



REGIONAL GUIDELINE FOR COMMUNITY FOREST MANAGEMENT

РЕГИОНАЛЬНОЕ РУКОВОДСТВО
ПО ВЕДЕНИЮ ОБЩИННОГО ЛЕСНОГО ХОЗЯЙСТВА

REGIONAL GUIDELINE FOR COMMUNITY FOREST MANAGEMENT

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ABOUT REC CAUCASUS

The Regional Environmental Centre for the Caucasus (REC Caucasus) is an independent, non-for-profit organisation, established within the framework of the “Environment for Europe Process” by the governments of Azerbaijan, Armenia, Georgia and the European Union to assist in solving environmental problems as well as development of the civic society in the countries of the South Caucasus.

To achieve its mission the Centre encourages cooperation among governments, non-governmental organisations, business, academic institutions, media and other stakeholders by supporting free exchange of information, offering advice and funding, promoting public participation in environmental decision-making in order to develop a free exchange of information, in line with the principles of the Aarhus Convention; offer assistance to all environmental NGOs and other stakeholders; and increase public participation in the decision-making process, thereby assisting the states of the South Caucasus in the further development of a democratic civil society.

REC Caucasus successfully implements its mission through various programmes and projects throughout the Caucasus region. One of the tasks of REC Caucasus is to be a “bridge” between the public and governments. As it was stated above the REC Caucasus’s mission is to assist its stakeholders in capacity building through provision of information, advice, and expertise and to encourage dialogue, cooperation and public participation in environmental decision-making. REC Caucasus plays an active role in interagency cooperation, too. The organisation together with active environmental NGOs and the ministries of environment promotes the idea of environmental protection and sustainable development in the South Caucasus countries, demonstrating examples and arguments of direct links of environmental degradation and destruction with the growth of poverty, migration, economic recession, etc., i.e. other components (social and economic) of sustainable development.

Since its establishment the Regional Environmental Centre for the Caucasus has implemented about 50 medium and large scale projects in the region which have contributed to the policy development, capacity building, facilitation of dialogue and networking, information exchange on environmental issues and supporting the civil society in the South Caucasus states. Capacity building and training of various environmental stakeholders at regional, national and local levels has been one of the main focuses of almost all projects. Therefore, the organisation has strong experience in providing trainings to different interest groups and deep knowledge on their needs, demands and constraints.

The Centre has proven to be a viable and independent organisation providing services to governments, local authorities, non-governmental organisations, businesses, international organisations and other environmental stakeholders. The organisation is best positioned in the region to assist various national and international organisations to tailor their activities on needs of the region, countries and specific stakeholders.

Headquarters of REC Caucasus are located in Tbilisi, Georgia. The organisation has branch offices in Armenia and Azerbaijan.

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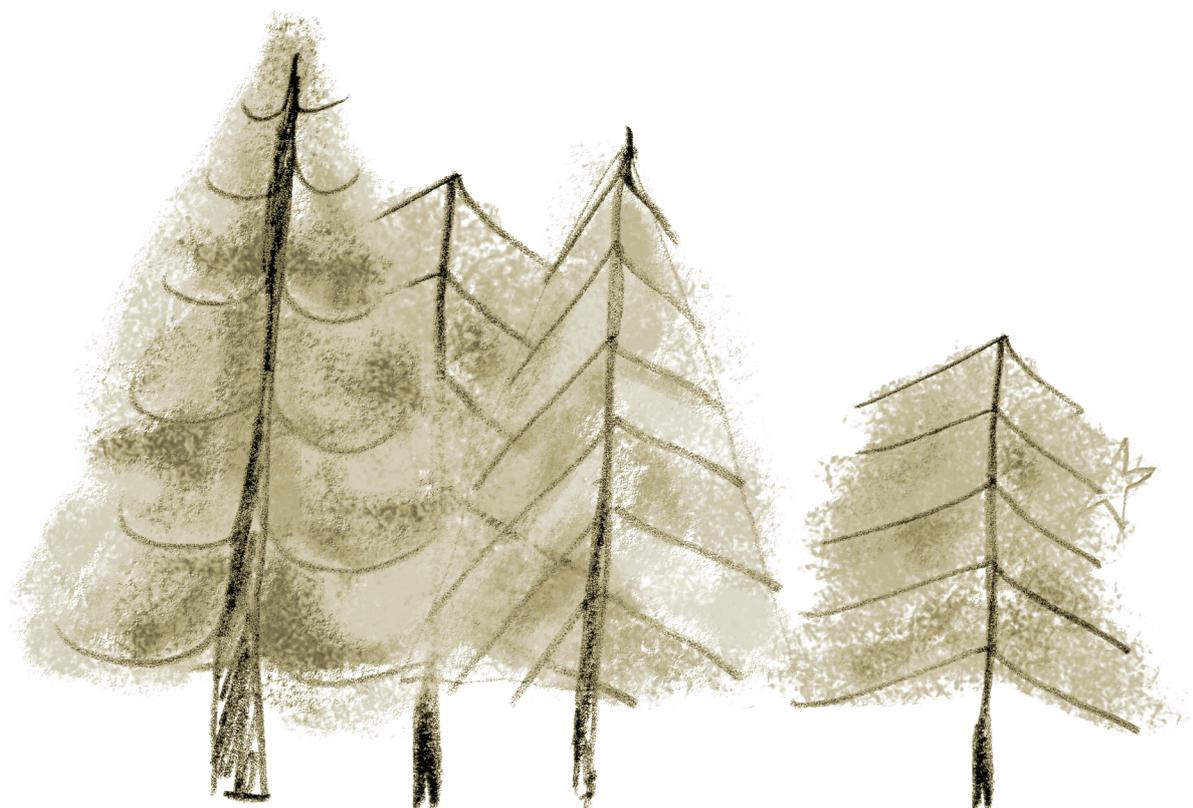
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ACRONYMS AND ABBREVIATIONS

| | |
|-------|--|
| CF | Community forest |
| CFM | Community forest management |
| CFMO | Community forest management organisation |
| EU | European Union |
| ENRTP | Environment and Sustainable Management of Natural Resources, including Energy Thematic Programme |
| FAO | Food and Agriculture Organisation of the United Nations |
| FCFPP | Fostering Community Forest Policy and Practice project |
| NGO | Non-governmental organization |
| NWFP | Non-wood forest product |
| PRA | Participatory Rural Appraisal |
| RECC | Regional Environmental Centre for the Caucasus |
| RREC | Russia Regional Environmental Centre |

Introduction



Why community forestry is important

Forests provide important benefits to rural communities including wood for construction and fuel, non-wood forest products such as mushrooms, berries, nuts and medicinal plants, and grazing for domestic animals. Forests help protect villages from landslides and floods and prevent erosion of agricultural lands. Forests also provide wider benefits which are important at a national and even global level: they are an important storehouse for biodiversity; they help protect water supplies and water quality; and they contribute to climate change mitigation by sequestering and storing carbon dioxide.

Many forests in the Caucasus which are used by rural communities have been, and are continuing to be, degraded. The communities which are using the forests do not have an incentive to take care of the forests: they do not own the forests; they do not have secure rights; in some cases they need the land for grazing their animals; and the people know that if they do not take the benefits someone else will, therefore it is better to take them while they are available. State forestry authorities do not always have the resources to be able to prevent unsustainable use and the local self-government bodies which are responsible for forests do not have the resources and technical knowledge.

Conflicts can arise between the objectives and activities of the organisation which is responsible for managing a forest territory and rural people who use the forest territory or for whom the territory has some special cultural significance. Conflicts are more likely in cases where communities have acquired customary rights and where the forest management organisation's use of the forest ignores those rights.

Involving communities in the management of forests can help to address these problems. By consulting with communities and by making information about forest management plans and activities easily accessible forest management organisations can find out about community members' interests and concerns and take account of them in their plans. By involving communities in forest protection and improvement activities forest management organisations can encourage community members to be responsible for helping to keep the forest in good condition. And by allowing communities to share in the benefits provided by forests, forest management organisations can help communities to develop socially and economically.

The Fostering Community Forest Policy and Practice project aims to promote the adoption of policies that are pro-community involvement, to elaborate the legal framework necessary for implementing community forestry, and to provide recommendations on technical aspects of implementing community forestry. The project also aims to provide practical demonstrations of community forestry in pilot territories in Armenia, Azerbaijan, Georgia and the Russian Federation. Activities in the pilot territories will include awareness raising and capacity building of local communities and local authorities for sustainable forest management and demonstration of methods of restoring and improving degraded forests. The project will contribute to implementing policies and measures called for by international agreements, including agreements made in the framework of the

Convention on Biological Diversity and the Forest Europe⁽¹⁾ process (see Box 1 on the next page).

Purpose of this document

The purpose of this document is to set out guiding principles and to provide recommendations for implementing forms of community forestry which the Fostering Community Forest Policy and Practice project considers could be appropriate for different settings in the region. These are:

1. The forest is managed by the state forest management organisation or a local self-government forest management organisation. Forest management is planned taking full account of the interests and needs of the local population.
2. The forest is managed by the state forest management organisation or a self-government forest management organisation. Some rights and responsibilities are given to a community organisation.
3. Responsibility for managing the forest is transferred to a community organisation under a long term agreement and the community organisation receives all the benefits from the forest.

The guiding principles and recommendation set out in the document are not normative. Each country will need to adapt the guidance for incorporation into its own legal framework.

Structure of this document

Chapter 2 Community Forestry in Practice discusses different forms of community involvement in forest management, provides advice on how to select a form which is appropriate for a particular setting, and discusses framework conditions for the successful implementation of community forestry.

Chapter 3 Initiating Community Forestry covers the steps that need to be taken before community forestry can be incorporated into the forest management cycle, including identifying the communities who will be involved in forest management, identifying the extent of community members' interest in being involved in forest management, and establishing a mechanism that can represent the interests of community members during preparation and implementation of the management plan.

Chapter 4 Management Plans for Community Forestry covers the process of preparing the forest management plan in a community forestry setting, including: forest resource assessment; deciding objectives; deciding the utilisation, protection and tending activities that will be carried out; environmental assessment; and implementation and monitoring. The chapter sets out guiding principles for community involvement in the forest management cycle and recommendations for each of the main steps.

Chapter 5 Mechanisms for Implementing Community Forestry sets out guiding principles and recommendations for mechanisms for implementing community forestry, including stakeholder councils and community forest management organisations.

¹ Forest Europe is the short name of the Ministerial Conference on the Protection of Forests in Europe (<http://www.forest-europe.org>).

² <http://www.cbd.int>

Convention on Biological Diversity⁽²⁾

Programme of Work on Forest Biodiversity, Goal 1.4:

"1.4.3. Enable indigenous and local communities to develop and implement adaptive community-management systems to conserve and sustainably use forest biological diversity.

Activities:

- a. Strengthen the capacity of, and provide incentives for local communities to generate opportunities for sustainable use of forest biodiversity and for access to markets;
- b. Strengthen the capacity of local communities to resolve land rights and land use disputes in order to sustainably manage forest biodiversity;
- c. Encourage the conservation and sustainable use of forest biological diversity by local communities through their development of adaptive management practices, using as appropriate traditional forest-related knowledge;
Provide incentives for the maintenance of cultural diversity as an instrument to enhance forest biological diversity;
- d. Develop and implement education and awareness programmes on traditional uses of forest biological diversity in accordance with Article 8(j);
- e. Create an environment that fosters respect, and stimulates, preserves and maintains traditional knowledge related to forest biological diversity, innovations and practices of local communities."
- f.

Forest Europe (the Ministerial Conference for the Protection of Forests in Europe)⁽³⁾

Lisbon Resolution 2, Annex 2 (Pan-European Operational Level Guidelines for Sustainable Forest Management):

Criterion 6.1 Guidelines for Forest Management Planning:

"Property rights and land tenure arrangements should be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land should be clarified, recognised and respected."

Vienna Declaration:

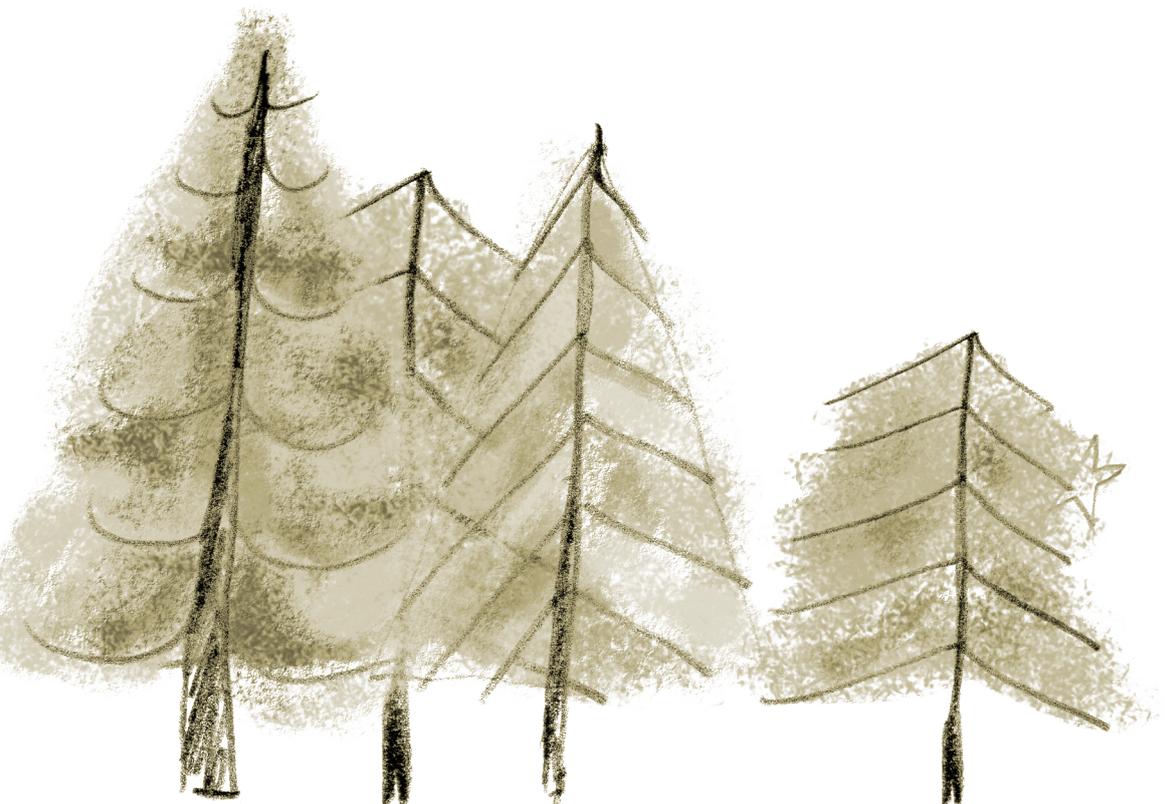
"7. Strengthen conditions for the economic viability of sustainable forest management and support the role of forests, forestry and forest-based industries in maintaining and developing rural livelihoods as well as in meeting the demands of urbanised societies."

