



PROJECT FOR FOREST CONSERVATION AND
SUSTAINABLE MANAGEMENT OF FOREST RESOURCES
IN SOUTHERN AFRICA



SADC REGIONAL GUIDELINE FOR PARTICIPATORY FOREST MANAGEMENT (PFM)



PART ONE

SOUTHERN AFRICAN DEVELOPMENT COMMUNITY (SADC)

JAPAN INTERNATIONAL COOPERATION AGENCY (JICA)

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ABBREVIATIONS

CIFOR	Center for International Forestry Research
CSO	Civil Society Organization
DRC	Democratic Republic of Congo
DWAF	Department of Water, Agriculture and Fisheries
EWG	Expert Working Group
FAO	Food and Agriculture Organization of the United Nations
FMPs	Forest Management Plans
GIS	Geographical Information System
JFM	Joint Forest Management
JCC	Joint Coordinating Committee
JICA	Japanese International Co-operation Agency
M&E	Monitoring and Evaluation
MS	Member State
NGO	Non-Governmental Organization
PFM	Participatory Forest Management
PM&E	Participatory Monitoring and Evaluation
PRA	Participatory Rural Appraisal
RECOFTC	The Center for People and Forests
REDD+	Reduced Emissions from Deforestation and Forest Degradation
SADC	Southern Africa Development Community
SADC-MS	Southern Africa Development Community-Member State
SFM	Sustainable Forest Management
SFS	SADC Forestry Strategy
SLM	Sustainable Land Management
SSA	Sub-Saharan Africa

1 INTRODUCTION

1.1 Background

According to the Southern Africa Development Community (SADC) Protocol on Forestry of 2002, all SADC member states (MS) agreed and committed to serious actions to achieve development, economic growth, alleviating poverty, promoting sustainable management and utilization of all types of forest resources and effective protection of the environment and safeguard the interests of both the present and future generations. Forestry has been one of the areas for technical cooperation between MS. Enhanced PFM is one of the strategic program areas of the SADC Forestry Strategy (SFS) 2010-2020 and used as an approach to reduce rural poverty.

The MS have enabling policy and legal frameworks in place for PFM with priorities and outcomes (Table 1). These frameworks are in form of, among others, Acts, regulations, orders, decrees, national policies and resolutions. According to the SFS (2010), the objective of the SADC program on PFM is to empower the rural communities of SADC to productively participate in forest management and create an enabling environment to enhance the achievement of both economic and environmental objectives. In Articles 4 and 11 of its protocol, the MS recognize that communities and other interested parties are entitled and given the right to effective involvement, including decision-making, in the sustainable management of forests and forest resources on which they depend and to share equitably in the benefits arising from their use. Further, such parties should have access to any information held by public or private bodies that is necessary to enable the rights to be exercised effectively.

Table 1 Key Salient policy and legal priorities in the SADC MS^{1,2,3}

PFM related policy and legal framework	MS where available or provided for
✓ Acknowledge indigenous knowledge in management of forest resources	Malawi, Zambia
✓ National Forestry Policy	Malawi (2016), Zambia (2014)
✓ Decentralization Policy	Seychelles, Tanzania, Zambia (2013)
✓ Forest landscape restoration program	Malawi
✓ National Land Use Planning for Resilient Landscape	Madagascar
✓ Incentives and empowerment of communities to protect, conserve and manage forests	Malawi, Zambia
✓ REDD+ Strategies	South Africa, Tanzania (2012) Zambia (2015)
✓ Road Map and Forest Sector Agenda 2035	Mozambique
✓ Community based forest management guidelines and Standards and Strategies for PFM	Malawi (2006), Mozambique, Namibia (2005), South Africa Tanzania (2007), Zambia (2018)
✓ Strategic environmental assessment and strategic plan	Botswana

1.2 Objectives of the guideline

This guideline was developed under the SADC/JICA Project for Sustainable Management of Forest Conservation and Forest Resources in Southern Africa with the following objectives:

- ✓ Develop common understanding on the concept and practices of PFM across the SADC region
- ✓ Provide guiding framework on how to promote, support, mobilize resources in supporting PFM.

¹ Government of Malawi, 2017. National Resilience Strategy. 4 September 2017.

² Republic of Malawi. National Forest Landscape Restoration Strategy. The Ministry of Natural Resources, Energy and Mining

³ Ministry of Natural Resources and Tourism, Tanzania

- ✓ Training to improve the knowledge about PFM for EWG PFM member

Thus, the guideline presents briefly the concept, objectives, principles, practices, processes and stages of development that the policy and other decision-makers as well as practitioners ought to carefully examine and address.

The stages include, but not limited to planning, decision making, implementation, monitoring, evaluation and data/information management. Then the guideline shows the case of PFM practices on SADC member states as good practice.

On the other hand, there are many definitions, methodologies and/or practices of PFM in the world. Each PFM project has its individual features, too. However, the guideline is not able to show all of them. Readers are expected to understand the basic and/or common knowledge about PFM in the SADC region from the guideline to plan new or to implement their own PFM projects.

1.3 Main users of the guideline

The main users of this guideline are primarily policy makers and forestry professionals who have mandate to create enabling environments as well as plan for any PFM intervention.

Then other related sectors for government and Non-Government Organizations (NGOs), including local civil society, community and other stakeholders may also use the guideline. The users can apply the guideline for planning, monitoring and any decision-making for PFM to create favorable conditions as suggested herein.

1.4 Development of guideline

The guideline was developed through discussions, workshops and a study tour in the SADC region by PFM Expert Working Group (EWG PFM)⁴.

1.5 Structure of the guideline

The guideline is made of two parts, namely:

PART ONE

- Chapter 1: Introduction
- Chapter 2: Context and evolution of PFM in SADC. It mentions how PFM has been introduced or evolved in SADC countries.
- Chapter 3: Its focus is on the PFM practices. The principles covered are forest conditions, policy and legislation, governance, resource rights and tenure, local benefits, and learning.
- Chapter 4: Rationale for knowledge and PFM learning and sharing mechanisms and platforms

PART TWO

- PFM good practices in SADC member states

2 CONTEXT OF PFM IN SADC

2.1 How PFM has been developed in SADC countries

The genesis of PFM in SADC was in the mid-1980s and gained prominence in the 1990s when the

⁴ SADC EWG PFM for developing the guideline

2nd: Feb. 2017 in Thailand, 3rd: May 2017 in South Africa, 4th: Oct. 2017 in Tanzania, 5th: Sept. 2018 in Malawi

forestry policy and legal landscapes changed with the advent of the revision of the colonial-era policies and laws. The reforms started in Tanzania, Zambia and Zimbabwe targeted at restoring some of the traditionally held rights over forests through recognition of customary tenure and claims (Blomley, 2013).

The current suite of forestry policies and laws are pro-stakeholder involvement and have seen the continued development and implementation of PFM in SADC albeit different stages. The advancement of PFM in SADC has depended largely on the existing environmental, social, economic, technical and political contexts of MS. The PFM innovation is tinged with risks and thus in some cases it has been referred to as pilots especially the early projects, from which the latter ones draw support based on lessons. PFM is still nascent and largely begun (with some if not the majority are still) under the support of discrete, donor-funded projects with bilateral or international NGO support. However, in some countries (e.g. Zambia, South Africa, Tanzania, Namibia and Botswana) PFM is also largely part of government mainstream forestry administrations and practices. Collaborative arrangements with local communities appear to be the practical target rather than the more devolutionary regimes e.g. the independence of local participation is still not strong and not yet in high value forest estates. Institutional arrangements for PFM include both the state and non-state, including community-based, organizations. Creation of support units in central forestry administrations is commonplace among MS as well as governance structures established specifically to engage with at community level (e.g. natural resources committees).

For SADC, PFM practices have been located both in state (national and local forest reserves) and customary areas under different approaches (Joint forest management or JFM, community forests, etc.) with areas declared as village forest reserves by communities out of communal lands and demarcated private forests demarcated by groups (Tanzania). Models include JFM (Zambia), Community forests management by agreements (Zambia, Zimbabwe, South Africa, Tanzania, Malawi), Community-Private Sector Out-grower Schemes (South Africa, Zambia and Zimbabwe), Community-Based Forest/Natural Resources Management (Zambia, Namibia, Tanzania) Community Trusts (Botswana, Zambia). The PFM focus has included both forests (native, reforestation) and wildlife resources thus bioenergy and hunting/safari operations. The practices have included management of natural and plantation resources.

Currently, there are policy and legal instruments that guide PFM practices in SADC. These include guidelines for JFM (Tanzania 2013, Zambia 2005), CBFM (Tanzania 2007), integration of community forest and conservancies (Namibia 2016) and management of community forests (Namibia 2016, Malawi, Zambia 2018); strategies (REDD+, Zambia 2016). and national forestry policies (Zambia 2014, Malawi 2016). Forest laws were revised between 1996 (Malawi and South Africa) and 2016 (Zambia 2016) with other SADC member states in between .

2.2 Purpose of PFM in SADC

The purpose of PFM is improved human wellbeing through sustainable forest management and use (Rasolofoson et al., 2017)⁵.

⁵ Ranaivo A. Rasolofoson, Paul J. Ferraro, Giovanni Ruta, Maminiaina S. Rasamoelina, Patrick L. Randriankolona, Helle O. Larsen, & Julia P. G. Jones, 2017. Impacts of Community Forest Management on Human Economic Well-Being across Madagascar. *Conservation Letters*, May 2017, 10(3), 346–353

Box 1 PFM purpose

- ✓ To improve human wellbeing through sustainable forest management and use.

