest and tenure rights.

Main outputs

- A *boundary map* depicting the community forest area including the boundaries and co-ordinates of corner points;
- Community forest *beneficiaries* (i.e. villages benefiting from the community forest) are identified; and
- The proposed community forest boundaries are clearly understood by everyone and formally approved by the Traditional Authority and the villages involved.

Rationale

The formation of a clear boundary map is essential for integrated forest management planning. Clear boundaries strengthen ownership, promote more responsible behaviour, and minimise conflicts over competing land claims.

Principles

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

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		TA DFO	

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

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
	representatives in discussions Consult also conservancies, water point committees, etc.			
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, RFO		FMB/Village (Senior) Headman TA	Signing by TA represents the 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		DoF/MET through	

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
	community of the decision and next steps		RFO/DFO	

Application and Declaration Phase

Step 3. Socio-Economic Survey and Needs Assessment

Objective

To collect relevant socio-economic and environmental information (that has not been gathered during the previous steps) that will assist communities and District Forest Officers in forest management planning and monitoring.

Main outputs

- Improved understanding of the social factors and decision-making systems that affect forest management and the sustainable use of forest resources;
- Identification of vulnerable groups and the threats to forest resources, livelihoods, forest users and/or user groups.
- Improved understanding of existing management practices and rules, including access rights of all forest resource users.
- Clarification of the role forestry plays in addressing livelihood and environmental issues
- Identification of the organisations providing support services to communities. Those with overlapping aims and agendas are brought into the planning and development process

Rationale

If conducted judiciously, a socio-economic survey will provide important information on the community's expectations, needs and current practices regarding their forest use and management. It will help to address the challenges and opportunities that accompany the establishment of a community forest.

Principles

- Surveys should be action-oriented. Villagers and foresters should collect only data that can be used as a direct input to management planning and monitoring and stakeholders must be encouraged to analyse the collected information to identify possible interventions (rather than simply preparing a report for foresters).
- Focus should be to help villagers analyse the information that is collected, and to see the linkages between specific events (e.g. excessive fires, deforestation, unsustainable harvesting) and impacts on their livelihoods;
- The scale and scope of the socio-economic survey 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 generally higher when the benefits from forestry outweigh the costs.
- 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	Conduct a	Community is	DFO	Tool box

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Planning Team (formed already during step 1)	community meeting involving FMB	already organised e.g. into a FMB		
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

Application and Declaration Phase

Step 4. The development of by-laws and a provisional Forest Management Plan

Objective

To develop a simple provisional management plan and corresponding by-laws that enable communities to participate in the management of forest resources in a fair and sustainable manner

Main outputs

- A simple (max 5 page) *management plan* that contains a *description* of the:-
 - forest area;
 - forest resources and uses;
 - management objectives and activities; and
 - body responsible for management (a model outline of a provisional Management Plan is provided in Annex 4)
- Initial *by-laws* indicating the rules governing the operation of the body responsible for community forest management, the use of forest resources and the envisaged management interventions

Rationale

Adopting this simplified approach to planning should encourage self-reliance and active participation from the community. Once the community forest has been declared, capacity has improved and more detailed information is available on the resources and the needs of the community, the FMB can proceed with more thorough planning.

Principles

In order to produce the desired outputs there needs to be:

- Zonation of the community forest for different management purposes such as grazing, protection/conservation, wood extraction and farm forestry
- An understanding of:-
 - Current forest resource uses and users, priority forest-related needs and issues that constrain meeting those needs
 - The role forestry can play in contributing to people' livelihoods (the vision)
 - What needs to be done to resolve the identified issues
- It is advised that the forestry staff and FMB initially adopt a *simple planning approach*. The management plan should be *uncomplicated* and *flexible*, whilst still meeting the requirements of the Forest Act (section 15). In most situations, this provisional management plan, supported by regulating by-laws, should provide an adequate basis for forest management. If a more comprehensive management plan is put in place at this stage, it could result in a delay in the declaration of the community forest and the adoption of a top-down management approach that relies heavily on external support.
- The plan should be *prepared by the community* with guidance from government staff and NGOs/CBOs based as much as possible on the existing management practices and by-laws
- Planning process must be *participatory*, involving all key groups within the community.
- An *Integrated approach* to management planning must be adopted paying equal attention to both the *products* and *environmental services* provided by forests. These *environmental services* include:- the provision of important habitats for biodiversity; the maintenance of healthy river, floodplain and wetland systems; flood control; the mitigation of global warming; and the prevention of soil erosion and land degradation. The *products* provided by forests include: wood for fuel and domestic structures; areas for cropping and grazing; non timber forest products in the form of medicinal plants and food (wild plants and animals) (See Box 1).
- The depth and scope of resource assessment depends on the context. In many situations qualitative resource assessment covering forest and land resources (prioritised by community members) may be fully adequate.
- Focus should be placed on developing a *shared vision* amongst all stakeholders on how to address the identified issues rather than on preparing a technical plan based on systematic and scientific analysis