Vienna Resolution 3:

"7. Secure the property rights and land tenure arrangements of forest owners, local communities taking into account their economic interests as well as their various social and cultural values, making sure that their land use is in line with sustainable forest management in accordance with relevant national legislation."

³ <http://www.foresteurope.org>

Community forestry in practice



Forms of community forestry

The term “community forestry” is used in different ways and covers different forms of ownership and community participation in the use and management of forests. In general terms community forestry takes account of communities’ interests when objectives are being set and activities are being planned and implemented and aims to provide communities with benefits from forests.

The Fostering Community Forest Policy and Practice project has used the following definition:

Community forestry means involving the population living in and around forests in management planning, utilisation, protection and maintenance with the twin aims that the population will benefit from the products and services provided by forests and that forests will be sustainably managed.

This definition encompasses a variety of ways of involving communities in the use, protection and improvement of forests. There are a number of parameters which can help the responsible state authorities and project staff orientate themselves when they are thinking about what community forestry will mean in practice:

How will people be involved in forest management? Will they be involved in taking care of the forests? Will they only be consulted about how the forest should be managed? Or will they only receive information?

How will people be involved in forest use? Will people take and use forest products and exploit forest services? Or will they be given forest products by the responsible authority free of charge or at a subsidised price?

How will the people who will be using and taking care of the forest be organised? Will they be members of a community organisation which organises the work in the forest and the processing and marketing of forest products? Will they be organised by the divisional office of the state forest management organisation or a municipality forest management body as contractors or volunteers?

The Fostering Community Forest Policy and Practice project envisages three generalised forms of community forestry which could be suitable for the Project’s target countries depending on the specific setting:

Form 1 - Community involvement in forest management decisions. The state or local self-governing body forest management organisation manages the forest territory and involves the local population in forest management decisions through consultation supported by awareness raising actions and making information about proposals affecting the forest easily accessible. The local population continues to exercise any already existing legal or customary rights, for example collecting non-wood forest products for household use. The forest management organisation may provide the population with essential products such as fuel wood free of charge or at a subsidised price.

Form 2 – Community involvement in taking care of the forest in return for a share of the benefits. As Form 1 but with the additional attribute that the population, represented by a community-based organisation, shares responsibility for taking care of the forest territory or part of the forest territory with the forest management organisation and receives some benefits in return. The benefits could be in the form of a share in the income from sales of forest products or the right to take a certain quantity of products which the community organisation could process and sell.

Form 3 – The community is responsible for managing the forest.

Responsibility for managing the forest territory is transferred to the population represented by a community organisation under a long term agreement and the population is entitled to use all of the products provided by the forest while the agreement remains in force.

Community forestry also covers settings in which forests are owned by communities. Community ownership of forests is not included in this document but many of the guiding principles and recommendations are relevant.

Choosing which form of community forestry to implement

The form of community forestry which is most appropriate for a particular forest territory in a particular country depends on the contribution which the different arrangements can make to achieving national development and environmental protection goals and on the capabilities of communities and the character of the forest territories around them

Contribution to national development and environmental protection goals

Community forestry offers a variety of opportunities depending on the form in which it is implemented. The importance of the opportunities will vary from country to country; the contribution which the different forms of community forestry can make will also vary. The importance will depend on policies of the government, economic conditions in the country, the condition of the country’s forest resources, the country’s social history and other factors.

Healthier state budgets. Community forestry in all its forms can help to reduce state spending, for example by reducing the costs of dealing with conflicts between communities and the responsible forest management organisation and by transferring some costs to community organisations. However, community forestry requires additional spending on awareness raising, consultation mechanisms, and technical and financial support to community organisations. Spending on supervision may also have to be increased to ensure that community forest managers comply with laws governing the use and protection of forests. Implementing community forestry as a means of reducing current state spending is therefore not recommended.

Reforming the role of the state. Transferring management responsibility to communities can be a key element in reforming the role of the state. By removing themselves from any commercial interest in forests, state organisations can concentrate on the ‘core business’ of government, creating an environment that enables private, including community, actors to deliver public policy objectives. Resources freed up in this way can be used to increase investment in other roles such as regulation, extension, research, and monitoring.

Poverty reduction and improved rural livelihoods. Community forestry in the form that involves the population in forest management decisions (Form 1) can help to identify ways in which the state or local self-governing body forest management organisation can support local economic development. Community forestry in forms that give communities rights to use products and services provided by forests (Forms 2 and 3) can stimulate the development of local businesses and improve the social and economic situation of the population. Experience from other countries of transferring long term use rights to communities shows that substantial gains can be made if the transfer is well designed and is based on a solid understanding of the links between forests, forest enterprise and local livelihoods.

Combating forest degradation and improving forest condition. Simply raising the population’s awareness about sustainable forest

management and involving the population in forest management decisions can help to change the population's behaviour and cause them to behave in a more responsible way. Transferring responsibility for managing a forest to a community organisation can provide additional incentives to the population to take care of the forest.

Changing attitudes and relationships for the better. Community forestry in all three forms can improve the attitudes of local communities and forest officials towards each other and forests. This is a result of the interactions that take place at awareness raising events, consultation meetings, trainings and advisory visits.

Enhancing social capital. Community forestry which involves transfers of rights and responsibilities to a community organisation (Forms 2 and 3) creates institutional capacity to manage forests and supports the creation of new businesses processing and selling forest products, which in turn provide a useful platform upon which other local economic development initiatives can be taken. The discussions between forestry department officials and community organisations, which are an essential part of implementing community forestry, and training programmes help to catalyze the development of leadership in communities.

Capability of communities and character of forest territories

Community interest. Community forestry in any form requires a sufficient number of community members to be interested. A community which is more dependent on forest resources is likely to be more interested in collaborative action through a community organisation compared with communities which have alternative livelihood means e.g. as traders or businesses. Members of communities who make heavy use of their local forests and where forests are degraded and the availability of forest resources has decreased are likely to be more receptive to a transfer of rights and responsibilities. If community members do not show a strong interest in setting up a community organisation that will receive some rights to use the forest and will accept some responsibilities for taking care of the forest, community involvement should be limited to consultation supported by awareness raising and provision of information (Form 1). This would not exclude selling rights to individual community members who want to develop businesses based on products and services provided by the forest.

Existing community-based organisation and tradition of community action. It is easier to introduce forms of community forestry that involve transfers of rights and responsibilities (Forms 2 and 3) where there is an existing community organisation and where there is already a tradition of village or community collaboration and action in some sector. Community forestry which limits the involvement of communities to consultation is not as dependent on the existence of a community organisation or tradition of collaborative action.

Small, homogenous population. It is easier to implement transfers of rights and responsibilities to small communities (a village or group of small villages) whose inhabitants have a broadly similar social and economic status than to large communities (the population of an entire municipality that encompasses a large number of villages) that are socially and economically diverse. The size and homogeneity of the population is not such an important factor when community involvement will be limited to consultation.

Access to working capital. Communities whose members have access to working capital are in a stronger position to be able to participate in Forms 2 and 3, which require investment in establishing a community organisation (or strengthening an existing one), tools and equipment, business planning, market

research and marketing.

Indigenous know-how. Communities whose members have experience of managing forests are in a stronger position to be able to participate in Forms 2 and 3.

Possibility for immediate benefit. To be motivated to accept responsibility for managing the forest the community needs to get some early benefits, therefore some of the community forestry territory should be in such a condition that it can provide some immediate benefits. Other incentives can come from forest products (e.g. NWFPs) that can provide benefits in the short term. Highly degraded forest will give no immediate incentive for villagers to protect it. It is therefore better to have a mixture of forest in various conditions.

Generalised assessment of the forms of community forestry

Form 1 – The community is involved in forest management decisions

This form has the advantage of keeping responsibility for managing forests within one organisation (the state or local self-governing body organisation) which provides economies of scale and avoids the need to create, equip and train new organisations. It can help combat forest degradation by making community members aware of the impacts of their actions on the forests. It can help improve attitudes and relationships and reduce conflicts between the population and the forest management organisation. Benefits can be provided to local people (free or subsidised fuel wood and timber for personal use, use of non-timber forest products for processing and sale) and local people can be involved in the process of forest management through consultation. It has the disadvantage that state forest management organisations have limited budgets and may not have the resources to take care of all the forests for which it is responsible, especially forests in remote regions which are a long way from the organisation's offices. Another disadvantage, when the forest management organisation provides products to the local population, is the bureaucracy that may be involved in applying for the benefits and the delays which can occur in receiving the benefits. Form 1 is particularly appropriate for settings in which there is not a strong interest among a large number of community members to participate in forest management, where there is no tradition of collaborative action in the community, where the community lacks access to working capital, and where no-one in the community has any experience of managing forests.

Form 2 – The community is involved in taking care of the forest and shares some of the benefits

This form gives local people access to some of the resources in the forest and a basis for investing their labour (and money if they have it) in creating businesses. Since their investment will depend on the condition of the forest, they will be likely to take better care of the forest. Form 2 can therefore serve the objectives of rural development and forest protection better than Form 1. It can serve some other objectives as well, for example enhancing social capital and promoting leadership and awareness. However, implementation of Form 2 requires investment: in awareness raising; in training for the community-based organisation in forestry tasks; in training for the state forest management organisation in working in partnership with communities; in office space, equipment and tools for the community-based organisation. Furthermore the challenges are greater than with Form 1:

- Community organisations often lack the organisational and technical capacity to properly manage commercial

aspects related to community-based forest management agreements (but so do many local self-governing bodies in the project's target countries);

- Community organisations have difficulty negotiating fair market prices, finding affordable transport, arranging payments, assuring quality standards and meeting pre-payment requirements; and
- Forest department offices are often unable to provide all the assistance needed by community organisations, especially with regard to co-operative forms of business management.

Form 3 – The community is responsible for managing the forest

This form gives local people control over all the resources in the forest (with the probable exception of minerals and commercial use of water and perhaps also hunting rights) and full responsibility for taking care of the forest. If the rights come with a high level of security guaranteed by the transfer agreement, Form 3 will give the community a stronger foundation on which to help themselves by developing small enterprises to process and market products from the forest. It will deliver more than Form 2 in terms of enhancing social capital and promoting leadership and awareness. Form 3 faces all the challenges described for Form 2 and the overall risk is higher because the level of responsibility and therefore the possibility of things going wrong is higher. Also, a higher level of financial support and technical advice will be needed than for Form 2 and it will be needed for several years after the start up of the community-based forest management organisation. It may be more difficult to enforce sustainable forest management standards with Form 3 than with Forms 1 and 2: much depends on whether the government is prepared to allocate the resources needed for awareness raising, training and supervision. The risk of being unable to enforce sustainable forest management needs to be considered alongside the opportunity to reverse forest degradation which the transfer of rights and responsibilities to communities brings.

Overall assessment

If helping poor and disadvantaged rural communities to help themselves to develop is a policy priority, if the responsible state organisations assess that they can deal with the challenges and are willing to guarantee support from their own resources or from donor funding for community organisations, Form 2 or 3 would be an appropriate choice. Form 3 potentially can provide more rural development benefits but has higher risks than Form 2.

If governments want only to ensure that rural communities are provided with their essential needs, or consider the risks associated with the other forms to be too high or unmanageable, or if sustained funding cannot be guaranteed, Form 1 would be an appropriate choice. However, risks to forests associated with Form 1 also need to be taken into account – if the state or local self-governing body forestry organisation is not able to control use and prevent forest degradation, the governments might decide that the risks associated with Forms 2 and 3 are acceptable.

Governments which have implemented forms of community forestry involving transfers of rights and responsibilities to community organisations generally have started by transferring a limited range of rights and responsibilities (Form 2) and in some cases progressed to transferring 100% of the rights and responsibilities (Form 3). Transfers are most often made for a fixed period of time with the option of extension if the performance of the community-based organisation has been satisfactory. Transferring a limited range of rights and responsibilities to begin with, as in Form 2, makes it easier for the community organisation to start to become a responsible manager and to make profitable use of the rights

transferred to it. It also reduces the risk of failure and the negative impacts which failure would have on the condition of the forest: by retaining responsibility for key and technically more complex tasks such as forest management planning and organising and carrying out felling, the state forest management organisation can ensure that the work is done in the correct way; by retaining the rights to valuable trees, the state forest management organisation, which is more experienced in processing and marketing of timber, will be able to achieve a higher profit on timber sales than an inexperienced community organisation.

The range of rights transferred to the community organisation should take into account the community's basic requirements for daily life – for example fuel wood – and opportunities that can help the community to help itself develop – for example from the processing and sale of non-timber forest products, from timber and from offering services to tourists. Communities and their local forests differ and the package of rights in the transfer should be adapted to each situation.