Among others, the vision of Forestry in SADC is for PFM to be a self-sustaining process that will contribute to meeting the basic needs of rural communities through conservation and sustainable use of forest resources. It includes social concerns in management; focus on the potential of forestry to contribute to poverty alleviation, forest utility beyond biodiversity conservation and interest in both the yield of timber and other products including non-commercial products, cultural, spiritual and a host of other ecosystem services of forests.

The reasons for PFM in SADC include to (Protocol on Forestry, 2002; DWAF, 2005):

- a. Promote integrated sustainable forest management, and thus maintain enhanced livelihoods for rural communities;
- b. Promote and recognize the rights of the various stakeholders in forest management. Provide and manage forest resources based on local communities' rights to access forest resources and the associated benefits, and improve relationships between different forest stakeholders by reducing conflicts between rural people and public institutions over forest resources and rapid resource depletion;
- c. Improve communities' sense of ownership over forest management decision-making;
- d. Develop and implement forest management partnerships with stakeholders to ensure both social and ecological sustainability in forest management;
- e. Support various social, environmental, economic and political dispensation;
- f. Provide the mechanism to encourage and promote the establishment of downstream opportunities that are beneficial to both the governments, private sectors, civil society and the community;
- g. Address past imbalances through corrective action in both equity and gender.

3 OBJECTIVES AND PRINCIPLES FOR PFM

The planners and implementers of all projects are required to understand first their own objectives and principles, required outcomes and necessary inputs. Such understanding of a project input-output model also applies to PFM. This chapter provides objectives and principles of PFM.

3.1 Objectives for PFM

Participatory forest management in SADC is now an agreed approach that mainstream learning to adaptively govern, regulate and build capacity for meeting local people's needs and interests in benefiting from available forest resources based on their secure rights and favourable tenure regimes.

Box 2 PFM Principal Objective

- ✓ Achieve conservation and human wellbeing⁶

⁶ Ranaivo A. Rasolofoson, Paul J. Ferraro, Giovanni Ruta, Maminaina S. Rasamoelina, Patrick L. Randriankolona4, Helle O. Larsen, & Julia P. G. Jones, 2017. Impacts of Community Forest Management on Human Economic Well-Being across Madagascar. *Conservation Letters*, 10(3), 346–353.

The purpose of PFM in SADC is to achieve sustainable forest management for the improvement of people's livelihoods through access to forest resources and recognition of the rights of the various stakeholders in forest management and, thus support various social, environmental and economic benefits. This means empowering the rural communities to productively participate in sustainable forest management and create an enabling environment to enhance the achievement of both economic and environmental objectives (SFS, 2010).

PFM is a necessary approach to promote the dual objectives of sustainable resource management and community development⁷ or reconciling conservation and community development (Box 3).

Box 3 Examples of empirical objectives of PFM projects in SADC

- 1) Conserve and increase ecosystem resilience by maintaining diverse ecosystem functions
- 2) Contribute to the reduction of poverty and inequality, creating rural employment and wealth
- 3) Create balance between farming productivity and environmental stability
- 4) Develop the communities' forest management and other associated skills and competencies
- 5) Devolve integrated sustainable forest and other natural resource management
- 6) Empower communities to manage local natural resources through devolution of rights, responsibilities and decision-making authority
- 7) Increase agricultural diversification, productivity and processing efficiency in order to increase food availability and income generation, and improve the nutrition status of the citizens and reduce deforestation

3.2 Principles for PFM

3.2.1 Basic principles

Universally, active involvement of communities in forest management and derivation of value for their livelihood are among the key elements of PFM (FAO, 1999) as summarized below (based on RECOFTC, 2016, FAO, 1999; SFS, 2010; Sayer *et al.*, 2013; SADC-JICA, 2017; FA, 2017; FAO, 2017; Mickels-Kokwe and Moombe, 2017; Bradley et el ., 2019):

1) **Availability of quality resources.**

Human and non-human resources than can be physically integrated and used for sustainable forest resources management should have positive returns on investment i.e. pay for management costs and yield a surplus.

2) **Effective policy and regulatory support.**

Community need enabling institutional framework to support their livelihoods through balanced environmental stability and economic development.

3) **Clear rights and tenure systems among resources users.**

Stakeholders need to have access rights to forest resources recognized, legally or otherwise, to provide a foundation for sustainable institutions and processes for PFM.

4) **Effective governance and stakeholder participation.**

Accountability, effective participation, transparency, fair representation, trust and adherence

⁷ World Bank, 2018. Mozambique Country Forest Note. Report No: AUS0000336. June 22, 2018. World Bank. www.worldbank.org

to the rule of law enhance the success of PFM practices. PFM is built on a sense of ownership, empowerment, equitable contributions and benefit sharing, which lead to efficient use of resources and minimize conflict.

- 5) **Meeting local people’s needs and accommodating multiple stakeholders’ interests.**
Local needs are the primary incentives of active community participation in sustainable resource management. This requires understanding the different interest and resource user groups who should be involved in sustainable forest management.
- 6) **Adaptive management and learning and capacity of community and other key stakeholders.**
PFM allows stakeholders to identify shared interests, problems and visions, upon which they design the use of their resources, what is required and learnt/adapted regularly in the management and encouragement of collective action to achieve the aims together. Stakeholders’ capacity creates and sustains the ability to play their individual and collective roles in PFM.

3.2.2 Application of PFM principles

The basic principles of PFM need to be applied to yield optimum benefits to local and regional/global society. Thus, PFM policy makers and practitioners should consider and ensure that the principles guide the design, implementation as well as monitoring and evaluation; and thus, do the following actions shown in Box 4.



Box 4 Checklist of actions for effective application of the PFM principles

- 1) Whether the benefits from the PFM areas will exceed the costs of management to motivate and sustain participation,
- 2) If the policies and laws are supportive of PFM by stipulating clearly access rights to forests before engaging in the processes,
- 3) If transparent governance structures and institutions are established to support participation,
- 4) Relevant capacity for sustainable forest management is in place,
- 5) The local people’s needs and priorities are met appropriately,
- 6) A learning culture is applied for management practices.

4 PFM GUIDELINE FRAMEWORK

This section presents indispensable elements of what the PFM practitioners should carefully consider, examine and address at all stages of PFM practices. For each sub-section, possible options are presented indicating how they will determine or affect the PFM practices. There are some steps or processes to implement the PFM practices like in table 2.

Table 2 Example of PFM summary steps in designing, implementation and evaluation

Step	Process Actions
Investigating (Strategic Planning) Stage	
1	Getting started/Process initiation and awareness raising (situation analysis)
Negotiating (Institutional Building) Stage	
2	Assessment and Management planning/Boundary negotiation and mapping

3	Formalizing and Legalising / Management group constitution and election
4	Management planning and forest management rules preparation
5	Agreement preparation, application and signing
Implementation (& Monitoring and Learning) Stage	
6	Joint monitoring, evaluation and lesson learning: implement and revise FMPs
7	Expanding/Scaling up to other areas

Source: MFA, nd a; URT, 2013; FD, nd [2018]

In this chapter, the guideline mentions some issues as minimum factors that are needed to conduct the PFM practices as follows:

1. Pre- condition
 - 1) Forest type (ecological),
 - 2) Type of benefits (expected output)
2. Governance
 - 1) Policy and legislation
 - 2) Legal forest type
 - 3) Land tenure
 - 4) Stakeholder coordination
3. Implementation
 - 1) Dimensions/forms and levels of participation
 - 2) Funding sources
 - 3) Institutional and financial management
 - 4) Required human resources development

4.1 Pre-conditions

4.1.1 Forest type (ecological)

The ecological forest resource is one of the determining factors of PFM practices. The products and services available in each forest landscape will influence the type of interventions and silviculture the local and other stakeholder communities will engage in. For example, when the forest type is Closed Evergreen Lowland Forest, the community can extract and use the abundant biomass resources. If the forest type is classified as Mosaic Forest/Cropland, agroforestry could be a possible option. When the forest has commercial timber species, timber production and trade may characterise the PFM practices. Therefore, when planning a PFM project or intervention, the cultural ecology and type of the forest landscape should be identified first, and PFM approach and methodology adopted appropriately.

The vegetation types in SADC vary in nature, type, volume and location of the biotic (trees, etc.) and abiotic (soil, water, etc.) resources (Box 5). Thus, while noting the PFM principles, the practices will vary within SADC according to the vegetation type and resources it can provide. Therefore, the value and importance of PFM in SADC is dependent on its ecological and associated type of resources.

Box 5 Forests of SADC

The forests of SADC are composed of indigenous and plantation forests. The indigenous forests cover is about 352.9 million hectares, and consists of the *Miombo*, the Kalahari Sands Woodlands, the

*Afromontane, the Cape Fynbos*⁸ and Acacia Savanna Woodlands, and the Moist *Guinea-Congolian* Forests that include huge wetlands and river systems (SFS, 2010). Indigenous forests consist of six main vegetation types (Mubaiwa, 2004; SFS, 2010):

The most widespread in SADC are the Miombo woodlands (ca. 70 million hectares), which are dry deciduous forests typified by trees in the sub-family *Ceasalpinoidea* mainly *Brachystegia* species in association with *Julbernardia* species and *Isoberlinia* spp. The Miombo are predominant in Malawi, Mozambique, Tanzania, Zambia and Zimbabwe with some portion in Angola and south eastern DRC. In these countries, PFM is or will be influenced by products of the Miombo woodlands. For example, in the miombo woodlands of Malawi, more than 75 species of edible fruits have been recognized, although not all are in common use. Among the popular fruit species from the miombo region are *Uapaca kirkiana*, *Parinari curatellifolia*, *Strychnos cocculoides*, *Flacourtia indica*, *Diospyros mespiliformis* and *Azanza garkceana*. The African dry forests and woodlands are host to a large diversity of vegetables and mushrooms, including over 30 species of edible mushrooms that are consumed and traded e.g. the highly palatable and most commonly consumed genera of *Cantharellus* and *Russula*, as well as *Amanita* and *Termitomyces* species (Chidumayo and Gumbo, 2010⁹).

