

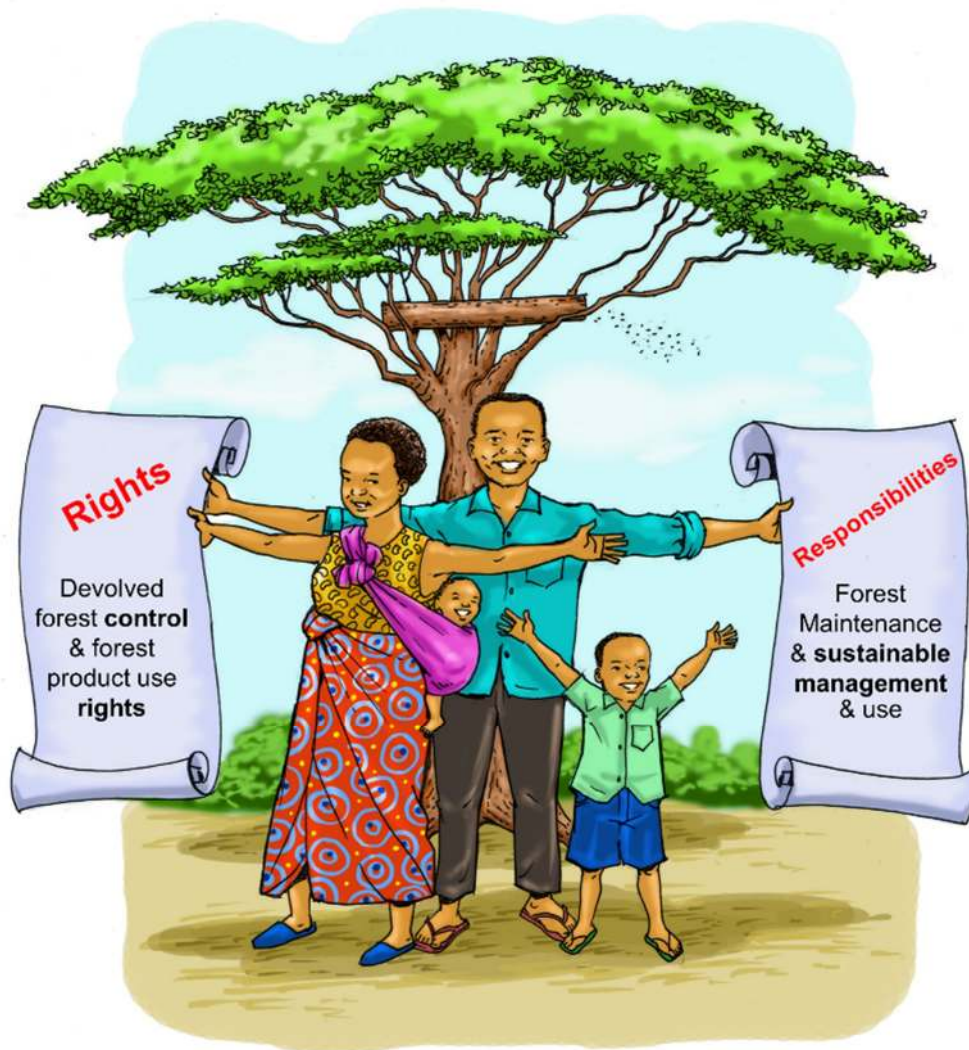


Ministry of Lands &
Natural Resources

NATIONAL GUIDELINES FOR COMMUNITY FORESTRY IN ZAMBIA



Forestry
Department



Community forestry: Strengthening the stewardship of forests on customary land through communal control, use and management, while balancing responsibilities with attractive legal rights, to end uncontrolled forest loss and incentivise community-driven sustainable forest management.

Guidelines under preparation - version July 2018

Acknowledgements

These guidelines have been produced with the support of the Decentralised Forest and other Natural Resources Management Programme (DFNRMP) which is a collaboration between the Governments of Zambia and Finland.

The Guidelines have been developed through a participatory learning process with a range of communities in the Provinces of Muchinga and North Western, with the support of the respective District Administrations and Local Authorities, and importantly the encouragement of the traditional leadership at all levels. The process included support to the Forestry Department with an extensive consultation exercise over 2016 and 2017 which informed the development of the Community Forest Management Regulations, Statutory Instrument #11 of 2018.

The processes outlined in this document were facilitated by Mr Peter O'Hara and Professor Royd Vinya, supported by the Principal Forest Officers of Muchinga and North Western Provinces. These guidelines were drafted by Peter O'Hara with editorial input by the Chief Technical Adviser to the Project, Alastair Anton of Indufo Oy, Finland.

Special mention should go to the community members from all the pilot sites who helped ground the guidelines in local realities through thorough and insightful reviews at various stages in the guideline development process.

These Guidelines reflect the learning from the initial roll out of the Community Forestry process in the country. They should be viewed as a living document that will be reviewed and updated as processes evolve and further learning takes place. We therefore welcome comments and experiences that contribute towards the objective of empowering local communities and traditional leaders through innovative forest management for the purpose of communal control, use and management of forests.

Ignatius N Makumba

Director of Forestry

Acronyms used

CF	Community Forestry or Community Forest
CFMA	Community Forestry Management Agreement.
CFMG	Community Forestry Management Group.
DC	District Commissioner.
DFNRMP	Decentralized Forest and other Natural Resources Management Programme
DFO	District Forest Officer or Office
DPO	District Planning Officer
FD	Forestry Department
GMA	Game Management Area
GPS	Global Positioning System – handset used to map out CF forest boundary.
GRZ	Government of Zambia
GRZO	Government of Zambia officials
HFO	Honorary Forest Officer
PFO	Provincial Forestry Officer or Office
SI	Statutory Instrument - In this case the SI referred to is the Forests (Community Forestry Management) Regulations, number 11 of 2018
WDC	Ward Development Committee

Disclaimer:

These Guidelines were made possible with the support of the Ministry for Foreign Affairs of Finland (MFA) through the Decentralised Forest and other Natural Resources Management Programme (DFNRMP). The views expressed in this report may not necessarily reflect the views of MFA.

Overview

Local communities can now gain new rights to control access and use of their surrounding forests. Through the Forests Act, 2015, the Director of Forestry may recognise, with the consent of the Chief of the area, persons living in close proximity to or having strong traditional or livelihood ties to an area of forest. The Director may enter into an Agreement with the community group to transfer authority to control access, use and management of a designated forest area following consultation with the Chief and the local authority.

The Agreement covers rights to harvest and trade in forest products, including: collection of medicinal herbs; harvesting of honey, grass and grazing of animals; collection of forest produce for community based industries; operating eco-tourism and recreational activities; establishing plantations; harvesting of timber or fuel wood; and many others as set out in the Agreement.

Introduction

The forests in Zambia upon which rural households depend for their livelihoods are disappearing at an alarming rate, 275,000ha per annum (ILUA II, 2016). The immediate drivers of deforestation in Zambia have been identified as agricultural expansion, unsustainable charcoal and wood production practices, unmanaged fires and uncontrolled livestock grazing. However, the underlying drivers include insecure forest tenure and insufficient legal forest use rights for forest communities, which has often created de facto open access and a lack of incentives for sustainable forest management.

The National Forestry Policy, 2014, the Forests Act, 2015 (specifically sections 29 to 35) and the Regulations on Community Forest Management, 2018, combined with the Government policy of promoting decentralisation, provide the policy, legal and institutional basis for greater community involvement in forest management. Strengthening the forest rights and responsibilities of local communities, is intended to achieve the parallel goals of ending open access, promoting enhanced forest management, whilst unlocking the full potential of sustainable forest use for economic development in the forest communities. The National Forestry Policy recognises the need to empower local communities and traditional leaders in order to ensure adequate protection and management of forests. It has been recognised that forest dependent communities are the best stewards of their local forest resources if their forest rights are secure. They have both the most to lose from its destruction and most to gain from its good management. The Community Forestry approach provides an incentive mechanism and capacity development process to make this a reality.

A community forest as defined in the Forests Act, 2015, means a forest controlled, used and managed under an agreement between a community forest management group and the Forestry Department. Community Forestry can be applied on land that falls under customary authority as well as in Local Forests and National Forests (refer to sections 15 (1) and 21 (1) of the Forests Act and according to The Forest (Community Forest Management) Regulation, 2018 section 4, Open areas, Game Management Areas and any other type of forest at the discretion of the Director of Forestry.

Successful and self-sustaining community forestry requires an attractive incentives balance that is sufficient to motivate communities to invest time, effort and resources in forest protection, maintenance and management in the long term. These incentives include devolved tenure control over a forest and new use rights. Combined these rights must be sufficient to outweigh the burden

of increased forest protection and management responsibility that the community takes on. The importance of this incentives balance is highlighted in the 'Community Forestry equation' (below).



In the Forests Act, 2015 the following are some examples of the rights and responsibilities devolved to communities through community forestry in Zambia.

Rights:

- **Recognition of a community forest management group:** Recognises the rights of households and communities living in close proximity to or deriving their livelihood from or having strong traditional ties to the forest to be given the opportunity to join a Community Forest Management Group (CFMG) which may apply to the Director of Forestry for recognition with the consent of the Chief.
- **Secure tenure through forest user rights:** The CFMG shall apply to enter into a Community Forest Agreement to secure forest user rights which will enable the CFMG the right to issue community permits and collect revenue for forest products and uses provided for in the community forest management plan. The Community Forest Management area shall be for the exclusive use of the local community represented by the CFMG.
- **Economic rights for forest uses and products:** The Community Forestry Agreement covers rights to harvest and trade in forest products, including: collection of medicinal herbs; harvesting of honey, grass and grazing of animals; collection of forest produce for community-based industries; operating eco-tourism and recreational activities; establishing plantations; harvesting of timber or fuel wood; and many others as set out in the CF Agreement.
- **Rights to control access:** In order to protect, manage, control and utilise sustainably, CFMGs have the right to develop and enforce local rules, regulations and sanctions in conformity with customary laws to facilitate effective management of the forest.