Whatever rights are transferred, they should be transferred for the exclusive use of the community organisation. This will ensure that there will be no dispute about who holds the rights and will give the organisation an incentive to protect the resources over which they have rights and to use them sustainably.

Framework conditions for establishing community forestry

There are some important framework conditions that need to be met before community forestry is initiated.

Government policy on community forestry

The responsible state organisations need to be clear about why they want to implement community forestry and why they want to implement a particular form of community forestry. This means being clear about the impacts the state organisations want to achieve and why they think that the form of community forestry they have decided to implement is more appropriate than another form. The purpose of implementing community forestry and the reasons for selecting the chosen form of community forestry should be set out in a policy document and communicated to interested organisations so that everyone who is interested to participate in implementing community forestry or who is able to promote and support the implementation of community forestry understands what the responsible organisations are aiming to achieve and why. A clear policy will make it easier to attract funding from donor organisations and to design activities for implementing community forestry. Lack of clarity will lead to disagreements between different actors during design and implementation of community forestry programmes resulting in uncertainties over the communities' rights and responsibilities and the strength of the government's support. This in turn will lead to frustration and the communities and the people working with the communities to implement community forest management will become demotivated.

Legal framework for community forestry

After the responsible state organisations have decided the form or forms of community forestry they want to implement, the necessary legal framework needs to be created (if it does not already exist). If community forestry will be limited to involving the population in forest management decisions through consultation supported by awareness raising and access to information (Form 1), the state or local self-governing body forest management organisation will need to have powers to establish consultation mechanisms. If the process of preparing management plans and the contents of management plans are laid down in legislation, it may be necessary to amend the legislation to allow the process and the contents to be adapted for community involvement (see Chapter 4).

If community involvement will mean that communities will share responsibility for taking care of the forest or will take full responsibility for managing the forest, the following provisions will need to be made in legislation as a minimum:

- A power to a person to transfer rights and responsibilities to a community organisation and to specify terms and conditions for the transfer (the person in whom the powers are vested would be the relevant minister or the chief executive of the state forest management organisation in the case of state forest land and the chief executive of the local self-governing body in the case of forest land owned by the local self governing body);
- A power to a government body to provide services to a community organisation (for example, training, advice and technical assistance);
- A power to a government body to give money to a community organisation for the purchase of equipment, or a power to transfer equipment to the community forest management organisation;
- Simplified procedures for preparing forest management plans for forests managed by community organisations (see Chapter 4);
- If the taking of forest products is subject to resource use fees and if the government wishes to allow the community organisation to take products free of charge for their personal use, a power to waive the requirement to pay resource use fees.

The country's legislation governing the use of forests must establish a system of controls that (a) obliges community organisations that manage forests to do so in ways that are consistent with internationally accepted principles of sustainable forest management and (b) prohibits or restricts certain activities

which are likely to damage the forest or the wider environment. This requires two things: (i) an obligation on forest users, including community organisations, to comply with certain standards of management and environmental norms; (ii) a body with the duty and powers to enforce those obligations. If existing legislation does not give the country's environmental inspectorate or equivalent enforcement body the duty and powers to enforce obligations on community organisations, the legislation will have to be amended.

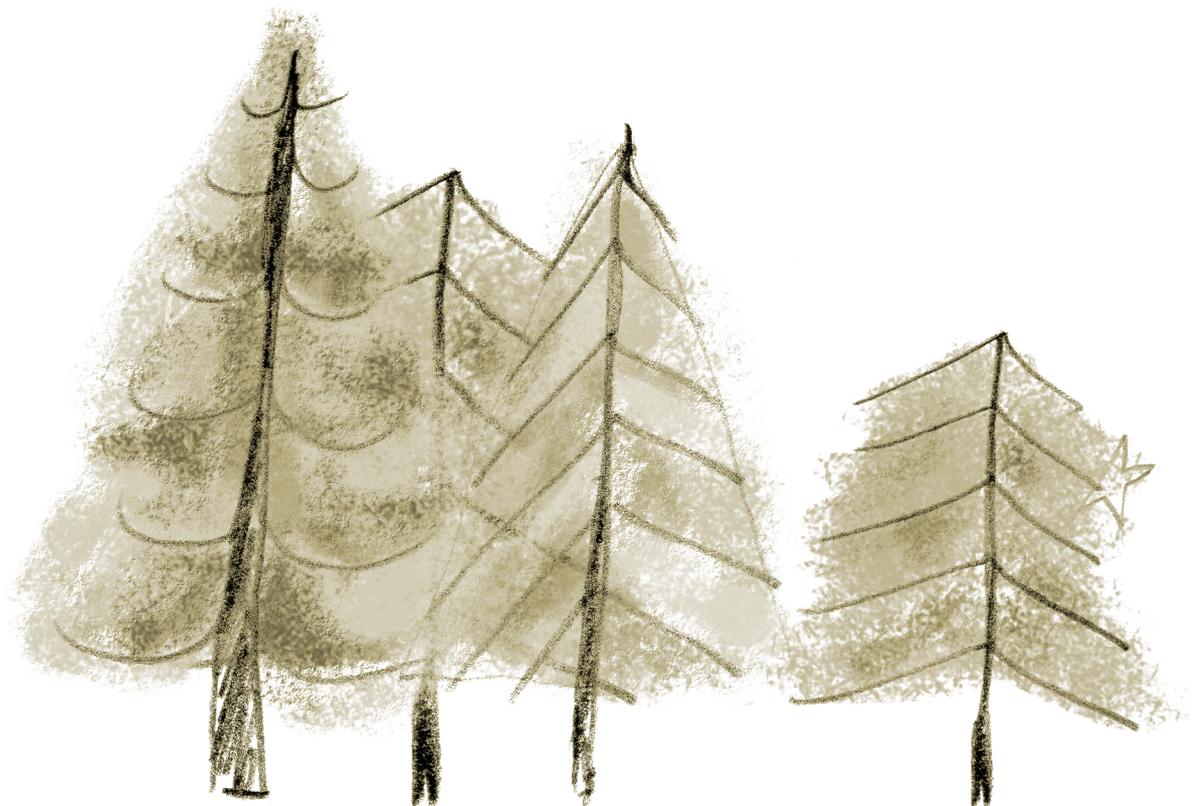
Resources to implement community forestry

Community forestry requires investment in various measures depending on the form in which it is implemented. Investment may be needed in the preparation of legislation, the development of operational guidelines, training for forest management organisation staff and members of community organisations, the start up costs of community organisations, awareness-raising events and the running costs of consultation mechanisms. If state budget financing is not guaranteed, donor funding will need to be found. The responsible state authorities should make a careful assessment of what support they will need to provide in order to make its community forestry programme successful and then tailor the programme to the resources which are available. Underestimating the support that will be needed or committing resources that are not available could spell disaster for the programme.

Commitment and capability of forest management organisation staff

The success of community forestry initiatives depends in large measure on the commitment of the state or local self-governing body forest management organisation to community forestry and on the skills of the organisation's staff or project staff in working with community members and community organisations. The staff who will be responsible for implementing community forestry need to have the personal attributes needed for working with communities and be given appropriate training before they start to engage with communities.

Initiating Community Forestry



This chapter covers the steps that need to be taken before the management plan for the forest territory in which the community will be involved can be prepared and before decisions can be taken about the extent to which the local population will be involved in making use of the products and services provided by a specific forest territory and in taking care of the forest. The steps involve:

- Identifying the communities who will be involved in forest management;
- Raising awareness of community members about sustainable forest management;
- Finding out how community members are using the forest and the extent of community members' dependence on the forest;
- Identifying the extent of community members' interest in being involved in forest management;
- Establishing a mechanism that can represent the interests of community members during preparation and implementation of the management plan;
- Making a preliminary agreement between community members and the responsible authority about the purpose and scope of community involvement.

Identify the communities who will be involved in forest management

If the responsible authority has already decided that community involvement will mean enabling the population's participation in forest management decisions through consultation (Form 1), all of the communities in the administrative unit of the forest management organisation should be given the opportunity to be involved. If the administrative units are large and therefore involving all communities in the administrative unit in a single consultation mechanism would be difficult, the administrative unit should be subdivided for consultation purposes. Chapter 5 provides guiding principles for establishing consultation mechanisms.

If the responsible authority plans to involve communities in forest use and in taking care of the forest either under the direction of the responsible authority (Form 2) or by transferring responsibility for managing the forest to a community organisation (Form 3), the responsible authority will need to decide the boundaries of the forest territory in which communities will be involved and which communities will be involved in a specific forest territory. The following criteria can help to make those decisions:

- *History of association between community and forest territory.* The forest territory should be associated with a community (a village or group of villages) by a history of use, for example for grazing, for cutting trees for fuel wood, for collecting NWFPs.
- *Availability of resources for community use.* The forest territory should contain enough useable resources to be able to make a significant contribution to the livelihoods of the community's members, but the territory should not be so large that it will be difficult for the community organisation to fulfil its responsibilities for taking care of the forest.
- *Number of community members.* The number of community members should be small enough that all the members who are interested to participate in the meetings of the community organisation are able to do so.
- *Geographical size of the community.* The geographical size of the community should be small enough that community

members can travel easily to meetings of the community organisation without having to spend a lot of time away from their homes and businesses.

- *Collaboration between neighbouring villages.* If the community will include more than one village, the population of each village should be willing to collaborate with the populations of every other village in setting up a community organisation.

Raise awareness of community members

Community members need to be provided with information so that they can be involved in forest management whether as consultees or as forest users and managers. Providing information through awareness raising is an ongoing activity that takes place at every stage of the forest management cycle. Awareness raising activities need to be included in the phase of initiating community forestry so that community members will understand what community forestry could mean for them in terms of the benefits they get from the forest and their responsibilities for taking care of the forest.

The topics covered in the awareness raising activity will depend on the form or forms of community forestry which the responsible authority is planning to implement. The topics should always include:

- What is the Government policy on involving communities in forestry?
- Why are forests important (to the village and to the country)?
- What benefits is community forestry likely to bring?

If the responsible authority is considering transferring some rights and responsibilities to the community (Forms 2 and 3) the topics should also include:

- What are the legal rights and responsibilities which could be transferred to communities?
- What costs will community members be responsible for (in terms of time and resources)?
- What procedures and steps will villagers have to follow to receive rights and responsibilities?
- What will be the role of state forest?

Find out how community members are using the forest and the extent of community members' dependence on the forest

Finding out how community members are using the forest territory is an important part of deciding how community members should be involved in forest management. Communities that are using forest territories intensively and that are heavily dependent on forest territories for meeting their needs should be more closely involved in the management of their local forests than communities that are less dependent on their local forests.

Information about community use of the forest territory can be obtained as part of the initial awareness raising activity (see above). At this stage it is not necessary to get precise information on the quantities of products which community members are taking from the forest or the numbers of animals which community members may be grazing in the forest. If some of the ways in which community members are using the forest are illegal, or if community members think they may be illegal, it is especially important not to go into so much detail that community members are discouraged from talking about how they use the forest.

It can be helpful to record information about community use on a map even during this initial phase of implementing community forestry. The process of recording information helps to get

community members to think about their use of the forest and the impacts of their use on the forest. The information obtained can be used during the preparation of the management plan (see Chapter 4).

Identify the extent of community members' interest in being involved in forest management

It is important to know community members' interest in being involved in forest management before forest management planning starts. The responsible authority may already have decided that community involvement will be limited, at least initially, to consultation about the objectives of forest management and about activities which the responsible authority proposes to carry out. Even in this case it is helpful to know community members' interest in being involved. If the responsible authority is considering to allow community members to use some of the products and services provided by the forest, it is important to know whether community members are interested and are ready to accept the responsibilities associated with using the forest.

The interest of community members in being involved in forest management can be assessed during the initial awareness raising activity (see above). Part of the awareness raising activity can be organised to enable the forest management organisation staff or project staff to answer the following questions:

1. Are a sufficiently large number of community members interested in what the forest can do for them and what they can do for the forest?
2. Is there a tradition of collaboration among community members to solve the community's problems and to help develop the community?
3. Is there an existing community organisation with a successful track record; if not, are there enough people motivated to establish and run a community organisation?
4. Do community members have knowledge and skills that are relevant to making use of forest products and taking care of the forest?

If the answer to any of questions 1, 2 and 3 is "No", it will be better to limit community involvement to participation in forest management decisions (Form 1).

If the answer to all of questions 1, 2 and 3 is "Yes", community involvement in Forms 2 and 3 will have a good chance of succeeding and will have an even better chance of succeeding if the answer to question 4 is "Yes".

Establish a mechanism that can represent the interests of community members during preparation and implementation of the management plan

Once it is clear that community members want to be involved in forest management a mechanism should be established that can represent the interests of community members during preparation and implementation of the management plan. The form of the mechanism will depend on the form of community members' involvement in forest management.

If community involvement will take the form of consultation by the responsible authority, the community can be invited to nominate individuals to represent all of the community's members on a permanent council established on the order of the responsible authority (see chapter 5).

If community involvement will take a form in which community members will participate together in using forest resources and taking care of the forest, the community members should form a community forest management organisation (CFMO) that will represent their interests during preparation of the management plan and in discussions with the responsible authority about the scope of the community's involvement in forest use and management. In some cases there will be an existing community organisation that will be able to act as a CFMO. If a community organisation does not already exist, it is not necessary and is not recommended to establish the CFMO as a legal entity during the phase of initiating community forestry: it is better to wait until the management plan has been prepared at which time the scope of community members' involvement in forest management and use will be clear. The CFMO can be established to start with as an informal initiative group.

Chapter 5 provides guiding principles for establishing consultation mechanisms and community forest management organisations.