Zambezi Teak Forests (ZTF) (ca. 19 million hectares) are located in the Kalahari sands in western Zimbabwe, northern Botswana, north-eastern Namibia, eastern Angola and Zambia. The ZTF are dominated by *Baikiaea plurijuga* in association with *Pterocarpus angolensis* and *Guibourtia coleosperma*, which are commercial timber species. One of the options for PFM here would be timber production and trade at both local and international levels.

Mopane Woodlands (ca. 30 million hectares) are dominated by *Colophospermum mopane* and placed in drier and particularly on low lying clay or sodic soils in pockets within the Miombo and the Kalahari Sands, where they can be found in almost pure stands. Production and trade in Mopane worms e.g. in Namibia would be an option for PFM. High density charcoal has also been manufactured from mopane and traded in Zambia by local communities and moved across borders (i.e. “exported”).

Acacia woodlands(extent not established) which cover most of the arid and semi-arid areas with the *Acacia*, *Terminalia* and *Combretum* genera predominating the space. Livestock grazing would be an option here. Its dry woodlands have several endemic *Adansonia* (Baobab) and *Commiphora* species. A mix of products for domestic use and trade under PFM practice could include timber and non-timber forest products (e.g. fruits, eco-tourism).

Montane and Tropical Moist Forests (TMF) (extent not established). The Montane forests are found in pockets in high-altitudes and high-rainfall areas of Malawi, Mozambique, Zimbabwe, Zambia and Tanzania. The TMF are found in Angola and the DRC. The dominant species which are commercially exploited and could be a PFM option include *Chlorophora excelsa* (African mahogany), *Khaya anthotheca*¹⁰ (Red mahogany) and *Tabernaemontana angiogenesis* (soccer ball fruit tree) and *Khaya* (Red mahogany).

Mangrove forests (ca. 164 thousand hectares) are along the coastline of Angola, Mauritius, Madagascar, Mozambique, South Africa and Tanzania. The common species include the *Avicennia marina* (white mangroves) and species in the genera *Hyphaena*, *Xylocarpus*, *Sonneratia*, *Rhizophora* and *Nypa*.

The riverine forest communities tend to have different tree species such as *Diospyros*, *Trichilia*, and *Syzygium*. Madagascar has several valuable timber species such as *Dalbergia*, *Diospyros*, *Terminalia*

⁸ The *Cape Fynbos* is not strictly a forest, but an interesting and unique floristic kingdom valued for its high endemism

⁹ The dry forests and woodlands of Africa: managing for products and services / edited by Emmanuel N. Chidumayo and Davison J. Gumbo. 2010. London:Earthscan/Center for International Forestry Research

¹⁰ Not *nyasica* (correction by Stephen Zingwena)

and others in the moist forests.

Man-made forests are ca. 2.34 million hectares, over 95% of which are commercially managed. These are mainly in the high-elevation and high-rainfall areas in Swaziland, Zimbabwe, Tanzania and South Africa where they support wood-based industries. Angola, DRC, Malawi, Madagascar and Zambia also have plantation forests (Mubaiwa, 2004; SFS 2010:6-8). The main species planted are eucalyptus (*E. grandis*, *E. camaldulensis* and *E. cloeziana*) and pines (*P. patula*, *P. taeda*, *P. elliottii* and *P. kesiya*) (Mubaiwa, 2004; Chidumayo and Gumbo, 2010). Production and trade in timber and timber products is a likely option for PFM under man-made forest resources.



“Miombo” Mushrooms



Curios from Miombo wood



Water from a stream!

4.1.2 Type of benefits (expected output)

There are many potential and actual benefits from PFM activities. To determine the direction of PFM interventions, it is expected that benefits should be thoroughly discussed and identified particularly at the investigation or strategic planning stage.

There is widespread and sufficient recognition of PFM as a significant strategy for securing and sustaining forests in SADC (Odera, 2004). Considering local community’s forest-based needs, their management capabilities, and empowering them through their involvement in decision-making over resource utilization is what PFM strives for. As an integrated approach to promote SFM, PFM involves recognizing the rights of those whom forest management concerns and the ways in which outside stakeholder institutions will work with communities to develop, implement, and maintain vital management partnerships, relationships and linkages needed among stakeholders to ensure both social and ecological sustainability in forest management (DWAF, nd.). The *Social, Economic and Ecological Benefits (SEE)* of PFM may further be categorised as summarised below in table 3 and Box 6.

Table 3 Ecological, economic and social benefits of PFM

Ecological benefits:		Economic benefits:		Social benefits:	
1)	Biodiversity protection	1)	Eco-tourism and other service enterprises	1)	Capacity development: knowledge, skills
2)	Biomass production	2)	Firewood and charcoal production	2)	Conflict & poverty reduction
3)	Carbon storage and climate regulation	3)	Non-timber forest products	3)	Cultural & spiritual services from forests
4)	Erosion prevention	4)	Timber	4)	Democratic, social organization, governance, more inclusive and effective management of society
5)	Fresh air supply	5)	Increase income	5)	Empowerment through sharing of benefits from forest
6)	Natural disaster prevention/control	6)	Creation of jobs and improved livelihood standards	6)	Forest access, management & use rights
7)	Animal habitat provision			7)	Gender equity
8)	Reduction in deforestation and forest degradation			8)	Restoring human dignity
9)	Water resource conservation			9)	Strengthening ownership & responsibility
				10)	Tenure and livelihood security
				11)	Enhancement of cultural heritage

Sources: Wily, 2003:32; Odera, 2004; Schreckenberg et al., 2006; KFS, 2007a, b, URT, 2013; GOM, nd.

Box 6 Community Management of Anja, Madagascar (see case 9, p2-3, part 2)

The project exemplifies a range of monetary and co-benefits of PFM practices nested in reconciling conservation and community development to sustain the PFM principles.

People participate in managing a 60-ha forest through forest patrols and low-impact harvesting for both biodiversity and tradeable products and (e.g. eco-tourism) services.

4.2 Governance**4.2.1 Policy and legislation**

Policy, law and regulations are important determining factors of PFM practices. To encourage and sustain PFM practices, an adequately strong and appropriate set of policies, laws and regulations need to be in place. Communities and other people need an enabling regulatory framework to engage in managing their forest resources, thereby supporting their livelihoods, increasing both environmental stability and economic development. Local and national-level institutions should support local-level processes by providing technical and financial assistance and adequate governance institutions, structures and policies.

Box 7 Action Point: Role of policy makers and practitioners (1)

For PFM practices to be mainstreamed into community cultural livelihood activities, policy makers and practitioners must provide suitable policies, laws and regulations.

Policies and laws that favour sustainable land uses make PFM become successful as well as attractive for funding and investment from government and development agencies. Several policies and laws (e.g. Zambia) provide for forestry and other development funds¹¹ including for PFM relevant uses. This means that regulations, incentives, institutions and planning processes that support sustainable and equitable land-use options will promote PFM, as good governance promotes sound PFM (FAO, 2015). A review of rehabilitation projects in sub-Saharan Africa (SSA) showed that most successful initiatives are conducted in a political and policy environment that provides a clear legal framework recognizing land ownership and/or usufruct rights for households (FAO, 2015). This attests to the need for policy makers and practitioners alike to pay attention to matters of policy and legislation that support PFM by respecting land and other set of rights.

Investment in the management of forests and other natural resources is beneficial and has been incentivized through provisions in several policy and legislative instruments. Among such enabling instruments are those about PFM, forest, fisheries, land tenure and land use law, water, wildlife, environment, local government, urban and regional planning, customary and many others. The benefits and incentives are in form of use, representation and participation rights, ownership of and access to natural resources and finances, free educational or capacity development, extension and technical advisory services (Moombe, 2016; Moombe, 2017).

Below are policy- and legally-based incentives that may direct investment towards PFM; thus, facilitate local people to exercise their rights and tenure in managing their forest resources, practice their forest management and gain benefits from SFM:

¹¹ The Forests Act No. 4 of 2015, section 70 (Zambia)

- a. **Forest laws** – are necessary to support mobilisation of stakeholders and resources for or towards a shared vision. They also promote PFM and provide for revenue sharing with the state, loans and education/extension services. Some MS like DRC¹², Zambia (2015) and Zimbabwe [through the Community Areas Management Program for Indigenous Resources (CAMPFIRE) program] have forest laws that specify arrangements relating to wildlife management in national parks and GMAs, conservation area and plantation (forest concession).
- b. **Economic/commerce laws** – The value of these laws for PFM practices include promoting improved access to credit for micro, small and medium enterprises, which would promote entrepreneurship and trade capacities to local communities. For example, in Zambia some funds have been used to support timber production and trade enterprises especially sawmilling, carpentry and seedling production.
- c. **Environmental laws** - advise any private or public body on any aspect of nature conservation, research or sponsor research on the effects of climate change on human beings and the environment, undertake general educational program on environment, facilitate public access to information on the environment.
- d. **Fisheries laws** - Promote a community-based natural resource management approach in respect of fisheries management. An integrated landscape approach applied through a watershed management would be a valuable PFM practice.
- e. **Local government laws** - provide for decentralisation of forest management and local governance structures, as well as effective representation at critical sub- and district levels and definitive recognition by government and other actors in policy and legal frameworks
- f. **Urban and regional planning laws** - Allocation of financial and human resources from the local authority, where appropriate, to the relevant traditional rulers or authorities (i.e. chiefs, etc.) in order to support the implementation of the planning agreement, provide and guide spatial and thematic plans development at national and subnational levels including chiefdom/local community sites.
- g. **Wildlife laws** - Partnership with local communities, share the responsibilities of management in community partnership parks.
- h. **Mining development laws** – these laws recognise, support and promote compliance with forests, and environmental laws.

