



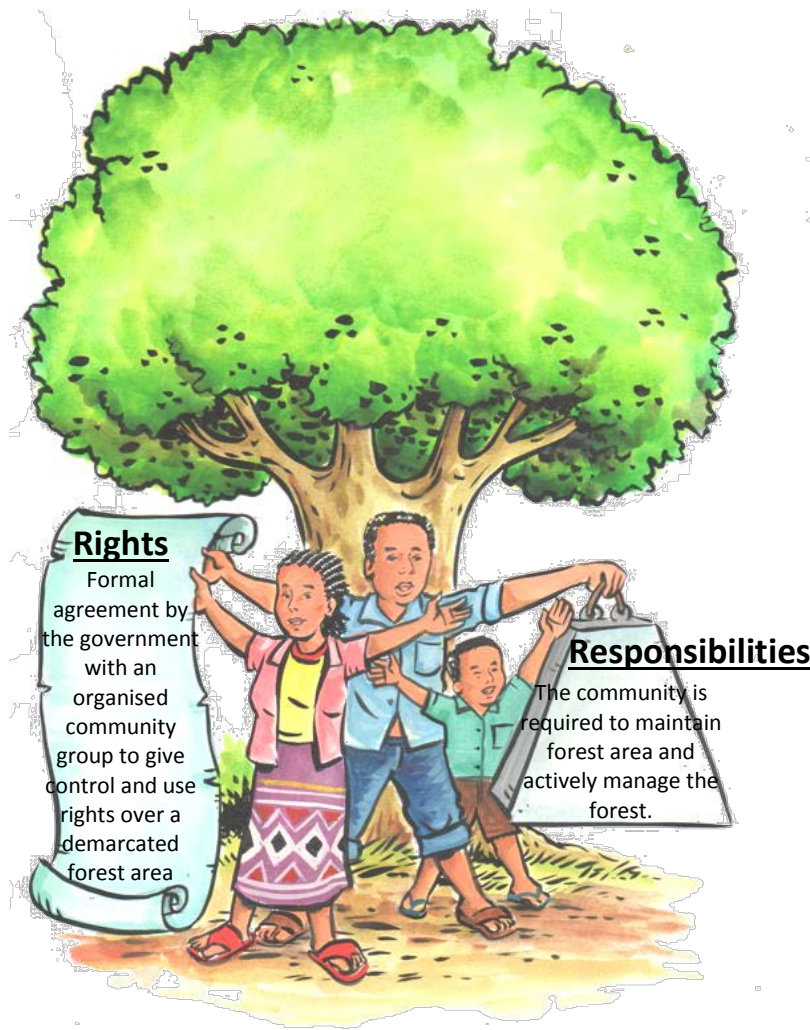
NTEP-PFM

South-West Ethiopia

Forested Landscapes and Livelihoods



Participatory Forest Management Guidelines



Rights

Formal agreement by the government with an organised community group to give control and use rights over a demarcated forest area

Responsibilities

The community is required to maintain forest area and actively manage the forest.



University of HUDDERSFIELD



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NTFP-PFM Research & Development Project

The Non-Timber Forest Products Participatory Forest Management Research and Development Project has been implemented in five weredas in South West Ethiopia since 2003. The project has been active in Masha and Anderachas of weredas of Sheka Zone, Sheko and South Bench weredas of Bench Maji Zone and Gesha wereda of Keffa Zone. The project is managed by the University of Huddersfield under a contract with the European Commission and is jointly implemented by three partners: the University of Huddersfield (UoH) (UK), Ethio Wetlands and Natural Resources Association (EWNRA) and Sustainable Livelihood Action (SLA) (the Netherlands) in collaboration with the government of Southern Nations, Nationalities and Peoples Regional State (SNNPRS). The project has been supported financially by the European Community as the main donor with additional funding from the Embassies of the Netherlands and Norway in Ethiopia.

South-west Forests & Landscape Grouping (SWFLG)

The need for serious attention to be given to the forests and forested landscapes of the south-west highlands of Ethiopia has been recognised by the partners in this project and in 2012 they formed a grouping to further develop their on-going work. At present the grouping has two other on-going projects in this area besides the NTFP-PFM Project:

Wild Coffee Conservation by Participatory Forest Management Project (WCC-PFM) led by the University of Huddersfield with contributions from EWNRA and SLA and funding from the European Union and the Horn of African Regional Environment Centre and Network.

REDD+ Participatory Forest Management in South-West Ethiopia (REPAFMA-SW Ethiopia) led by Ethio-Wetlands and Natural Resources Association in association with the Development Fund of Norway with contributions from SLA and UoH, and funding from NORAD.

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These Guidelines were a joint effort written by the project team including Ahmid Said, Project Coordinator, Peter O'Hara, International PFM Advisor, project specialists Anteneh Tesfaye, Biniyam Abebe, Endashaw Mogessie and other team members of the NTFP-PFM Research and Development Project. Professor Adrian Wood, Project Manager and Professor of Sustainability in the Business School at the University of Huddersfield, and Afework Hailu, Project Management Committee Member and Director of EWNRA, also provided valuable inputs. Many of the contents of the guidelines have evolved through regular insightful feedback from government counterparts of the project at kebele, wereda, zonal and regional levels about the PFM approach and steps followed, while very importantly the insights that have been provided throughout the process by the community members themselves have greatly shaped the guidelines.

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ANNEXES 1 to 18 - see CD in back pocket

Acronyms

ARDCO	Agricultural Rural Development Coordination Office
BoARD	Bureau of Agricultural and Rural Development
DA	Development Agent
FMA	Forest Management Association (at wereda level)
FMG	Forest Management Group (at got level)
GPS	Global Positioning System
<i>Got</i>	Roughly equivalent to small village groups
<i>Kebele</i>	Lowest administrative unit in Ethiopia, made up of several <i>Gots</i>
NTFP	Non Timber Forest Product
PFM	Participatory Forest Management
PLC	Private Limited Company
PM&E	Participatory Monitoring and Evaluation
SNNPRS	Southern Nations, Nationalities and Peoples Regional State
SWOT	Strengths, Weaknesses, Opportunities and Threats Analysis
TOR	Terms of Reference
<i>Wereda</i>	Roughly equivalent to a district, made up of several <i>Kebeles</i>

1. Introduction to the Guide

1.1 Background to the guide and how it fits with the national PFM Guidelines.

These PFM Guidelines draws on 10 years of practical experiences of establishing Participatory Forest Management (PFM) within the Non Timber Forest Products – Participatory Forest Management (NTFP-PFM) Research and Development Project in the natural montane forests of South West Ethiopia. It contains an overview of the;

- Why? - The rationale and principles of PFM,
- What? – Overview of PFM steps and activities,
- Annexes – Related to forms, formats and detailed guidance for PFM.

The national PFM guidelines explicitly state that they are only a general guide and that experimentation and adaptation is expected in PFM implementation. These PFM guidelines reflect the results of experimentation but are still harmonized in terms of concepts and principles with the national PFM Guidelines, and follow similar, comparable process steps as can be seen in the table that follows.

PFM Phases National Guidelines	PFM steps National Guidelines	PFM steps NTFP-PFM Guidelines
Phase 1. Mobilization	1. Getting started	1. Getting started
	2. Familiarization of PFM processes	
Phase 2. PFM planning process	3. Forest resource assessment and management planning.	2. Boundary negotiation and demarcation
	4. Organizing and legalizing CBOs	3. Facilitating forest management planning
		4. Organizing Community Based Institutions and internal regulations
Phase 3. Implementation phase	5. Capacity building and skills development	5. PFM agreement development, signing and awareness raising
	6. Participatory monitoring and evaluation	6. Forest management implementation and enterprise development
		7. Monitoring, evaluation and responsiveness.

1.2 Who is the Guide intended for and how should it be used?

This guide is intended primarily for those facilitating or intending to facilitate a PFM process; for example it is ideal for Government or NGO PFM facilitators. Although these are the intended primary users, the guide could also be useful for researchers, academic institutions or policy makers who would like a better insight into understanding the principles and the practicalities of facilitating establishment and implementation of PFM. The way the guidelines are laid out is that there is a relatively concise description of the key steps and activities in PFM, with lists of

associated Annexes for those that require further information on formats, forms and procedures related to those steps.

This document provides guidance. It is not a list of prescriptions. Experimentation with this guide is not only permitted but actively encouraged. PFM is an evolving approach and should continue to improve as lessons are learned. Adaptation to different specificities or changing social, economic, ecological or policy conditions is essential.

1.3. Evolution of the Participatory Forest Management approach

It has been increasingly evident in the last few decades that regulatory forest policies and programmes have been impossible to implement in developing countries over large swathes of forest because of lack of human and material resources. Thus what was called “social forestry”, and later “participatory forestry” emerged to cover a range of different approaches that engage communities in what had previously been state controlled forests. Participatory Forest Management covers a broad spectrum of degrees of engagement of communities in forest management, including joint forest management which is a partnership kind of management between communities and government, and also community forestry which is usually a fuller devolution of forest control to communities.

In Ethiopia PFM pilots began in the second half of the 1990s and since then the approach has evolved and become adapted to different areas of the country. Mirroring the international evolution of the approach, in many places initially the approach in Ethiopia focussed more on participatory forest conservation combined with alternative livelihood approaches designed to take the pressure off the forest. However, with the realisation that increasing the value of the forest was the best way to reduce pressure on it, PFM has evolved in Ethiopia to focus on sustainable forest management, which involves a combination of responsibilities for forest health and productivity and increasing returns from forest utilization.