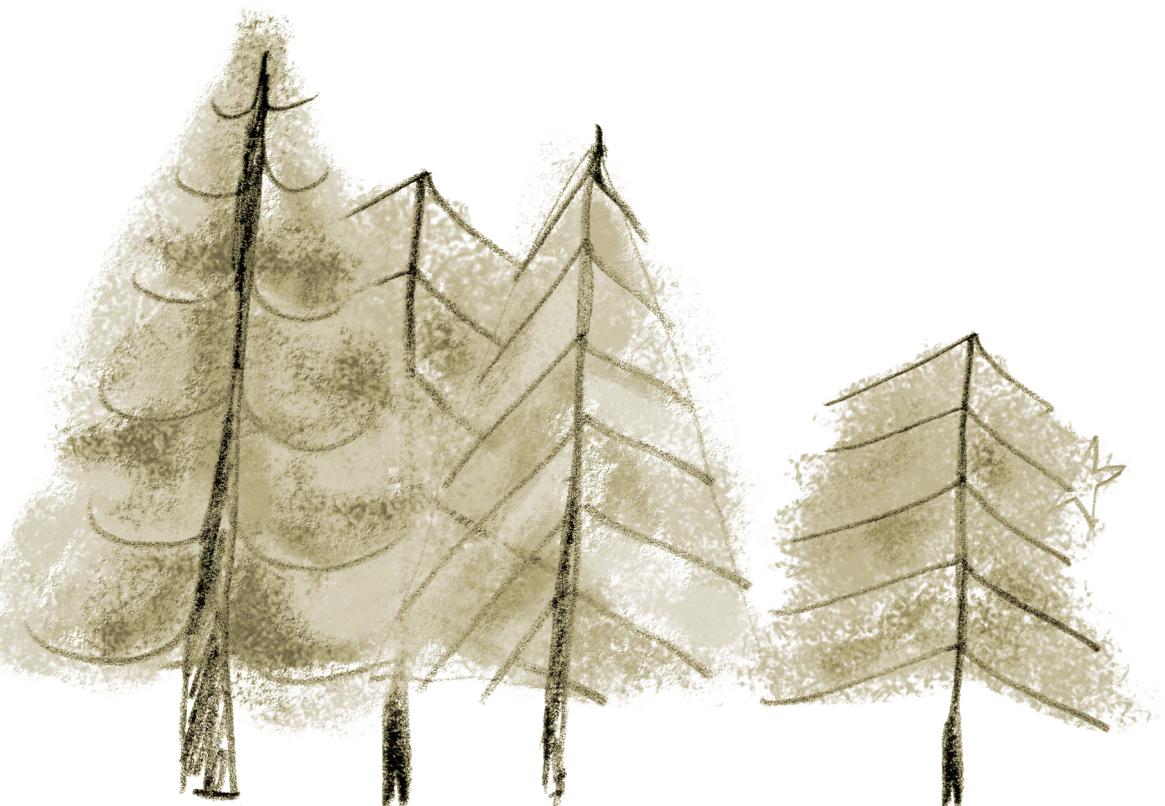
Make a preliminary agreement between the community members and the responsible authority about the purpose and scope of community involvement

The final step in the phase of initiating community forestry is to make an agreement between the community members and the responsible authority about the purpose and scope of community involvement.

If community involvement will take the form of consultation by the responsible authority (Form 1), any mechanism set up by the responsible authority – for example a permanent council - should have formally established functions (see Chapter 5).

If community involvement will take a form in which community members will participate together in using forest products and taking care of the forest, the responsible authority should sign a preliminary agreement with the CFMO or initiative group. The preliminary agreement should be replaced by a legally-binding agreement between the responsible authority and CFMO after deciding what rights and responsibilities will be transferred to the CFMO.

Management Plans for Community Forestry



This chapter sets out guiding principles for the content of, and process of preparing, management plans for community forestry. Recommendations are given for each of the main steps for preparing management plans for the forms of community forestry which the Fostering Community Forest Policy and Practice Project considers could be appropriate for different settings in the region (see Chapter 1).

The chapter focuses on planning the use, protection and tending of the forest territory. Some forms of community forestry may lead to communities becoming involved in setting up enterprises to process and sell forest products and to sell services such as horse trekking and guided walks. This document does not cover the development of such enterprises. It is recommended that CFMOs prepare business plans linked to the forest management plan before they establish an enterprise.

The chapter is arranged in two parts. The first part provides guiding principles and recommendations on the content of management plans and process of preparing management plans for territories managed by state forest management organisations with community involvement (Forms 1 and 2). The second part gives recommendations on adapting the content and process of preparing management plans for territories managed by CFMOs (Form 3).

As a general principle the content of forest management plans should suit the chosen form of community involvement and the characteristics of the forest territory (the size of the territory; number of species and their distribution over the territory; age distribution; condition; presence of land not covered by trees, such as pasture, rivers and lakes; presence of rare and endangered species; value as a hunting territory; potential for recreation and tourism).

Territories managed by state organisations

Content

A general principle for the content of forest management plans prepared for territories managed by state organisations is this:

The forest management plan should take account of the rights, needs and concerns of communities who depend on the forest for meeting their daily needs and for whom the forest may have social, economic, cultural or religious importance.

Indicative contents of management plans for forest territories managed by state organisations and the content recommended to address community involvement in such territories are given in Table 1 starting on page 20. The example contents are not prescriptive: they provide a framework for the guiding principles and recommendations for addressing community forestry that are provided in this chapter. The actual contents of forest management plans will depend on the norms of the country and the forest management organisation, the form of community involvement which the forest management organisation decides to implement, and the attributes of the territories covered by the plans. All management plans should be based on the forest management organisation's policy and the country's legal and technical requirements for community forestry.

Steps for preparing management plans

This section provides recommendations on how to address community involvement in the process of preparing management plans for territories managed by state organisations. The recommendations related to community involvement are highlighted in this way: **text text text**.

Two important general principles are:

Each step in the forest management cycle must be designed to enable community involvement in the form in which it is intended.

Special effort needs to be given to identifying communities' interest in the forest territory in question and to enabling community members to influence the choice of objectives and elaboration of policies for those parts or attributes of the territory in which community members have an interest.

Thus for territories managed by state organisation the planning team should design their methodologies and the presentation of information in ways which rural people will be able to understand so that they will be able to engage with the planners.

The description of the steps is not intended to be prescriptive. As with the indicative contents of management plans in Table 1 the description of the steps for preparing management plans simply provides a framework for the guiding principles and recommendations on community involvement. Also the description is not intended as a detailed technical guide on how to carry out each step: each country has its own norms for each of the main steps, for example for conducting forest inventory and for dividing forest territories into zones according to function or objective.

The steps and the recommendations are for the preparation of the first management plan for the forest territory concerned. If the organisation is preparing a revised or updated plan, the steps will need to be adapted accordingly.

The steps described here include the elaboration and scheduling of the activities which the forest management organisation plans to carry out during the life of the management plan but do not include annual work plans, multi-annual operational plans, budgets or business plans. There are different views as to whether such plans should be part of the management plan or separate documents that are prepared according to separate procedures. It is recommended that such plans should not be integrated with the management plan unless legislation requires it. The management plan provides a long term perspective for the management of a forest territory and will be revised only after several or many years have passed. In contrast, annual plans, multi-annual operational plans, budgets and business plans should be renewed every year. However, policies and activities in the management plan that are related to community involvement should be reflected in annual plans, multi-annual operational plans, budgets and business plans.

Delineation of the boundary of the forest territory

When the boundary of the forest territory is being delineated any conflicts that are likely to be caused by the delineated boundary need to be identified and resolved, including objections raised by local people. Therefore **local people should be consulted before the boundary is finalised and registered.**

Identification and recording of rights and obligations inside the territory

The rights and obligations held by any persons as well as those held by the forest management organisation need to be identified and recorded to avoid conflicts between the forest management organisation and rights holders and to help ensure that all parties fulfil their obligations; examples are way-leaves for electricity transmission lines, gas and water pipelines, and grazing and hunting leases. **It is important to ensure that the management plan does not override any existing rights and responsibilities of local people - rather, it should incorporate them into the management plan. The legal and customary rights and responsibilities held by local people should be identified during this step or alternatively during the preliminary forest resource assessment (see below).**

The outputs from this step are a map of the forest territory and

written records defining the areas in which identified rights and obligations are held, and the nature of the rights and obligations. The map and written records should include the areas over which local people have legal or customary rights or which have cultural, religious or spiritual importance for local people (if the information is collected during this step and not during the preliminary forest resource assessment).

The outputs from this step are used to prepare the description of tenure in the management plan [see section 2 of the contents of the management plan on page 20].

Identification of community members' forest product needs for household use

This step is essential in cases where the forest management organisation intends to give forest products to the local population or allow them to take products from the forest to help them meet their daily needs, whether free of charge or at a subsidised price. The step can be combined with identifying the local population's existing rights and responsibilities or it can be carried out as a separate step later in the process of forest management planning but it must be done before objectives and policies are decided (see below).

The output from this step is a record of each household's requirements for forest products to meet their daily needs. The output is used to prepare the section in the management which describes the economic and social setting of the forest (see section 9 of the contents of the management plan on page 22).

Preliminary forest resource assessment

The purpose of the preliminary forest resource assessment is to get a good enough picture of the forest territory (species, age, condition, pasture areas, high conservation value areas, rivers, lakes, etc.) to be able to divide the forest into zones (see below) before carrying out the detailed forest resource assessment. The assessment is typically carried out using a combination of remote sensing and ground survey. If the management plan will replace an existing management plan that is coming to the end of its life or has already expired, the preliminary forest resource assessment can be simplified by focusing on those elements of the forest territory where the probability of significant change is high. The results of monitoring during implementation of the previous management plan will help to focus the assessment. This step should include identifying the areas over which local people have legal or customary rights or which have cultural, religious or spiritual importance for local people if the information was not collected during the step of identifying and recording rights and obligations inside the territory (see above).

The outputs from this step are records in the form of maps and text and are used to prepare the following sections of the management plan: 7 – Key features of the forest territory; 8 – Past management; 9 – Economic and social setting.

Dividing the territory into zones

In this step the territory could be divided in zones or "categories" according to the main functions of the forests, for example protection, production, conservation, recreation, etc. There could be subcategories inside the zones; for example:

Protection zone:

- Land protection subzone to mitigate the risk of soil erosion and flooding
- Water protection subzone to mitigate the risk of damage to rivers and lakes
- Protection from fire, pests and diseases

Conservation zone:

- Biodiversity conservation subzone including breeding and feeding sites of threatened and endangered species
- High Conservation Value (HCV)⁽⁴⁾ subzone
- Specially protected landscape or nature area

Production zone:

- Timber production forest subzone
- Silvo-pastoral subzone
- Tree seed collection subzone
- Fuel wood production and plantation subzone

Recreation zone:

- Recreation and ecotourism (visiting, bird watching, animal watching, hiking, biking, caving, climbing etc):
- Regulated hunting and fishing.

In some countries zonation of forest territories is governed by legislation.

The forest management organisation could decide to designate a zone for community use if doing so would be consistent with the organisation's policy on community involvement. A community use zone can be designated at this stage or after the detailed forest resource assessment (the information obtained from the detailed forest resources assessment will provide a clearer picture on which to base the designation of a community use zone).

Division of the territory into zones or categories should be done in consultation with communities to ensure that the types of zones that are created and their boundaries take account of the social, economic and environmental relations which communities have with the territory.

The outputs from this step are data in the form of maps and text describing and justifying the zoning plan (see the contents of the management in Table 1, section 11 – Zones and blocks).

Detailed forest resource assessment

The purpose of the detailed forest resource assessment is to obtain the information which the forest management organisation needs to set objectives and policies and schedule activities for every part of the territory. The type of information that needs to be collected will vary from according to the zone and sub-category and will depend on the purpose of the zone and sub-category; for example:

- In the timber production forest subcategory of the production zone the assessment will focus on the parameters which are measured during a typical forest inventory - species, age, height, basal area - which are used to estimate standing volume, increment and annual allowable cut;
- In the pasture sub-category of the production zone the assessment will focus on the condition and food value of the pasture in order to determine maximum stocking densities for different species;
- In the conservation zone the assessment will focus on the conservation status (actual condition relative to optimal condition) of the habitats and species inside the zone and

⁴ High Conservation Value areas are in a landscape which have exceptional or critical ecological attributes, ecosystem services and social functions (see www.hcvnetwork.org).

threats to the habitats and species;

- In a land or water protection zone the assessment will focus on the protection status (actual condition relative to optimal condition) of the territory inside the zone.

If one of the zones is an area set aside for community use, the community associated with the zone should be involved in the detailed resource assessment of the zone.

If parts of the territory are important for the community – for example spiritual and cultural sites, pasture – the community should be involved in the detailed resource assessment of those parts.

The outputs from this step are records in the form of maps, charts, tables and text of the important attributes of each subdivision (see below) of the forest with summary records for each zone. The outputs are used to prepare the forest management programmes (see the contents of the management plan – Programmes on page 25 of Table 1). The information should be presented in a way which makes it as easy as possible for community members to be able to interpret it.

Sub-dividing the forest into smaller units of management

In this step the forest is subdivided into smaller units to make it easier to plan forest operations. There are two approaches to subdividing a forest; normally they are used together but whether either of them is necessary will depend on the size and complexity of the territory. One approach is to subdivide the forest into quartiles and compartments to create units that are of a manageable size; the other approach is to group into one “working circle” areas which are similar in character and in which the same management objectives and policies will be applied during the lifetime of the plan. For example: production forest compartments could be grouped into working circles according to the silvicultural system that is most appropriate for the species present and the condition of the stands; conservation areas could be grouped into working circles according to the main habitat type or species which are to be protected. In large forest territories these two approaches are combined and the forest is divided into compartments and each compartment is assigned to a working circle.