With rights come **Responsibilities**. Interested communities should:

- **Identify a non-contested area** in consultation with all local forest users and other rights-holders of the proposed community forest area and with consent of the local traditional leaders, agree a defined forest area with due consultation with adjacent communities and land owners.
- **Democratically elect representatives and manage equitably:** Ensure the operation of the Community Forest Management Group, management of funds, sharing of benefits and selection of leaders shall be based on transparency, fairness, impartiality and non-discrimination.
- **Adhere to sustainable forest management principles:** Protect, conserve and manage the community forest pursuant to the community forest agreement and management plan, consistent with traditional forest use rights and in accordance with principle of sustainable forest management.

Who are these Guidelines for and how should they be used?

These guidelines are intended to be used by facilitators, coordinators and participants in the Community Forestry process as well as provide reference material to government agencies, NGO, academic and funding institutions who play a supporting, enabling role or have an interest in community forestry. Prior to a team facilitating the Community Forestry process, it is essential that they are fully aware of the rationale and principles of Community Forestry and an overview of the steps and the requirements of the Community Forest Management Regulations, 2018. At the beginning of each step in the process, more detailed practical training should be given. The role of the facilitators of the Community Forestry process is primarily focussed on impartially guiding the process, with community members in the driving seat, making informed decisions.

Facilitators should also adapt the process outlined in this generic guide to the specifics of the context of the community as well as the forest to be managed. The process is designed to be flexible enough to build on and from a range of scenarios and land tenure situations. It is also essential to translate materials into local language, or visualisations and conduct the process in a language and using methods that will be as engaging as possible for the majority of stakeholders. Great care should be taken to engage all key stakeholders and users of the forest, especially those highly dependent on forest resources, including marginalised groups and women.

Common misconceptions on community forestry

Before beginning the Community Forestry establishment process outlined in these guidelines, it is important to be familiar with some common misconceptions on community forestry so these can be addressed during the process as required. Some examples are included in the table that follows.

Common CF misunderstandings	Actual Community Forestry Principles
Community Forestry takes away customary forest and use rights from communities.	Community Forestry is in effect the opposite of taking away forests or use rights from communities, rather it is the strengthening of customary control and use rights with legal backing to end de facto 'open access'. Also, Community Forestry is based on the principle 'use it or lose it', it is not a reserve or preservationist approach. It fully recognises that forests are an important renewable livelihood resource, often for some of the most marginalized groups in the community. Forests can and should be used by communities according to sustainable forest management principles. Community Forestry recognises that benefits from the forest are key to incentivise management of it and that wise management and use are entirely compatible with developing an ecologically healthy and productive forest. In fact, internationally the best managed Community Forests are also those where forest user rights including commercial user rights for communities are the strongest.
Community Forestry is a project	Community Forestry is fundamentally a government and policy backed programme of devolution of control of forest resources, part of the general move towards decentralization. In Community Forestry the driving incentives should be long term and forest-based, not temporary project-based. Projects may support Community Forestry, but the success or failure of Community Forestry and its sustainability will depend on whether the rights for communities are strong enough to control access and to use and add value to forest products to enable the 'forest to pay its way' as a land use. Whether the process is feasible and practical to implement without project support will also be key to success.

Common CF misunderstandings	Actual Community Forestry Principles
<p>Community Forestry imposes communal control and solves inequity.</p>	<p>Although rights and responsibilities will be devolved to a recognised representative community group – the CFMG, how the forest management is best undertaken within that community should be defined by that community and built upon any customary use rights or tenure systems that exist. This may take the form of individual management, family or clan management, user group management or communal management or a mixture of these for different forms of management. Community Forestry is also not designed to socially re-engineer communities to level out all inequities. Although it does aim to have an inclusive process, it is important to be realistic as to what CF can and can't achieve, imposing too big a revision on existing cultural norms and structures can sometimes be counterproductive to the aims of Community Forestry.</p>
<p>Community Forestry encourages forest destruction.</p>	<p>Community Forestry has proven to be one of the most socially acceptable and effective ways internationally to reduce deforestation and motivate active forest management, with use rights playing a key role in incentivising protection and management. The biggest threat to natural forests by far is conversion to agriculture, not forest use. Within community forestry, stopping or discouraging forest use can be counterproductive, it reduces the value of the forest and increases the motivation to convert the forest to agriculture. It can often simply displace use outside the community forest area into other forest areas where the use will not be controlled. Even if the forest is currently degraded encouragement of sustainable use can motivate good long-term management. Unsustainable forest use happens mainly because of 'open access' and the uncontrolled nature of use in forests before they come under community control. Community forestry ends open access and introduces control, within this context wise use becomes a friend of the forest, not an enemy. The key to making community forestry attractive and effective in avoiding deforestation, is by making legal use in community forestry relatively easy, whilst making illegal use outside Community Forests more difficult. It is also important to quickly scale up community forestry so that it covers landscape level areas, so that community forestry produce no longer has to compete with illegal produce and local market prices for forest products better reflect the investment in sustainable management by communities.</p>

Roles of key stakeholders in Community Forestry

Forestry Department

The Forestry Department (FD) have a key role to play in promoting community forestry, in raising awareness on community forestry, in responding to requests to join the programme, facilitating the process of community forestry establishment and in service provision and extension to interested communities to assist them strengthen their protection, development, use and marketing of community forestry forest products. The Forestry Department plays a key role in supporting applying communities to get through the process of CFMG recognition and community forestry agreement application, getting their paperwork complete, to ensure quality in the process and outputs and are signatories to both the recognition of the CFMG and on the Community Forestry Agreement itself. Most of the technical support for community forestry establishment and implementation will be

provided by the Forestry Department and it is mandated to fully institutionalise Community Forestry into their operational plans and budgeting processes.

Role of the Local Authorities

Through decentralisation, local authorities have a key role to play to establish and support community forestry and to ensure that community forestry is fully integrated into local development plans with good cross sectoral linkages. Community forestry is not only about forestry but impacts on agriculture, water, poverty alleviation, community resilience, local governance etc. so it should not be seen only as the responsibility of the Forestry Department. It is therefore essential that Local Authorities also institutionalise community forestry into their operational plans and fully inform all relevant government departments on the implications of community forestry including the judiciary and law enforcement authorities. It is the mandate for every district in the country to promote Community Forestry:

‘A local authority shall, for forests within the jurisdiction of the local authority, identify and support and encourage local communities to apply to the Director for control, use and management of areas of forests for the purposes of social, cultural and economic needs’. Section 3. The Forests (Community Forest Management) Regulations, 2018

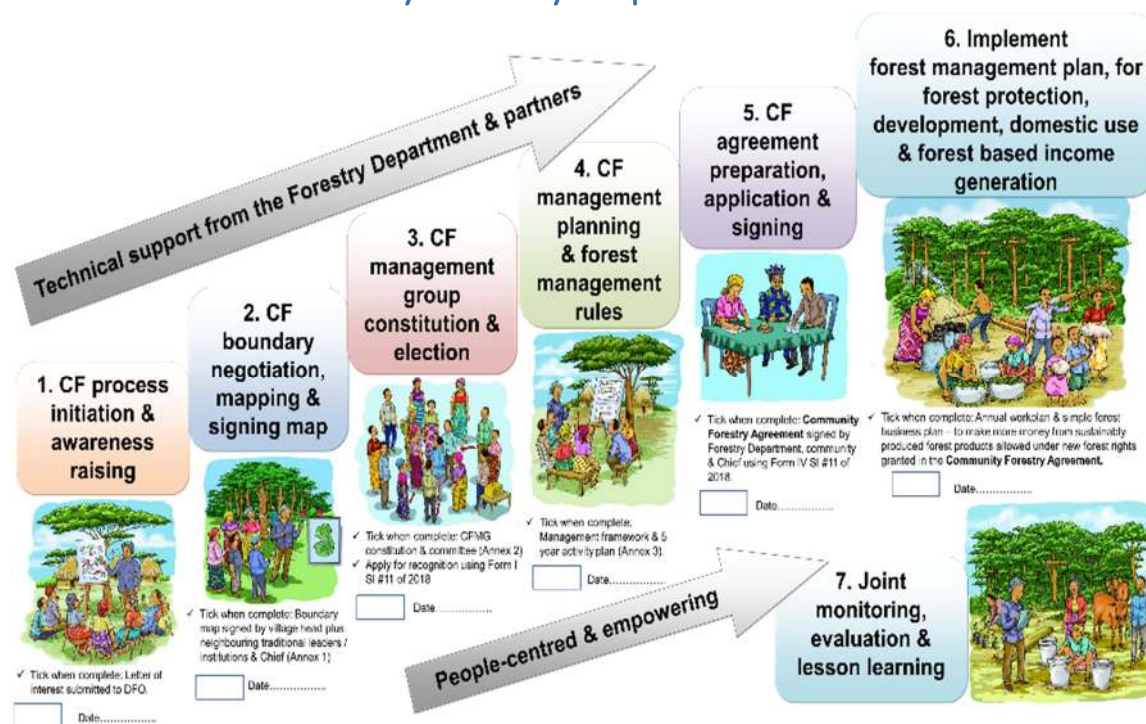
Role of the Traditional Authorities

Traditional leaders at all levels play a very central role in community forestry, as community forestry is focussed on strengthening traditional and community control over the forest resources. They have a key role in clarifying claims and customary rights, ensuring traditional knowledge and customs are fully embraced in the process, providing mentorship and guidance to communities and helping avoid, manage and resolve any conflicts in the process. As key parties in the process the Chief must provide written consent to the recognition of the community forest management group and as a signatory to the Community Forestry Agreement.