PFM, devolved forest management has now been enshrined in Federal and Regional policies and regulations. The Federal Forest Proclamation № 542/2007 Article Article 9(3) states that, ‘Forest development, conservation and utilization plans shall be formulated to allow the participation of local communities in the development and conservation and also in the sharing of benefits from the development of state forests’. Within some regional forestry proclamations and regulations the provisions for PFM have been elaborated and strengthened, notably in Oromia and SNNPRS.

With legislative, government and strong donor support for PFM expansion in Ethiopia at this time, opportunities abound to enhance the PFM approach, streamline it and scale it up to cover as much of the natural forest as possible so that the forest, forest dependent people and the government can all be winners in the future – working in partnership for sustainable forest management.

2. Why? The rationale and principles of Participatory Forest Management

PFM recognises people living around forests as economic decision makers, where their forest protection efforts are directly correlated with the value they feel for the forest. If the value of agriculture increases through strengthened tenure and support for agricultural productivity, whilst forests remain 'open access' with most use criminalized, it would be a rational decision to convert forest to agriculture, as has been the case in Ethiopia, especially in the last few decades.

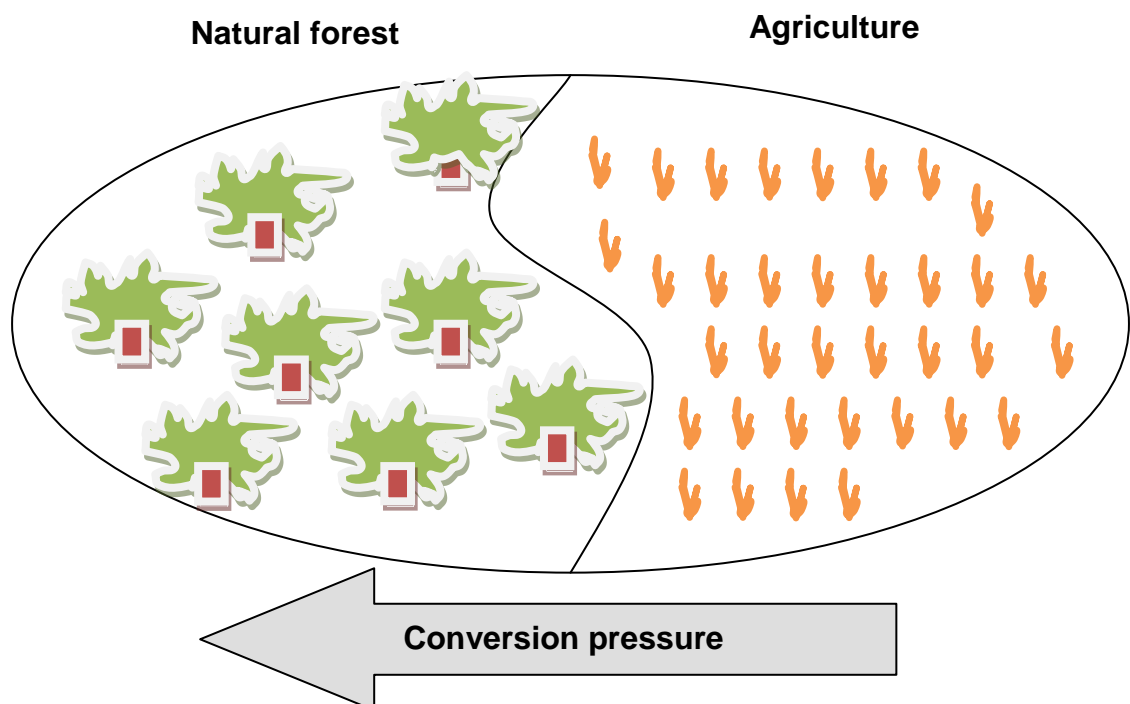


Figure 1. Increasing secure tenure for agriculture and support for agricultural productivity versus insecure tenure and criminalization of most forest use has intensified the pressure on the natural forest.

PFM achieves its results through some fundamental principles or building blocks:

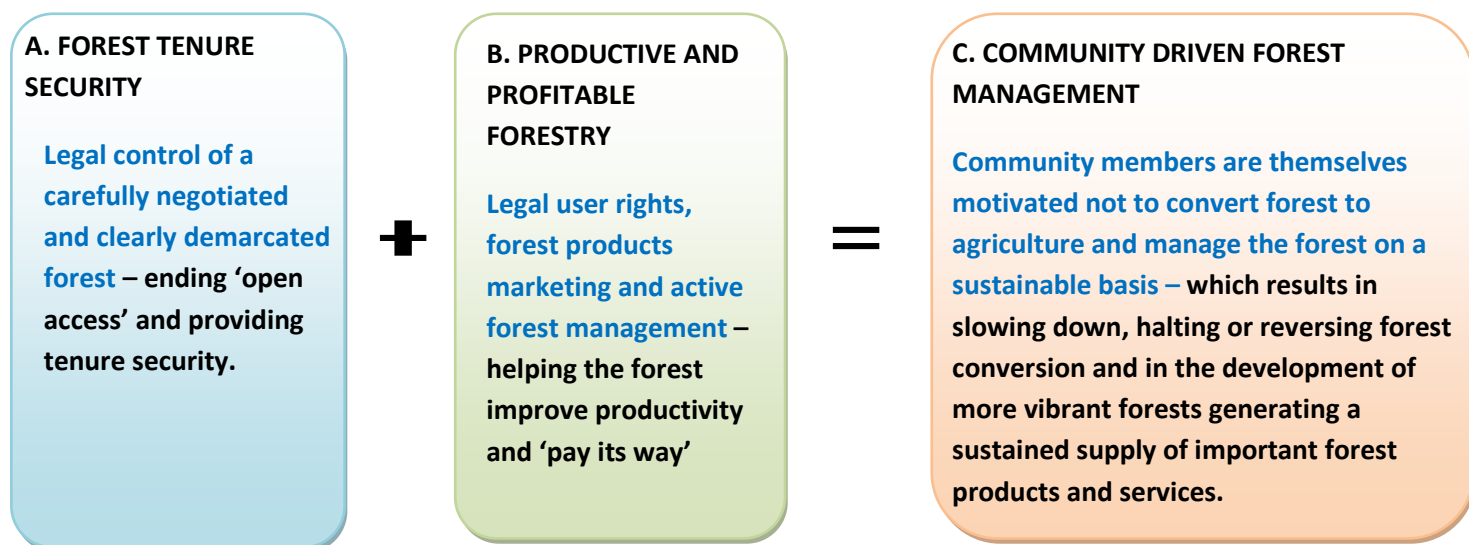


Figure 2. The PFM incentives equation

These principles, A and B are inextricably linked in PFM. User rights (B) without formal local control (A) can lead to over-exploitation; local control without enhanced user rights will lead to disillusionment. But formal local control plus enhanced user rights leads to increased incentives for sustainable forest management by communities.

Another key principle in PFM is trust – trust by communities that their local control and user rights will be respected and supported by the government and, on the other hand, trust by government that with more user rights, communities will not over exploit the forest.

PFM is effectively devolving forest management from government to communities, through a mutually agreed contractual agreement - a PFM agreement. The PFM agreement between government and communities stipulates that communities gain control and more user rights over their forests, but only on condition that they don't convert the forest to agriculture and must not degrade the forests in the long term through destructive use. However, the forest will evolve in structure and composition in response to forest management by the community in response to market forces.

PFM has been introduced into Ethiopia over the last two decades by a number of actors including Farm Africa, GTZ and SoS Sahel. However, understanding how to apply the principles in the Ethiopian situation is an on-going learning process. As more evidence emerges of PFM success these misunderstandings and doubts will be reduced and trust in PFM between communities and government will gradually be built. It is a major challenge to reorient mind-sets that have been deeply set by decades of a regulatory approach to forestry and deeply ingrained beliefs that the only way to save the forest is to stop people from using it – delink people from forests. In contrast PFM strengthens the link, a massive paradigm shift. It shows that the forests will survive when people can get benefits from them and so are encouraged to use them sustainably. Hence adding value to forests is critical for their survival. Some common misconceptions are listed in Table 1 – with PFM principles explained to help correct these misunderstandings. When introducing PFM if some of these misunderstandings or fears arise, explain the principles in the table that follow in response.

Table 1. Common misunderstandings and actual PFM principles

Common PFM misunderstandings	Actual PFM principles
PFM is about forest preservation.	Forest management or forestry is the practice of human manipulation of forests to improve productivity and health, to provide a sustained off take of valuable products and services. Although of course forest management can have many beneficial ecological outcomes, it is fundamentally an economic enterprise not an ecological approach. It is primarily about making the forest pay its way, so that forest managers, in the case of PFM, communities, get sufficient returns for their management investment and for the opportunity cost of maintaining forest rather than converting to other land uses like agriculture. PFM will ensure that forest is maintained but that forest will evolve as it is managed.
PFM is a project	PFM is fundamentally a government and policy backed programme of devolution of control of forest resources from government to communities. In PFM the driving incentives are forest-based, not project-based. It is the responsibility of the community to derive benefits from the forest. This is very important to try to reduce the risk of communities misunderstanding PFM and instead fishing for project/government support for development initiatives. Sometimes projects have assisted government in implementing a PFM programme and in the past alternative livelihood projects were much more part of the mix, but this often draws attention away from the forest. The focus in PFM is must be firmly on forest management. The projects will end in a number of years, but the PFM programme will continue.
PFM focuses on teaching communities to change behaviour	In PFM, incentives are the key to changing the behaviour of local communities towards their forests – so the focus is on incentives, then the communities in response change their own behaviour. Community members are not ordered to, told or taught to conserve the forest. Rather they are respected as rational decision makers. It is incentives such as secure tenure and user rights in PFM, as well as market opportunities that provide the motivation for communities to invest in sustainable forest management, not awareness raising on the benefits of protecting the forest.
PFM undermines traditional customary rights and practices	PFM builds upon and strengthens customary practices that are good for the forest. It often provides an opportunity to review traditional approaches to forest management, build upon their strengths and tackle their weaknesses.
PFM encourages forest destruction.	Evidence has shown that PFM is one of the most cost effective ways to curb forest destruction. The biggest threat to natural forests by far in Ethiopia is conversion to agriculture, not forest use. A clause in the PFM agreements stipulates that communities will lose their new forest rights if forest is converted to agriculture and if use is destructive. Government staff can monitor PFM implementation at any time. PFM offers an alternative to the unworkable and ineffective bans on forest use By making the forest valuable PFM incentivises communities to maintain the forest with controlled and sustainable use. For critics of PFM, it might be good to ask; what proven workable alternatives are there to it?