Box 8 and Box 9 propose action for actors and give an example of a success initiative respectively.

Box 8 Action point: Role of policy makers and practitioners (2)

As policy makers and practitioners for PFM, 1) conduct a review of policies and laws to understand their provisions and minimize challenges as well as conflicts with the PFM practices designed and implemented, 2) conduct a quick appraisal of the existing claims or rights over natural resources (land, forests, etc.) at family, household or local community level before or during PFM implementation to ensure the level and quality of participation and therefore, impact or benefits. If need be, recommend an update of the laws based on lessons.

¹² Law n°6 / 17, Law of Bases of Forests and Wildlife 24 January, and updated the forestry legislation Presidential Decree n° 171/18 of July 23, which approves the Forest Regulation.

Box 9 Decentralized Forest and Other Natural Resources Management Program, Zambia

(see case 22, p2-81, part 2)

This program successfully initiated and completed the process of making subsidiary law that facilitated the creation of legally recognised community forestry (local level governance) structures in form of community forest management groups. The groups control, use and manage their surrounding forests covering a total of 32, 707 ha.

4.2.2 Legal forest type

This section explains how the legal status of concerned forests will affect the PFM practices. Like 4.1.1, the legal context will determine the type of PFM practices largely through the legal classification or ownership of forests. The common forest ownership categories in SSA (Odera, 2004; GOZ, 2015), which may influence the forest management practices include the following:

1) Protected Forest Areas / reserves (PFAs):

These are forests on state lands and mainly for conservation of biodiversity. In PFAs, JFM is an option whereby the state and other stakeholders agree to manage the resources on terms designed by the parties involved. The principal feature of the PFM practice is benefit sharing, based on the sharing of responsibilities and cost of management, between the state and the other concerned parties which may be a village community.

2) Community forests:

The state legally recognises community forests, which are managed on agreements with chiefs or local councils on behalf of communities. The State helps communities manage forests by largely providing technical services, but all benefits are for the community. Government assigns rights to the communities. For Zimbabwe, Section 4 of the Communal Land Forest Produce Act (1987) gives rights to inhabitants of any communal land, within that communal land, to exploit any forest produce for their own use¹³.

3) Private/Corporate forests:

Such forests are owned by local or multinational companies and managed as outgrower schemes to supply raw material to the private owners, in case of large companies like in Swaziland's and South Africa's Mondi and Sappi forests. In case of Zambia, an owner or lessee of any land or plantation who wishes to establish a private forest needs authority from the government for the registration of the area (terms and conditions) which the person intends to comprise the private forest. In addition, entitlements like loans/credit from the Forestry Development Fund and free technical advisory services are stipulated (however, the fund is yet to be operationalised).

PFM models reflect the existing policy and legal framework. Therefore, PFM challenges will differ by models, too. When planning PFM projects, practitioners and other stakeholders must be aware of such legal forest type /models which surround target area and reflect on which type to assist the communities engage in and how to establish it.

¹³ The Communal Land Forest Produce Act Chapter 19:04, is one of the two legal instruments governing the management of forest resources in Zimbabwe. The other one is the Forest Act Chapter 19:05

The following are common forms of PFM systems by types of management agreements operated between local communities and other partners (Odera, 2004; Odera, 2009; Blomley *et al.*, nd; URT, 2013; KFS, 2007b; KFS, 2016; Moombe, 2017) reflecting how the legal position of forests determines the PFM model or practices (Table 4):

Table 4 The common forms of PFM systems by management types

Common PFM models	Key Features
Co-management (e.g. JFM in Tanzania, Resource sharing in Zimbabwe)	Division of PFAs management responsibility and returns between the forest owner (usually central or local government but occasionally the private sector) and forest adjacent communities.
CBFM or Community Forests (e.g. Malawi, Tanzania, Lesotho, Zambia, Namibia and South Africa)	Fully devolved managerial and decision-making authority, sometimes including ownership of the estate; legal transfer of rights management, protect and use; responsibilities to village governance. Technical services accessed from government. Private owners of land (clans/families/households) can contribute forestlands to make a large area for collective management.
Community Partnership Parks / Trusts (e.g. Zambia)	Government, in partnership with local communities, share the responsibilities of management areas for purposes of conservation and education.
Consigned management (e.g. Tanzania)	Local community has all operational powers except ultimate authority for enforcement, licensing and decision-making
Leases (e.g. Zambia)	Under lease arrangement, the investor signs an agreement with a community on the use of communal land, develops the facility and pays a lease fee to the community. Depending on the agreement, the community may or may not have some involvement in the running of the enterprise.
Joint ventures	Under this arrangement, a private investor and the community enter into an agreement, with the community holding equity stake and the proceeds are shared according to the value of each party's input. Where the land belongs to the community, it is valued and this forms part of their stake.
Contracts.	Private company provides individual growers with incentives (loans, technical expertise and input subsidy) and sells the products to the company. Model often lacks joint decision-making of both parties.

4.2.3 Land tenure

Land resources tenure is a multi-dimensional, and an important part of social, political and economic structures that should not be ignored under PFM. Different forms of land resources tenure determine and affect the PFM practices. Such land tenure forms include government, public/municipal, private, corporate, community/customary and individual. Recognising and protecting land resources tenure and land-use rights is useful for sustaining PFM. A lack of recognition of local rights to access, use and manage natural resources minimises the commitment of land users to invest in sustainable land management (SLM) including PFM practices. Uncertainty about land-use rights and the distrust this generates can result into conflicts. Investments in time and resources need to be supported by guarantees that households own the products and other benefits they obtain through their use of the land. Secure land tenure is fundamental to achieving SLM and thus PFM and improving livelihoods. The reason being that it can be a major incentive for stakeholders to become engaged in and committed to long-term SLM efforts and investment.

Practitioners of and other stakeholders in PFM should carefully assess the tenure situation throughout but especially at design and implementation. The legitimate tenure rights of individuals

and communities, including those with customary tenure systems, should be recognised, respected and protected on state-owned lands and forests (which will be to the benefit of PFM). In addition, principles of human dignity and equity; gender equality; a holistic and sustainable approach; and consultation and participation to contribute to the responsible governance of tenure are all valuable to the PFM cause. Because of all this, policy makers and PFM practitioners ought to consider these relationships under and for the success of PFM.

Mapping the political and institutional context of land¹⁴ and forest tenure in SADC requires identifying what key relevant policies and institutions as well as processes and practices exist in these sectors. Therefore, further requiring understanding how these either ease or impede change. The political and institutional context can also generate major challenges that often suppress substantial change in practice. In the PFM process, therefore, the key institutions and their relationships need to be identified, analysed and understood at national and subnational (including local) levels. This analysis is essential for diagnosing and comprehending where barriers to more effective and fair tenure arrangements lie, and what opportunities for change exist. Analysis tools to do this are available. For example, political and institutional mapping involves comprehending power relations, as these determine how social and political relationships arbitrate people's capacity to access and use land and forest resources. It is especially important to understand the role of elite individuals and institutions that control the access to forest resources and decision-makers because these have influence at spatial and governance scales. This stakeholder analysis, which should also explore gender aspects in land tenure, essential for PFM (Mayers et al., 2013; Moombe, 2017).

Commonly, the approach to management is tied to tenure, which defines the bundle and allocation of rights and privileges to use the resource. In general terms, various tenure systems can be grouped into the four categories of state, private, communal and open-access property. Stakeholder entities view tenure differently. The state may not recognise some private or communal rights that are accepted by local resource users, and conversely, local users may not respect some claims of ownership made by the state through its various government bodies. This leads to disputes about rights and privileges and makes management problematic because of lack of confidence in whether decisions made by either party will be agreed to or followed.

Collaborative management implies that government and resource users agree about tenure, thus providing a foundation of confidence and legitimacy for management. If disagreements arise, collaboration implies that there will be a willingness to resolve differences and an effort to negotiate an acceptable tenure regime. Whether it is active or passive, the hand of government is usually present in some way in collaborative management systems, even if it is restricted to approving the allocation of rights and privileges for using and managing the resource (FAO, 1999).

PFM implies that a participatory negotiation process is followed because rights and limits to exploitation are central to management, as they determine who will benefit, by how much and under what constraints. A pre-condition for any system of collaborative management is some

¹⁴ There is no international definition of land within the context of tenure. The meaning of the word may be defined within the national context (FAO, 2012), e.g. in Zambia, "Land" means any interest in land whether the land is virgin, bare or has improvements, but does not include any mining right as defined in the Mines and Minerals Act in respect of any land (Lands Act, 1995).

degree of power-sharing in making decisions and controlling outcomes. Without some power to influence the results no meaningful participation in a negotiation process is possible. Without power there is no bargaining position, and negotiation becomes a lopsided concern (FAO, 1999:3). They also serve as a tested guide for PFM in SADC. One of the key lessons is that security of tenure (property rights) is a key factor that determines whether PFM succeeds or fails (MEAAI, 2010).

Box 10 Action point: To avoid conflicts

PFM planners and practitioners should grasp the land resources tenure surrounding the target area to avoid serious conflicts among stakeholders. Land resources tenure includes that which is legally or customarily defined among individual or groups of people, and thus, PFM practices should consider these situations. It's essential to map the political and institutional context of land and forest (landscape) tenure.