Where timber production is the primary objective (as in a timber production forest zone or fuel wood plantation zone) management policies for different ages, composition and conditions of forest stands and for particular species are often specified in forest management organisations’ norms and/or in legislation; if they are not, they have to be developed based on modelling using data from sample stands. Policies for other zones of the forest territory may be transferred from similar zones in other territories (with some adaptation) or developed specifically for the zones in question.

Box 2 - Forest management programmes

THEMATIC PROGRAMMES THAT APPLY TO THE ENTIRE TERRITORY OR ARE NOT EASILY ARRANGED BY ZONE OR BLOCK

- Fire protection
- Pest and disease control
- Construction and maintenance of forest roads
- Prevention of unauthorised access and unauthorised forest use
- Visitor programme
- Community programme**
- Community forestry monitoring programme**

PROGRAMMES COMPILED FOR EACH ZONE FROM ACTIVITIES ELABORATED FOR EACH COMPARTMENT AND BLOCK

- Production forest zone

If one of the zones is an area (or areas) set aside for community use, the community associated with the zone should be involved in sub-dividing the zone and deciding the objectives and policies for each sub-division. This will mean that the forest management organisation will have to provide the community with sufficient information about the management options that are appropriate in different circumstances so that the community can participate in selecting the management option or at least understand why a particular option is being selected. An example of a simple presentation of management options for one type of forest is presented in Figure 2 in the next part of this chapter. An example of a simple description of a silvicultural system for one type of forest is presented in Figure 3 in the next part of this chapter.

The outputs from this step are maps and text and are used to prepare the part of the management plan which describes the zones and sub-divisions (see management plan contents section 11 – Zones and subdivisions - on page 24

Elaborating management programmes

Activities are worked out for the lifetime of the plan for each of the sub-divisions into which the territory has been divided. The activities are arranged into programmes that address specific zones, or themes that encompass every part of the territory or are not easily arranged by zone. An indicative list of programmes is given in Box 1 below). More detail on the content of the programmes is given in the relevant part of indicative contents of management plans in Table 1 below.

All management plans should include a community programme which describes the forest management organisation’s policy on community involvement and the arrangements for involving local people in forest use and management and helping local people maintain and improve their livelihoods. The programme should include the following (if relevant to the policy of the forest management organisation):

- Awareness raising, information exchange and consultation;
- Providing fuel wood and construction timber for household use free of charge or at a subsidised price;
- Giving access to local people to forest products for processing and sale;
- Giving local people some responsibilities for taking care of the forest;
- Arrangements for managing areas set aside for community use;
- References to agreements made between the forest management organisation and the community.

Box 2 - Forest management programmes

- Land protection zone
- Water protection zone
- Biodiversity conservation zone
- Pasture zone
- Silvo-pastoral zone
- Tree seed collection zone
- Community use zone
- Recreation zone
- Fuel wood plantation zone

The community should be involved in elaborating the objectives, policies and activities for any parts of the territory which are important for the community – for example spiritual and cultural sites, pasture – and for any parts which have been set aside for community use.

During this step the planned harvest of forest products is reconciled with the community’s demand for forest products (if the forest management organisation has a policy of giving the community forest products, or allowing the community to harvest forest products, to meet their household needs).

The outputs from this step are text, charts and tables presenting the management objectives and policies, scheduled activities and expected harvest of forest products. Summary information may be presented for each programme, zone or working circle in the main body of the management plan; detailed information for each compartment can be presented in appendices or in separate documents. Information which is relevant to community interests and needs should be presented in a way which makes it as easy as possible for community members to be able to interpret it. The outputs are used to prepare the part of the management plan which describes the management programmes (see the contents of the management plan – Programmes on page 25).

Elaborating the monitoring plan

The monitoring plan sets out:

- procedures for monitoring implementation of the management plan and recording differences between work actually done and products actually harvested compared with the plan and the reasons for the differences;

- procedures, indicators and means of verification for monitoring changes to important attributes of the territory and the impacts of management, for example: the conservation status of habitats and species; the condition of pasture; the condition of lakes and rivers; the condition of parts of the territory that are prone to erosion or landslide; the impacts of forest management on local livelihoods.

The community should be involved in elaborating procedures, indicators and means of verification for monitoring impacts that are relevant to their interests; for example: supply of fuel wood for household needs; quantities of NWFPs harvested by the community; condition of the NWFP resources in the forest; employment of community members.

Environmental assessment

Environmental assessment of forest management plans prior to approval is a legal requirement in some countries. Even if it is not a legal requirement it is good practice to carry out an environmental assessment in order to identify and avoid or mitigate any negative impacts of the chosen objectives and policies and planned activities.

The community should be involved in conducting any parts of the environmental assessment related to areas set aside for community use. The community should be consulted on the entire environmental assessment and on the forest management organisation’s proposals for avoiding or mitigating any negative impacts identified by the assessment.

Consultation on the draft management plan, revision and approval

Publication consultation on draft forest management plans is a standard procedure in many countries. Even though community members will have been involved in the steps taken to prepare the draft plan it is important that they be given an opportunity to review the draft plan and to comment on it if they wish. This means that the draft plan should be made easily accessible to community members and the consultation procedures should make it as easy as possible for community members to submit comments. It is recommended that the forest management organisation hold a consultation meeting with community members (or meetings in the case of large territories and/or widely dispersed communities) where the key elements of the draft plan can be presented.

Table 1 – Indicative contents of a management plan for a forest territory managed by a state organisation and recommended content to address community involvement (Forms 1 and 2 of community involvement)

- (Notes: 1. Contents related specifically to community involvement are highlighted in this way: *text text text*)
 2. The contents that need to be included will depend on the circumstances of the specific forest territory and the norms applicable in the country and organisation.
 3. The arrangement of the contents in this table is not prescriptive.)

| Contents | Type of Information | Sources of Information and Reference to Guiding Principles and Recommendations in this Document (if relevant) |
|----------|---|---|
| SUMMARY | Text summarising the main information about the territory, the long term vision and management objectives for the territory, and the results which the forest management organisation aims to achieve during the life of the plan If the forest management organisation plans to involve the communities living around the forest territory in using forest products and services and taking care of the forest, the Summary should include brief information about how this will be done. | Written after all the other parts of the plan have been completed. |

| Contents | Type of Information | Sources of Information and Reference to Guiding Principles and Recommendations in this Document (if relevant) |
|--|---|--|
| INTRODUCTION | Short description (text) which introduces the management plan and states the duration of the management plan, which organisation prepared the management plan, the approval date and the approving authority. | Written after all the other parts of the plan have been completed. |
| | Map showing the general location of the forest territory. | From the forest management organisation's records. |
| LEGAL STATUS | | |
| 1. Boundary | Boundary description and reference points. (These are put into an appendix or kept in a separate document which is referenced by the management plan). | From the forest management organisation's or the state registry's records. From boundary survey in the case of a territory for which a management plan is being prepared for the first time |
| 2. Tenure | Brief information about the forest management organisation and the territorial unit of the organisation which is responsible for implementing the management plan | From the statutes of the forest management organisation and those of the territorial unit if applicable |
| | Description of the forest management organisation's rights and obligations | From the statutes of the forest management organisation and those of the territorial unit if applicable |
| | Information (maps and text) describing rights and obligations held by other persons including customary and legal rights held by the communities adjacent to the forest. | From state registry records and the outputs from the step of identifying and recording rights and obligations inside the territory (see page 15). |
| PROCESS OF PREPARATION AND APPROVAL | | |
| 3. Planning process | Description of the steps followed in preparing the management plan including the methods used in each step (methods may be covered by referring to national norms applied by the planning team). | From the records of the organisation that prepared the management plan. |
| | Description of the involvement of the local population in each of the steps (if relevant) | From the records of the organisation that prepared the management plan. |
| | Description of the stakeholder council's involvement in the planning process (if relevant) | From the records of the organisation that prepared the management plan. |
| 4. Environmental assessment (if relevant) | Description of the process of carrying out the environmental assessment, results of the environmental assessment and changes made to the management plan to take account of those results. Information should be given about where the environmental assessment can be viewed or a copy obtained. | From the records of the organisation that carried out the environmental assessment and the records of the organisation which arranged consultation on the environmental assessment. |
| 5. Outcomes from consultation | Description of significant issues raised during the public consultation on the draft management plan and of the changes made to the draft management plan to address those issues. Information should be given about where people can view the comments from consultees or obtain copies of comments. | From the records of the organisation that organised the public consultation on the management plan. |
| 6. Approval | Description of the steps in the process of obtaining approval for the management plan and a summary of any changes requested by the approving authority. | From the records of the organisation that organised the formal approval of the management plan. |
| 7. Key features of the forest territory | Description of the forest territory as a whole including geology, soils, climate, hydrological regime, species, age, condition, presence of non-forest land (pasture, rivers, lakes), fauna and flora, rare or endangered species and habitats, importance of the territory in terms of environmental protection (prevention of erosion, conservation of water supplies, carbon sequestration). | From information obtained from the preliminary forest resource assessment (see page 16). Information from geological surveys, soil surveys, hydrological surveys, species and habitat surveys, climate records. |
| | Information about the way in which key features have changed over time and how they are changing now. | From information obtained from the preliminary forest resource assessment (see page 16 and from monitoring records if available). |
| | Information about the risk of fire, pests and diseases, negative impacts from climate change, and any other problems that apply to the forest territory as a whole. | From information obtained from the preliminary forest resource assessment (see page 16) and from monitoring records if available. |
| | Maps showing the key features of the territory (may be put into appendices). | Compiled using information obtained from the preliminary forest resource assessment (see page 16) |
| 8. Past management | Description of forest use, protection and tending activities during the recent past and the impacts of those activities. | From monitoring records (if available) and from information obtained from the forest products needs assessment (see page 15) and preliminary forest resource assessment (see page 16). |

| Contents | Type of Information | Sources of Information and Reference to Guiding Principles and Recommendations in this Document (if relevant) |
|---|---|---|
| | Lessons learned from monitoring during implementation of the previous management plan (if relevant). | From monitoring records |
| 9. Economic and social setting | Information about economic and social trends nationally and locally that are relevant to deciding objectives for forest management. | From relevant documents and discussions with key informants during preparation of the forest management plan, including with the stakeholder council if one exists. |
| | Information about local institutions that have an interest in the way in which the forest is managed. | From discussions with key informants during preparation of the forest management plan, including with the stakeholder council if one exists. |
| | Information about communities, the way they use the forest and the history of their use | From the preliminary forest resource assessment (see page 16). |
| | Information about the importance of the territory in terms of providing the local population with essential products and sustaining local livelihoods. | From the forest products needs assessment (see page 15). |
| POLICIES AND OBJECTIVES FOR THE TERRITORY AS A WHOLE, AND. ZONING | | |
| 10. Key policies | Description of any policies of the government or the forest management organisation which have influenced the choice of management objectives, division of the territory into management zones or the design of management programmes including the government's and forest management organisation's general policy on community involvement, the policies on community involvement for the territory covered by the management plan. If relevant, a brief description of the practical ways in which the local population will be involvement in using forest products and services and in taking care of the forest. | management organisation's own documented policies. |
| 11. Management objectives | Description of the management objectives for the territory as a whole | A summary of the objectives chosen for each zone (see item 11. below). |
| 12. Zones and sub-divisions | Description (maps and text) of the zones into which the territory is divided and the rationale for the zonation. For example: land protection zone to mitigate the risk of soil erosion and flooding; water protection zone to prevent damage to rivers and lakes; biodiversity conservation zone, including breeding and feeding sites of threatened and endangered animals, high conservation value areas and other habitats; pasture zone; production forest zone; silvo-pastoral zone; tree seed collection zones; areas set aside for community use. | From the outputs of the step of dividing the territory into zones (see page 16), the detailed forest resource assessment (see page 17), and the step of dividing the forest into smaller units of management (see page 17). |
| | Description (maps and text) of the subdivision of the territory into quartiles, compartments and working circles - for example the production forest zone could be divided into a timber harvesting block, a regeneration block, a stand improvement block with stands of intermediate age, and a forest restoration block; the timber harvesting block, regeneration block and improvement block could be further subdivided according to the silvicultural system that is most appropriate for the species present in the block). | |
| | Description (maps and text) of the quartiles and compartments into which the territory is divided. For example: for compartments in the timber production forest zone information on species, age, basal area, volume, canopy density; for compartments in the biodiversity conservation zone, information about conservation values and conservation status; for compartments in the community use zone information about the resources in the zone and their condition. | |
| FOREST MANAGEMENT PROGRAMMES | | |
| A. PROGRAMMES THAT APPLY TO THE ENTIRE TERRITORY OR THAT ARE NOT EASILY DIVIDED BY ZONE OR BLOCK | | |
| 13. Fire Protection Programme | Description of policies and procedures and schedule of activities, using maps as appropriate, for mitigating the risk of fire and for fighting fires if they occur (for example: creating and maintaining fire breaks; building and maintaining water tanks for fighting fires; building and maintaining look-out towers; training staff; procuring and maintaining fire-fighting equipment; arrangements with local self-governing body fire-fighting departments and the army for fighting fires; designating specific routes for fire-fighting brigades to use in the event of a fire; contact telephone numbers. Policies and procedures for involving communities in fire protection and fire fighting should be included in the description (if relevant). Information about policies and procedures can be kept in a separate "operating procedures" document. Information about planned activities should be included in the management plan and used to prepare the annual work plan and budget. | Elaborated on the basis of an assessment of: <ul style="list-style-type: none"> The risk of fire and of the damage that would be caused in the event of a fire; Measures to detect fires (e.g. look-out towers) Measures for preventing fires spreading into and inside the forest (e.g. fire breaks); Measures for fighting fires if they do break out (e.g. water tanks, fire fighting equipment and vehicles), |