Role of communities

Community members must request to join community forestry, must commit to not converting the forest to permanent agriculture and to manage and use the forest sustainably. As key rights holders they must take the lead in controlling access to the forest, ensuring benefits from sustainable use are maximised. They also take on a lot of organisational responsibility through implementation of their management plan as well as ensuring that the CFMG is representative, fair and transparent in its operations.

Overview of Community Forestry Steps:



Note: although the steps are placed in a linear fashion for ease of understanding, it is good to revisit and revise outputs from previous steps as understanding is gained by the community. This may include: revising the constitution; revising boundaries to increase the area under management; reviewing rules for use and harvesting methods; revising activities in the management plan.

Outline of the Guidelines

Various 'how to' steps have been developed in these guidelines to assist communities and supporting facilitators and other stakeholders to prepare for effective community forest management, for understanding the associated community rights and responsibilities. The guidelines are designed to build capacities for community forestry whilst ensuring the process is highly participatory and yet practical and feasible enough to implement nationwide without the need for external financial support. Each step in the process has been structured in the following way;

Purpose: Explaining the reasons for doing the step.

Overview: A brief summary description of the step.

Summary process: A condensed overview of the sub steps.

Key activities: A more detailed description of the activities within the step.

Tip box: Key advice with regards to facilitating the step.

Outputs: A checklist of the key outputs from the step.

Annexes: Links to required forms and guidance material for the step.

Step 1. Community Forestry process initiation and awareness raising.

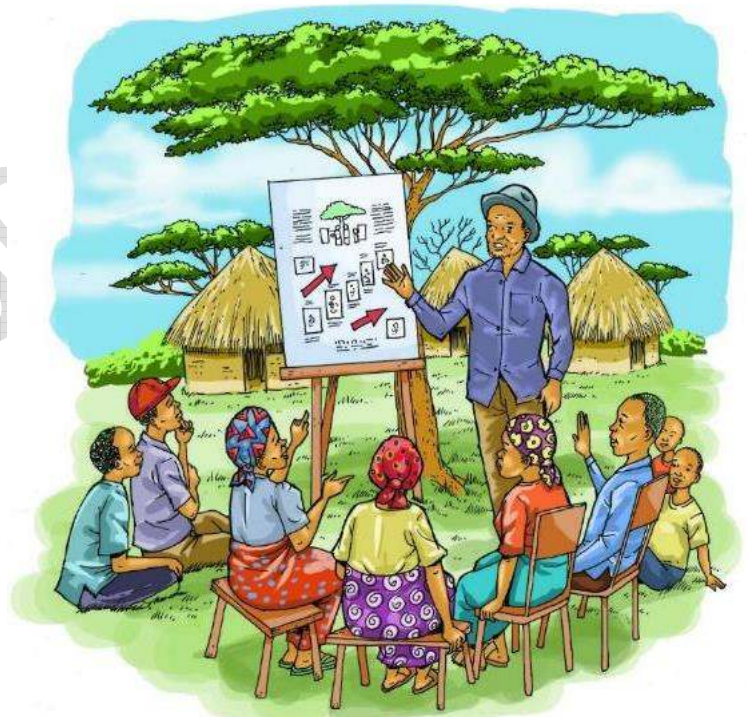
Purpose: To set up and train the Community Forestry coordination and facilitation team, inform all relevant stakeholders about Community Forestry and seek community interest to voluntarily establish their own Community Forest.

Overview of the step

This step involves creating the conditions for initiating community forestry in your area, building a team to facilitate the community forestry steps and fully informing all concerned stakeholders on community forestry. The output is a letter indicating the interest and commitment of the community to engage in Community Forestry and move on to the subsequent steps.

Summary Process

- a) Raise awareness on community forestry with all key decision makers at provincial, district and traditional authority level
- b) Form & train the community forestry facilitation team so that they fully understand community forestry processes and approaches.
- c) Disseminate publicity material on community forestry including the steps poster to communities.
- d) Conduct awareness meetings with community groups.
- e) Community express interest in community forestry and prepare letter of interest as evidence of being fully informed on CF and voluntarily committed to join.
- f) Review of eligibility of the applying community.



Initiating the Community Forestry process and awareness raising - key activities

Key activities	Description
a) Raise awareness on community forestry with all key decision makers at provincial, district and traditional authority level	Before initiating community forestry in a new area it is essential to get all relevant decision makers on board in terms of understanding and buy-in of community forestry, this should include other relevant government departments, councils, judiciary etc. Special attention and respect must be paid to traditional leaders. This should be done in a series of meetings and through using relevant awareness raising materials, for example the community forestry posters. It is also essential to provide awareness on the legal basis for community forestry, notably the Forests Act 2015 and the Community Forestry Regulation (SI) of 2018.
b) Form & train the community forestry facilitation team so that they fully understand community forestry processes and approaches.	<p>This should include the Forestry Department, other relevant government departments, NGOs and traditional authorities that have an interest in or suitable skills to bring to the process.</p> <p>Train the teams on community forestry and integrate the community forestry process coordination and facilitation into operational plans for example of the Council and Forestry Department, allocating sufficient resources for the community forestry process.</p>
c) Disseminate publicity material on community forestry including the steps poster.	<p>Raise awareness using communication materials - posters/visual aids/brochures/radio broadcast in local language on community forestry, that cover rationale and principles, rights and responsibilities, community forestry steps and also criteria for joining community forestry should be used to inform all stakeholders.</p> <p>Using the communication materials conduct an awareness raising campaign with all key stakeholders (See Annex 2 for awareness raising poster/leaflet). This must include a full briefing and engagement of the traditional authorities as soon as possible and with their full support conducting community meetings.</p>
d) Conduct awareness meetings with community groups	Hold community awareness raising meetings using the posters, provide guiding criteria for a suitable site for a community forest (See text box that follows) and address any misunderstandings and provide them with a template for the Letter of Interest (See Annex 2).
e) Community express interest in securing rights over their forest and prepare letter of interest as	After being fully informed, if interest is shown (note that joining community forestry is entirely voluntary and this letter is designed to ensure informed demand for community forestry) assist village head to fill out the expression of interest letter (See template in Annex 2), noting that at this stage the site selection is only

evidence of commitment	tentative. This letter is submitted to the District Forest Officer (DFO).
f) Review of eligibility for community forestry	DFO reviews letter of interest, conducts investigations as required and if it tentatively meets the criteria for joining community forestry approves and helps organise the commencement of the next steps in community forestry process.

Guiding checklist for identification of a suitable site for a community forest (only a guide, discretion is encouraged):

- ✓ **Uncontested.** The requesting community or communities have strong and uncontested customary claims over the forest, backed by traditional authorities, with no unresolvable conflicts and with no incompatible interests or claims over the area from other entities. Note that access rights for neighbouring communities can continue if this is mutually agreed and in line with community forestry principles.
- ✓ **Commitment.** The requesting community in the long term is committed to keep the forest rather than convert to **permanent** agriculture and is willing to protect, manage and use it sustainably.
- ✓ **Without settlements.** Ideally there are no settlements inside the forest. If there are a few settlements inside the forest these settlers must voluntarily agree to move or not expand permanent clearing of the forest.
- ✓ **Good condition.** Ideally where a substantive proportion of the forest is in good condition so that communities can get benefits relatively quickly. The investment/return in maintaining a good condition forest is much more favourable than the cost of rehabilitating a degraded forest. So good condition forest should be prioritised.
- ✓ **Appropriate size.** The area is not too small to be viable in terms of generating sufficient benefits or too big for the community to handle control and management.
- ✓ **Accessibility.** Both for ease of control/management and for extraction and selling of products there must be a consideration for accessibility of the forest to the community.
- ✓ **Boundary considerations.** Ideally where the boundaries are clear (not essential, but helpful), e.g. existing physical features, stream beds, paths, hills etc.
- ✓ **Do no harm.** Community forestry is an inclusive process designed to support especially vulnerable members of communities. It is important that community forestry establishment will not cause involuntary displacement or significant harm to livelihoods to forest area residents or users.

Tip box

- It is important to clearly articulate that community forestry is a **government programme** based around devolution of forest resources with legal backing to strengthen and build upon customary control and use rights.
- When raising awareness in communities, ask community representatives to summarize aspects of community forestry and present back a summary, to assess whether they have understood everything.
- Communication and raising awareness on community forestry where other entities have claims or authorities, for example Game Management Areas (GMAs) – ensure relevant wildlife officials are involved from an early stage. Verify if community resource boards and other groups are formed and active in the area.

Access to resources to facilitate community forestry

Investigate possible sources of funding to support the facilitation of the Community Forestry Process. Potential sources include:

- Local authority, levies
- Appropriation in Aid resources
- Forestry Development Fund
- Development Cooperation Projects and Programmes

Checklist of outputs

- ✓ Provincial, district level and traditional leaders engaged early to ensure they are aware and support the community forestry process.
- ✓ Community forestry coordination and facilitation teams set up and trained on community forestry.
- ✓ Community forestry communication materials prepared.
- ✓ Community meetings held explaining the community forestry process.
- ✓ Letters of interest (Note that this is not the community forestry agreement application referred to in the Forests Act, that comes in step 5) to initiate community forestry process submitted to DFO.
- ✓ If the DFO is tentatively satisfied that the site will be eligible for community forestry (See text box above on criteria for community forestry site selection) then approves moving on to the next steps in the community forestry process.
- ✓ Resources are secured to support the facilitation and approval process.