Issuing local forest permits, Malawi



Rehabilitation of Hauteur Mountain, Seychelles

4.2.4 Stakeholder coordination

A few policy makers, PFM practitioners and other stakeholders will be involved in PFM practices. Stakeholders participate in PFM for several reasons among the principal ones being to (DWAF, 2005b) promote understanding of sustainable forest management and harvesting practices; empowerment, improvement of decision-making, avoidance of conflicts and extra expenses due to errors and capacity-building of stakeholders including in business enterprises. This calls for the need to manage and arrange their relationships as they coordinate and interact with each other. Managing relations under PFM with other stakeholders requires taking note of and/or doing the following (FAO, 1999):

- a. Entry points, understanding stakeholders' behaviour and perspectives, therefore learn their specific cultural settings (rights, governance structures, environmental values, etc.), and local resources users/stakeholders' prevailing high-priority. Start by discussing the goals and problems with them, noting that primary issues provide entry-points for assessing needs and identifying activities,
- b. Cultivating relationship with policy makers/politicians to alleviate fear and get support,
- c. Gaining confidence. This may be by negotiating overall and defining goals clearly, building skills and knowledge, gaining information and resources, , developing understandable links among and to the confidence of collaborators. Authority to manage is also a prerequisite for confidence building. Thus, help local users obtain power, responsibility and related authority for management. Demonstrate the potential gains of participation, too.

- d. Allow debate to mature through consultations. Stakeholders have different preferences and remarkable capacities to engage in participation, so facilitate conflicts management. Be patient.
- e. Facilitating negotiations is no doubt difficult, so develop appropriate skills and knowledge (negotiation, conflict management/resolution, financial analysis, communication, etc.) and understand the power and interests of stakeholders.
- f. Information management is important in supporting PFM, therefore generate appropriate information through some forms of collaborative research and make easily available to people for their use (i.e. information about policy, rights, funding sources, markets and natural resource management).
- g. For effective management, collect, store and use information at the appropriate place in the management (project, etc.) cycle i.e. manage a database with biophysical and social components to help fill knowledge gaps and to understand better the condition of the resource and the impacts of management, to solve production problems, and develop criteria and indicators for monitoring.
- h. Financial and other resources. Noting that demands from users may be almost unlimited, but resources available for supporting participation are limited, share realistically and transparently the available capacity to support PFM and discuss a set of priorities for using resources considering the existing situation.

Typical stakeholders and roles are outlined in Table 5 and Box 11.

Table 5 Typical stakeholders and their roles

-
- ✓ **Central government:** provide policies and laws to guide implementation, coordination of and authorize PFM practices; develop capacity for external and internal stakeholders, coordinate, plan, manage, supervise, monitor and evaluate structures and practices, promote collaboration and sector partnerships among stakeholders, provide extension and advisory services, source internal and external funding, etc. and conduct applied research
 - ✓ **Local government (District / Municipal / City Councils):** facilitate land alienation processes for PFM practices, formulate PFM associated bylaws, represent the state as a lower tier government structure with delegated authority and manage resources and generate revenue through product and services levies/fees
 - ✓ **NGOs/Civil Society Organizations (CSO):** mobilize resources, lobby and advocate PFM, provide technical and financial support, participate in reviews of organization and resource management instruments, provide market linkages for products and services (e.g. carbon), provide consultancy services on capacity development and implementation and reviews and build networks
 - ✓ **Traditional authority:** provide leadership at local levels (chiefdom, village, etc.), Allocate customary land for PFM practices, Facilitate PFM agreements and conflict management/resolution and give consent to PFM applications and agreements
 - ✓ **Communities and other local people:** protect, manage, control (i.e. enforce PFM regulations, rules) and utilize forest resources, develop and implement forest landscape management unit plans, identify, provide and demarcate forest areas for PFM interventions and practices, engage in community-public and community-private partners, participate in research, information sharing and reach out and mobilize resources, including from internal sources
 - ✓ **Donors:** provide funding and facilitation of development and promote positive change.
 - ✓ **Researchers:** conduct social and biophysical inquiry for evidence-based technology and policy development and provide education on PFM concepts and practices
-

-
- ✓ **The private sector:** engineer entrepreneurial investment and capacity building (entrepreneurship, etc.) in forest development and forest-based industries and Provide employment and income from and markets for PFM products
-

(Odera, 2004; ROZ, 2005; FA, 2007; KFS, 2007b; URT, 2013)

Box 11 Sendwe Program in Malawi (see case 12, p2-43, part 2)

The program is a good example to understand the role of stakeholders in the PFM program. The program is managed for a long time by local people in a small village under the support of the Department of Forestry without major donation by outside organisation. The program decided appropriately the role of stakeholder according to steps and the needs.

4.3 Implementation

4.3.1 Dimensions/forms and levels of participation

1) Forms of participation

For purposes of PFM, take participation to mean a process through which the stakeholders in a forestry activity influence and share control over decisions which affect their lives. This means that involvement in PFM can take many forms but largely either as individuals or as groups. Groups could include clans, households, cooperatives, associations, and community or village groups with legal personality or status formed specifically for PFM as stipulated by laws, village/municipality and corporation or company. Promotion and support of participatory management is a complex and risky business (FAO, 1999).

The forms of participation include passive and active approaches provided in specific decision-making processes as listed below (FAO, 1999), which PFM planners and practitioners should assess and draw on in their efforts to establish and sustain PFM practices:

- ✓ Forcing a say e.g. litigation, civil disobedience, lawful protest action, publicity,
- ✓ Having opportunities to settle disputes: e.g. court-ordered arbitration, public hearings/inquiries, mediation and negotiation program
- ✓ Opportunities for influencing decision-makers: e.g. elections, opinion polls, lobbying, public meetings, written submissions, rapid rural appraisal (RRA) exercises
- ✓ Opportunities for sharing or taking decisions: advisory committees, PRA exercises, assemblies of common property user groups, farmer associations

2) Levels of participation

Approaches to participation have different levels from the low level of mere information giving or passive manipulation to the high level of collaboration, partnership and self-mobilization. These correspond to different underlying purposes and thus, provide a basis for participation and classification of approaches in each process (Pretty, Guijt, Scoones and Thompson, 1995¹⁵; FAO, 1999; Arnstein, 1969).

Clearly, some of the participatory approaches used are more suited to promoting collaborative management than others. While noting that all levels of participation will be useful in some way, the two most appropriate approaches for supporting PFM are catalysing group decisions and

¹⁵ Trainers' Guide for Participatory Learning and Action

https://www.researchgate.net/publication/288832171_Trainers'_Guide_for_Participatory_Learning_and_Action

sharing decision-making.

Development programmes that aim to support PFM ultimately need to have the characteristics of either a 'participatory interventionist' (i.e. share decision-making approach) or 'catalytic agent' that facilitates analysis, selecting and acting by beneficiaries in an open-ended way (i.e. catalyse group decisions approach). This is because participatory management involves multiple stakeholders who share decision-making power (FAO, 1999).

With shared decision making, unlike 'consultation', the primary stakeholders are involved in joint planning and decision making in the phases of the project cycle: identification, design, implementation /monitoring and evaluation. Here all the decisions become joint responsibility of the project implementers and the stakeholders. Such shared decision making is possible if development planning and administration are decentralised through the local government institutions and they encourage participatory process in making development decisions. Collaboration, self-mobilization and partnership is the highest form of participation whereby the stakeholders themselves take the initiative of development and seek state support for it. The citizens are fully responsibility for a program in which the state institutions participate.

The participation levels in forest management in SADC are mixed and include benefit sharing and power sharing. PFM is broadly either disposed to share benefits (i.e. forest access or revenue with local populations) or to share authority over the resource with them. The benefit pathway focuses more on securing local cooperation than on changing the source of jurisdiction. Power sharing seeks to make local people into forest managers themselves, either as a matter of right and/or to share burdens of conservation and management with the state. As levels of participation, each approach has schemes characterising community, local involvement, project management and livelihoods objectives (Willy, 2002).

The benefit sharing schemes of participation include:

- ✓ Buffer zones - largely oriented towards providing labour opportunities and income rather than forest ownership or management rights
- ✓ Revenue sharing - is a means to engage local community support or rather, to appease local resentment of the substantial incomes being made in their area by commercial businesses like logging, hunting or safari developments. PFM in Zimbabwe, Mozambique, Botswana and Namibia have origins in wildlife-based revenue sharing.
- ✓ Legalising of local forest use - raising local collaboration but with constrained associated managerial roles. Product off-takes and services are allowed through JFM permits to adjacent communities e.g. in specified periphery areas of forest reserves – not to manage the forest (e.g. Mafungabusi Forest Reserve in Zimbabwe; Dambwa Local Forest in Zambia). Managers of Chimaliro Forest Reserve in Malawi allow yet lower levels of extraction. Communities in effect pay for their access by reporting strangers to the forest authorities and/or by clearing firebreaks. Licence-based participation is reflected in Botswana for example, more than 70 Community Based Organisations have been formed, but not to receive management powers but to receive licenses to use mainly wildlife resources and in ways determined by the state. In Mozambique, communities may harvest wood resources but again only through obtaining licenses – and in competition with obviously better sourced private sector interests. Such

regimes largely depart from the past only in making this opportunity more definitively available to adjacent populations. Communities are involved on terms that are rarely by their choice. Community is usually defined in terms of those with relevant user interests, excluding large sections of the forest-local community, generating other tensions. Moreover, as licensees or registered user groups, their rights may be withdrawn.