3. How? PFM facilitation skills

One of the most important incentives in PFM, but much more subtle than devolved control and user rights, is empowering communities to be in the driving seat. If communities feel they are being instructed or directed to manage the forest rather than self-determining their forest management, PFM will not work in the long run. **So facilitated community self-determination is a key principle of how the PFM steps have to be conducted.**

Many natural resource specialists who are now tasked with facilitating the development of PFM were trained in natural sciences, how to advise and instruct. Yet facilitation of PFM demands skills in communication, listening, responsiveness, and process. This often requires a whole reorientation of attitude, behaviour, skills and methods.

In order of priority in PFM facilitation (also see Figure 3) are:

- 1) the need for the appropriate attitude and behaviour,
- 2) the need for appropriate skills, and
- 3) the need to be acquainted with all the methods/PFM steps and to know how to select and adapt the methods depending on the PFM purpose and context.

PFM facilitators should be careful not to dominate, rather they should listen carefully. Most importantly, they must be open-minded, and should not enter a meeting with rigid preconceptions about what the result of a discussion or exercise will be – or try to influence the outcome and in doing so undermine ownership among community members. Ownership is key to self-motivation. For example a fully owned but imperfect forest management plan, is much better than a technically perfect plan that is not owned by communities. The PFM facilitator should focus on applying the appropriate process and methods, and should not seek to influence the content and outcomes (unless the outcomes go beyond what is legally allowed, are outside the PFM agreement or towards outcomes that it is felt would have major negative impacts on the community. **Community members should be encouraged to be in the driving seat of PFM decision making and action**, PFM facilitators should be in the back seat.

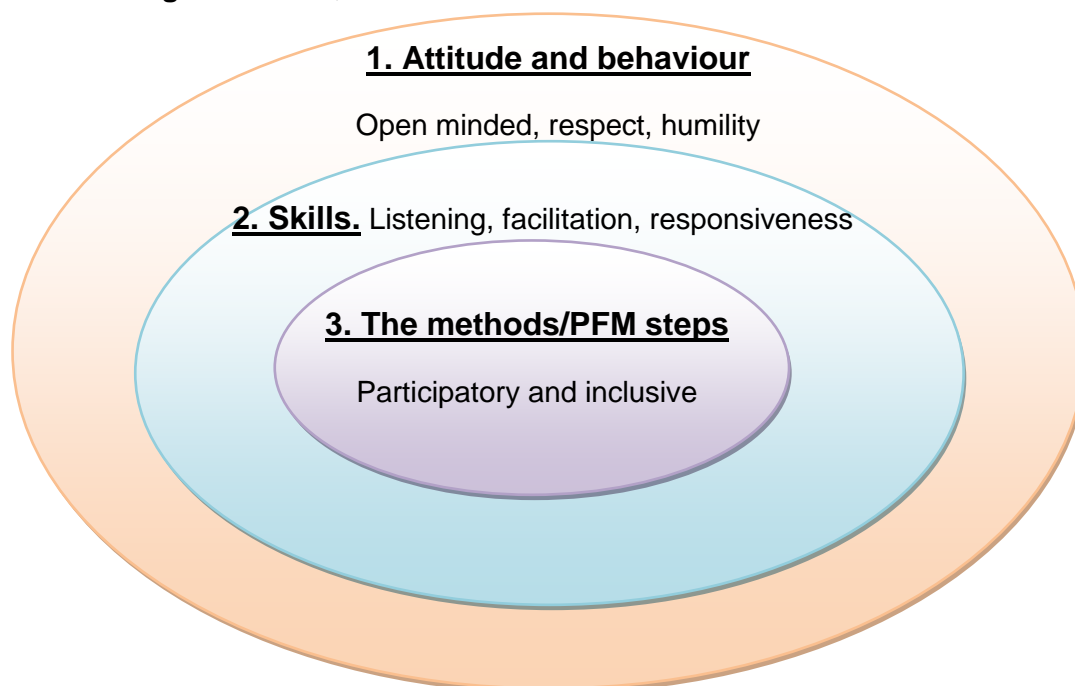


Figure 3. Attitude, skills and methods in PFM facilitation

4. What is different with our steps?

Although the general process steps in different PFM initiatives have evolved to be similar, there are some important innovations that have emerged based on trial and error in the NTFP–PFM Project experiences and which have been applied to the steps in this PFM guide.

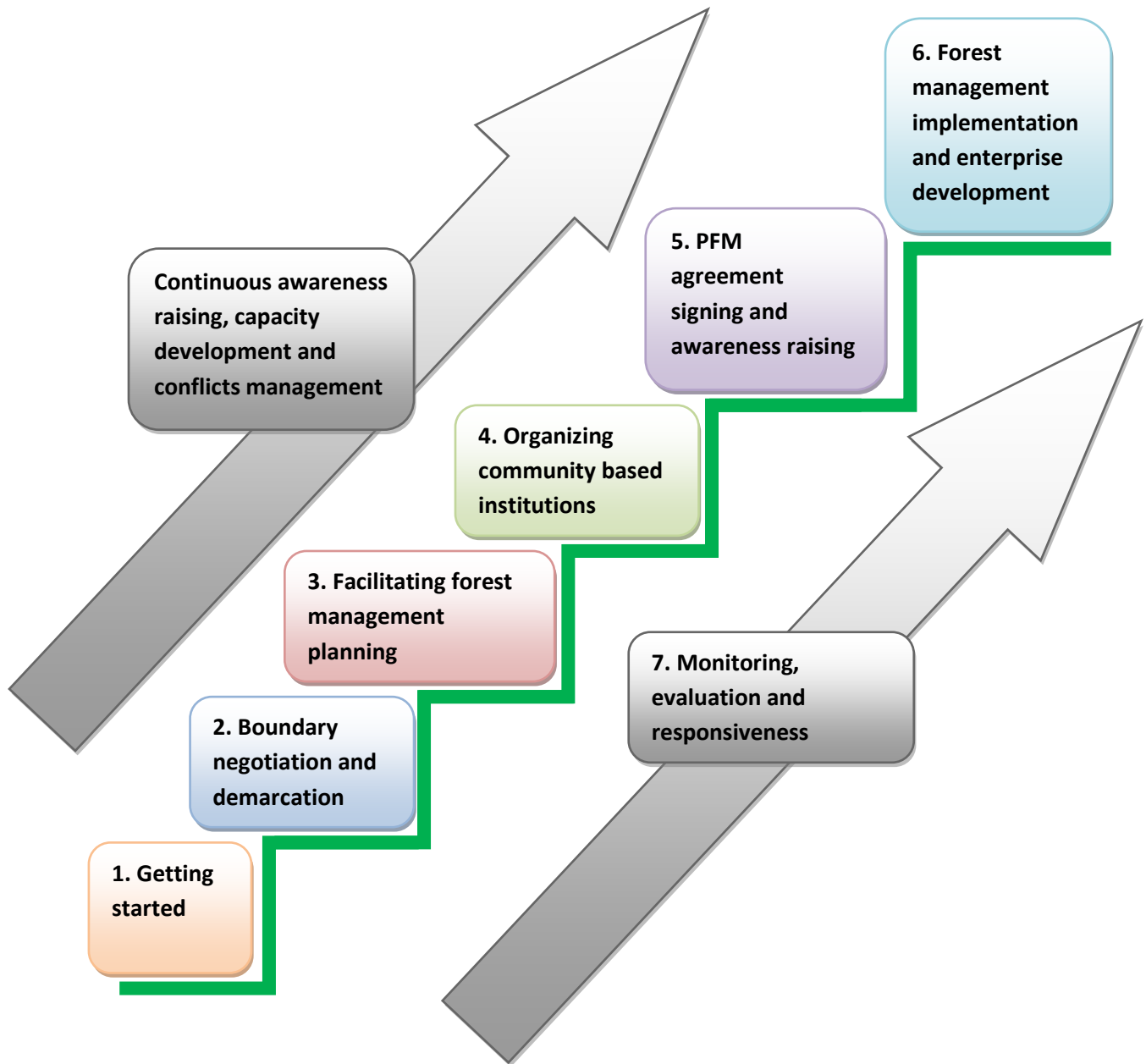
- **Fast track to the PFM Agreement, focus on details afterwards.** Although it might seem illogical and inefficient not to have all the details related to forest management planning or required for forest product marketing, in the management planning steps prior to the PFM agreement, communities want formal control of the forest fast. They want this to ward off threats, end open access and build trust with the government; only then can they fully concentrate on practical forest management. So in the PFM steps that follow, the steps up to the PFM agreement have been streamlined, some details on practical forest management and use have been postponed to later steps.
- **Separating out external monitoring requirements from what is relevant for community members in the PFM establishment process.** A major part of streamlining PFM steps and procedures is ensuring that the activities are designed in a way to be as relevant as possible for the main forest managers, community members themselves. It is important not to get different functions mixed up, alienate communities or make the approach too complex. For example in PFM management planning processes, notably the forest resource assessment, often have different functions for different actors, government and communities. The communities see the management planning process partly as a necessary pre-requisite to get the PFM agreement, but also do see value in the process in terms of having an opportunity to come together to practically discuss and strategize. However government foresters often tend to see the management planning process and forest resource assessment as a way of developing a scientifically rigorous monitoring baseline of forest condition, as part of a control function. By combining these two functions into this step, it can make the whole step too cumbersome – serious impeding progress and scaling up of PFM. It also alienates communities from what should be their forest management planning process and often the result does not even satisfy the demands for a scientific baseline line required by the government. Instead, in the steps that have evolved in this guide, the community function for management planning is kept within the management planning step but activities are limited to only what is practically relevant for them and meets the minimum requirement to attain the PFM agreement. The external control and monitoring requirements of government has been largely removed from community management planning step and is now placed within the cross cutting monitoring and evaluation step.
- **PFM at Got level.** It has been found that community members in the South West feel that it is at the Got level where there is the strongest bond between people and the forest, and that the most appropriate unit for forest management is at the Got level.
- **Forest Management Association at Wereda level combined with Forest Product Marketing Organisation.** There is no perfect organisation for PFM in Ethiopia. Through a very thorough and democratic process, community members in partnership with the government selected Forest Management Associations (FMA) at wereda level to be the appropriate institution for PFM based forest management. The FMA is linked to the Got level branch Forest Management Groups who are the signatories of the PFM agreement and ultimately responsible