Relevant Annexes:

Annex 1. Relevant parts on Community Forestry of the Forests Act 2015 and the Statutory Instrument on Community Forestry 2018.

Annex 2. Community forestry awareness raising poster.

Annex 3. Format of Letter of Interest to start the community forestry establishment process.

Annex 4. Example letter of interest.

Step 2. CF boundary negotiation, demarcation and mapping.

Purpose: Identification of suitable uncontested site for community forestry through broad consultation and negotiation. Once identified, developing a clear community forest boundary on the ground and making a map which is approved and signed by neighbouring communities and by the Chief.

Overview of the step.

This step involves 'ground truthing' that the proposed community forestry site indeed satisfies the criteria for a community forest (stipulated in the text box in step 1). It identifies all relevant stakeholders who have an interest in or use the proposed site and ensures a full negotiation of the boundary both on a sketch map and finally in the forest itself. The forest boundary is physically mapped, GPS coordinates of the boundary taken, a map is produced and then signed by representatives of neighbouring communities and the chief to ensure the area is not contested. This map is a requirement for the subsequent community forestry agreement.

Summary Process

- a) Identify all user groups, communities and stakeholders who have a claim over, interest in or use the forest.
- b) Negotiate the agreed area for the community forest on a sketch map with stakeholders.
- c) Enter the forest with representatives of key stakeholders and negotiate the agreed boundary, mark physical boundaries once agreed. Using GPS develop a boundary map.
- d) Produce the map in the office using simple technology.
- e) Get the map signed by neighbouring communities, Chief and any other concerned stakeholders



Boundary negotiation and demarcation - key activities

Activity	Description
a) Identify all user groups, communities and stakeholders who have a claim over, interest in or use the forest.	Conduct a participatory mapping exercise (See Annex 5 for guidance) to identify a proposed community forest site in accordance with site selection criteria (See text box in Step 1) with the village head man/men and key community representatives to identify all key forest user groups within the community, neighbouring communities and others with an interest or claim over the site. Also conduct a relationship mapping exercise (See Annex 6 for guidance) to identify any potential conflicts between stakeholders. Do not accept this sketch map by the target community as the proposed community forest, this has to be verified by neighbouring communities, forest users and other claimants.
b) Negotiate the agreed area for the community forest on a sketch map with stakeholders.	<p>Meet with forest user groups from within community or those residents in or around the forest to ensure they are informed and voluntarily support the introduction of a community forestry in the forest and are fully aware of the implications.</p> <p>Bring the sketch map and meet with neighbouring communities, traditional authorities and other interested parties to verify this is an uncontested site for a Community Forest. Be very careful to involve any other entities that have claims or interests, for example if the area is part of a Game Management Area (GMA), representatives must be engaged.</p> <p>Identify suitable representatives from the consultation meetings for the subsequent boundary negotiation and demarcation exercise.</p>
c) Enter the forest and negotiate the agreed boundary, mark physical boundaries once agreed using GPS and develop a boundary map.	<p>Call together representatives from forest users of the target community or communities, neighbouring communities, traditional authorities and other concerned parties to discuss the sketch map, see Annex (5&6). Where there is any disagreement on the boundary, try to find a compromise.</p> <p>Once agreement has been reached on the sketch map then plan out visits to the forest to mark out the boundary and identify from the representatives who needs to be present for which boundaries.</p> <p>During boundary negotiation in the forests, trees should only be marked <u>once agreement</u> has been reached on the boundary. If there is no agreement, no marks should be made, or if a key stakeholder is missing, no marks should be made.</p> <p>Often trees can be initially marked with a simple blaze mark, whilst GPS coordinates are taken. Later paint on trees, signs, fire break etc. especially where there is no physical boundary, can be added.</p>
d) Produce the map in the office using simple technology	Download data to computer using GPS software to develop simple map and print the map. Save the GPS data in a secure electronic file for future reference. Alternatively, save data and send file to the District Planning Officer, Provincial Planner or Provincial Forest Officer for further processing.
e) Get the map signed by	Bring copy of map to village head, neighbouring headmen, and finally the respective Chief for signing. File both electronic and hard copy of map for

neighbouring communities, Chief and any other concerned stakeholders	later CFMG and CF Agreement application. A map is a requirement for the recognition of the CFMG at the end of the next step and as an annex to the community forestry management plan to be submitted for the CF agreement.
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Tip box

- **Refer to site selection guidance.** Whilst going through this step, ensure that the guidance on selection on a CF site contained in a text box in Step 1 are consulted on.
- **Never take the word of only the target community on the boundary of the community forest.** Verification with neighbouring communities must always be done. Sometimes communities have used community forestry in an attempt to strengthen their claims over contested forest areas, so it is essential as early as possible to visit neighbouring communities, even if these have not been identified as 'stakeholders' by the target communities.
- **Avoiding conflicts is better than managing them.** Investing time and effort in good engagement of users, neighbouring communities and other entities with interests or claims over the proposed area BEFORE demarcation and mapping is done is essential to avoid problems later that could take years to solve. Therefore a few days invested to avoid these problems is time well spent.
- **If the area remains contested do not impose Community Forestry.** This step often requires good facilitation and mediation skills. This means that all viewpoints should be listened to. Where there is not consensus on an area, aim for compromise, give and take between different claims, find a boundary that is acceptable to both sides or reach an agreement to share the forest. However, after this if it is still not clear that the area is not uncontested, a solution should not be imposed. If an accommodation cannot be negotiated between concerned parties, this site might have to be left until a time the communities can reach an accommodation in the future. Never impose Community Forestry on a contested area, this will undoubtedly lead to a conflict. It is more efficient to simply move on to other areas that are not contested.
- **Clearly explain what GPS is and the purpose of the map.** Taking out an electronic gadget can arouse suspicion in communities. Carefully explain and demonstrate how GPS works and that the map produced will form part of the community forestry agreement, and that when the map is produced before it can be accepted it has to be signed by representatives of neighbouring communities and the chief.

Checklist of outputs.

- ✓ Stakeholder identification done of all user groups, neighbouring communities and other stakeholders with claims or interests in the area.
- ✓ Sketch map drawn and agreed by representatives of all concerned stakeholders. Note that for the CFMG group recognition – See step 3 a sketch map is required, so this will suffice if the final GPS map is not produced in time for Step 3.
- ✓ Boundary of Community Forest negotiated in the forest with participation of representatives of concerned stakeholders and where necessary physical boundary marked and GPS coordinates taken.

- ✓ Map developed and signed by neighbouring community representatives, any other concerned stakeholders and the Chief and both hard copy and electronic copy are filed along with all the coordinates.

Relevant Annexes:

Annex 5. Participatory mapping exercise guidance.

Annex 6. Relationship mapping guidance.

Annex 7. Guidance on conflict management.

Annex 8. Example signed CF boundary map.

Under development

Step 3. Community Forest Management Group Formation (CFMG) – election of office bearers and recognition of group by the Director of Forestry.

Purpose: Transparent and democratically selecting a merit-based Community Forest Management Group (CFMG) and attaining recognition of that group by the Director of Forestry.

Overview of the step.

This step involves a process of developing a constitution for a CFMG, identifying roles and responsibilities, then conducting a transparent and democratic process for the election of office bearers in the CFMG. Then follows the application for recognition of the CFMG which is one of the two key applications that a community make in the Community Forest process, the other being the application for the Community Forest Agreement (See step 5)





Summary Process

- a) Forest user groups and all affected stakeholders in the target community confirmed.
- b) Organise a general assembly of the village ensuring invitations for all identified groups to develop a constitution for the CFMG, which includes roles and responsibilities of office bearers.
- c) In general assembly hold an election for office bearers.
- d) Put together the requirements for the application for CFMG recognition including consent of the Chief and submit to the DFO.
- e) The PFO reviews the application before submitting to the Director- if more information is required the application is referred back to the community to revise and resubmit.
- f) Internal review and processing of the application by the Forestry Department Headquarters



Community Forest Management Group - election of office bearers and submission - key activities

Activity	Description
a. Forest user groups and all affected stakeholders in the target community confirmed.	Conduct a forest user and enterprise group analysis (See Annex 9) for guidance in the community to ensure all affected and appropriately skilled user groups are identified to build the CFMG on existing users and skills. Note that this should include highly forest dependent stakeholders and currently illegal/informal users and enterprises within the community who wish to formalize under CF.
b. Organise a general assembly of the village ensuring invitations for all identified groups to develop a constitution for the CFMG, which includes roles and responsibilities of office bearers.	<p>Organise a community general assembly with broad representation of forest users (based on user analysis exercises), especially most forest dependent sections of the community and women who often rely heavily on forest products such as collecting firewood and mushrooms. Take care to ensure good representation of all geographical sections of the community.</p> <p>Use the guidance constitution (See Annex 10), as a basis for discussion and develop this to suit the specifics and needs of the community. Additions may be required, for example if the community is made up of several villages, a requirement that office bearers should come from different villages can be added.</p> <p>Develop the roles and responsibilities for different office bearers to fit the specifics of that community and the forest.</p> <p>Explain the roles, responsibilities and application process for the Honorary Forest Officer (HFO) (See Annex 11.)</p>
c. In a general assembly hold an election for office bearers.	<p>Review guidance/process for conducting CFMG office bearer elections (See Annex 12) and if required revise until there is agreement on the process to follow.</p> <p>Let community members nominate candidates for each executive committee position, either self-nomination or peer nomination. This can be done verbally – with a justification given by the nominator of why that person fits the role. Ask for other people to ‘second’ the candidate’s nomination and for the candidates willing acceptance of the nomination.</p> <p>For committee members ask the user groups to nominate their heads/representative, if there is more than one candidate per user group a secret ballot can be held within the concerned user group to determine the representative. Honorary forest officer can be elected by the executive committee and can have a dual role of head of protection/development.</p> <p>Have secret ballot voting system for when there is more than one candidate (e.g. baskets/boxes for each candidate in a separate room, and people are given a piece of coloured paper (or some other material not readily available in the village) which they drop in the basket they prefer) so that most suitable people for positions are selected freely and fairly.</p> <p>Inform community of the results of the election and provide opportunity for appeal. Ideally place the results of the election on a flip chart or circulate on an A4 paper so that all community members who did not attend the general</p>