| Contents | Type of Information | Sources of Information and Reference to Guiding Principles and Recommendations in this Document (if relevant) |
|--|--|---|
| 14. Programme for combating pests and diseases | Description of policies and procedures and schedule of activities, using maps as appropriate, for mitigating the risk of pests and diseases occurring and for controlling them if they occur. Information should include the pests and diseases from which the forests are at risk, silvicultural prescriptions for mitigating the risk, the chemical or biological control agents that will be used in the event of outbreaks. | Elaborated on the basis of an assessment of: <ul style="list-style-type: none"> The risk of damage from pests and diseases; Measures to detect threats from pests and diseases (e.g. population counts of damaging insects) Measures for preventing pests and diseases and diseases spreading (e.g. sanitary felling, chemical and biological control agents). |
| 15. Forest Road Programme | Information about the existing road network and ancillary infrastructure (bridges, culverts, drainage channels, gabions) and its condition. Use maps as appropriate, Description of the policy for forest road density and construction standards for different purposes (e.g. forest protection patrols, fire-fighting, timber transport). A schedule of construction and maintenance works for forest roads and ancillary infrastructure using maps as appropriate. | Elaborated on the basis of information obtained from an assessment of the condition of the road network (or regular monitoring of the road network in the case of a territory that is already under management), the policies of the forest management organisation on road density (metres per hectare) and construction standards for different purposes. |
| 16. Programme for preventing unauthorised access and unauthorised forest use | Description of the policies and procedures for preventing unauthorised access to the forest and unauthorised use of the forest's resources against (e.g. use of gates and other types of barrier, designated access points for authorised users, regular patrols by forest management organisation staff, joint patrols with the police or environmental inspectorate, procedures to be followed in the event of detecting unauthorised access or use). Policies and procedures for involving communities in preventing unauthorised access and unauthorised forest use should be included in the description (if relevant). Note that information about policies and procedures can be kept in a separate "operating procedures" document. Information about scheduled activities should be recorded in the management plan and used to prepare the annual work plan and budget. | Elaborated on the basis of an assessment of: <ul style="list-style-type: none"> the risk of losses arising from unauthorised access and use; possible measures for preventing unauthorised access; possible measures to detect unauthorised access and use; possible measures that could be taken in the event of unauthorised access and use being detected. |
| 17. Visitor programme | Description of the policies for providing visitors with recreation and environmental education opportunities and information about existing arrangements including infrastructure (walking trails, signs, interpretative panels, visitor centre), visitor services staff employed by the forest management organisation and services provided by local service providers. A schedule of planned construction of new visitor facilities and of maintenance of facilities. | Elaborated on the basis of an assessment of: <ul style="list-style-type: none"> potential visitor numbers; ervices that could be provided to visitors, the income and environmental education and public relations benefits from providing the services, and the costs of providing the services; |
| 18. Community programme | Description of the policies and arrangements for involving local people in forest use and management and helping local people maintain and improve their livelihoods, including (as appropriate): <ul style="list-style-type: none"> Awareness raising, information exchange and consultation; Providing fuel wood and construction timber for household use free of charge or at a subsidised price; Giving access to local people to use forest products for processing and sale; Giving local people some responsibilities for taking care of the forest; Arrangements for managing areas set aside for community use (see item 11 above) with a cross reference to the programme for the community use zone (if one is created) under heading B. below. Reference should be made to agreements made between the forest management organisation and the community. | Elaborated on the basis of: <ul style="list-style-type: none"> The organisation's policies on community involvement; Information obtained during discussions with community members in the phase initiating community forestry (see Chapter 3) Information from the forest product needs assessment (see page 15). |
| B. PROGRAMMES BY ZONE, BLOCK AND COMPARTMENT (AS APPROPRIATE) | | |
| 19. Production forest zone | For each zone: <ul style="list-style-type: none"> A description of the policies applied in the zone by the forest management organisation (e.g. policies to conserve | From the outputs of the step of elaborating programmes (see page 18).. |

| Contents | Type of Information | Sources of Information and Reference to Guiding Principles and Recommendations in this Document (if relevant) |
|--|---|---|
| 20. Land protection zone 21. Water protection zone 22. Biodiversity conservation zone 23. Pasture zone 24. Silvo-pastoral zone 25. Tree seed collection zone 26. Community use zone (and other zones if relevant) | <p>biodiversity in the production forest zone; policies to prevent overgrazing in the pasture and silvo-pastoral zones; policy on the choice of silvicultural system and silvicultural options for the production forest zone; policies for maintaining or improving the silvo-pastoral zone.)</p> <p>Any policies that are applied generally by the forest management organisation to territories which it manages policies may be documented separately and need not be repeated in the management plan: a cross reference is sufficient.</p> <p>For each zone a summary schedule, supported by maps as appropriate, of the activities which the forest management organisation plans to carry out during the lifetime of the management plan. The summary is created from the detailed activity plans developed for each compartment in the zone. The detailed activity plans for each compartment can be put appendices.</p> <p>For the timber production zone, information about the volume of timber planned to be harvested during the lifetime of the plan compared and the annual allowable cut. For the main body of the management plan a summary is sufficient. Detailed information for each block can be included as appendices.</p> <p>For all relevant zones, information about the planned harvest of minor wood products and NWFPs.</p> | |
| FOREST PRODUCTS HARVESTING AND SALES PLAN | (Although the Forest Products Harvesting and Sales Plan is included in these indicative contents it can be (and often is) prepared as a separate document. The main management plan document needs to include only sufficient information to demonstrate that the planned harvest does not exceed the annual allowable harvest for each zone (if relevant) and block.) | |
| 27. Timber harvesting and sales | <p>Information about the volume of timber by species and assortment which the forest management organisation expects to be harvested in each year of the life of the management plan. A summary is sufficient for the main body of the management plan: the detailed information for each compartment can be put in appendices.</p> <p>Description of the arrangements for selling the timber e.g. (selling the timber on the stump; selling at the side of the forest road after felling and cutting into assortments; delivering the timber to the customer).</p> <p>Information about the volume of timber which will be given or sold at a subsidised price to the local population.</p> | <p>Harvest volumes are compiled from the information for each stand obtained during the detailed forest resource assessment (see page 17). Volumes for different categories (assortments) are calculated by applying assortment tables to the species, diameter and tree volume information for each stand.</p> <p>Prepared on the basis of the forest management organisation's policies for timber sales</p> <p>From the outputs of the step of elaborating management programmes (see page 18)</p> |
| 28. Minor wood products harvesting and sales | <p>Information about the volume or number of poles and sticks which the forest management organisation expects to be harvested in each year of the life of the management plan. A summary is sufficient for the main body of the management plan. The detailed information for each compartment can be put in appendices.</p> <p>Description of the arrangements for selling the products e.g. (selling on the stump; selling at the side of the forest road after felling; delivering the timber to the customer).</p> <p>Information about the quantities which will be given or sold at a subsidised price to the local population.</p> | <p>Estimated from information obtained for each stand during the detailed forest resource assessment (see page 17).</p> <p>Prepared on the basis of the forest management organisations policies for sales of minor wood products</p> <p>From the outputs of the step of elaborating management programmes (see page 18)</p> |
| 29. Non-wood forest products (NWFPs) harvesting and sales | <p>Information about the quantities of NWFPs (medicinal plants, fodder, nuts, berries, mushrooms as appropriate) which the forest management organisation expects to be harvested in each year of the life of the management plan. A summary is sufficient for the main body of the management plan. The detailed information for each compartment can be put in appendices.</p> <p>Description of the arrangements for selling the products e.g. (selling in place; selling at the side of the forest road after felling; delivering the timber to the customer).</p> | <p>Estimated from information obtained during the detailed forest resource assessment (see page 17).</p> <p>Prepared on the basis of the forest management organisations policies for timber sales</p> |

| Contents | Type of Information | Sources of Information and Reference to Guiding Principles and Recommendations in this Document (if relevant) |
|--|--|---|
| | Information about the quantities which will be given or sold at a subsidised price to the local population. | From the outputs of the step of elaborating management programmes (see page 18) |
| MONITORING | | |
| 30. Monitoring plan | <p>Procedures for monitoring implementation of the management plan and recording differences between work actually done and products actually harvested compared with the plan and the reasons for the differences;</p> <p>Procedures, indicators and means of verification for monitoring the impacts of management including indicators for attributes of the forest and other things which are relevant to the community.</p> | From the outputs of the step of preparing the monitoring plan (see page 19). |
| ANNUAL WORK PLAN | | |
| 31. Annual or multi-annual work plan or operational plan | Detailed schedule of activities for the first and subsequent few years. If legislation does not require such detail in the management plan it is more convenient to prepare a separate operational plan: the management typically is revised at intervals of not less than 5 years whereas the schedule of activities has to be updated every year. The plan details the activities scheduled over the relevant period and the means of carrying out the activities. | Prepared on the basis of the outputs from the step of elaborating management programmes (see page 18). |
| APPENDICES | | |
| | Information (maps, tables of data and other information) which underpins summary information in the main body of the management plan. | |

Territories managed by community forest management organisations

Content

Management plans prepared for territories managed by CFMOs need to follow some important principles. The management plan should:

- Contain all the information the CFMO needs to manage their forest;
- Not contain unnecessary information (i.e. information not actually required for managing the community forest);
- Be prepared by the CFMO (with state forest organisation or project staff as facilitators and trainers);
- Be “owned” by the CFMO;
- Be written in a locally understandable language;
- Include maps, diagrams, charts and drawings to be easily understandable;
- Be short and contain minimal text;
- Allow for annual monitoring and review of activities in a flexible way;
- Include all the actual activities which the CFMO agree to implement;
- Contain agreed responsibilities for implementation and procedures which the CFMO can follow.

Many countries’ forestry legislation, including the Project’s target countries, prescribe only one form of management plan and does not provide any flexibility to change the form to suit different situations. The prescribed form is designed for large forest territories managed by state forest management organisations that have skilled technical staff; the form is not suited to the management of small forest territories by CFMOs that lack technical knowledge. It is recommended that countries adapt their legislation to allow simplified forest management plans to be prepared for forests which will be managed by CFMOs. Generalised contents of a

simplified forest management plan are presented in Table 2 at the end of this chapter.

Writing the management plan should be done by the CFMO. However, considerable support will be needed from state forest management organisation or project staff in transforming the materials from the different planning steps into a clearly written and concise document.

Steps for preparing management plans

Approaches to forest management planning followed by state forest management organisations involve complex procedures which can be difficult for CFMOs to master and which are costly and time-consuming to implement. Territories managed by CFMOs are much smaller and less complex than a territory covered by a forest management plan prepared by a state forest management organisation. The steps for preparing a management plan for a territory managed by a CFMO can be simplified in a number of ways. Guiding principles and recommendations for simplifying the steps are as follows.

Delineation of the boundary of the forest territory

The CFMO should participate in deciding and mapping the boundary of the community forestry territory. If mapping is done using chain and compass, CFMO members will be able to do the mapping themselves after some training. If mapping is done using a handheld GPS device, a skilled technician should carry the device and record coordinates accompanied by CFMO members.

Identification and recording of rights and obligations inside the territory

For a community managed forest all members of the CFMO should be given the opportunity to participate in identifying and recording rights and obligations. The best way to do this is by organising a meeting at which CFMO members, with the help of a facilitator, do the following:

- Record any rights, responsibilities and traditional management systems in the CF area. If there are none then

this should also be clearly recorded;

- Identify if possible any rights, responsibilities and traditional management or use of outsiders (non-CFMO members) in the community forestry territory;
- Record those traditional management systems which are still in existence as well as those which previously existed, especially those which might become part of the CF Management Plan.

An example of a record of rights and responsibilities made by a CFMO is in Figure 1

Identification of community members' forest product needs for household use

For community managed forests this step should be carried out by CFMO members with the help of a facilitator. It is important to identify the need for every type of product they use: e.g. timber, poles, firewood, grazing, fodder, NWFPs, and the main "services" they get from the forests; e.g. water, biodiversity, wildlife, soil conservation.

Figure 1 – Example of a record of rights and responsibilities prepared by a CFMO (from Wang Watershed Management Project. 2004)

| Record of Traditional Rights and Responsibilities in Lobneykha Community Forest | | | |
|---|---|---|---|
| Product/Service | Rights Who has the right? What are they? | Responsibilities Who has Responsibilities? What are they? | Traditional management systems Describe any traditional forest management or forest use systems |
| Timber | Everyone including outsiders has rights provided that the individual holds a valid permit | Government controlled, Forestry Department issues permits | Before 1969 no outsiders were allowed to collect timber; the Mangmi and Chipon were controlling the quantities collected by Lobneps |
| Fodder | Lobneykha community | Free access for Lobneykha community | |
| Grazing | Only Lobneykha community members are allowed to graze their cattle on Lobneykha pastures and forest areas | Free access for Lobneykha community | Before 1969, pasture taxes were collected, grazing times fixed and every 3 years the pastures were burned |

Preliminary forest resource assessment

In territories managed by CFMOs this step should include identification of which products are collected from which part of the planned community forest by different groups and households in the village.

The preliminary forest resource assessment for a territory managed by a CFMO should be done by the CFMO with the technical support from the forest management organisation or project.

Mapping of key features of the territory (areas of pasture, spiritual and cultural sites, High Conservation Value areas, forest subdivided by species, age and condition) can be done together with the CFMO using aerial or satellite imagery and ground survey using a handheld GPS device.

Recording of information about the key features should be done by the CFMO after training and using templates provided by the

state forest management organisation or project.

Dividing the territory into zones

The division of the territory into zones (production, protection, conservation, etc) should be done by the CFMO with the help of state forest management organisation or project staff.