for forest management. Cooperatives at multi-kebele level were selected to provide a marketing function. Because of the two separate organisations, MoUs and joint action plans are prepared between both. Previously PLCs have also been established and have worked well in increasing returns for forest products, notably honey. However, there are some difficulties in maintaining a strong link between the PLCs and the Forest Management Groups. Even though these guidelines reflect the institutional choices selected by the communities and government, these are not prescribed choices. It is recommended that an institutional selection process be followed in all PFM exercises to ensure community ownership.

- **Management plan or community based organization first?** A key dilemma experienced during experimenting with PFM steps, is whether the management plans or the community based organizational formation should come first. If the organization is formed first, then it is clear that the organization can develop the management plan. However without a management plan which helps outline the 'job description' for forest management, how can the right people be selected for the forest management organisation? The conclusion to this conundrum is that it is a bit of a "chicken and egg" story, with no absolutely right way of doing it. There are pluses and minuses associated with each sequence. However, in the sequence in this guideline, the management planning comes before organization establishment. Temporary community facilitators, identified in Step 1, guide the process of management planning formation and then are dissolved once the organization is formed – solving the problem of who should be responsible for facilitating the management plan development. This sequence was developed as it was felt that it is best to wait as long as possible in the PFM process so that the functions of forest management are understood by the community and the best people with the most suitable skills are identified.
- **Silviculture and enterprise development links and challenges.** Late in the PFM process developed by the NTFP-PFM Project, as we entered the Forest Management and Enterprise development step, emphasis has been on put on Forest Management as the centre of PFM. This involves the facilitation of the development by communities of efficient and effective ways to increase natural forest productivity and ensure that productivity is linked to important uses for home consumption and demand in the market, linking supply to demand. Adding value to the forest through enterprise development and wise manipulation of the forest to increase productivity are key ways of helping ensuring the economics of forest retention are favourable, and that PFM is attractive. However, in SNNPRS there are, at present, numerous challenges to increasing the value of the forest, including continued heavy restrictions on the use of forest under PFM (often with few additional user rights compared to non-PFM forest) as well as gaps in knowledge and confidence within the government on the rationale, principles and practice of silviculture in natural forests. These challenges are now the new front line in PFM development in Ethiopia. For PFM to be attractive and self-sustaining in the long run, and for illegal uncontrolled and destruction natural forest use to be effectively tackled, productive and sustainable forest management in PFM, linked to community based enterprises, must be fully legalised, supported and monitored by the government.

5. The PFM steps.

The overall PFM steps and sequence that emerged in the NTFP-PFM project are shown below. Note that Monitoring and Evaluation and responsiveness is a cross cutting step and that awareness raising, capacity building and conflict management activities are integrated throughout all the steps.



Step 1. Getting started

Key outputs and outcomes

- ✓ Government and community made aware of PFM and trained on rationale, principles, facilitation skills and key steps and activities.
- ✓ PFM request letter submitted by Kebele admin.
- ✓ Kebele and Got level sites identified.
- ✓ Community PFM facilitation team established.



Timing guide: Roughly 60 days per Wereda with 12 kebeles.

1.1 Wereda PFM awareness raising, training and Kebele site identification.

- PFM awareness raising and training for Wereda level government staff on PFM principles, facilitation skills and steps and levelling expectations. Guidance handouts/posters on PFM provided.
- Identifying potential PFM Kebele sites with sufficient forest cover and legitimate customary claims by the communities over their forest. This is done using any relevant information that is available, e.g. local knowledge, forest cover statistics and conducting a participatory forest extent mapping exercise. This identification can be done as part of the training or a follow on task set in the training.

1.2 Kebele PFM awareness raising, request letter, training and site selection.

- PFM awareness raising and training for Kebele level government staff and Development Agents on PFM principles, facilitation skills and steps and levelling expectations. Guidance handouts/posters on PFM provided.
- Format for a request letter requesting to take part in PFM is provided. If the kebele community want to join PFM, the kebele administration submit the request letter.
- As part of the training a participatory mapping exercise may be conducted, to identify/verify suitable Gots that have sufficient natural forest and where Got level communities have legitimate and clear customary claims to forest areas. It also serves as a basis for boundary negotiation.
- As part of the orientation, criteria are provided to the Development Agents for the selection of suitable Gots for PFM and for the selection of 2-3 Got level community facilitators from each Got in the Kebele. Also a task is set to select the community level facilitators.

Resources for Step 1. Getting Started.

Orientation poster on PFM principles and steps and handouts on PFM principles and steps

Annex 1. Guidance form for assessing and selecting suitable PFM Gots

Annex 2. Format for PFM request letter

Annex 3. Criteria and guidance for identifying and setting up the PFM community facilitation team

Tips

- Make sure all are clear on the rational and key principles of PFM and that expectations are levelled before explaining steps. Ask participants in the training to recap on principles and key steps to ensure understanding.
- On selecting suitable sites use discretion, is the forest size large enough to be feasible? Is the forest too heavily contested?

Step 2. Boundary negotiation and demarcation

Key outputs and outcomes

- ✓ Government and community facilitation team trained on key skills related to boundary negotiation and demarcation.
- ✓ External boundaries between Gots and internal PFM forest / agriculture boundaries negotiated between all relevant parties. Boundary trees marked with paint and GPS readings taken.
- ✓ Maps produced showing internal PFM forest and external Got boundaries.
- ✓ Form signed by the representatives of neighbouring Gots to verify agreed boundary.
- ✓ 'Members' of the PFM Got and customary users of the forest from outside referred to as 'Associate members' are registered.



Timing guide: Roughly 200 days per Wereda – based on an estimate of 20 PFM Gots per Wereda

2.1 Training on map reading, GPS and GIS training.

- The map reading and GPS training can be provided for Wereda level experts, Development Agents and selected community facilitators and should be conducted in a practical learning by doing way, immediately prior to doing the actual demarcation work(see 2.4). The GIS training should be provided to the Wereda level experts only. They can provide guidance and technical backstopping to the team during the demarcation process.

2.2 Training on conflict management and negotiation

➤ This training should be for Wereda level experts, Development Agents and community facilitators. It should include stakeholder mapping, basic negotiation and conflict management skills and a good understanding that the boundaries in PFM are a result of negotiation between stakeholders not imposed in a top down process. Again this training is best done directly before practical application – below in 2.3.

2.3 Participatory forest mapping - external got boundaries and internal forest boundaries.

Participatory mapping exercise in Got identifying tentative Got boundary and the internal boundary between forest and agricultural land.

2.4 Got and forest boundary negotiation and demarcation.

➤ On the ground negotiation of the external Got boundary with neighbouring Got representatives and negotiating internal boundary between forest and agricultural land with concerned farmers. Also other important stakeholders – e.g. clan leaders, highly dependent forest groups (even those with temporary presence in the forest) and all concerned government representatives should be involved. Only when the boundary is agreed through negotiation are boundary trees marked with paint where there are no natural boundaries and GPS coordinates entered. Flexibility is recommended in internal forest boundary negotiation, communities may have valid reasons for not including all forest under PFM, and forcing them to do so could be counterproductive. When GPS readings are taken, descriptions of the GPS points should be noted in the provided format (See Annex 5). If there is no agreement, the boundary should not be demarcated. Dispute settlement is a pre-requisite of boundary demarcation (See text box with tips that follows)

2.5 Data input to develop maps.

➤ Inputting the coordinates from the GPS is done to develop the maps. Ideally this should be done at the Wereda level by Wereda level experts but it will depend where skills, computers and appropriate GIS software are available. Printed copies of the maps should be produced.

2.5 Verification of maps through signing forms.

➤ Each map is verified by Got and neighbouring Got representatives by signing a prepared format that accompanies the map, acknowledging that they accept the boundaries. (See Annex 6.)