	assembly are involved. If there are any appeals made against the result of the election process that are valid, consider holding a second election.
d. Compile all documents for the CFMG recognition application and submit to the DFO for review, the Chief for signed consent, then back to the DFO for onward submission.	<p>All documents for the application (See Form I of the Statutory Instrument in Annex 1 and text box that follows) for recognition of the CFMG are compiled by the CFMG with the assistance of the DFO.</p> <p style="text-align: center;"></p> <p>The DFO checks all documents are in order and complete, if not they are returned to the CFMG for completion.</p> <p style="text-align: center;"></p> <p>The CFMG recognition application is then passed to the Chief for review, and if all is in order the Chief gives written consent in Form 1 of the Statutory Instrument.</p> <p>The DFO submits to the Provincial Forest Office (PFO).</p> <p style="text-align: center;"></p>
e) The PFO reviews the application before submitting to the Director- if more information is required the application is referred back to the community to revise and resubmit.	<p>The PFO conducts a verification process and fills the required checks and remarks in Form 1. These include:</p> <p>a) The applicant has consulted all local users and other rights-holders of the proposed forest area and has received consent of the local traditional leaders to agree a defined area of responsibility with due consultation with adjacent communities and land owners, with signatures on the submitted sketch map signifying consent to the proposed area.</p> <p>b) The applicants are:</p> <ul style="list-style-type: none"> • members of a village in or near a forest; • managing a forest or part of a forest; or • desirous of managing a forest or part of a forest, and • citizens residing in the community area for a minimum of 2 years. <p>c) The intention of the group conforms with the principles set out in section twenty nine of the Forests Act, 2015.</p> <p>d) The Sketch map of the proposed location and area to be established as a community forest is suitable to be a community forest area and has sanction of neighbouring communities/ users/ owners (as appropriate) and is attached to this application form.</p> <p>e) The intention of the applicant for the area achieves a balance between forest protection and management, development, utilization and forest enterprise development.</p> <p>f) External stakeholders and issues for attention (eg GMA etc) and consultation are identified and action identified.</p> <p style="text-align: center;"></p>
f) Internal review and processing of the application by the Forestry Department Headquarters	<p>Form I is then submitted to the Director of Forestry who must within 21 days of receipt in writing on the provided section in Form 1, either recognise the CFMG or reject the application. If the application is rejected, form III of the Statutory Instrument (See Annex 1) should be filled by the Director of Forestry stipulating reasons for failure and delivered back to the CFMG with their application.</p> <p>If there is the need for any missing information this is then sent as a request (See form II in the CF Regulations in Annex 1) back to the CFMG who must revise the application accordingly and resubmit.</p>

	In accordance with the stipulations in the Regulations, if the Director fails to respond within 21 days from the time it was lodged, the application will be considered approved and the group recognised.
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Tip box

- **Minimize overlap between CFMG constitution and Forest Management bylaws.** The constitution should focus mainly on organisational matters associated with the CFMG, rules and internal regulations on forest management will be developed in forest management byelaws in Step 4.
- **CFMG office bearers must be representative of all forest users.** It is essential to inform and engage all forest users in the process of CFMG elections. This includes any user groups conducting currently illegal/informal activities in the community forest. Bringing these groups into the CFMG not only ensures their skills and knowledge of the forest, forest use and enterprises are harnessed but also helps convert groups engaged in uncontrolled use into legal and sustainable use.
- **Adapt the process to fit the community.** It is important to adapt the constitution and election process to fit the specifics of the community. Not all communities are homogenous and therefore sometimes require deliberate representation of different sections of the community. For example, representatives of different clans or geographical sections of the community.
- **Careful quality check of application by the DFO.** It is best that the CFMG application requirements are checked carefully by the DFO so that any deficiencies can be rectified locally.

Checklist of CFMG recognition application requirements – See form I the Statutory Instrument in Annex 1.

- ✓ Sketch map of the proposed community forest area.
- ✓ Constitution of the CFMG
- ✓ Completed application form for the Honorary Forest Officer(s) – See Text box that follows for terms of reference and roles and Annex 11 and 14.
- ✓ Filled application form (Form I of the Statutory Instrument (See Annex 1)) for recognition of the CFMG.
- ✓ Included in Form I is the need to have a statement of intent indicating a willingness to engage in sustainable forest management practices.

Roles for an Honorary Forest Officer – key points. **Check with final published**

A person appointed as an Honorary Forestry Officer through notice in the Government Gazette shall discharge the functions and perform the duties of Forestry Officer subject to the provisions of the Forests Act No. 4 of 2015, Cap 199 of the Laws of Zambia and to the terms contained herein:-

- An Honorary Forestry Officer shall discharge the functions and exercise the powers of a Forestry Officer within the boundaries of the district in which they are appointed, for a period of three years from the date of publication of this order subject to renewal;
- An Honorary Forestry Officer shall carry out all duties on a voluntary basis at his/her convenient time and shall report to the District Forestry Officer as appropriate;

- Honorary Forestry Officers shall attend regular meetings for planning, strategizing and reviewing operations in their area of jurisdiction facilitated by Forestry Department Officers;
- Honorary Forestry Officers shall, when requested, provide specialist services, material support or any other duties towards sustainable forest management from time to time;
- Honorary Forestry Officers shall at all times carry the official Forestry Department identity card during operations.
- Assist the CFMG IN enforcing the provisions of the national law and local rules
- Working with CFMG members protect and restrict access to the community forest area by persons not part of the CFMG;
- Working with CFMG members assist to control restricted activities within the demarcated
- Issue harvesting permits in the CF;
- To fill in and report forest offences to the DFO;
- Arrest and take offenders to court;
- Complete the seizure note where necessary and keep safely the items confiscated to be produce later in court.

Checklist of outputs of this step

- ✓ Full internal stakeholder analysis conducted within the community.
- ✓ Awareness raised on the election of the CFMG among all sections of the community.
- ✓ General assembly called in the community.
- ✓ CFMG constitution reviewed/revised and tailored to the community requirements.
- ✓ Suitable candidates nominated.
- ✓ Secret ballot held.
- ✓ Nominated and elected representative agreed.
- ✓ Filled and submitted forms for CFMG recognition and Honorary Forest Officer.
- ✓ Consent given by Chief for the CFMG recognition,
- ✓ Recognition of CFMG and Honorary Forest Officer.

Annexes:

Annex 1. Statutory Instrument. Forms I,II and III

Annex 9. Forest user group analysis guidance.

Annex 10. Generic guidance constitution for the CFMG.

Annex 11. Guidance and application for the Honorary Forest Officer

Annex 12. Guidance on conducting the CFMG election.

Annex 13. Example of CFMG constitution and committee.

Annex 14. Example of a filled Honorary Forest Officer application.

Step 4. CF Management Planning and Forest Bylaw formation.

Purpose: To enable the community to collectively develop a practical guide and accompanying rules to manage the forest sustainably and productively, balancing forest use and enterprises with protection and development. The community forest management plan is also a requirement for the application for a community forestry agreement.

Overview of the step.

This step involves an analysis of the forest condition, existing uses and user groups, supply and demand analysis of forest products to develop a simple forest management plan that will act as a guide for the community in implementing forest management that balances enhancing the forest condition and productivity with maximising sustainable returns from subsistence and sale of forest products. Accompanying the management plan are a set of bylaws which lay out the rules around wise use and harvesting practices and stipulates penalties for rule breakers.

Summary Process

- a) Along with CFMG executive, gather together representatives of all forest user groups.
- b) Develop a participatory resource map identifying all types of forests, uses and users. Identify transect walk on the map which cuts through different forest types.
- c) Conduct a rapid forest resource assessment in the forest during the transect walk.
- d) Review existing forest management and use practices and discuss how to improve the productivity of the forest.
- e) Develop the 5-year forest management matrix, which includes forest product supply and demand analysis and the development of actions for protection, development, use and marketing of forest products as well as local bylaws.
- f) Raise awareness of the management plan and bylaws which includes penalties for rule breakers.
- g) Prepare the management plan and bylaws both on flip charts for the community and on A4 for the subsequent submission as part of the Community Forest Agreement application.