Detailed forest resource assessment

The requirements for data collection and analysis of traditional forest inventory are complex and time consuming. For community managed forests only the minimum amount of information should be collected according to the specific objectives of forest management. Simple systems have been devised to do this (FAO 2004):

- Blocks of forest which will have no harvesting in them for the duration of the management plan may not need to have any inventory carried out e.g. on steep slopes or in younger stands;
- Wedge prisms or other simple relascope devices can be used to get rough basal area figures without the need for individual tree measurements;
- Trees can be counted rather than measured for an assessment of overall stocking;

Basal area can be used as a measure of forest condition rather than standing volume; and
- Qualitative measures of forest condition can be used as an alternative to measurement e.g. canopy density; regeneration availability.

Sub-dividing the forest into smaller units of management

CFMOs will need help from the state forest management organisation or project to subdivide the community forestry territory, on deciding policies (e.g. grazing policy in the pasture zone) and selecting management options, and choosing silvicultural systems. Examples of a simple presentation of management options and of a silvicultural system for one type of forest are presented respectively in Figures 2 and 3 at the end of this chapter.

For the development of harvesting rules by CFMOs it is much more useful to consider annual allowable cuts in terms of the number of trees which can be harvested in each diameter class in a particular part of the forest rather than by timber volume. Such information is easier to collect and to understand. Similarly, local measurement units should be used (e.g. cart loads of fuel wood rather than weight in kg); numbers of poles rather than volumes (FAO 2004).

Elaborating activities

Forest use, protection and tending activities should be organised into programmes in the same way as described in the steps or preparing a management for a territory managed by a state forest management organisation.

For programmes involving forest use (production forest zone, pasture zone, silvo-pastoral zone) it is important to match (as far as possible) the planned harvest volumes of forest products or the allocation of forest territory for grazing to the needs identified during the step of identifying the community's needs. Information is needed is about which forest products are most important and the quantities needed by each household. If the earlier step has not provided sufficient information, an additional exercise should be carried out by the CFMO with the help of a facilitator.

Figure 2 – Example of guidance for community forest managers on silvicultural options (from Wang Watershed Management Project 2004)

| Table 6 Silvicultural Options for Blue Pine Forest | | | | | |
|--|--|--|---|---|---|
| Condition | | Utilisation | Improvement | Protection | Comments |
| Canopy density & Basal Area | Dense canopy > 40% BA > 18m ² /ha (good) & 12-18 m ² /ha (moderate) | <ul style="list-style-type: none"> • Timber harvesting • Pole harvesting² • Fuelwood harvesting • NWFP harvesting¹ • Leaf litter collection | <ul style="list-style-type: none"> • Thinning • Cleaning and weeding • Singling • Pruning | <ul style="list-style-type: none"> • Fire management • Protection from illicit harvesting | |
| | Open canopy < 40% BA 6-12 m ² /ha (degraded) & < 6 m ² /ha (open) | <ul style="list-style-type: none"> • Fuelwood harvesting • Grass collection • NWFP harvesting¹ • Leaf litter collection | <ul style="list-style-type: none"> • Managing regeneration • Cleaning and weeding • Singling • Pruning • Soil conservation | <ul style="list-style-type: none"> • Protection from illicit harvesting • Fire management • Grazing management • Protection of regeneration | ¹ NWFPs in this forest type might include medicinal plants |
| Regeneration status | Abundant (more than 1,600 established plants per ha > 30cm ht) | <ul style="list-style-type: none"> • Pole harvesting² • Grass collection • NWFP harvesting¹ | <ul style="list-style-type: none"> • Singling • Cleaning and weeding • Managing regeneration | <ul style="list-style-type: none"> • Protection of regeneration • Fire management | ² Only for regeneration which has reached pole size |
| | Scattered (less than 1,600 established plants per ha >30cm ht) | <ul style="list-style-type: none"> • Grass collection • NWFP harvesting¹ | <ul style="list-style-type: none"> • Managing regeneration • Soil conservation | <ul style="list-style-type: none"> • Protection of regeneration • Fire management • Grazing management | |
| | None | <ul style="list-style-type: none"> • Fodder collection | <ul style="list-style-type: none"> • Managing regeneration • Plantation establishment • Soil conservation | <ul style="list-style-type: none"> • Fire management • Grazing management | |

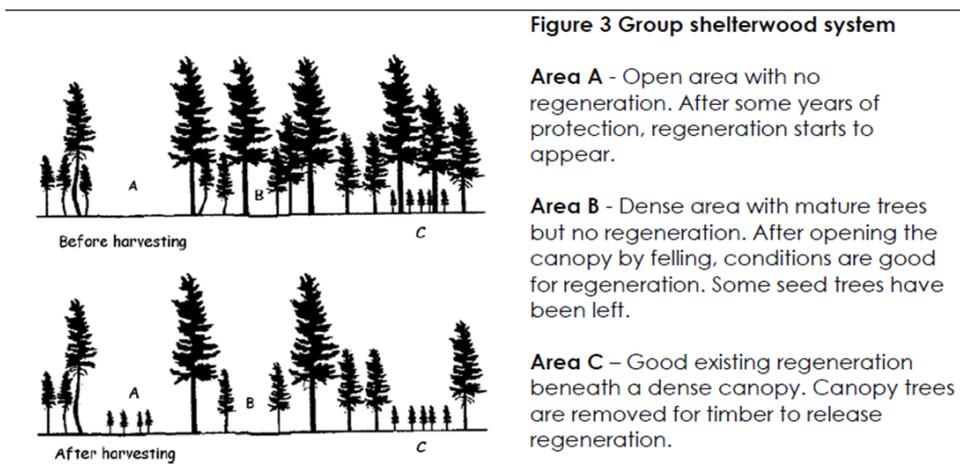
Figure 3 – Example of guidance for community forest managers on a silvicultural system (from Wang Watershed Management Project 2004)

Shelterwood system

In the shelterwood system, mature trees are harvested in two (or more) stages. First, during 'seeding felling' the canopy is opened, creating good conditions for natural regeneration to take place whilst keeping scattered mature trees for some shelter and as a source of seed, but not creating too much shade. Later, when regeneration has become established 'final felling' removes the remaining canopy trees to encourage the new crop of trees to grow up quickly. A seed-tree system is very similar to this except that the spacing between trees after felling is wider, leaving a more open forest with only enough trees to provide a seed source.

In blocks of CF with pine forest (chir or blue) there will be a range of conditions including:

- completely open patches with no regeneration
- patches of dense regeneration with or without an overstorey
- dense groups of mature trees with no regeneration beneath



CFMG members may not want to harvest all the available timber in the block at once. They may prefer to harvest 'on demand' to supply the timber needs of members over a period of years. A variation of the shelterwood system called the 'group shelterwood system' will be a more suitable option for CF in this case. In the group shelterwood system, smaller areas (groups) within a block are harvested and regenerated at different times starting with areas where some regeneration is already established. These factors will affect the selection of mature trees to be harvested (see Figure 3), and some harvesting may be possible every year, or every few years to ensure a continuous supply of timber.

It is essential to ensure that protection systems are also in place e.g. from grazing and fire. There may also be a need for improvement operations e.g. shrub clearance, cleaning, and removal of deformed stems.

Group shelterwood system for chir pine and blue pine forest

- Make sure that protection systems are in place for the block before starting any harvesting.
- Select groups (open areas with established regeneration or dense forest areas with no regeneration) having mature timber-sized trees. Groups should be as large as possible with a minimum group area of about 1ha (100m x 100m)
- Open areas (with no trees or regeneration) require only protection plus possibly some cleaning operations.
- Mark and fell all trees that are deformed, diseased or unsuitable for timber.
- Mark and fell timber sized trees (> 30cm dbh) to open the canopy if there is no regeneration e.g. area b in Figure 3. Leave an open canopy with only about 25 trees per ha (i.e. trees spaced at about 20m). Remaining trees should be evenly spaced within the area of the group.
- If there is established and abundant regeneration (e.g. area C in the Figure 3) then remove all the canopy trees over the group area.
- Species other than chir pine or blue pine should be treated according to the provisions of the CF Management Plan i.e. they can be either felled or allowed to remain.
- Established regeneration that is unlikely to be killed by fire or grazing (about 5 years old for chir pine and about 12 years for blue pine) could be treated with thinning or tending operations if it is very dense (> 1,600 plants per ha) see 3.2.2.
- On steep slopes marking and felling is possible provided that felled trees can be safely removed and without damage to soils.
- Calculate the Annual Harvesting Limit for the block by following the procedures described in CF Manual Part II – Step 8.
- Cleaning or controlled burning of grasses and dense shrubs after harvesting may encourage regeneration. Scattered shrubs can be left (see section 3.2.2).
- Harvest trees to minimise waste and avoid damage – see Box on Harvesting to minimise waste and damage.

Elaborating the monitoring plan

During implementation of the management plan the CFMO needs to continuously check that the agreed management objectives are being achieved. The monitoring plan should be elaborated by the CFMO with the help of a facilitator. The monitoring plan should include indicators related to the CFMO's objectives. An example of a monitoring plan for a forest management by a CFMO is presented in Figure 4.

Participatory environmental assessment

Participatory environmental assessment of management plans prepared by CFMOs should be based on the following principles:

- Useful. It helps CFMO members to ensure that procedures are built into the community forest management plan to try to avoid negative environmental effects and enhance positive ones.
- Participatory. It involves all members of the CFMO or their representatives.
- Simple style. It is a simple exercise that CFMO members can easily understand.
- Flexible. It enables future revisions of the management plan to be made if environmental effects are identified later on (by monitoring)
- Realistic. It ensures that the procedures put in place by the CFMO for reducing negative environmental effects also allow CFMO members to use their community forest in a sustainable way for their forest product needs. Undue restrictions on use of the community forest should be avoided.

Consultation on the draft management plan, revision and approval

Consultation and approval procedures for management plans prepared by CFMOs should balance the time and money costs incurred by CFMOs with the need to give stakeholders sufficient opportunity to comment.

Figure 4 – Example of monitoring indicators developed by a community forest management organisation in Bhutan (from Wang Watershed Management Project. 2004)

| Field level indicators to monitor/review the effectiveness of the Community Forestry programme. | | | |
|---|---|---|---|
| CF Programme Goals | Indicators | Verifiers | Means of Verification |
| Protection | Growing stock | Not exceeding Annual timber harvesting limit | Participatory resource assessment Monitoring plots |
| | Forest condition | Crown cover, age, regeneration, erosion, plantation survival/growth etc | Participatory resource assessment Monitoring plots |
| | Adjacent forest use | Resource use pattern | Participatory resource assessment |
| Production | Products harvested according to CFMP | Silvicultural operations in the forest | CFMG records |
| | | Planned versus actual wood harvest | CFMP, CFMG records |
| | Self-reliance | Product distribution pattern Cost-sharing without external support | CFMG records CFMG records, accounts, PRA record |
| | Income generation | Product distribution pattern | CFMG records |
| Equity | CFMG correctly identified | Primary and secondary users identified from all settlements | PRA record |
| | CGMG committee representative of users | All interest groups represented | PRA record |
| | Decision making by consensus of all interest groups | Attendance and regularity of meetings; decision-making pattern | CFMG records (minute book), PRA record |
| | Self-reliance | Decision-making without external support | CFMG records (minute book), PRA record |
| | | Conflict resolution without external support | CFMG records (minute book), PRA record |
| | Product distribution | All users receiving their fair share of products | PRA record |
| | Financial management | Funds being managed to the benefit of all users | CFMG records, accounts, PRA record |

Table 2 – Example contents of a simplified forest management plan for community managed forests (adapted from Wang Watershed Management Project 2004)

| |
|--|
| <ol style="list-style-type: none"> 1. Summary 2. Introduction. Maps showing community forestry territory and general location 3. Legal status of community forestry territory and legal rights of CFMO members (including rights outside the community forestry territory) 4. Traditional forest management systems and forest use systems 5. The planning process (record of the various planning steps which have taken place) 6. Social information. (households, occupations, gender status, well-being, livelihoods, stakeholders, history of the forest and the village) 7. Forest Information (whole forest) <ol style="list-style-type: none"> a. Forest resources assessment (supply) b. Forest product requirements (demand) and preferred species for different uses 8. Overall forest management objectives (visioning) for the whole forest (prioritised) 9. Map of the whole forest showing zones, blocks and forest use |
|--|

10. Zone and block-wise information

- a. Description of each zone and policies for each zone*
- b. Description of each block*
- c. Forest resources (forest type, condition, growing stock, size-class distribution, regeneration status, other resources)*
- d. Problems/opportunities (available resources, use patterns, trends, problems)*
- e. Management objectives (block-wise)*
- f. Management activities including utilisation (block-wise)*
- g. Annual harvest limits*