2.6 Registration of members and non-members.

➤ Once boundaries are agreed, registration of members of the Got and associate members should be conducted. This can often only be decided at this stage when it is clear where the Got boundaries are. This should be done on the provided format (See Annex 7). Associate members are people from other Gots with customary user rights in the forest – this is important as often customary rights often do not fit into administrative and Got boundaries.

Resources for Step 2. Boundary Negotiation and Demarcation

Training materials on GPS, GIS, stakeholder mapping, negotiation and conflict management

Annex 4. Stakeholder mapping exercise guidance.

Annex 5. Boundary demarcation description format to use with GPS during demarcation.

Annex 6. Boundary demarcation agreement form.

Annex 7. Registration form for members and associate members.

Tips

➤ It might seem unusual in a PFM process, that not only the forest is demarcated but also the Got level boundaries. Because Got boundaries are often not known on the ground, it is impossible to decide which forest belongs to which Got without demarcating the boundaries of Gots.

➤ Because PFM is about devolving government administered forest to communities, it has to be based on Government administrative units when it comes to demarcation. However it is recognised that there are customary claims that do not neatly correspond with administrative units as well as transient lifestyles of some forest dependent people. The associate member procedure is designed to help secure customary rights for people resident outside the Got or those with transient lifestyles. However at times, communities will have to negotiate between themselves how to ensure important customary claims are maintained and managed under PFM. Flexibility would be required in process facilitation to allow this, but it must always be stressed that PFM is designed to be inclusive and not undermine customary forest management, or the livelihoods of forest dependent sections of the community.

➤ Many steps in PFM can be dramatically streamlined – however boundary negotiation and demarcation cannot be rushed. Spending a few days identifying and engaging all the relevant stakeholders in negotiation can avoid months of work trying to manage a fully blown conflict. Overall, this is by far the most time consuming of all the steps but also the step that can generate the most conflicts if sufficient care and attention to detail is not taken.

➤ When it comes to a boundary dispute there are a series of conflict management steps that can be applied – first it would be important to find out if any suitable customary conflict management methods are acceptable to both parties. In conventional conflict management the preference is neutral facilitated negotiation, where often compromise – give and take, is the most effective way of reaching agreement. The second preference where negotiation fails would be mediation, where a respected person, maybe an elder helps to bring both sides in the dispute towards an agreement, working as an intermediary and trust builder. Less favourable and last resort methods would include arbitration, where a respected outsider considers both sides of the argument and decides the outcome. The last resort would be the legal equivalent of arbitration, adjudication which would involve the judiciary and courts. However if there is a serious dispute about a boundary it is sometimes best to leave it for local stakeholders to sort out, maybe with the help of elders, rather than PFM facilitators investing too much time on it. They have enough to do elsewhere!

Step 3. Facilitating forest management planning

Key outputs and outcomes

- ✓ Government and community members trained on the basic principles and practice of sustainable forest management.
- ✓ Rapid forest resources assessment/observation conducted and form filled
- ✓ Forest product analysis done.
- ✓ Forest management analysis done.
- ✓ Three year forest management framework with general key activities decided for each year



Timing guide: Roughly 125 days in a Wereda with 20 Gots.

3.1 Training on sustainable forest management steps and management planning.

➤ This training for the government staff and community facilitators covers the principles and practice of sustainable forest management, as well as on how to facilitate all the activities within the management planning process that follows.

3.2 Participatory forest resource mapping.

➤ Based on a printed map which is an output of Step 2, a hand drawn map is enlarged on a flip chart and presented in a got meeting. As well as the orientation provided, the map itself is a basis from which to start discussing forest condition and management options. Key features in the forest and forest types are identified by community members. Routes for the forest observation walk are identified on the map. Routes must go through all key forest types and not be restricted to paths. See Annex 8, sub step 1.

3.3 Rapid forest assessment / forest observation walk.

➤ The forest observation walk is the opportunity to get out into the forest to discuss forest condition and practical management options and tips. A guide is provided to help structure this discussion in the forest (See Annex 8, sub step 2 for guidance on how to do this step and Annex 9. for the actual checklist of questions). Participants observe the forest type then stop at an observation point and discuss the checklist of questions on forest observation form. GPS coordinates of forest observation points can be entered in addition as points of reference for subsequent follow up. A simple forest density calculation method is used and it might be interesting for monitoring purposes to compare forest density in the future. However note that for government monitoring needs and systems, Step 7 is a better place for the development of measures of forest density so as to avoid bias etc.

3.3 Forest product analysis.

➤ After the forest observation walk a forest product listing exercise is conducted in a Got meeting where a matrix is filled, listing forest products, indications of amount of supply and value and then identifying ways to increase the supply and value of forest products. (See Annex 8, sub step 3). The purpose of this exercise is to encourage community members to match demand for forest products for home and sale, with availability of products, and develop management options to increase availability of important products and add value to those products.

3.4 Forest management analysis.

➤ A “strengths, weaknesses and recommendations” exercise is conducted around forest management practices in the forest. Strengths and weaknesses should be identified first and analysed before developing the recommendations. This helps ensure that the subsequent forest management plan is built on experience of community members, including any customary forest management practices. Enabling community members to develop recommendations themselves based on positive and negative experiences, builds ownership over forest management ideas that will be developed in the next sub-step. Again guidance is provided on this exercise in Annex 8, sub step 4.

3.5. Developing 3 year management framework.

➤ Based on outputs from the previous sub-steps, the 3 year forest management framework is collectively developed in a general assembly according to a planning format provided on flip charts (See Annex 8, sub step 5). It provides the general objectives according to protection, development and utilization. Then some detailed activities are provided for each year, partly as this is a requirement for attaining the PFM agreement, but also as a way to have some concrete annual activities within the general objectives. The management framework, which is developed on flip charts, must stay in the Got with the community facilitators, it will be handed over to the secretary of the Forest Management Group committee in Step 4 for safe keeping. A copy is recorded which will be used by the government, project staff or, if possible, community representatives to type/write up the management plan document, which is a necessary pre-requisite for the PFM Agreement. While facilitating the development of the 3 year management plan, as far as the prevailing policy environment allows, it is vital to make sure that forest management responsibilities and rights are balanced.

Resources for Step 3. Forest Management planning

Training materials on sustainable forest management.

Annex 8. Forest management planning process guidance:

Sub step 1. Participatory forest resource mapping exercise;

Sub step 2. Rapid forest assessment - forest observation walk.

Sub step 3. Forest product analysis exercise.

Sub step 4. Forest management analysis exercise.

Sub step 5. Forest management planning guidance.

Tips

- Ownership over the management plan takes precedence over perfectionism. Although the outcome is a necessary pre-requisite for attaining the PFM agreement, often what is most important for the community members is the process itself and the verbal discussion and decisions made by them in the process. Guidance by facilitators has to be sensitive – for example asking communities to ensure a good balance between protection, development and utilization in the management plan – but not instructing community members how to do this.
- There are further opportunities in the implementation step (6) to further develop practical forest management actions with community members.

Step 4. Forest management organization formation

Key outputs and outcomes

- ✓ Government and community members trained on the principles and practice of facilitating a democratically elected organization and choosing an organizational form.
- ✓ Got level Forest Management Group Executive Committee formed in facilitated democratic process and their internal regulations developed.
- ✓ Wereda level Forest Management Association (FMA) formed in facilitated democratic process and their byelaws and their project plan developed.
- ✓ All documents prepared for the registration of the FMA and subsequently the FMA and its Got level branch Forest Management Groups are registered and become a legal entity



Timing guide: Roughly 126 days for a Wereda with 20 PFM Gots.

Important note on institutional formation: What is stated in these guidelines with regards to institutions are the result of a participatory institutional selection process undertaken with community members and government. The outcome of this was context specific and it is not prescribed that all PFM initiatives follow the institutional set-up that has emerged. As was done in the NTFP-PFM project, it is recommended that a participatory process is followed where all institutional options are presented, analyzed and prioritized by communities and government and the best option decided for that context.

4.1 Training on organizational formation.

- The Wereda level experts, Development Agents and community facilitators are trained on how to facilitate the process of forming organizations and on how to have representative committees elected that ensure all sections of the community and both sexes have a full opportunity to engage as well as ensuring the people with the most appropriate skills get selected for the right jobs.

Key positions on the Forest Management Group committee may include;

Core positions.

- Chairperson
- Deputy Chairperson
- Secretary

Other positions.

- Forest protection committee (3 persons)
- Forest development committee (3 persons)
- Forest utilization committee (3 persons)
- Monitoring committee (2 persons).

4.2 Electing Got level Forest Management Group executive committee.

- In a general assembly the management framework is reviewed and different standard positions and roles/TOR presented for the positions on the committee (See Annex 10 for more guidance on institutional formation). Additional positions are added as required by community members. Then there is the nomination of potential suitable candidates for each position by members of the general assembly. The nominator must explain why they think that candidate is suitable for that position. These candidates are first asked if they accept the nomination and if so are then also asked to justify their suitability for the positions. A secret ballot is used to elect key positions not a 'hands up' election which causes bias (see tips in text box at end of step). For some positions there may be no greater number of candidates than the number of positions. If this is the case a secret ballot may still be necessary where it is asked if people do or do not support the candidate. See Annex 10. For more detailed

guidance.

Once the committee is formed it is important to move on quickly to the internal regulation development which outlines roles and responsibilities of committee members. This is important so that committee members are clear on what to do. It should be done in a Got General Assembly.

The 'community facilitators' entity should be dissolved at this point as their roles will be taken over by the Forest Management Group committee.