The power-sharing schemes of participation include:

- ✓ Joint forest management practices and represent transfer of a gradually increasing framework of decision-making powers to the community level. Sharing authority comprises, among others, the local decision to determine harvestable trees in local forests. In some cases, the issue of licenses remains with the state. In Madagascar, Zambia, Malawi and Mozambique cases, decision to harvest is also devolved, but only in reference to non-wood and other non-commercial uses and licensing and policing functions are again retained by the state. A greater measure of authority is granted to communities under community forestry in Zambia and DRC where the purpose of a *Community Forest* is to demarcate an area where the community has a raft of rights and may potentially benefit from harvesting but where the community gains managerial control and may determine not to harvest the forest at all. The explicit purpose is to devolve controlling jurisdiction, relocate management as near to the resource as possible and place jurisdiction in the hands of those perceived as having the most lasting vested (environmental, social, livelihood, tenure, etc.) interest in the forest's survival.

Strategies of devolution of authority in tandem with devolution or recognition of local ownership of the forests exist in Lesotho, Malawi, Namibia, South Africa, Tanzania and Zambia. Currently, the government of Zambia has recognised at least 21 community forests as owner-manager of the community forest, rather than only licensee, user or even manager with a clear bundle of rights and responsibilities to manage, use and access the forests. The communities have been empowered, claim to jurisdiction and formalised a working regime of authority over their forests. Communities define and demarcate the forest area, develop a rational and sustainable management plan for its protection and use, to be operated at their cost and through regimes that they themselves devise (well developed in Malawi and Tanzania) (Willy, 2002)¹⁶ and currently taking shape in Zambia (pers. obs.). Community forest in Namibia is part of a broader national approach of community based natural resource management which aims at empowering local communities to derive a variety of benefits through sustainable management of renewable natural resources. Through establishment of community forest, management rights over forest resources sustainably and that they comply with the Forestry laws (Kaambu and Lisao, 2018¹⁷). Box 12 gives an example of levels of participation.

Box 12 Hurungwe Sustainable Forest Management Project, Zimbabwe (see case 24, p2-89, part2)

With funding from World Wide Fund for Nature, a total of eight community-based groups from Mashonaland West Province, Hurungwe District, Ward 13; were formed and trained in tree nursery establishment and seedling production, woodland management and bee keeping. The initiative

¹⁶ Draft Received 25 February 2002 Participatory forest management in Africa. An overview of progress and issues
Liz Alden Wily

¹⁷ Kaambu, T.N. and Lisao, K., 2008. Requested information for writing PFM guidelines

includes participation by Forestry Commission, Zimbabwe Apiculture Trust, TIMB, AGRITEX and urban-based honey processors. Based on this public-private-community 'partnership', which aims to increase tobacco productivity and tobacco curing efficiency to reduce deforestation, a total of 111 ha of indigenous woodland are under sustainable management by 123 households and 2.14 tons of unprocessed honey was harvested from the established apiaries and communities. Market linkages with Harare-based honey processors enabled communities trade in honey and raise US\$4, 620 so far. This is a case of different levels of participation running the entire product value chain from feedstock management through harvesting, production and trade to the market and final consumer.

4.3.2 Funding sources

There are a few possible funding types and sources. Their characteristics, availability, spatial scale, use and requirements for applying are presented next.

However, before funding or seeking support, PFM practitioners should learn or verify the requirements for eligibility criteria, support structure, preferences, conditions and terms of these funding sources to avoid frustrations (rejections, penalties, etc.).

Potential funding sources and investors in PFM include: international institutions, governments, the private sector, NGOs, and, most importantly, local communities and households (FAO, 2015a). To encourage and support investment in PFM, it is important that land users and communities themselves invest in PFM to ensure a sense of local ownership of any initiative and to increase the likelihood that local people will earn sustainable outcomes from it. Appropriate and inclusive policies (cf. principles) are needed to encourage such investment. Individual land users often have limited resources, therefore, providing them with access to credit and external funding would be necessary, to enable investment. This is the case for Zambia under the DFNRM¹⁸ that was jointly supported by the Finnish and Zambian governments. A mix of funding mechanisms that could be available and approached include: climate finance, development cooperation, environmental funds, non-governmental funding, national budgets and resources, the private sector and non-traditional funding e.g. crowdfunding (FAO, 2015a). Summarized below is an overview of the main types of funding mechanisms, approaches and opportunities for attracting and strengthening investment in PFM (as identified by FAO, 2015a, b):

- a. **Local communities and households:** With the right conditions, farmers, landowners and communities will mobilize their own resources and benefit from investing in PFM.
- b. **Climate financing instruments:** e.g. Special Climate Change Fund (www.thegef.org / gef / SCCF), The Biocarbon Fund Initiative for Sustainable Forest Landscape¹⁹, International Climate Initiative (IKI), (www.international-climate-initiative.com) and Green Climate Fund (www.gcfund.org). Search the internet for many more funding sources and mechanisms.
- c. **Development banks and international agencies (DBIA):** e.g. the World Bank, the International Finance Corporation, bilateral development banks, the KfW Development Bank, the African Development Bank, and the European Investment Bank's Natural Capital Financing Facility.

¹⁸ Decentralised Forest and other Natural Resources Management Programme (DFNRMP)

¹⁹ The ISFL supports programs in Zambia. <https://www.biocarbonfund-isfl.org/zambia-program>

- d. **Environmental funds:** e.g. the multilateral Global Environment Facility (www.thegef.org), or the bilateral French Facility for the Global Environment (www.ffem.fr), and the Congo Basin Forest Fund (www.afdb.org or www.cbffund.org) afforestation and reforestation, which supports the 10 member States of the Central African Forests Commission in implementing its convergence plan.
- e. **Non-governmental organizations (NGOs):** e.g. the World Resources Institute (www.wri.org), the International Union for Conservation of Nature, Conservation International (www.iucn.org), and World Wide Fund for Nature. Community-based organizations and other local and national NGOs can play key roles in mobilizing funds for PFM and channelling resources to local community actions.
- f. **National and subnational budgets** and resources from finance and other ministries within MS.
- g. **Private sector engagement:** Some private investors may expect direct financial returns on their investment, but others may not. Corporate social responsibility is often the rationale for the latter.
- h. **Non-traditional or innovative funding:** Crowd-sourcing is gaining in popularity as an innovative funding mechanism that could be used to support forest and landscape restoration initiatives.

Project planners and/or practitioners should consider the next point (Box 13 and Box 14) to access the project's fund and must manage their financial resources based on their own rules.

Box 13 What PFM planners and practitioners should do to access funding sources

Familiarise with eligibility criteria and the concept notes or templates and assessment process for funding requests as stated by the funders which may include the following details:

Project summary: Concise outline or explanation of the funding proposal

Project details:

- ✓ Context, components, outputs and activities, and implementation arrangements. Category (private or public), purpose, result areas, total cost, duration, context, baseline; components, stakeholders groups and engagement plan, monitoring and evaluation, sustainability plan and replicability of the project; Land acquisition and tenure, environmental and social safeguards and other risk factors and Project integration into strategies of the target country.
- ✓ Theory of change / logical framework matrix: Results Management Framework and Performance Measurement Framework, monitoring, evaluation and reporting arrangements.

Financing information:

- ✓ Financial instruments, budget/amount of funding requested, justification for requesting,
- ✓ Annexes: a list of mandatory documents to support the funding request
- ✓ Format and size of proposal or request for funding document, title of project, country of implementation, contact or focal person, partner institutions and their roles and responsibilities

The criteria may include: country eligibility based on its ratification of and conformity with the conventions the funder serves, financing and technical support eligibility to receive support from financial institutions supporting entity managing the fund, in line with national and funder priority and public or stakeholder participation in the project design and implementation. Check respective guidelines. (Source: IKI, WWF, GCF, BCF, CBFF, GEF)

Box 14 Funding sources

(see cases 3 (p2-7), 4 (p2-11), 6 (p2-19), 10 (p2-35), 16 (p2-57), 17 (p2-61), 20 (p2-73), 22 (p2-81), 25 (p2-93), part 2)

Funding sources for PFM in SADC member states have included:

- ✓ **Community:** e.g. case 3 where Community Conservation Fund with additional support from GIZ and Forestry Conservation Botswana (FCB) are implementing forest conservation to support a wild-fruits-based enterprise or industries; and case 10 in Madagascar where the European Union, and members fees (the local community) are engaged in a community forestry initiative. Case 25 where the Sangoravakuru project had benefit under the community control from both timber and non-timber forest products.
- ✓ **National governments:** e.g. case 16 and 17 where the Government of Republic of Namibia has invested in developing forest-based livestock feeds in communal and commercial areas; and case 4 where the government of Botswana through its national Environmental Fund has invested in sustainable forest management at village level.
- ✓ **Foreign governments:** e.g. case 22 where under bilateral agreements between the governments of Zambia and Finland, a decentralised forest and other natural resources management was piloted for three years from 2015 to 2018.
- ✓ **International and local NGOs:** e.g. case 6 where the Global Environment Facility and International Fund for Agricultural Development are supporting a smallholder irrigation intervention; and case 20 where DANIDA supported participatory forest management 2003-2009 in the United Republic of Tanzania for three years from 2017 to 2020, and case 4 where JICA is supporting sustainable management of forests in Botswana.

4.3.3 Institutional and financial management

This section highlights the need for both project and PFM institutional and financial management. Institutional setting for PFM may include by-law, organisation structure, committee, roles and responsibility, membership, and mechanism for PFM decision making. In addition, the importance of proper management of implementing body and accounting of PFM project is explained. A PFM strategy is implemented through PFM projects, although not necessarily. The essence of this is to ensure that the shared vision of the stakeholders is achieved. To do this, the implementation of PFM interventions largely involves two broad categories of management: institutional and financial management. These are highlighted below.