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Forming a forest management planning team	Same as Survey and Planning Team	FMB in place	DFO FMB will select members	
Training the team	Training Meetings	Trained DFO staff	DFO with support from DoF (training of trainers)	
Mapping and assessing forest and resource use patterns both 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 for Communal Land Tool box
Identifying forest management problems	Threat analysis Problem-resource-opportunity analysis	Make use of socio-economic survey	Survey and Planning Team DFO facilitating	Tool box

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Setting 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
Identifying management interventions	Problem-resource-opportunity analysis to identify ways of improving the situation		Survey and Planning Team DFO facilitating	See above
Preparing 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 within FMB and community meetings		Survey and Planning Team DFO facilitating	See above Tool box
Negotiating rules/forest management by-laws including a benefit distribution plan (agreeing 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, indigenous arrangements as much as possible 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
Finalising 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 plan	Community meetings Make the plan accessible to community members		FMB	
Reviewing and approving the 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 FMPU at DoF to review and Director to approve	Forest Act and regulations Technical requirements
Informing FMB about approval or need for improvements	Send a letter		DoF assisted by DFO	
Filing the management	File the plan at		FMPU	

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
plan	FMPU/DoF, RFO, DFO and FMB		RFO DFO FMB	
Send the management plan to CLB for information			FMB DFO	

Application and Declaration Phase

Step 5. Developing Benefit and Cost Sharing Arrangements

Objective

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

Main outputs

- Benefit and cost sharing arrangements are clearly described in the Provisional Management Plan and by-laws;
- Key stakeholders (especially the community) are made aware of benefit and cost sharing arrangements; and
- Incentives are created for forest management and protection activities.

Rationale

Revenue from sustainable forest use (for example, from marketing forest produce, the collection of fees etc.), must be shared fairly within the community. This *equitable benefit sharing* is an integral part of sustainable forest management and is also a legal requirement for declaring a community forest.

Principles

- Rules pertaining to the issue of equitable benefit sharing must be stated in the FMB constitution and by-laws. These statements, in turn, must be consistent with the Forest Act and other relevant legislation.
- It must be noted that community members generally draw up these rules quite early in the forest declaration process - before all parties fully understand the cost implications. Therefore, *a process to monitor the impact of the agreement and rules* must be established.
- Benefit sharing must be transparent;
- Communities should develop their own rules to compensate forest management work and to distribute surplus funds 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 sharing between community	Can be done during the annual planning, which must include		FMB and DFO	Tool box

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
and Government	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	

Application and Declaration Phase

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

A *Community Forest Agreement* signed between the community (represented by the FMB), and the Minister.

Rationale

A Community Forest Agreement between the FMB 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 should be translated to relevant local languages;
- The agreement must be clear, simple and understood by all involved parties.
- The Traditional Authority and Regional Government must be actively involved in this step.

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Identify co-operation needs and requirements based on	Convene community meetings		DFO Community	Forest Act and Regulations

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
legislation	Discuss with forest users Many needs originate from legal requirements			
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)

Application and Declaration Phase

Step 7 Applying for Community Forest Declaration

Objective

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

Main outputs

- 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 step is vital. Unless it is completed successfully, it will not be possible for a community to proceed further. If the earlier activities have been completed following the legislation and guidelines, declaration should merely be a formality.

Principles

- Declaration of a community forest requires review and approval of a number of documents by various organisations at different levels.
- The application must be handled rapidly to avoid losing momentum and causing frustration; and

- The decision-making process must be transparent and the reasons for not approving the application must be made explicitly clear, allowing the community the opportunity 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 reviewed	All requirements met	Attorney General's Office	
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	All the prior activities in this step completed successfully	DoF to submit to MET Minister to declare	Forest Act and Regulations

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
	Notice in a Government Gazette			
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

3. IMPLEMENTATION AND MONITORING PHASE

Summary of the implementation and monitoring phase

This phase involves the following six steps:

- Forest Resource Inventory and Needs Assessment
- Integrated Forest Management Planning
- Implementing the Integrated Forest Management Plan
- Participatory Monitoring
- Updating the Plan
- Strengthening Community Forest Management & Organisational Capacity.