4.3 Internal Regulation formation.

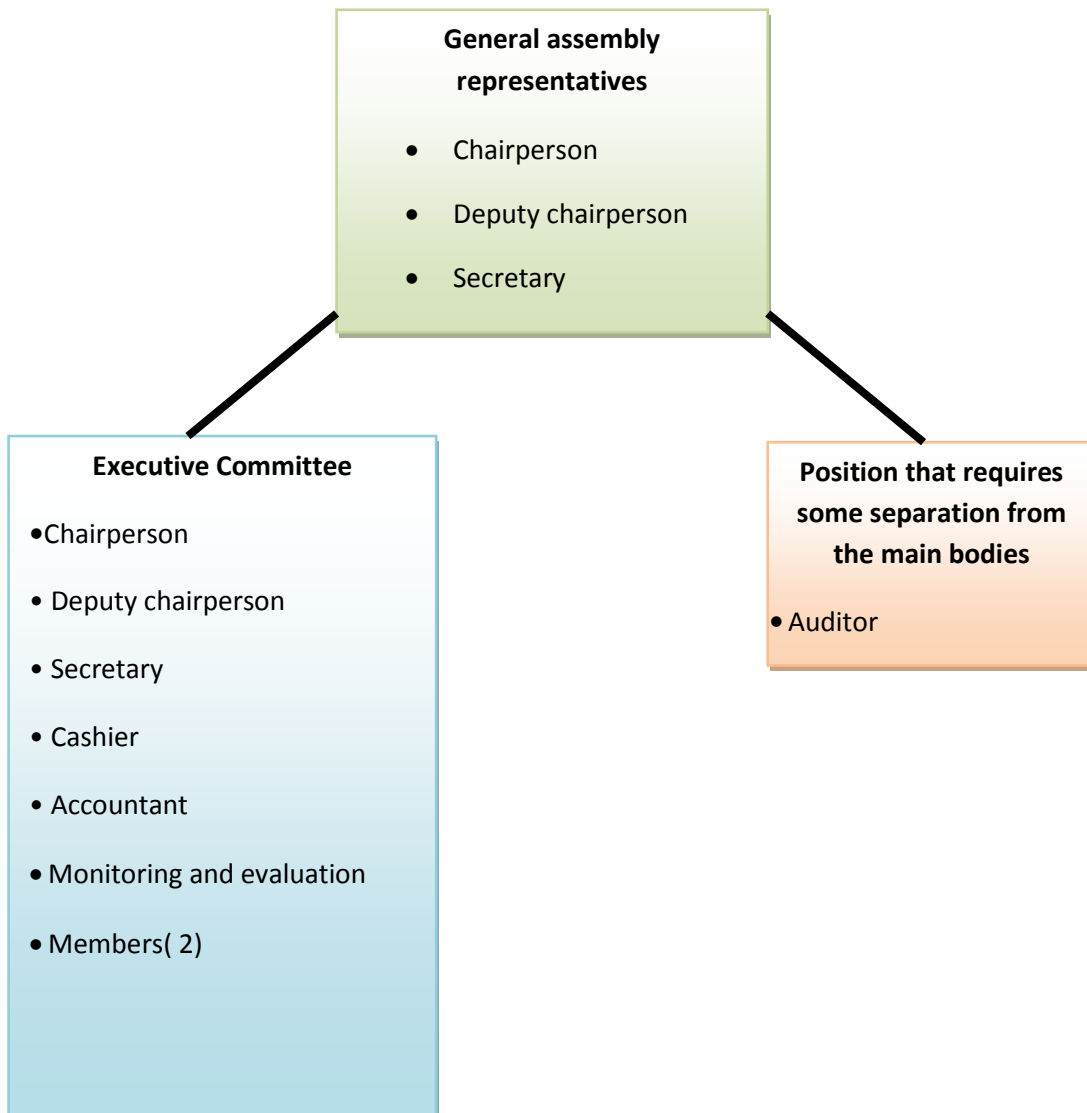
- The first task of the Forest Management Group executive committee is to facilitate the development of internal regulations in a general assembly. These regulations specify the rules, roles and responsibilities of the Got community regarding forest management. See the guidance notes on the process of internal regulation formation and the format (See Annex 11)

4.4 Formation of Wereda Forest Management Association.

- At each Got awareness raising is needed on the importance of getting organized at the wereda level in an umbrella association for the Gots communities, with minutes taken of willingness to join/establish wereda FMA and the people they delegate to attend the wereda FMA General Assembly.
- 1-3 representatives from each Got executive committee are brought together in a general assembly at Wereda level. After developing and discussing the Terms of Reference of different FMA committee members a democratic process is followed as specified in detail in Annex 10. Nominations are put forward for candidates best able to meet the requirements specified in the Terms of Reference and nominators justify why the candidates are suitable for that position. Then if candidates accept the nomination they also have to explain their suitability for the role and a secret ballot is conducted. However

it is often good to divide the process up over a number of meetings, to give people an opportunity to get to know each other.

The FMA is effectively an NGO and must follow a specified structure, although some of the positions in the following, such as monitoring and evaluation are advised rather than prescribed.



4.5. Development of workplan and Forest Management Association Byelaws.

➤ One of the first tasks of the association committee members is to develop the paperwork to enable registration.

➤ For legal registration of the FMA, it is required to have byelaws and a project plan. The assumption is that the association will require a project plan listing development activities it will undertake and the funding it will require. This project plan can be made by reviewing and compiling the activities of the Got level Forest Management Groups and then to satisfy the criteria of the project plan required for FMA registration, developing an estimate of the budget needed for the activities. However note that a more practical joint action plan is developed along with the forest product marketing organisation in Step 6.

➤ The byelaws have a generic format that is provided for legal associations by the responsible government body. Although the formats are quite standardised some flexibility in the contents can, and should be, found to enable the FMA to review and suggest to the Association Authority, some changes. To do this Wereda level FMA should review the internal regulations of their Got level forest management groups and try to shape the byelaws to reflect some relevant aspects of these byelaws to some extent.

4.6 Registration of the Forest Management Association.

➤ All the documents have to be prepared which are required for the association's registration: byelaws, project plan, membership (including a clear reference to all the branch associations – which is what the forest management groups at Got level will become). (See Annex 10 for more guidance). The documents are submitted to the responsible government body which should be at Zonal level but if not, at Regional level. The registration takes place and the FMA and its branch associations become a legal entity. Copies of the registration certificate must be made and circulated to all concerned parties.

Resources for Step 4. Forest Management Organization Formation

Training materials on organisational formation

Annex 10. Guidance on the formation process for Forest Management Institutions.

Annex 11. Guidance on the process for internal regulation development.

Tips and insights for Step 4.

- There is as yet, no ideal institution for PFM in Ethiopia, all have major drawbacks. The solution to this developed by the NTFP-PFM Project, together with community members and government, was to set up different organisations with different roles. The Forest Management Association (FMA) at Wereda level provides a strong legal and independent voice for community members at a level where it can influence Wereda level government. It is set up to include Got level Forest Management Groups as branch associations and so provides legal protection to all Got Forest Management Groups. The FMA is the legal entity that signs the PFM agreement. However, because the Forest Management Association, is a not for profit organisation, it is not well suited for forest enterprise development – and thus challenges are posed with regards to its self-financing. In the past, the communities have chosen Private Limited Companies (PLCs) to act as an ideal way to develop businesses, and these PLCs have demonstrated a lot of success in profit making. However a MoU between PLCs and FMAs which outlined payments of a percentage of project from the PLCs to cover the running costs of the FMAs never really worked as PLCs were not significantly tied to forest management or the FMAs. In the last couple of years, community members have opted for establishing forest product cooperatives rather than PLCs, because of tax exemption, greater number of members allowed and access to more technical support from the government. The formation of these cooperatives takes place in Step 6. In these PFM steps as it is considered expedient to move quickly to secure the PFM agreement in Step 5 as a priority before focussing on forest enterprise development. Step 6 also outlines some innovations designed to help make the partnership between FMAs and Cooperatives function better than the partnership between PLCs and FMAs.
- Secret ballots are preferable to ‘hands up’ kind of elections, as they enable people to avoid social pressure and have more free will in their choices. This is done by placing candidate names on envelopes outside a hall, and giving each person one counter (such as a pip of maize). One by one they then place the corn in the envelope for the candidate they want. The envelope is opened back in the hall in front of all, and a public count made.

Step 5. PFM agreement development, signing and awareness raising.

Key outputs and outcomes

- ✓ Completion and compilation of all documents necessary for getting PFM agreement.
- ✓ Awareness raising and facilitated negotiation (if required) between government and communities to provide the opportunity for community members to get the most attractive PFM agreement possible.
- ✓ Ceremony for PFM agreement signing.
- ✓ Distribution of copies of the agreement and awareness raising among all key relevant stakeholders on the new responsibilities and rights for government and communities in the agreement.



Timing guide: Roughly 102 working days for a Wereda with 20 PFM Gots.