11. Procedures and responsibilities (for each activity)

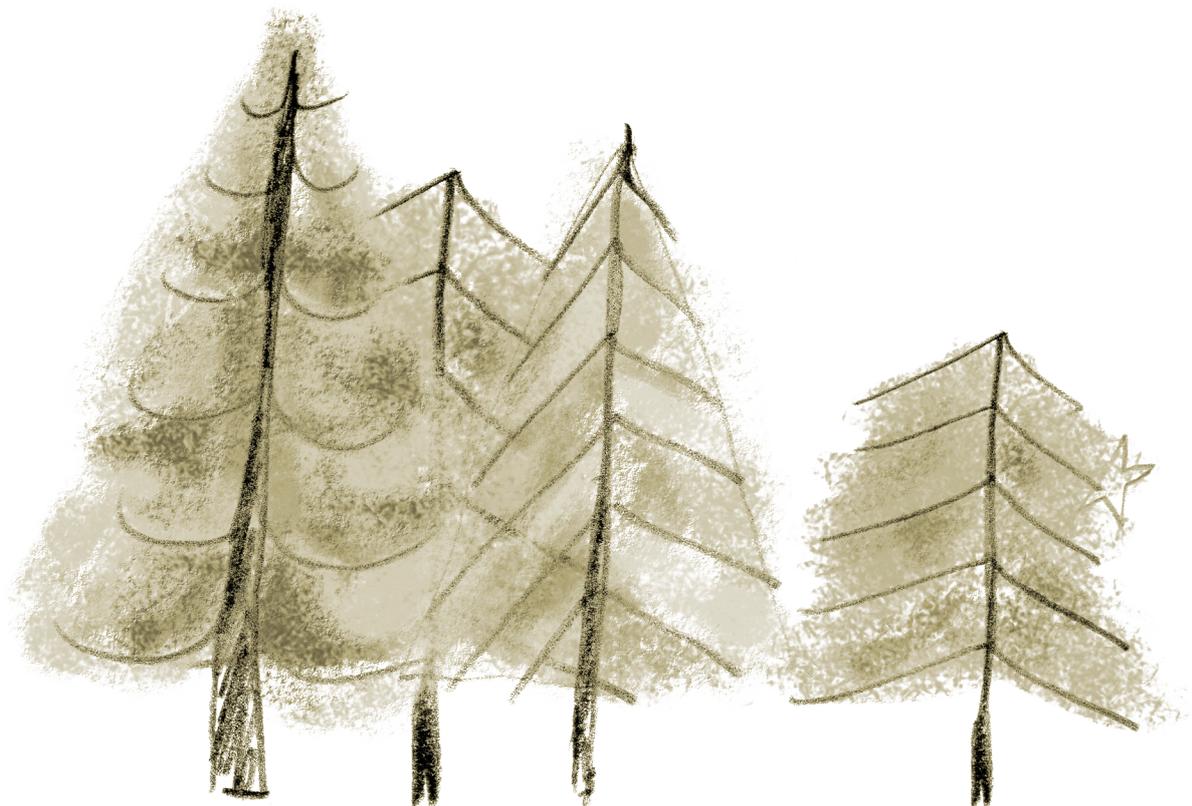
12. Annual Work Plan including annotated maps

13. Monitoring and Review

14. Participatory Environmental Assessment

Annex: Blockwise compilation sheets from detailed forest resource assessment

Mechanisms for Implementing Community Forestry



Introduction

This chapter sets out guiding principles and recommendations for mechanisms for involving communities. The first part of the chapter covers mechanisms for involving communities in the planning which is done by a state forest management organisation. The second part covers the establishment of community forest management organisations that will be partly or full responsible for managing a forest territory.

Mechanisms for involving communities in planning

Forest management involves different levels and different aspects of planning: there are strategic decisions about the long term objectives for a forest territory, for example if the territory should be managed for timber production, biodiversity conservation or another objective; there are decisions about the management options which should be applied to forest stands, conservation areas and other parts of the forest; operations need to be planned, and operations and the condition of the forest need to be monitored so that managers are informed about the impact of their activities, impacts of other people's activities, and environmental change.

There are stages in the forest management cycle when the forest management organisation should involve communities as a general rule (see chapter 4) but community involvement may become necessary at any time; for example if community members have reason to complain about the effect of forestry operations on the roads which the community uses, or damage to water supplies caused by logging.

Communication between the forest management organisation and community members should not be restricted to indoor meetings. It is often much easier to discuss issues, and for the forest management organisation and community members to understand each other's points view and reach agreement, in the forest.

In some situations the number of community members may be small enough that the forest management organisations can involve all the members in a consultation event to discuss strategic aspects of the forest management plan or the unexpected impact of forest operations. If the number of community members is too large for that, the forest management organisation could establish a permanent council of representatives selected by the community's members.

The initiative to establish a permanent council will usually be taken by the forest management organisation but the community's members should select the people who will represent them on the council; the functions and modalities of the council should be decided by the forest management organisation and community representatives together.

The council should be established by a formal act to give it permanence and credibility. The act could be an order of the head of the forest district or other authorised person, an agreement signed by the head of the forest district or other authorised person and the representative body of the community (if such exists). The form of the act and the signatories to the act will depend on the situation in each country.

The act establishing the council should specify:

- The functions of the council;
- The membership of the council (the number of seats for each community represented on the council, seats for the forest management organisation);
- The procedures for nominating community representatives;

- Responsibility for organising the business of the council and making and keeping records of council meetings;
- Frequency of council meetings;
- Procedures for the community and community representatives on the council to communicate with the forest management organisation between formal meetings (for example when a community member wants to make a complaint);
- Responsibility for communicating the council's activities to community members and other persons;
- Arrangements for financing the council's activities.

Establishing a community forest management organisation

In the context of this document a community forest management organisation (CFMO) is an organisation established by community members for the purpose of managing a forest under an agreement with a state or local self-governing body forest management organisations, either jointly or as the sole manager.

Chapter 3 described the process of initiating community forestry, including assessing a community's interest in becoming involved in forest management and establishing an informal initiative group to participate with the forest management organisations during forest management planning. After the forest management plan has been completed and the forest management organisation and the initiative group have agreed on the rights and responsibilities which will be transferred to community members, a CFMO must be established in the form of a legal entity so that it can sign an agreement with the forest management organisation and conduct business. The CFMO will need to register By-laws (statutes) of the organisation. Typical contents of the By-laws of CFMOs are shown in Table 3 at the end of this chapter.

CFMO membership

It is important that the CFMO's By-laws make provision for equity amongst CFMO members. Equity concerns distribution of benefits as well as CFMO decision-making and contributions of labour and other resources (see Box 3). It is especially important to make sure that everyone who is a traditional forest user in the community, and that everyone who wants to join the CFMO, has the opportunity to do so.

The following principles apply to membership of CFMOs:

- All individuals and households with traditional claim to forest produce from the proposed community forest should be allowed to join of the CFMO.
- It is particularly important that disadvantaged households are identified and encouraged to become CFMO members since these can sometimes be missed out.
- People eligible to become members have the choice as to whether they wish to join the CFMO or not.
- CFMO members must be made aware of their obligations, roles and responsibilities before they decide to register as members.
- CFMO members who wish to give up their membership should be allowed to do so, after settlement of any dues with the CFMO.
- An eligible person can submit their name to the CFMO in an application at any time after the CFMO has formed.

- All CFMO members are eligible to use forest products from the Community Forest.
Produce should be equitably distributed among CFMO members – this means according to their requirements rather than their ability to pay.
- If there is high demand for forest products from both CFMO members and outsiders, CFMO members have priority.
- If there is high demand for forest products within CFMO members, those CFMO members who are socio-economically disadvantaged have priority over others.
- Disadvantaged CFMO member households can be identified during the initiation phase (chapter 3).
- Particular attention needs to be given to ensuring that all CFMO members are involved in making decisions – especially those which concern distribution of forest products e.g. rates, quantities, timing etc.
- Contributions of labour e.g. during planting activities, should also be equitable – this means that disadvantaged households should not be expected to contribute more labour than others.

People who have chosen to be members of the CFMO are obliged to follow the procedures and rules of the CFMO as outlined in the By-laws. Their roles and responsibilities may include:

- Participation in CFMO planning and decision-making.
Election of CFMO Management Committee members;
- Participation in drafting of the CFMO By-laws;
- Participation along with state forest management organisation staff in selecting a suitable Community Forest area;
- Participation in CFMO meetings;
- Co-operation with the CFMO Management Committee in carrying forest management and other management operations especially by contributing labour if required;
- Co-operation with the CFMO Management Committee regulating forest use by other CFMO members and by outsiders.

CFMO Management Committee

CFMO members elect their own representatives to function as their CFMO Management Committee. It is important that the committee genuinely represents all CFMO members including those who are often marginalized.

The composition and size of the committee can vary depending on its tasks. As a minimum, a Chairperson, Secretary and Treasurer are required and normally the CFMO Management Committee will have between 5 and 8 members. Later, new needs may emerge with the result that additional committee members can be selected. It is very important that the committee should at all times represent and be able to articulate the views of all sections of CFMO including those groups who are most disadvantaged. It is also important that the CFMO Management Committee should have good representation of women as well as men.

Committee members should be selected bearing in mind that there is considerable responsibility involved and committee members will be expected to attend meetings and implement tasks on a regular basis. Only individuals who are prepared to take on these responsibilities should be selected.

Role of the CFMO Management Committee

The CFMO Management Committee:

- Represents the CFMO in its interactions with the state forest management organisation and other agencies.

- During implementation of the management plan the CFMO coordinates and organises the administration of CF activities and operations and ensures that CFMO members fulfil their management responsibilities.
- It is responsible for the equitable distribution of benefits amongst CFMO members.
- It takes overall responsibility for management of forest resources which are transferred to the CFMO.
- It is responsible for enforcing the By-laws and rules of the CFMO and for collecting fines and penalties.
- It is responsible for ensuring that all the legal requirements governing the CFMO's activities are met, including compliance with forest law.
- It carries the wishes expressed by the CFMO members in respect of the community forest territory.
- It is responsible for establishing and maintaining the CFMO fund using money collected from various sources.
- It is responsible for organising and conducting CFMO meetings when required.

Within the CFMO Management Committee, office bearers have specific roles and responsibilities.

Chairperson of the CFMO Management Committee

The Chairperson:

- Heads the CFMO;
- Calls meetings whenever necessary;
- Informs concerned persons about date, time and place and the reasons for the meeting;
- Conducts meetings and makes sure each person is allowed to speak, thereby giving everyone a fair chance to raise points for discussion;
- Approves applications for forest products (with secretary);
- Countersigns payment authorisation (with treasurer).

Secretary of the CFMO Management Committee

The Secretary:

- Assists the Chairperson as required;
- Manages the correspondence (writing of letters and

- minutes of meetings) for the CFMO;
- Keeps the files of the CFMO;
- Maintains the list of CFMO members;
- Writes down the rules and regulations of the CFMO;
- Approves applications for forest products;
- Keeps minutes of CFMO meetings;
- Prepares the annual progress report.

- Prepares the annual financial report;
- Countersigns payment authorisations.

Treasurer of the CFMO Management Committee

The Treasurer:

- Looks after any financial transactions on behalf of the CFMO;
- Keeps records of expenditures and labour contribution during CF activities;
- Gives a detailed account of how much money or labour has been contributed, how much has been spent and how much is still left, at every CFMO meeting (or as required);

Treasurer of the CFMO Management Committee

CFMOs are expected to manage their affairs independently, efficiently and equitably. However, as new and inexperienced institutions, they may not be able to do this immediately after they have been formed. Capacity building will be needed to provide CFMO members with the systems, skills, and information they require for this. Capacity building cannot be achieved overnight – it will take time and effort to support CFMOs to become self-sustaining local institutions. Before starting to do any capacity building it is necessary to find out what capacity gaps hinder CFMOs in implementation of their activities and what existing skills and capacity there are within CFMOs. There are 2 steps in this process: first, a job analysis is carried out to identify which tasks CFMO members are required to undertake; second, a job holder analysis is used to find out the knowledge and skills that CFMO members (especially CFMO Management Committee members) already have. After carrying the job analysis and job holder analysis it is then possible to identify the capacity building needs of the CFMO and to design a capacity building programme.

Table 3 – Content of Community Forestry Management Organisation By-laws (Adapted from Wang Watershed Management Project 2004)

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| Membership arrangements | How is membership defined? Who is eligible for membership of the CFMO? What are the procedures for becoming a new member? And for leaving the CFMO? |
| Benefit sharing procedures | What procedures must be followed for getting forest products from the CF? e.g. timing, marking etc. What are the rules about collecting different forest products? e.g. what products, quantities, collection times, seasons etc. What are the rules about selling or disposing of forest products? What procedures will be put in place to ensure equity? Will any special provisions be made for particular households e.g. poor? |
| Terms of Reference for the CFMO Management Committee | What are the rights and responsibilities of the CFMO management committee? What are the different roles in the CF management committee e.g. chairperson, secretary, treasurer? What are the responsibilities of these different persons? What are the rules about decision-making by the CFMO management committee? Are the CFMO management committee member positions voluntary or will they receive compensation? |
| Management Committee Formation | How many CFMO management committee members will there be? What will be composition of the committee? Who is eligible to become a committee member? How can the CFMO management committee ensure membership from different social groups e.g. women, the poor, etc.? How will CFMO management committee members be elected? How long between elections? What are the procedures for leaving the committee? |
| Roles and responsibilities of CFMO members | What rights does each CFMO member have? What are the roles and responsibilities (duties) of the CFMO members? |
| Fees | Will CFMO members pay a membership fee? If so, how much and how often? |
| Offences and penalties | What penalties (including fines) will there be for breaking CFMO rules? What penalties are there for any outsiders breaking CFMO rules? How will penalties be enforced? |
| Financial arrangements (funds) | What are the possible sources of funds for the CFMO? E.g. payment for forest products collected by CFMO members for domestic use; payment for forest products collected by CFMO members for sale to outsiders; funds from the sale of forest products collected by the CFMO as a whole; annual membership fees; compensation from CFMO members or outsiders as sanction for breaking a CF rule (fines); donations from outside agencies. Who will be responsible for managing the funds? How will the funds be received and managed? E.g. Bank account? Signatories? Approval for bank transactions? How will records of these funds be kept and managed? E.g. bank cheque/pass books, cash/ledger book, contributions and fines register, etc. What will any CFMO funds be used for? How will decisions be made regarding the use of these funds? |

| | |
|--|---|
| Record Keeping | What records will the CFMO keep? Who is responsible for keeping them? |
| Meetings | How often will the whole CFMO meet and for what purpose? How often will the CFMO Management Committee meet and for what purpose? |
| Conflict resolution | How will disputes be resolved? |
| Amendments and revisions of the CF Management Plan | Who is responsible for making any changes to the management plan? What is the procedure for approving amendments? What is the process for revising the management plan? |
| Annex: List of households (members) List of CFMO Management Committee Members | List all the households who are members of the CFMO along with their village. List all the committee members along with their village. |
| Other e.g. Roles and responsibilities of other stakeholders | What are the roles and responsibilities (duties) of outside agents, e.g. project staff, staff of the state forest management organization? |

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