Community forest management planning – key activities

Activity	Description
a. Organise general assembly of all forest users	Call together the forest management executive committee and a broad representation of all forest users and all sections of the community (including gender balance and poorest of the poor) and importantly those with existing expertise and experience in forest use and enterprises (including previous informal/illegal forest enterprises).
b. Develop participatory resource map. Identify transect walk on the map which cuts through different forest types.	Using guidance (See Annex 15), develop a participatory resource map of the forest, identifying forest types, uses and users. On the map identify a suitable transect walk that crosses most forest types.
c. Conduct rapid forest resource assessment.	On a forest transect walk, in each forest type conduct a rapid participatory forest assessment using the Forest Resource Assessment guide (See Annex 16)
d. Review existing forest management and use practices and discuss enhancements.	<p>In a meeting with all forest user representatives develop the management matrix. This includes a discussion over current and desired future condition of the forest, supply and demand analysis as well as defining activities for forest protection, development, use and enterprises. See Annex 17 for guidance on silvicultural improvement of the forest, it provides guidance on the most efficient way to increase forest productivity.</p> <p>For enterprise development, the most effective forest enterprises in CF are usually based on formalising existing informal enterprises – taking advantage of new user, conveyance and marketing rights and increasing the profitability of existing informal forest enterprises. A good starting point for making forest enterprises more profitable is to conduct a value chain analysis (See Annex 18) and identifying the ways to increase returns through minimal initial investment and risk. With the new rights in CF – being able to exclude outsiders, being able to transport and sell major forest products etc. combined with the economics of scale presented by having an organized CFMG, there are often new opportunities to harness more of the value of the products, through better harvesting, post-harvest, bulking, transporting and legal marketing. An offshoot of the management plan may be a simple business plan, although this may be developed more fully in step 6.</p>
e. Develop forest management plan and associated bylaws	Fill out the 5-year management matrix (See annex 19) and develop the associated Forest Bylaws (See Annex 20) on flip charts in a general assembly facilitated by the CFMG. The management matrix is designed to stimulate discussions on forest management that consider both supply and demand factors. The bylaws include rules and penalties designed to promote good forest management and use.
f. Raise awareness of the management plan and bylaws which includes penalties for rule breakers.	After the plan and bylaws are drafted it is important to raise awareness on them and get feedback from the wider community, especially those whose livelihood depends most on the forest. Make any necessary revisions based on feedback from the wider community.

g. Make copy of management plan	Make a copy of the management plan and bylaws on A4 paper for subsequent submission as part of the Community Forest Agreement application.
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Tip box:

- **Plan for more user rights.** Remind participants of the extensive forest user rights that will be available after the community forestry agreement compared to the situation now, including use, conveyance and sales rights over major forest products, so that their mind is opened to the possibilities of developing sustainable use and sale of a wider range of forest products.
- **Balance.** In sustainable forest management always aim to balance protection and development with use and enterprises. Benefits from the forest must balance with extra burdens of forest management, the forest must 'pay its way' by increasing productivity, sustainable use and adding value to forest products. Also, do not shy away from sustainable use of wood products if the CFMG want to engage in such activities, not allowing them in community forestry will both dis-incentivise forest management and displace wood use outside the community forest which will be uncontrolled.
- **Build on what exists.** The best forest enterprises to focus on are usually based on formalising existing informal enterprises, rather than creating new enterprises, this builds on existing skills sets and tried and tested market linkages.
- **Simple and owned.** A simple management plan 'fully owned' by communities is much more effective than a complex scientific one pushed by outside experts that will most likely not be of practical use. Therefore, it is essential that outsiders play a facilitation role rather than prescribe contents.
- **Don't impose communal.** Remember that 'community' does not mean imposing communal management, use and enterprises. The classic flaws in such imposition will arise, where those that work hardest become disillusioned because the fruit of their labour is shared too widely, including with those who do not contribute so much. It has been found internationally in Community Forestry that CF enterprises often work best as small skilled groups who reap the rewards of the enterprise directly, they may however agree to share a percentage of their profit with the CFMG either for use permits or as an agreed contribution to forest management costs. But this share must not extinguish the profitability of the enterprise itself.

Checklist of outputs

- ✓ Participatory forest resource map complete.
- ✓ Simple forest assessment checklist filled.
- ✓ Simple forest management and 5-year management plan and associated forest bylaws drafted.
- ✓ Copy of forest management plan and forest bylaws on A4 drafted for later submission as part of community forestry agreement application.

Annexes

Annex 15. Participatory resource mapping guidance.

Annex 16. Rapid forest resource assessment checklist.

Annex 17. Guidance on CF silvicultural interventions.

Annex 18. Guidance on CF enterprise development

Annex 19. Forest management plan framework and guidance on the process.

Annex 20. Forest management bylaw framework and guidance on the process.

Annex 21. Example filled forest management plan and bylaws.

Under development

Step 5. CF agreement application preparation, application & signing

Purpose: To compile and submit the documentation for the Community Forestry agreement, attain approval and raise awareness on implications among all concerned parties.

Overview of the step.

This step involves getting all the paperwork ready for the submission of a Community Forest agreement application to the Director of Forestry, so that the CFMG (recognised in Step 2) can be granted the full rights and responsibilities it is entitled to under the Forests Act 2015 and Community Forestry Regulation 2018. The Community Forestry agreement application provides evidence to the Forestry Department that due process has been followed in establishing the Community Forests and that the community have demonstrated the intent, capacity and plans to implement sustainable forest management and use in their Community Forest.

Summary Process

a. Awareness raising on contents and implications of CF agreement in the community.

b. Preparation of documentation for the Community Forestry Agreement application.




c. Chief signs the application as a witness and DFO and PFO verify application and submit to the Director of Forestry for review and approval or rejection.

d. Copies of the agreement provided to Director of Forestry, PFO, DFO, Chief and CFMG.

e. Awareness raising on the implications to the CF agreement to the full range of concerned government institutions, e.g. judiciary, law enforcement etc.



Overview of activities in the community forestry agreement

Activity	Description
a. Awareness raising on CF agreement in community	Awareness is raised among the community and concerned stakeholders on the content and implications of the community forestry management Agreement (See Form IV, attached to the CF Regulations in Annex 1). Particular discussion should cover the new rights that will come once the Agreement with the Director is signed, but also the new obligations / responsibilities. A list of the new rights and responsibilities should be shared in local language for review. Role play and drama could also be used to raise awareness and implications to the wider community.
b. Preparation of documentation for the Community Forestry Agreement application.	<p>This involves compiling all the required documents for the application:</p> <ul style="list-style-type: none"> - Forest management agreement application (Form IV) completed - Requested rights selected - Annexes attached: Sketch map signed by neighbouring communities and chief <p>Community forestry management plan including rules and measures</p>
c. Submission process for CF agreement application.	<p>The application in Form IV is signed by the Chairperson of the CFMG, preferably with the DFO present. These are reviewed by the DFO, if any information is missing this is obtained</p> <p style="text-align: center;"></p> <p>The documents are passed to the Chief for consideration and signed consent if they are in order.</p> <p style="text-align: center;"></p> <p>They are then passed to the Provincial Forest Officer for review and verification, if all is in order they are submitted to the Director of Forestry.</p> <p style="text-align: center;"></p> <p>The Director of Forestry has 60 days upon receipt of the application to approve or reject the application. Where there is approval this will be set out in Form VI of the SI (See Annex 1) where there is rejection this shall be in Form III of the CF Regulations (See Annex 1)</p>
d. Distribution of copies of the CF agreement.	Copies of signed agreement and form VI provided to the CFMG, Chief, DFO, PFO, Director of Forestry and other concerned parties.
e. Raising awareness on the implications of the agreement with concerned parties.	<p>Communication of the decision of the Director should be made in a general assembly of the village, while reaffirming the rights and responsibilities that are contained the Agreement. This should include the Ward Development Committee where appropriate.</p> <p>Raising awareness on the new rights of the community with all relevant government actors, including police and judiciary (important for product use, transport and sale) and other ministries/departments dealing with mining, wildlife and agriculture etc.</p>

Tip box:

- Even if the CFMG in the short term only intends on harvesting and selling non-timber forest products because the forest is degraded, in the agreement (Form IV) it is advised to also tick wood and timber products so that in the future they will have the right to sell these. Having the right to sell wood products in the future will help incentivise long term forest management strategies.
- As with the previous submission of application for recognition of the CFMG, it is important that quality checks on the submission are carried out by the DFO prior to passing to a higher level so that corrections can be made locally.
- When numerous Community Forests are established, district (in conjunction with the District Planning Officer (DPO)) and provincial overview maps showing the location of the CFs should be developed by the DFO and PFO respectively and when required copies can be provided for other Ministries dealing with mining and agriculture etc.

Checklist of outputs of this step

- ✓ Application documents complete and compiled by CFMG and DFO (See text box above).
- ✓ Application documents passed for written consent to Chief, and to the PFO for verification check and then to the Director of Forestry for signing or rejection.
- ✓ Copies of signed agreement distributed to all relevant parties.
- ✓ Awareness raised on agreement implication with all concerned authorities.

Community Forestry Agreement application checklist

- ✓ Filled agreement document (See form IV of the CF Regulations in Annex 1)
- ✓ Annex 1. A map showing the boundary of the community forest with a form that has been signed by representatives of all concerned neighbouring communities and the respective Chief. This should be generated in Step 2.
- ✓ Annex 2 A community forest management plan which is in accordance with sustainable forest management principles and includes a set of community bylaws, rules and measures that support proper management of the forest.

Annex 1. In the CF Regulations, Form IV (CF Agreement), Form VI (Approval of CF Agreement application).

Annex 22. Example filled and signed CF Agreement application with annexes.

Step 6. Implementation of forest management, control, use and sale of forest products.

Purpose: To develop the capacity of the community to effectively control, develop, use and sell products from their community forest.

Overview of the step.

This step reinforces the CFMG rights and obligations which are provided for in the Community Forest Management Agreement that was entered into with the Director of Forestry within the previous step, along with consent of the Chief. It also covers the Government responsibilities under the same Agreement to support and mentor the new CFMG. Once a CFMG is recognised and management plans and other agreements are signed, the CFMG has the central role in managing forest resources through controlling access and forest product regulation as well as increasing the productivity and therefore availability of forest resources. Understanding the need to control access and use, issuing permits and revenue sharing is critical to the process of sustainable forest management. Responsibilities of control include enforcing sanctions when local rules and National Laws are contravened. Operationalising the new rights and responsibilities of the communities requires a number of interconnected capacity development activities and formalities. While there will be site specific variation depending on needs, however, in general these should cover:

- Increasing productivity and improving the quality of the community forest area;
- Controlling access and use within sustainable limits to avoid over exploitation and damaging activities;
- Functioning as a Community Forest Management Group, including conduct of meetings and decision making, managing finances and sharing benefits;
- Identifying and managing potential conflicts through accountable inclusive management.