The first five steps form a ‘management loop’ and should be treated as *one inter-connected system*. The first step feeds into the management planning process and is an integral part of management while monitoring (Step 4) is essential to improve management (step 5 and 3).

Adopting a community-driven forest management approach requires reorientation, new skills and new institutional arrangements which depend on co-ordinated participation from the community, government district forestry officers, NGOs and CBOs. Therefore, Step six is a crosscutting, continuous process. Although capacity building will occur naturally as the community forestry implementation proceeds, a more formal approach to organisational and human resource development is required to ensure that community forestry implementation is able to constantly improve.

It is important that the same team implements the first five steps of this phase. The preparation and implementation of operation plans must take place annually (every year). Together with on-the-job-training, this annual activity will enhance the capacity of the community to manage their forests and help to improve the support services provided by the District Forest Office (DFO) and other stakeholders.

Implementation and Monitoring Phase

Step 1. Forest Resource Inventory and Needs Assessment

Objective

To gather forest resource information and document it, so that it can be used to help guide sustainable forest management.

Main output

A simple report, containing reliable and accurate information that can be used specifically for the preparation of the community forest management plan.

Rationale

In most cases, the resource assessment carried out earlier to prepare the Provisional Management Plan will be sufficient, and there will be 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 species composition, stand structure, stocking rates and the quality of the resources will be required.

Principles

- Individuals and/or groups of individuals who will be using the resources, making management decisions and monitoring should be involved in creating the inventory
- The inventory should be seen as an integral part of management planning (next step) rather than a stand-alone exercise. Therefore the FMB and DFO should only gather information that can be used in the practical management of their forested area.
- Inventory intensity should reflect the commercial and environmental importance of the resource and the seriousness of any issues/threats. DoF should develop methods and instructions for low intensity resource assessment, medium intensity resource assessment, and high intensity resource assessment;
- The methods used to gather data 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 meeting and review provisional management plan Identify key indicators e.g. on basis of the management plan	Provisional management plan DFO staff trained by NFI	DFO assisting FMB	
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	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

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
	Use forest land-use zones as sampling units (strata)			
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)				

Implementation and Monitoring Phase

Step 2. Integrated Forest Management Planning

Objective

To prepare an integrated management plan to enable sustainable management of forest resources and to meet the community's needs.

Main outputs

- An integrated forest management plan in local languages and English containing a description of :
 - The planning process and surveys carried out;
 - The biophysical aspects of the designated area;
 - Forest produce and use;
 - Management objectives and activities;
 - The body responsible for management and its functions;
 - The annual planning, monitoring and reporting process (a model outline of a plan is provided in Annex 5);

- Good understanding of the available forest resources (location, extent, condition), 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 have commercial potential, and/or provide important environmental services, the FMB together with DFO needs to develop the provisional management plan into a more detailed document, based on a more systematic analysis of available resources and needs. In forest-poor areas, where other land-uses dominate, the provisional management plan will most likely be sufficient to use as the basis for implementation.

Principles

- The effort and detail that is invested into management planning must be proportional to the potential 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 Problem tree analysis Demand analysis (household and market demand)	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 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/compartments 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	Community meetings to discuss proposals		FMB, Survey and Planning Team	See above

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
Specify rights, roles, responsibilities and benefits	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		DFO facilitating	
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	

Implementation and Monitoring Phase

Step 3. Implementing the Integrated Forest Management Plan

Objective

To undertake annual activities that will help the community to achieve the long-term goals set out in the approved community forest management plan

Main outputs

- The FMC (with the help of the DFO) is to draw up a concise annual work plan that focuses on priority activities in each zone. This plan must describe in detail when, how and what activities within the management plan will be carried out during the year.;
- The sustainable use of wood and other forest products (i.e without exceeding the harvesting limits as suggested in the management plan);
- The successful adherence of management prescriptions;
- The necessary preparation of reports and accounts as required by the constitution and by-laws;
- The implementation of the accepted licensing system; and
- The annual implementation of community-based monitoring.

Rationale

A simple work plan is necessary to help guide activities and to meet the goals of the management plan

Principles

- Annual activities, such as harvesting of poles, collection and sale of grass and fuel wood, fencing off of protected sites, prescribed burning, and any silvicultural operations 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 for immediate implementation at the beginning of the next year; and
- Over ambitious plans should be avoided, especially in the first year of operation. Planners should prioritise activities.