1) Institutional management

PFM institutional setting may include by-law, organisation structure, committee, roles and responsibility (see 4.2.4 Stakeholder coordination), membership, mechanism for PFM decision making. PFM institutional management considers the following (MFA, nd b; MFA, 2014):

- ✓ **Legal status:** in case of externally funded interventions, it is important that the applicable legal frameworks of the funder and the recipient states guide project management. This is to ensure effective partnership or collaboration.
- ✓ **Organisational structure or set up:** PFM governance and structure are established consisting of management bodies at national and subnational including local community levels. These institutions perform various functions tenable at their levels. For example:
 - **National advisory/supervisory board:** responsible for providing general policy guidance to the project. they also provide (through meetings) platforms for annual review and sharing lessons learnt regarding PFM and sustainable forest and other natural resources

management, which can contribute to improving national policy development and implementation.

- **Steering or advisory committee (national or subnational):** responsible for implementation guidance, including approving the work plans and budgets, providing performance monitoring, ensuring coordination and co-operation between different organisations, and providing a link with central government through supervisory boards. For transparency and accountability as well as consistency with the PFM principles, the membership should include a range of stakeholders e.g. government, NGOs, funders, private sector, traditional representation, etc.
- **Community group executive members:** responsible for leadership and management of the intervention activities at micro site level. This could include resource mobilisation, recruitment of membership and disciplinary actions or conflict management.
- ✓ The PFM project management and coordination unit should form part of the structures to play the roles below, among others:
 - overall project planning and management, including financial management,
 - overall guidance to the project lower level implementation to ensure consistency in the overall approach,
 - facilitate sharing experiences and lessons learnt by using existing platforms,
 - proactive facilitation of the NGOs/CSOs and private sector participation and communication with all stakeholders in the PFM project,
 - Ensuring implementation of the results-based monitoring and evaluation.

2) Financial management

PFM financial management refers to funding mobilization within PFM group (cf. §3.4.2), benefits sharing mechanisms, PFM group auditing. In case of a project, financial management guideline for PFM should be prepared at the inception phase. The required contents of it are as follows:

- ✓ safeguards to ensure prudent financial management such as transparent and accountable procedures
- ✓ rules for deviations from the approved budgets, supporting progressing districts and communities implementing activities according to the approved work plan and incentives schemes for the progressing communities
- ✓ Profitability and sustainability i.e. how activities will be continued after the external support ends, usually packaged in an exit and sustainability strategy, which is developed with the stakeholders to ensure it is mainstreamed in national and subnational budgets and programs.
- ✓ accounting skills

Division of roles and responsibilities, having equal rights among project institutional and financial management members, having clear decision-making rules and processes as well as project management and accounting skills are meant to safeguard against mediocre performance of PFM interventions / projects (in addition refer to Box 15).

Box 15 Action point: Institutional and financial management

- ✓ Consult existing legal frameworks of the funder and the receiving States / organisations to avoid conflict and ensure effective and stress-free partnerships

- ✓ Set up PFM governance structures to guide on policy, planning, implementation, monitoring and evaluation practices
- ✓ From the onset, prepare financial management safeguards to ensure prudent management of the project resources
- ✓ Together with stakeholders, develop and share an intervention exit and sustainability strategy
- ✓ Conduct performance assessment using approximate tools and trackers e.g. regular self-assessments and third-party evaluations, daily operation reports, accounting records, quality checks, etc., to maintain acceptable standards

4.3.4 Required human resources development

This section identifies the human resources development needs for implementing PFM projects. PFM interventions call for continuous strengthening of human capacities in the technical fields of forestry and social monitoring, program management, administration and operation (FAO, 2017). In table 6 below are the key competencies for communities and government human resources.

Table 6 Project cycle stages and key actor and competency required

Community	Government staff
Planning stage	
Participatory techniques, facilitation skills,	Institutional mapping, stakeholder analysis, gender analysis, extension and outreach methods, pre-conditions assessments
Implementation stage	
Record and book-keeping; delegation and supervision; law enforcement; participatory forest assessment, planning and management, organizational capacity, governance, leadership and adaptive management; communication; planning, monitoring and evaluation, legal basis for community forestry, conflict management and negotiation skills; team building, forest improvement mechanisms (silviculture, etc.); enterprise development (market analysis and development)	Interpret the basic principles of PFM; public speaking, Project management, operations and financial management, governance, representation, accountability, resource mobilization, community forestry or extension work, natural resource assessment and management, market analysis and development, social, institutional and gender analyses, PFM, land use planning, resource mobilisation, conflict management, negotiation skills, operational planning, facilitation of meetings, PRA, Geographic Information System (GIS), database and time management, appreciative inquiry, facilitation skills, sustainable livelihood analysis, accounting skills, legal basis for community forestry
Monitoring and evaluation stage	
Internal monitoring, recording and evaluation of activities; presentation of information;	Participatory monitoring and evaluation methods and techniques

As a rule of thumb, the human resources development required should, as a minimum, be able to interpret and apply the PFM salient guidelines. This comprises addressing the pre-conditions (vegetation type and resources assessment); governance (regulatory instruments, tenure and stakeholder coordination), managing projects or interventions and generation management and sharing knowledge created through interactions. Special attention should be given to stakeholder coordination (refer to section 4.2.4), the dimensions and levels of participation in PFM (refer to section 4.3.1).

Capacity building (as continuous rather than a one-off process) is important both at the community and national and district government staff level. PFM is based on the premise that a functional and representative body at the community-level can manage community forests on behalf of local people. Capacity constraints in local executive committees reinforce poor performance, which cause loss of interest by community members. The loss of interest may be due to lack of accountability and transparency in financial management and poor perception of leadership by the general membership which further generates apathy and negatively affects participation (Blomley, 2013). Thus, PFM planners and/or practitioners should make appropriate plans to implement the capacity building training as much as possible. Note: PFM training resources and facilities are available within and outside SADC.



Participatory Forest Resources Assessment, in Nanjirinji village, Tanzania



Forest products, Lundazi, Zambia

Box 16 Participatory Forest Management in Tanzania and Zimbabwe

(see case 20 (p2-73), 24 (p2-89), part 2)

Villagers (both men and women) in Nanjirinji have been trained in conducting participatory resources assessments (above; picture on the left) specifically for preparation of management plan. The capacity building is aimed at “improved and sustainable management of Tanzania’s diverse forests and woodland resources contributing to the maintenance and development of sustainable livelihoods especially among poor rural communities”.

Production of stock for use in reforestation/afforestation of landscapes as done in Zimbabwe (case # 24) is also essential in promoting PFM.

4.4 Project cycle

Project planners / implementers are required to understand and practice the “PDCA²⁰ or PIER” cycle of 1) planning, 2) implementation, 3) evaluation of and 4) reflection on results” in the operation of the project. As outlined below (and see Table 7, too), the purpose of the cycle is to systematize the PIER of development projects, to help administer the project and provide check points for administrators to verify relevance, feasibility, sustainability, participation and impact.

Table 7 Example of PFM summary steps in designing, implementation and evaluation

Step	Process Actions
Investigating (Strategic Planning) Stage	
1	Getting started/Process initiation and awareness raising (Situation Analysis)
Negotiating (Institutional Building) Stage	

²⁰ Plan, Do, Check and Act or Planning, Implementation, Evaluation and Reflection

2	Assessment & Management planning/Boundary negotiation and mapping
3	Formalizing & Legalizing / Management group constitution and election
4	Management planning and forest management rules preparation
5	Agreement preparation, application and signing
Implementation (& Monitoring and Learning) Stage	
6	Joint monitoring, evaluation and lesson learning: Implement and revise FMPs
7	Expanding/Scaling up to other areas

Source: MFA, nd a; URT, 2013; FD, nd [2018]

4.4.1 Plan (Planning)

As PFM interventions or practices are supposed to address the needs of the target groups, they need to be understood by close interaction with the local community at planning stage. This should include, among other major actions:

- ✓ Situation and stakeholder analyses of forest users and uses
- ✓ Establishment of forest management institutions (groups)
- ✓ Participatory forest resource assessment/mapping

Discussions with the targeted beneficiaries help the process of appreciation of the local social and economic conditions, on which success of a project depends. When a project is formulated in collaboration with people, they get involved in it and develop a sense of project ‘ownership’ and a relationship of trust is established. As such it ensures maintenance of quality, transparency and accountability, because the project is always under the critical gaze of the local stakeholders. Participation makes a right balance between technical and local expertise. It is only the local people who can provide proper and final feedback on whether the technologies and methods being followed are sufficiently effective and efficient. Clear understanding of the opportunities and constraints for the success of the project is necessary before designing it, which may be gained from local wisdom and knowledge of the local eco-system, characteristics of land, local use of village landscape etc. that will circumvent any adverse effect upon the social and cultural life of the community. All this rationalisation underscores the necessity to involve the primary stakeholders from the phase of formulation or identification of a project (Gosh and Mukhopadhyay, nd) or PFM practices.



Community discussion on establishing partnership, South Africa



DFNRM Project, Zambia

4.4.2 Do (implementation)

In the participatory mode the stakeholders internalize the purpose and the means of a jointly developed strategy of development planning and implementation. This leaves a long lasting and stable impact on the people and the social system. The social learning, which is generated through the process of participation usually, leads to a collective endeavour towards problem solving.

Having all stakeholders' work, learn and invent together reduces the risk of failures. The commitment on the part of the people also increases substantially. If the process, which produces a PFM project or plan, is participatory from the start it creates a network of support, commitment and sense of ownership (Ghosh and Mukhopadhyay, nd).