Summary Process (not necessarily in this order)

- a) Increasing productivity and improving the quality of the community forest area.
- b) Controlling access and forest product regulation - Deciding on what products can be harvested, how much, by whom, at what charge?
- c) Control - Dealing with contravention of local rules specified in the community forest management plan, constitution and relevant statutory laws.
- d) Developing and strengthening enterprises based on sustainable use of the forest.
- e) Conflict management & resolution - mapping roles & responsibilities relating to control of community forests & identifying potential conflicts
- f) Strengthening the capacity of the CFMG to function & operate in an accountable manner – planning, record keeping & reporting.
- g) Local law enforcement operations - controlling illegal produce while promoting sustainable produce from community forest areas.



Activities in the Community Forestry implementation phase

Activities	Description
<p>a) Increasing productivity and improving the quality of the community forest area.</p>	<p>With the open access nature of most forests on customary land, the focus in the past has been on locating, harvesting and extracting forest products. With secure rights over the area, the community can now invest effort in forest improvement techniques. This can be simply controlling access and harvesting, limiting fires, but also pro-active works to improve the condition of the forest and the ability for it to provide resources.</p> <p>Annex 17 provides guidance on silvicultural techniques to increase the productivity and value of the forest to the community. These may be new concepts and therefore appropriate training and mentoring will be required.</p>
<p>b) Controlling access and forest product regulation - Deciding on what products can be harvested, how much, by whom, at what charge?</p>	<p>This is perhaps the most critical, but also complicated set of decisions to be made by the CFMG as it effects all members of the community who depend on the forest. This covers:</p> <ol style="list-style-type: none"> 1. Determining the quantity of products available for harvest per period - establishing sustainable yield / annual supply of products & control measures & conditions that may be applied such as: quantity; time period; methods used. 2. Who can collect / use? Discussion on rights to collect products and enter the forest from both within and outside of the community. 3. Deciding on how much to charge and to whom - Pricing access and use permits considering the willingness to pay as well as the ability to pay. <p>Annex 23 explains how to expand the Forest Management Product Matrix developed under earlier steps into a simple licensing table.</p>
<p>c) Control - Dealing with contravention of local rules specified in the community forest management plan, constitution and relevant statutory laws.</p>	<p>Dealing with illegal activities is an important role of the CFMG. This covers both dealing with contravention of local rules specified in the community forest management plan, but also the role of the CFMG with assisting the Director with enforcing certain provisions of the Forests Act, 2015. Awareness is required of the various provisions of the legal framework, customary laws enforced by the traditional leaders and new powers provided for in the Community Forest Agreement. Key is where the offence took place and determining which powers apply. This is sometimes referred to as jurisdiction</p> <p>Understanding the role of Honorary Forest Officers as gazetted under section 6 of the Forests Act, 2015, in support of community forestry is important as well as coordination with the Chief and the District Forest Officer.</p> <ul style="list-style-type: none"> • Powers, Reporting, Responsibilities • Responsibilities of GRZ officials,

	<p>Capacity development on Control.</p> <p>With the new rights to confiscate illegal produce and issue fines and penalties in the Community Forest in accordance with their local rules, the CFMGs must also be trained on how to deal effectively and efficiently with offences and what rules at what level apply to what type of offence. It is also essential that the new Honorary Forest Officer in Community Forestry be fully trained on the new powers, roles and responsibilities that accompany this position. See Annex 23 for guidance on strengthening control in the CF.</p>
d) Developing and strengthening enterprises based on sustainable use of the forest	<p>Planning processes in earlier steps identified the main forest products collected and utilised from the forest whether for domestic use or trade through barter or cash. A range of approaches and tools to develop viable businesses are available such as the Market Analysis and Development (MA&D) approach of FAO. These focus on conducting an analysis of markets to assess the feasibility to trade in these or similar markets.</p> <p>Start first by identifying and strengthening any existing informal forest enterprises through a simple business planning process, based on demand and supply factors and value chain analysis. Identify the most promising interventions to increase the profit from forest product use, post harvesting, processing, transport and sale taking into consideration the new rights the CFMGs have. Develop simple business plans for the enterprises. See Annex 18 for guidance and links to enterprise development materials.</p>
e) Conflict management and resolution - mapping roles and responsibilities relating to control of community forests and identifying potential conflicts	<p>New roles, powers of control and revenue collection that come with the new rights will be a potential source of conflict and can worsen existing conflicts. Poor communication, poor participation, poor relationships, lack of clarity of roles and responsibilities relating to control of community forests will lead to conflicts that can escalate if not addressed early.</p> <p>Common sources of conflicts include:</p> <ul style="list-style-type: none"> • User groups are excluded from participating in forest resource management. • Contradictions between local customary and accepted practices with newly introduced management systems; • Misunderstandings and lack of information about policy and programme objectives; • Contradictions or lack of clarity in new local regulations or access rules; • Inequity in resource/ benefit-sharing distribution; or • Poor plan implementation. <p>Tackling conflicts can be:</p>

	<ul style="list-style-type: none"> • Preventive - by being participatory to ensure that processes and planning are as inclusive as possible. • Facilitating – helping the different interests to come together and to resolve their differences where possible. • Do nothing – let local conflict resolution mechanisms be used. <p>The Traditional Leaders, local authorities and the Forestry Department can provide support where necessary.</p> <p>Annex 27 provides guidance on conflict management.</p>
f) Strengthening the capacity of the CFMG to function & operate in an accountable manner – planning, record keeping & reporting	<p>Strengthening the capacity to Plan: To guide the operational plans of the CFMG including the control, management, use, sale and organisational functions, it is important to develop an operational plan, with more detail than the 5- year management plan. See Annex 25 for the format and guidance.</p> <p>Strengthening the capacity to function as a community level institution: To assist the operation of the CFMG, the role of the executive committee of elected office bearers and the wider membership which should represent all the users of the forest and other rights-holders, support the CFMG to reflect on how it is functioning, conducting meetings, communicating decisions, recording information and sharing equitably work in the forest and sharing of profits and other benefits from the forest. This should include periodic reflection on the constitutions which can be revised as experience is gained (this is further covered in step 7).</p> <p>The CFMG should also be able to take action due to poor performance of office bearers, misuse of powers and funds under the terms of their constitution. Traditional Leaders, the local authority and the Forestry Department can provide support where necessary.</p> <p>Strengthening the capacity to collect revenue, report and share. Issuing permits, collecting revenue, the management of funds including accounting for and reporting use of revenue – sharing is an important task for the CFMG. Annexes 23 & 24 covers the process and paperwork for issuing permits and collecting revenue from the issuing of permits for use of the forest, harvesting and collecting products or any other revenue that has been agreed by the CFMG and wider community. Receipts can also be used for issuing fines for contravention of local rules. Tasks cover:</p> <ul style="list-style-type: none"> • Collecting revenue - Paperwork and records • Record keeping - Accounting and reporting use of revenue • Benefit sharing – in accordance with the constitution

	<p>Issuance of marking instrument/stamp, conveyance certificates, permits/receipts: As specified in the CFM Regulations, 2018, the CFMG should be issued with a marking instrument/stamp and the appropriate paperwork receipt/permit books so that they can begin to transport and sell forest products legally to get rewards for their sustainable forest management. In the case of major forest produce, conveyance certificates should be made available through the DFO in accordance with the CF Agreement. See Annex 26 for examples and guidance on the paperwork and marking instrument/stamp.</p> <p>Capacity development on cash management: As money begins to flow from produce from the Community Forest, it is essential that fair, transparent and user-friendly systems are in place. See Annex 24 for guidance on cash management, bookkeeping and examples of filled receipts and a filled cash book.</p> <p>As required and if appropriate assist the CFMG in setting up a bank account.</p>
g) Local law enforcement operations – controlling illegal produce while promoting sustainable produce from community forest areas.	<p>Through the powers provided through the appointed Honorary Forest Officers, CFMGs can assist the DFO, WDC and Local Authority tackle issues of illegal trade in forest produce that undermines the benefits and rights provided to the CFMG and importantly the economic viability of their sustainable enterprises.</p> <p>FD, WDC and partners to support market linkages for CF products and conduct consumer education on the many advantages of buying CF produce over illegal produce. Tightening enforcement on competing illegal non-CF forest produce is a very important element of making CF more attractive and promoting scale up. The wider the area that CF covers the less CF produce has to compete with illegal produce.</p>

Tip box

• **Use wood legally in community forestry or lose it illegally outside it.** The key commercial comparative advantage CFMGs have over non- CF areas is that they can legally harvest, transport and sell major wood products such a timber and charcoal. This comparative advantage should be fully embraced, as not supporting sustainable wood use will only lead to displacement of use outside the community forestry site where it will be uncontrolled. By enabling CFMG's to benefit from wood use and sale, this will also encourage other non-CF communities to join the community forestry programme. This is important as until community forestry is scaled up on a landscape scale, CF produce from sustainably managed forests will be competing with illegal uncontrolled produce which does not reflect the management investment that CF communities put into their forests.

Transport and economies of scale. Often supporters of community enterprises jump to conclusions that the best way to add value is to introduce new technologies or even new enterprises, however when a value chain analysis is conducted often formalising existing informal enterprises are the best bet, bulking produce collectively and collectively hiring/arranging transport of products to market is the best investment to add the most value. In other countries several CFMGs have joined together to hire a truck for example to move around CF sites and collect produce for market to create an economy of scale.