5.1 Compilation of all Got level Forest Management Group documents necessary for the PFM agreement.

- All the following Got level Forest Management Group documents have to be completed and compiled as a requirement for each for the PFM agreement.
 - Members selection criteria
 - Minute of Got PFM leaders election
 - List of executive committee, and members
 - Map of PFM forest and GPS coordinates with their descriptions
 - 3 year forest management framework with key activities divided according to year
 - Internal regulations.
 - Agreed roles, responsibilities and rights between government and communities (the forest user rights are determined based on the legal framework, but all opportunities to maximise user rights for communities should be explored, see next sub step).
 - Summary of forest observation walk (participatory resources assessment)

5.2. PFM agreement development through stakeholder engagement and negotiation.

- The PFM agreement has to clearly stipulate the rights and responsibilities concerning the forest of the two key signatories, the Wereda level government and the Got level forest management group committee (which is recognised as a legal entity because of its branch status to the Wereda FMA).
- It is important to provide as much opportunity as possible for communities to try to convince the government at all decision making levels on maximising user rights within the PFM agreement. Efforts should be taken to enable the Forest Management Association to raise awareness and negotiate with the Regional, Zonal and Wereda level of governments as well as different concerned branches, including the judiciary and law enforcement. Active participation in, and consultation on, drafts of the agreement among all key government stakeholders will increase chances of buy-in, and thus improve support for the agreement's implementation. Numerous strategies can be employed to maximise the opportunity of communities to influence the contents of the agreement: facilitated multi-stakeholder workshops, PFM field site visits for government officials, contributions to policy review processes, etc.
- Once the PFM agreement contents are agreed it is important that the PFM agreement is given written approval by the regional government and that this written approval and the agreed document format is communicated with all relevant government levels and branches.

5.3 PFM agreement signing ceremony

- A ceremony is a good way of raising the profile of the PFM agreement, raising awareness and building commitment and buy in. During the PFM agreement process, but before the signing ceremony both parties Forest Management Group committees/FMA and the government must be made clear on the rights and responsibilities of each party.

5.4 PFM agreement circulation and awareness raising.

- Copies of the signed agreements must be provided and explained clearly to all relevant Government bodies at all levels, and judiciary and law enforcement. Also, of course, copies of the agreement are required for the Forest Management Group itself and the Wereda Forest Management Association.

Resources for Step 5. PFM Agreement and Signing.

Annex 12.
Example PFM Agreement

Tips: The presence of the media in the PFM agreement signing ceremony can be a useful way of not only raising the profile of the PFM agreement and its implications but also as a means of helping ensure commitment to the rights and responsibilities within the agreement.

- The PFM agreement is the foundation of PFM, the legal agreement that supports devolved forest management. Great effort should be taken to try to ensure the PFM agreement makes forest management as attractive as possible for communities by providing secure control and clear, enhanced forest user rights.
- Clarity in the language of the agreement must be ensured with specificity to avoid too much opportunity for interpretation and misunderstanding.
- The Rural Land Administration proclamation enables government land to be handed over to communities as a legally titled common holding. It is advised that where possible this additional certification of community ownership of the forest be sought to strengthen the community tenure over the forest.

Key outputs and outcomes

- ✓ A forest product marketing organisation formed.
- ✓ Binding Memorandum of Understanding between the forest product marketing organization and forest management association specifying joint roles and responsibilities and separate roles and responsibilities.
- ✓ Action plan jointly developed by Forest Management Association and Cooperative and implementation of the plan.
- ✓ Internal regulation formulated & agreed by members of got FMGs
- ✓ FMA/Cooperative facilitated practical Annual workplan for the Got level Forest Management Groups. Support system from FMA to Got FMGs.
- ✓ Trainings/support provided on demand to all community organisations.
- ✓ Strengthening the voice of PFM communities through developing networks of Forest Management Associations/Cooperatives, forums and connections at different levels of government from Wereda up to Federal level between community organisations and government.

Step 6. Forest management implementation and enterprise development.



Timing guide: To get most of the building blocks of this step in place around 80 work days per Wereda (with around 20 Gots). Subsequently support will depend on what the community members and institutions require, but maybe a rough estimate may be around 80 work days per year per Wereda, but reducing over time as community institutions become stronger.

6.1. Forest product marketing organization development.

Important Note: The institution that was selected by the communities and government in the last couple of years for forest product marketing was a cooperative, and although a cooperative is discussed within this step, we do not advocate that this is the only suitable option. It is recommended that PLCs and other legal forms for business are also explored as an option.

are by law, not for profit organisations, so it is important that an organisation is established as quickly as possible after the PFM agreement signing to take care of enterprise development and marketing of forest products from PFM communities.

➤ The formation of the cooperative follows a similar process to the formation of the Forest Management Associations, although there are some differences. The 2-3 representatives from each Got that come to the formation meeting should be entrepreneurs or potential entrepreneurs, ideally with experience of forest product use and marketing.

- There are also some innovations in the process itself designed to make it more inclusive, participatory and fit for the purpose of forest management. For example the share price and membership fee are selected in a participatory way with all participants having an opportunity to set the price and fee and then an average is calculated to determine the final amount. Also lots of care is taken to ensure the right people are selected for the committee, not only by selecting forest product entrepreneurs and potential entrepreneurs to attend the meeting, but also ensuring that Terms of Reference for each position are clearly articulated, that nominations for candidate positions are considered on merit, a chance provided for candidates to justify their suitability and finally have elections in a secret ballot.
- For more details on the process of cooperative formation and innovations in the process, view Annex 13. Note that as with the FMA, there are numerous requirements and formats that are needed, in this case by the Cooperative Authority. The Cooperative after formation will be required to develop a business plan outlining its products, costs, expected revenues and activities.

6.2 Development of a Memorandum of Understanding(MOU) and action plan between the Forest Cooperative and Forest Management Association.

- As a result of having two separate types of community organisations, one effectively responsible for forest management and the other responsible for forest product marketing, it is essential that their interdependence be established and formalised as quickly as possible through a MOU and joint Action Plan.
- Training on the link between active forest management and forest enterprise development and thus the interdependent link between the Forest Management Association and the Forest Product Marketing Organisation is given, including an exercise on product supply analysis (done by the FMA) and product demand and value analysis (done by the forest product marketing organisation) which provides a clear demonstration of why it is important to link active forest management to develop the supply of produce to meet market demand and specifications. (See Annex 14. For more details on the process of MoU formation.)
- The FMA and Forest Product Marketing Organization then negotiate a MoU assigning roles and responsibilities to each party and collectively decide on the percentage contribution that cooperatives will provide to FMAs. Negotiation must be conducted until compromise and agreement is found on the conditions in the MoU. (See Annex 14 for more details.)
- The first task of the FMA and Forest Product Marketing Organization is to develop a joint action plan, coordinating activities such as supply and market surveys, coordinating silvicultural operations to increase sustainable supply and quality of products, harvesting, processing, post harvesting activities and marketing, and provision of technical and planning support to Got level Forest Management Groups etc. (See Annex 14.)

6.3 Capacity development of Forest Management Association and Forest Product Marketing Organization.

- Conducting a needs assessment of skills and capacity gaps of forest management association and forest product marketing organization.
- As a result of the needs assessment various specific capacity development activities and trainings will be provided on demand – ideally ‘on the job’ trainings, and training of trainers will need to be provided on topics which will depend on the outcome of the needs assessment but may include: Forest management and silviculture training (See Annex 15 for some guidance notes on this); Business plan and enterprise development training including market linkage and value chain analysis and training on harvesting, handling, adding value, processing and selling;

Book keeping and accounting training; Leadership and organizational management skills training; Facilitation skills training; Conflict management and negotiation skills training; Presentation and negotiation skills and Planning, monitoring and evaluation skills.

➤ Support to the organizations should be handled with care. For example some infrastructural and credit assistance might be necessary to get the organization started, but this should be handled in a sensitive way to avoid the negative aspects of giving out ‘free money’ and creating dependency. Also with regards to enterprise development, although in response to requests from communities assistance can be provided to identify markets for products, decision making on what to sell and where should be left to communities. Guidance should be provided on the dangers of overly relying on national and international markets which may be prone to fluctuations and have often long and expensive supply chains and rigorous requirements on quality and quantity, etc. The importance of ensuring a good mix of markets is essential, local established markets for forest products often offer the most resilience and are the least risky, so in addition to national and international market exploration, local market links for production from PFM forests should be prioritised.

6.4. Got level forest management training and support – detailed annual action plan.

➤ The Government, FMAs and Cooperatives should support Got level forest management groups to help them implement forest management. For example, to develop the productivity of their forest to provide a sustainable supply of valuable products of an optimum quality at an optimum time for marketing to the Cooperatives, who seek out the optimum markets and best market prices for those products; providing conflict management support for example when there is a conflict over boundaries or use rights; providing support to back up the rights of communities according to their PFM agreement, if their forest rights come under threat; support in monitoring/reviewing action plans, providing backstopping and revising and renewing plans.

➤ As an initial way to help the Forest Management Group and to demonstrate the role of the FMA and Cooperative it is necessary for the FMA and Coop to facilitate the development of a detailed annual action plan with the Got Level Forest Management Group. An example of this elaborated action plan can be found in Annex 16. As with the management plan, it is essential that the action plan remains in the village on flip charts and a copy is made

6.5 Developing FMA/Coop and government forums at Wereda level.

➤ Effective communication between all key stakeholders is necessary for the smooth implementation of PFM. These forums should aim to provide an opportunity for close communication between the CBOs and government on PFM and build understanding and partnership.

6.6 Developing strong networks and forums at regional and national level to link PFM communities to decision makers.

➤ The foundations of PFM are the rights and responsibilities stipulated in policies and regulations at regional and national level as well as the political understanding and will among senior decision makers for devolved forest management. Forums and networks should be developed that include direct representation of FMAs/Coops so that their voice can be heard and incorporated into high level decision making/policy processes and linking to existing networks at Regional and Federal level. It is important that community members represent themselves in such forums rather than through others, for example it is not good for NGOs to claim to represent the interests of community members.

Resources for Step 6. Forest Management Implementation and Enterprise Development

Awareness raising materials to prepare FMAs and forest product marketing for partnership.