With reference to Table 7 above, the following are additional perspectives on the required actions:

- ✓ Negotiating and signing forest management plans (FMPs)
- ✓ Negotiating and signing forest management agreements (FMAs)
- ✓ Specifying roles, responsibilities and rules or regulatory frameworks (constitutions, resolutions, prohibitions, etc.)

4.4.3 Check (Monitoring and evaluation)

The PFM approach seeks to enable local communities living adjacent to forests and other local stakeholders to take part in decision-making and share the benefits of forest activities. Participatory M&E can play an important role in ensuring that communities put the participatory principles into practice by (DWAF, 2005; GOM, nd):

- ✓ reviewing progress – implementation of activities and identify and correct shortcomings,
- ✓ providing transparency and accountability to beneficiaries, and funding agencies;
- ✓ assessing well-being, who benefits and what are the changes in power relations; and
- ✓ assessing the real costs of responsibilities, and participation with benefits (inputs versus outputs),
- ✓ improving the effectiveness of project management and decision-making,

To sum, the purpose of evaluation is three-fold: (1) to demand accountability from the project implementers; (2) to provide input for formulation of the future project based on lessons learnt; (3) to take corrective actions by expanding the scope of the project or PFM further to optimize benefits (Gosh and Mukhopadhyay, nd).

Participatory monitoring and evaluation for PFM should have basic criteria and indicators that reflect the PFM principles in section 3.2.

4.4.4 Act (reflection)

Critical reflection means interpreting experiences and data to create new insights and agreement on actions. Project stakeholders can only improve their actions by reflecting regularly on data, planning moments for such reflections and taking time to learn lessons. Some of the means to encourage critical reflections could include: inclusion of the expectations of the review, reporting that asks staff for their options, regularly checking project stakeholders' views, providing constructive feedback and rewarding critical reflection. It is important to know how to sequence learning events and optimise them by following reporting lines and hierarchies of decision making it (IFAD, 2002).

For reflection events, an evaluation plan is required that should include as a minimum the following:

- ✓ Timing: when the evaluation mission will be undertaken
- ✓ Place: where the evaluation will take place
- ✓ Team: evaluation mission members and their respective roles and responsibilities
- ✓ Data/information needs: what data and/or information will be collected during the evaluation

- ✓ Methods or approach: tools to be used to gather data and report, or sharing the findings

Project Cycle Management (PCM) and the logical frame (Table 8) are some tools to evaluate the condition of project. In PCM, clarify the 5W's and 1H: "when", "who", "what", "where", "why" and "how".

Table 8 Sample matrix of logical frame

Objective hierarchy (narrative summary, intervention logic)	Performance / indicators	Monitoring mechanisms	Assumptio ns / risks
Goal - Change of state or improved situation	Evidence to check and confirm high level impact	How necessary information will be collected	
Purpose - overall observable changes in performance, behaviour or resource status			
Outputs - the products, services to be delivered			
Activities - actions required for delivery of the outputs			

Source: MFA, nd b.²¹; IFAD, 2002;

5 KNOWLEDGE SHARING AND LEARNING

This section shows why it is necessary to share knowledge and learning and what the effect of knowledge sharing and/or learning mechanism is.

5.1 Rationale for knowledge sharing and learning mechanism

Reporting on progress is directed at funding agencies, project governance structures, co-operating institutions and implementing partners as well as other stakeholders. Primary stakeholders have the right to know how the project is progressing or performing and to deserve an opportunity to reach to the findings. Funders and managers need information on impact. Implementing partners need information on and to understand challenges to find solutions and improve chances of laudable project impact especially on primary stakeholders (IFAD, 2002).

For instance, effects of knowledge sharing may include the next 5 points:

- a. Saving time and effort from a long-term perspective
- b. Maintaining stable operation quality
- c. Accelerating organisational learning
- d. Understanding internal human resource
- e. Operational improvement from various viewpoints
- f. Action, accountability and advocacy

5.2 PFM learning and sharing mechanisms / platforms

The knowledge, learning and/or sharing platforms or tools of PFM include:

- a. Sharing of information at major events and conferences (Jagger et al., 2010)
- b. Participatory approaches and methods – monthly meetings, bi-annual planning, evaluation sessions and baseline surveys, resulted-oriented reports, lessons learnt, etc.
- c. Conducting spot checks on community forestry and other PFM activities
- d. Setting up regular multi-stakeholder review meetings e.g. expert working groups, steering committees, secretariats, forums and networks, transboundary projects,

²¹ Ministry of Foreign Affairs of Finland, nd. Evaluation Manual.

- e. Database systems – collection of project outputs and associated impacts
- f. Development of online learning through creating interactive regional websites, blogs, portals, databases and social media (Facebook, Twitter, YouTube, etc.); Newsletters and videos.
- g. Creative use of media to engage journalists from diverse outlets (Jagger et al., 2010)

It could be a useful concept to establish, where they do not exist, platforms for purposes of sharing PFM knowledge and learning at both national and regional levels. As the region practices PFM, there will be new knowledge that should guide the development of participatory management of forest resources. The learners should include forest professionals, communities, funders, government development agents or extension staff. The scope of what could be learned is wide but should include both biophysical and social aspects of PFM, which cover Policy, legal, institutional and regulatory frameworks; planning and decision-making processes; implementation, enforcement and compliance/evaluation as stated in section 4.3.4, Table 6 and section 4.4, Table 7.

5.3 Conclusion and suggestion: Proposed actions for realizing SADC PFM knowledge and learning platforms

This sub-section builds upon the preceding sections on guideline framework and sub-sections 5.1 and 5.2 on knowledge sharing and learning in order to make way forward to enhanced implementation of the SADC Protocol on Forestry and SFS. In summary, SADC Member States under the corporation with SADC Secretariat should bear in mind that there should be a deliberate effort to share data and information through a regional database and through regional meetings as proposed in the diagram below.

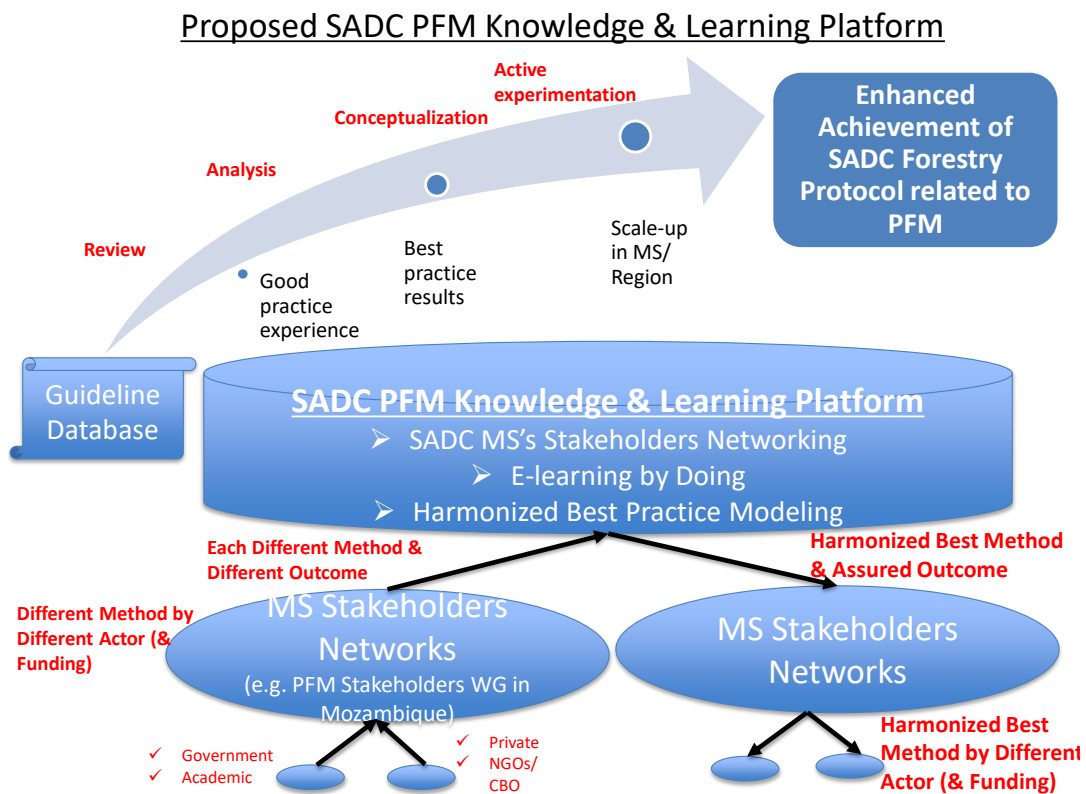


Fig.1 Proposed SADC PFM Knowledge and Learning Platform

SADC has developed a Forestry Database System, through FAO support, as part of the Agricultural Information Management System (AIMS) of the FANR Directorate. The database has a web-based feature that enables Member States to input data directly into the system; as well as to create various queries for data analysis. To support Forestry Database System, SADC-JICA cooperation has supported to develop PFM Database to synchronize the PMF Guideline Development through the various EWG-PEM meetings.

The database and meetings will also be used to help to design the more efficient and effective (or enhanced bankability) PFM intervention methodology through creating the **Best Practice Models** based on real-time sharing and transferring good practices as well as appropriate technology experienced by MS.

Such strengthening of knowledge, collective learning processes, or institutions as a platform will reduce barriers which will be faced in other projects, and market finance and investment opportunities in the region by enhanced bankability to contribute to replicate and scale up in the region. SADC Member States under the corporation with SADC Secretariat will be requested to have continuous efforts to realise best PFM on the ground begun by planning PFM action plan seeds in the 5th EWG-PFM through realising SADC PFM Knowledge and Learning Platform using the Regional Guideline for PFM and PFM Database.

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