- **Make legal use in community forestry simple, make illegal use outside it difficult.** Heavy procedures and transaction costs for legal use in community forestry can be counterproductive making illegal use more tempting and undermining motivation for communities to engage in Community Forestry. If each time the community wants to transport a major forest product, it has to travel to the DFO to get a permit, this will seriously affect the profitability of the enterprise and demotivate CFMGs to engage in legal and sustainable CF enterprises.

- **Benefit sharing based on profit, not on gross revenue.** When it comes to any benefit sharing the CFMG should base the percentage on 'cash in hand' - profit after costs have been taken from revenue. It is also advised that any share of profit should be done annually, when the 'books' have been complete and profit calculated. This also limits the transaction costs of making any benefit sharing payments to any external stakeholders. Also note that benefit sharing is not compulsory, communities are undertaking a task in maintaining and managing their forests that is of immense benefit already to other sectors and to the nation, so this could be considered benefit enough to others.

- **Timely support for CFMG rights.** It is essential that Community Forestry support is operationalised at all levels (More on this in Step 7). Timely legal support by the Forestry Department and government agencies when required by the CFMG e.g. with regards to enforcing their control, use, transport and marketing rights is essential for empowerment, motivation and building trust in Community Forestry. This will require widespread and continual awareness raising among law enforcement, judiciary as well as other government ministries.

Key outputs

- ✓ CFMG with enhanced silvicultural skills based on local and 'scientific' knowledge
- ✓ Viable CF enterprises incubated with simple business plans
- ✓ Strengthened control of the CF and workable systems in place issuing penalties/fines
- ✓ Cash management and bookkeeping skills developed.
- ✓ Bank account set up for the CFMG as required,
- ✓ Annual 'operational' workplan developed for community forestry management, use and sale.
- ✓ Marking instrument/stamp, conveyance certificates, permits/receipts issued or attained by CFMG.
- ✓ Conflict management and organisational development skills strengthened.
- ✓ Active promotion of CF produce and cracking down on illegal produce undertaken by the FD and other government department. Market linkages for CF produce established.
- ✓ Timely support for CFMG rights undertaken as part of operational workplans of the FD and government partners.

Government responsibilities Info box

GOVERNMENT RESPONSIBILITIES (see article 4 of the Community Forestry Agreement)

The Director of Forestry may provide to the CFMG, information, training advice and management and extension services for community forestry management. In addition, the Director of Forestry or his/her representative shall:

- (a) Not issue any licences or permits for the area identified in the Community Forest Map signed by local stakeholders in Annex 1;
- (b) Assign a marking instrument, issue conveyance permits in sufficient number and on a regular basis and within 30 days of request to the CFMG;
- (c) Return to the CFMG, the confiscated goods or proceeds from the disposal of such confiscated goods that resulted from a case reported to the Director or his/her representative by the CFMG at the discretion of the court, section 101, (2);
- (d) Organize in collaboration with other partners, relevant training courses to enhance organizational, technical and management capacity of CFMG and other members of the community on community forestry management, enterprise development and marketing;
- (e) Where appropriate, raise awareness among buyers and consumers of forest products the benefits of buying community forestry produce;
- (f) Facilitate the undertaking of forest resource assessments/ inventory/ research activities as necessary.

Relevant Annexes

Annex 17. Guidance on CF silvicultural interventions.

Annex 18. Guidance on CF enterprise development

Annex 23. Guidance on strengthening control in the community forest.

Annex 24. Guidance on cash management in community forestry.

Annex 25. Guidance on operational annual work-planning in community forestry

Annex 26. Examples of filled permits, receipts, conveyance certificate and a marking instrument/stamp for a CFMG.

Annex 27. Guidance on conflict management and organisation strengthening.

Step 7. Participatory planning, monitoring, evaluation and lesson learning.

Purpose: To operationalise a responsive process of planning, monitoring, evaluation and lesson learning within the CFMG and government for Community forestry.

Overview of the step.

Community forestry will not be sustainable if planning, monitoring and evaluation systems are not operationalised within the CFMG and within the Forestry Department and other supporting institutions such as the Local Authorities. This step lays out the activities required to set up and institutionalise a responsive Planning, Monitoring and Evaluation (PM&E) system and support mentoring of the new CFMG.

Summary Process

- a) Setting up P,M&E system within the CFMG - community internal planning monitoring and evaluation
- b) Assessment, mentoring and learning by the Forest Department in the CF site.
- c) Operationalising joint planning, monitoring and evaluation with CFMG, government and traditional authorities.
- d) Advocacy – strengthening the voice of CFMGs and influencing national policy processes.



Main activities within this step

Activities	Description
a. Setting up P,M&E system within the CFMG - Community internal planning monitoring and evaluation.	Training of the CFMG to conduct internal monitoring and evaluation against the annual workplan, bylaws and constitution etc. both in the forest and in the village, engaging all affected stakeholders on a frequency that is practical for the community. On an annual basis there should be a general assembly with an evaluation of the management plan, constitution, cashbook, lessons learned and

	management plan, bylaws and constitution can be updated/revised (See Annex 29 for guidance).
b. Assessment, mentoring and learning by the Forestry Department of the community forest management group and CF.	<p>Forestry Department conducts spot checks on community forestry activities to ensure they adhere to sustainable forest management principles and the contents of the management plan/bylaws and agreements as well as checks on organizational health and impact of CF on the broader community. This can be done with a three-pronged technique, visiting the forest, reviewing documents in the village (cash book etc.) with CFMG executive and then interviewing the wider community. (See Annex 30 for guidance).</p> <p>a) Assessing resource condition through transect walk in the forest;</p> <p>b) Reviewing the licensing system and documentation from CFMG box of records and receipts as well as benefit sharing according to the constitution;</p> <p>c) Assessing the quality of participation and wider awareness through interview of selected households (non-committee members).</p> <p>These are conducted to strengthen the capacity of the CFMG to manage and function well, more of a constructive assessment and mentoring rather than a regulatory 'policing'.</p>
c. Joint review and planning at district level including traditional authorities, institutionalising support for CF.	Setting up regular multi-stakeholder review meetings where CFMG, government and traditional authorities can meet to review progress, troubleshoot problems and plan support that CFMGs require. These plans must be incorporated into normal government operational plans and budgeted for.
d. Advocacy – strengthening the voice of CFMGs and influencing national policy processes	<p>Encourage CFMGs within the same locality to meet and share experiences. Feed lessons from implementation (both from what works and what doesn't work) to national level decision makers so that appropriate changes can be made in policy instruments or institutional set-ups.</p> <p>When there is enough CFs consider setting up higher level umbrella representation group for CFMGs as has happened in countries like Nepal.</p>

Tip box

- **Let CFMGs define what is important to monitor.** Need to monitor what is important for communities (e.g. security of tenure, user rights, income from the forest).
- **From top down monitoring and regulation to joint review and learning.** There should be a shift towards joint monitoring and learning with monitoring both ways e.g. quality and frequency of support from the FD and Local Authority should also be monitored by communities
- **Institutionalising community forestry through innovative ways to share benefits.** Identify innovative ways where money generated from community forestry can be used to help support services to CFMGs locally. For example can a benefit share from some CFMGs be paid in 'fuel' to the District Forest Officer so that they can come and provide support services?

Key outputs

- ✓ Regular planning, monitoring and review meetings held by the CFMG.
- ✓ Constructive reviews/assessments conducted by the Forestry Department in the community and the Community Forest
- ✓ Multi-stakeholder review and planning forums set up where support actions are identified and added into operational plans by the Forestry Department and other government partners.
- ✓ Lessons learned fed into higher level policy advocacy/policy processes with higher level umbrella CMFG representative group established when enough CFMGs are established.

Relevant Annexes

Annex 29 For internal community planning, monitoring and evaluation.

Annex 30. Guidance for assessment/review of community applications by the Forestry Department.

National Guidelines for Community Forestry in Zambia – Annexes (see separate doc)

- Annex 1.** Relevant parts on Community Forestry of the Forests Act 2015 and the Statutory Instrument on Community Forestry 2018.
- Annex 2.** Community forestry awareness raising poster.
- Annex 3.** Format of Letter of Interest to start the community forestry establishment process.
- Annex 4.** Example letter of interest.
- Annex 5.** Participatory mapping exercise guidance.
- Annex 6.** Relationship mapping guidance.
- Annex 7.** Guidance on conflict management.
- Annex 8.** Example signed CF boundary map.
- Annex 9.** Forest user group analysis guidance.
- Annex 10.** Generic guidance constitution for the CFMG.
- Annex 11.** Guidance and application for the Honorary Forest Officer
- Annex 12.** Guidance on conducting the CFMG election.
- Annex 13.** Example of CFMG constitution and committee.
- Annex 14.** Example of a filled Honorary Forest Officer application.
- Annex 15.** Participatory resource mapping guidance.
- Annex 16.** Rapid forest resource assessment checklist.
- Annex 17.** Guidance on CF silvicultural interventions.
- Annex 18.** Guidance on CF enterprise development
- Annex 19.** Forest management plan framework and guidance on the process.
- Annex 20.** Forest management bylaw framework and guidance on the process.
- Annex 21.** Example filled forest management plan and bylaws.
- Annex 22.** Example filled and signed CF Agreement application with annexes.
- Annex 23.** Guidance on strengthening control in the community forest.
- Annex 24.** Guidance on cash management in community forestry.
- Annex 25.** Guidance on operational annual work-planning in community forestry
- Annex 26.** Examples of filled permits, receipts, conveyance certificate and a marking instrument/stamp for a CFMG.
- Annex 27.** Guidance on conflict management and organisation strengthening.
- Annex 29** For internal community planning, monitoring and evaluation.
- Annex 30.** Guidance for assessment/review of community applications by the Forestry Department.