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 meetings	Prioritise record keeping This is part of the community reporting system Minutes of all important FMB and community meetings must be kept		FMB and its various teams	FMB constitution and by-laws Forest Management Plan

Implementation and Monitoring Phase

Step 4. Participatory Monitoring

Objective

To collect enough pertinent information to enable:-

- The FMB and the community to accurately assess if the management objectives are being met;
- The DOF to assess compliance with the agreement; and
- To adjust either the management objectives or the interventions accordingly.

Outputs

- 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 or *learning-by-doing*. Adaptive management is enhanced by regularly monitoring the internal and external factors that may influence community forestry implementation. Regular monitoring will expose trends regarding the improvement, degradation or the maintained status of forestry resources. While trends remain positive there may be no need for the community to embark on an elaborate management plan. However, a prevailing negative trend, which shows that crucial resources are being degraded, provides justification for adopting a more systematic and planned approach to forest management.

Principles

- Regular monitoring reports must be an integral part of forest management, in addition to regular reporting to external stakeholders such as DoF.
- Many parameters can be monitored for inclusion in the monitoring reports. For example: rates of pole extraction, logging and fuel wood gathering; grass harvesting; rangeland (grazing) condition; forest and veld fire incidences; illegal logging incidences; forest product sales, revenue and costs flows (accounts); changes in resource quality, abundance and structure. Although, the scope for monitoring is extensive, parameters must be chosen carefully – depending on the community’s priorities, resources and available human capacity.
- Monitoring should start with those indicators that are regarded as most crucial by the communities and are required by law;
- Those who will be using the information to make management decisions should be directly involved in monitoring;
- Monitoring should be simple and low-cost ;
- Ideally monitoring data should be gathered and 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	

Activity	Description/ How to do it	Pre-requisites/ Requirements	Responsibility	Reference
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

Implementation and Monitoring Phase

Step 5. Updating the Plan

Objective

To keep the management plan up-to date with changing conditions.

Main outputs

Regularly updated management plans.

Rationale

Community forest management is an adaptive process. Management plans can become outdated if the conditions affecting the original plan change 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 community needs in relation to their capacity to undertake management.

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.
- 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.

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

Implementation and Monitoring Phase

Step 6. Strengthening Community Forest Management and Organisational Capacity

Objective

To build up the capacity of the communities, Government forestry officials and NGO/CBO staff to enable them to manage community forests in an efficient, integrated / collaborative manner. This step is not an independent step as it cuts across all the other steps and is continuous.

Outputs

- The organisational, administrative and forest management capacity of the FMB is strengthened;
- DOF, NGO/CBO capacity regarding community forestry strengthened; and
- Communication, co-operation and synergy between FMB, VDC and DFO, and other relevant organisations strengthened and functioning smoothly.

Rationale

Effective natural resource management requires capable partners and collaborative partnership arrangements. Capacity building across the board – from the village level up - is essential to enhance decision-making capacity and confidence (amongst villagers) and to strengthen technical and managerial skills in all aspects of community forestry.

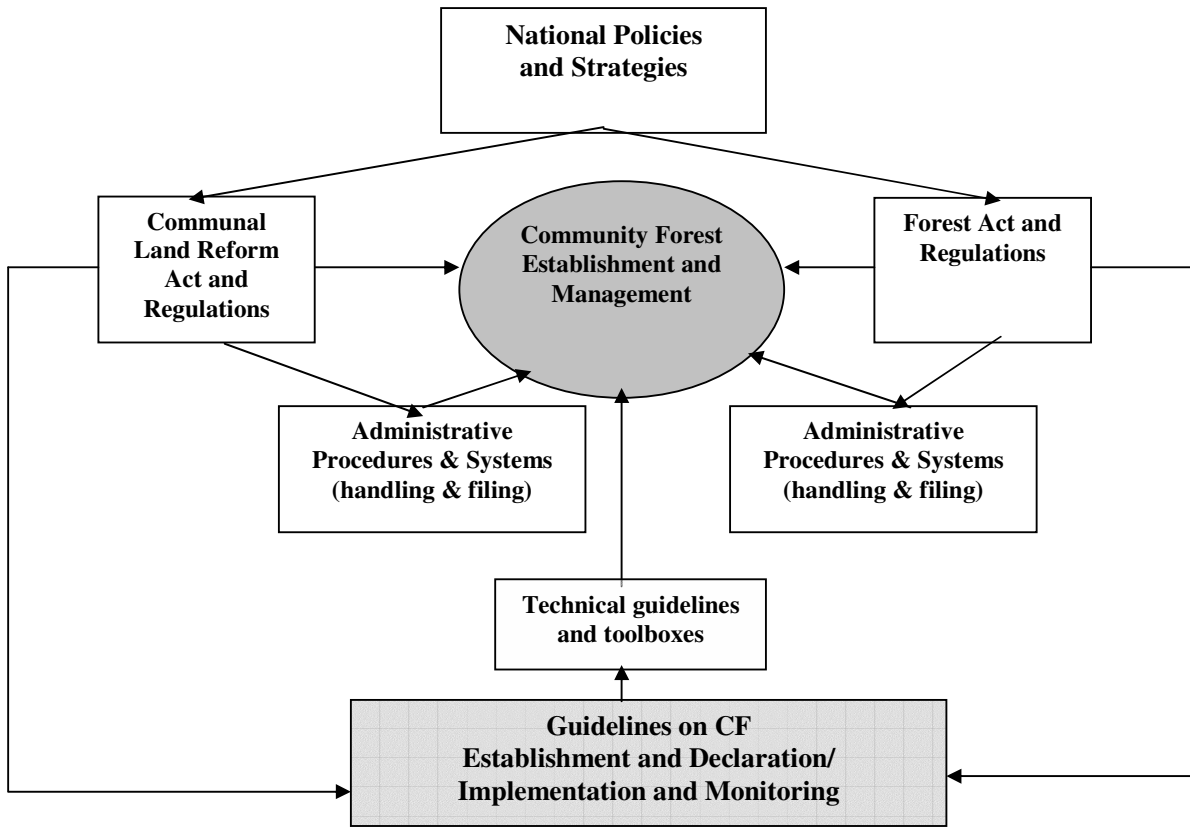
Principles

- Training of trainers is important because district and regional forestry staff do not always have the necessary capacity to promote community forestry.
- 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



**REPUBLIC OF NAMIBIA
MINISTRY OF AGRICULTURE, WATER AND FORESTRY**

FOREST ACT, 2001

APPLICATION FOR DECLARATION OF A COMMUNITY FOREST
[Section 15(3)]

1. Name of community forest:.....

2. Name of Chairperson:.....
Address:.....
.....

3. Name of Secretary/Treasurer:.....
Address:.....
.....

4. Please attach the following to this application:
 - (a) Letter of consent
 - (b) Management plan
 - (c) Boundary description of the area including coordinates
 - (c) A map of the area
 - (d) A list of names, including identity numbers and addresses of the forest management committee members
 - (e) A list of at least 30 names of ordinary members of the community including their identity numbers and addresses on whose behalf this application is made

5. Endorsement by the Governor of the Region:
I, in my capacity as.....of the.....
Region certify that to best of my knowledge there is no reason why the boundaries of the area stated above should not be accepted as the boundaries of thecommunity forest and have satisfied myself that the area concerned is not subject to any lease or is not a proclaimed state forest reserve, regional forest reserve or forest management area.

.....
Signed: Governor

.....
Date

ANNEXURE A

FORM 2

MINISTRY OF AGRICULTURE, WATER AND FORESTRY

COMMUNITY FOREST AGREEMENT

(SECTION 15)

Between :

THE MINISTER OF AGRICULTURE, WATER AND FORESTRY

I, herein duly represented by the Minister,.....(name of minister) on the one hand

And

THE COMMUNITY FOREST MANAGEMENT BODY OF

.....on the other hand

(herein duly represented by
in his or her capacity as chairperson/secretary* of the said Management Body
(*delete which is not applicable)

WHEREAS the Management Body has applied for declaration as a Community Forest in terms of section 15 of the Forest Act, No. 12 of 2001 (“the Act”) in respect of an area of communal land described in the manner referred to in Annexure A hereto (annex a copy of the survey diagram; sketch plan or map) situated in the(communal area of the)(traditional community / authority) in the.....Region.

AND WHEREAS the Minister has agreed to enter into this agreement and to declare the Community Forest as applied for by the Management Body, subject to the terms set out below;

NOW THEREFORE the parties agree as follows:

1. Creation of the Community Forest

A Community Forest, to be referred to as
(name of forest) is hereby established and shall come into operation as from
the date of its declaration by the Minister by way of notice in the *Gazette*.

2. Geographical Boundaries

The geographical boundaries of the Community Forest shall be as described
in Annexure A hereto.

3. Management Plan

The Community Forest shall be managed in terms of a Management Plan
described in Annexure B hereto and in terms of the Act and the Regulations
made pursuant thereto.

4. Appointment of Management Body

The.....(name
of Management Body) is hereby appointed as the management authority of
the Community Forest.

5. Powers of Management Body

The Management Body so appointed in terms of clause 4 above shall have
all the powers vested in it in terms of:

- 5.1 the Constitution of the Community Forest;
- 5.2 the Management Plan of the Community Forest;
- 5.3 the bye-laws of the Community Forest;
- 5.4 the Act and the Regulations made pursuant thereto; and
- 5.5 any further rights or obligations imposed by agreement between the
parties, and shall manage the Community Forest in terms thereof.

6. Rights of Use of Forest Produce and Other Natural Resources

The rights of use in the Community Forest, including-

- 6.1 of forest produce;
- 6.2 other natural resources of the forest;
- 6.3 to graze animals in the forest;
- 6.4 to authorize others to exercise such rights in the forest;
- 6.5 to collect and retain fees in respect of such use of the forest; and
- 6.6 to impose conditions for such use of the forest,

shall be as determined in the Management Plan and the Bye-Laws (annexed as C hereto) of the Community Forest and by the Act and the Regulations made pursuant thereto.

Notwithstanding the powers and rights of the management Body as conferred by this Agreement, members of the communal land where the Community forest is situated shall have equal use of the forest and equal access to the forest produce.

7. Obligation of the management body

The Management Body shall ensure that the revenues of the forest are adequately reinvested and that the surplus is used or distributed equitably.

8. Further Conditions

The Minister has imposed the following further conditions upon the Management Body in terms of the Regulations made pursuant to the Act: (optional, to be specified hereunder)

9. Dispute Resolution

- 1.1 Either Party to this Agreement may request that any dispute arising out of this Agreement be referred to mediation by a mutually agreed upon mediator where the Minister or Director does not invoke the provisions of section 19 of the Act;
- 1.2 Should the parties fail to agree on a mediator, the said mediator shall be appointed by a mutually respected neutral party;
- 1.3 The costs of mediation shall be borne by the Parties to the mediation in equal shares;
- 1.4 Should any party be in disagreement with the opinion expressed by the mediator, either Party may, by written notice served upon the other Party within one month of the decision of the mediator, request that the dispute be referred for arbitration to a single arbitrator, mutually agreed upon, failing such agreement an arbitrator shall be appointed by a mutual respected neutral party;
- 1.5 The arbitration shall be conducted in accordance with the Arbitration Act, 1965 (Act 42 of 1965);
- 1.6 The decision of the arbitrator shall be final and binding on the Parties;
- 1.7 The costs of arbitration shall be borne by the parties to the arbitration in equal shares.

10. Waiver

No waiver on the part of either party of any rights arising from a breach of any provision of this Agreement shall constitute a waiver of rights in respect of any subsequent breach of the same or any other provision.

11. Validity

If any provision of this Agreement is found or held to be invalid or unenforceable, the validity of all the other provisions hereof shall not be affected thereby and the parties agree to review the matter, and if any valid and enforceable means are reasonably available to achieve the same object as the invalid or unenforceable provision, to adopt such means by way of variation of the Agreement.

12. Severability

In the event that any term of the Agreement is found or held to be invalid or unenforceable, such term shall be severable from the remaining terms, which shall continue to be valid and enforceable. If any term is capable of amendment in order to render it valid, the Parties agree to negotiate an amendment to remove the invalidity.

13. Duration of the Agreement

This agreement shall endure indefinitely, unless suspended or revoked in terms of section 19 of the Act.

14. Service Addresses of Parties

The parties choose as their respective addresses for the posting and service of all correspondence and documentation the following addresses:

Minister:
.....

Management Body:
.....

15. Amendment of Agreement

This agreement constitutes the whole agreement between the parties and no amendment or addition hereto shall be binding on the parties, unless reduced to writing and signed by both parties hereto.

Signed at on this day of.....

Signed:

.....

MINISTER
MINISTRY OF AGRICULTURE, WATER AND FORESTRY

Date:.....

Name of Witness.....

Signature.....

Date:.....

Signed:

.....

CHAIRPERSON
MANAGEMENT BODY

.....COMMUNITY FOREST

Date:.....

Name of Witness.....

Signature.....

Date:.....

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 uses

- 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.