Materials for all relevant trainings required to build the capacity of Forest Management Association, Forest Product Marketing Organisations and Got level Forest Management Groups.

Annex 13. Guidance on the formation process of the Forest Product Marketing Organization.

Annex. 14. Guidance for the MoU development process and format for the MoU and joint action plan between the FMA and Forest Product Marketing Organisation.

Annex 15. Guidance on silviculture, forest management implementation.

Annex 16. Elaborated Got level annual action plan for forest management.

Tips

- If the forest product marketing organization chosen is a cooperative, select the share price based on an average figure of the suggestions made in the formation meeting, rather than on a majority vote. This helps ensure that the price takes into consideration the views and abilities of all members, rather than only the majority.
- Rather than waiting to get relevant supply and demand survey information to write the business plan of the Forest Product Marketing Organisation – make the initial business plan to include a focus on how to generate supply and demand information. Also move forward on a learning by doing way with enterprise development – often it is impossible to estimate supply and market amounts, what works and work does not in the market, unless some practical experimentation is done. Be cautious with trying to accurately estimate sustainable harvesting amounts of forest products from natural forest – this is notoriously difficult, some would say even impossible to calculate exact fixed sustainable extraction quantities of many products from natural forests. For example many NTFPs are extremely variable from year to year, whereas wood increment can increase through wise extraction and silviculture. However often the government will require assurances that extraction is sustainable, this presents quite a challenge for monitoring and evaluation of product use in PFM. See Step 7.

Step 7. Monitoring, Evaluation and Responsiveness

Although this is in Step 7 of the guidelines this does not mean that Participatory Monitoring and Evaluation (PM&E) activities only take place at the end, they must take place during the PFM establishment process as well as in implementation.

Key outputs and outcomes

- ✓ Trainings conducted on appropriate planning monitoring and evaluation systems, methods and skills for all parties in PFM.
- ✓ Relevant and feasible PM&E systems set up to match the requirements of each stakeholder.
- ✓ Responsive planning and implementation that ensures PFM continually learns from and builds on concrete experience.



Timing guide: Really depends on what has to be monitored, but monitoring is done in every Got once a quarter, in a Wereda with 20 PFM Gots, this will be roughly 8 days monitoring and evaluation by government per Wereda each month, plus assistance with Annual reviews and planning, totalling 42 days per year for a Wereda with 20 Gots.

7.1. Trainings on the principles and practice of planning monitoring and responsiveness.

- Trainings should be provided to all stakeholders/institutions involved in PFM on the rationale, principles and practice of PM&E (See Annex 17. Guidance on monitoring, evaluation and responsiveness).

7.2 Developing relevant and practical PM&E methods to fit the needs of each stakeholder

- Design a joint PM&E system and assign PM&E team members with the roles of coordinator & facilitators. The FMA auditor along with other committee members responsible for PM&E should be the overall coordinators at a wereda level and should work with the got level FMG committee members assigned as PM&E facilitators in each got. There should be two PM&E facilitators in each got Forest Management Group.
- Suitable baselines, criteria, indicators and methods should be developed for the requirements of each specific stakeholder in PFM.

- **Forest Management Groups.** Forest management groups are guided to develop appropriate criteria, indicators of what is important for them to measure, e.g. forest conversion to agriculture in demarcated forests halted, adherence of the community to the management and action plan, adherence of the government to the PFM agreement signed, generation of lessons and recommendations from what is working and what is not working well in PFM; equity assessment; reviews of institutional health.
- **Government.** Government should be guided to develop appropriate criteria and indicators of what is important for them to measure. E.g. Forest conversion to agriculture in demarcated forests halted; all forest harvesting according to sustainable principles (can be a combination of random sample inventory plots in a percentage of PFM forests (e.g. small random plots in 5-10% of the forest sites) using objective scientific inventory methods combined with qualitative systems (see thumb forest density method in Annex 9); if communities adhering to their management and action plans and the PFM agreement; monitoring of products harvested, transported and marketed from PFM forests; generation of lessons and recommendations from what is working and what is not working well in PFM.
- **Forest Management Associations.** Developing appropriate criteria, indicators and methods for what is important for them to measure. Ensuring that the government and communities are adhering to the conditions in the PFM agreement, ensuring rights of PFM communities are being respected, checking that Forest Management Groups are avoiding conversion of demarcated forest and adhering to wise forest management practices and adherence to the FMA's action plan; adherence of both the FMA and Cooperatives to the conditions spelled out in their MoU. Generation of lessons and recommendations from what is working and what is not working well in PFM.
- **Forest product marketing organisations.** Developing appropriate criteria, indicators and methods for what is important for them to measure e.g. profitability of the organisations; increase in market value and access for forest products; adherence of the forest cooperative to its action plan and adherence of both the FMAs and Cooperatives to the conditions spelled out in the MoUs between the organisations. Generation of lessons and recommendations from what is working and what is not working well in PFM.
- **Other actors such as projects.** Developing appropriate criteria, indicators and methods for what is important for them to measure. For example forest projects often have objectives related to avoiding deforestation, maintaining biodiversity and livelihood development. Depending on the criteria, projects should develop appropriate baselines and methodologies (qualitative and more objective surveys) for appropriate monitoring and evaluation according to these criteria. However it must be remembered that projects are temporary in PFM, so their monitoring and evaluation needs will be within the time frame of the project. Great care has to be taken not to impose or delegate project M&E requirements onto PFM communities, or trying to integrate project M&E into PFM steps. What the project wants and needs from monitoring and evaluation in PFM and what communities want are very different things. The onus, responsibility and burden of project specific monitoring and evaluation should firmly fall on the shoulders of the project and never become an obligation of communities, and should be done in a way that is most convenient for community members when they are involved.

7.3 Participatory review and planning for responsiveness.

- It is essential that all key stakeholder groups use monitoring and evaluation outputs to feed into planning so that plans are revised accordingly so that they are responsive to emerging

issues. It is essential that both successes and failures are identified and analysed in review processes. Joint review and planning meetings among stakeholders are also very important. As well as ensuring a good understanding of issues from different perspectives, this helps ensure that different stakeholders evaluate the performance of each other (e.g. government evaluates communities, but also communities evaluate government. It also helps build understanding and partnerships.

Tips

- Needs driven monitoring and evaluation – there should be a clear purpose for PM&E. For example do not conduct very detailed inventories on all the PFM forests on a regular basis if there is no demand or clear need to do so!
- It is important to keep in mind the principle that stakeholders are responsible for monitoring and evaluating what is important for them, and do not delegate what they think is important for another stakeholder to monitor onto them.
- Sustainable extraction amounts from natural forests in PFM, especially of NTFPs are notoriously difficult to determine. International practice in PFM suggests that simple principles based techniques work best rather than trying to apply scientific techniques that were developed in industrial single use plantations. For example with tree harvesting case by case decision making that would include minimum diameter size, canopy cover estimate and regeneration estimate before harvesting. Likewise for NTFPs many rules of thumb can be developed – e.g. harvesting tree ferns over a certain age and density or only bamboo culms over 4-5 years old. It is best if the communities come up with such principles in partnership with government foresters. The amount of product available for sale can however often only be fully estimated after a year or two of applying these principles and seeing how much can be harvested according to them.
- For government to be convinced on PFM they often require ‘scientific’ methods to assess sustainable use. Sometimes the imposition of such requirements, including inventories on every PFM site has undermined the entire viability of PFM itself as they have not been practical or efficient to undertake. International best practice has shown that plots determined through random sampling methods in a some sample of forests (e.g. 5 %) combined with spot checks work best and are most feasible. It is important also to remind government that forest use is not the biggest threat to forests, by far the biggest threat is conversion of forests to agriculture. If user rights are not allowed in PFM, for fear of unsustainable extraction or for lack of agreed M&E system, it might undermine PFM itself resulting in leaving the forest vulnerable again to agricultural conversion. The alternative to PFM is a return to open access, high rates of conversion, destructive use and low levels of responsibilities – so even an imperfect M&E system for forest product use within PFM is better than that. Trust in PFM, combined with principles based methods for PM&E by communities, and a sampling technique of plots if government requires technical inventories, combined with qualitative spot checks, should suffice to meet the needs of all stakeholders.

Resources for Step 7. Planning monitoring and evaluation.

Training materials on planning, monitoring and evaluation.

Annex 17. Guidance on principles and practice of PFM monitoring and evaluation methods.

The following essential supporting Annexes are found in the accompanying compact disc.
Annex 1: Guidance form for assessing and selecting suitable PFM Gots.
Annex 2: Format of Letter For Requesting PFM Establishment
Annex 3. Guidance for selection and setting up of the PFM community facilitation team
Annex 4. Stakeholder mapping exercise guidance.
Annex 5: Boundary Demarcation Description Format to use with GPS during demarcation
Annex 6: Boundary Demarcation Agreement Form
Annex 7. Form for registration form for members and associate members.
Annex 8. Forest Management planning process guidance;
Sub step 1. Participatory Forest resource mapping
Sub step 2. Forest observation walk(Rapid forest assessment)
Sub step 3. Forest product analysis exercise
Sub step 4. Forest management review exercise
Sub step 5. Forest management planning
Annex 9. Rapid forest assessment guide and discussion checklist
Annex 10. Guidance on the formation process of the Forest Management Group and Forest Management Association.
Annex 11. Guidance on process for Internal regulation development of Got Forest Management group and example of internal regulation.
Annex 12. Example PFM agreement.
Annex 13. Process guide for the development of the forest product marketing organisation.
Annex 14. Process for development of MoU Forest Management association and Forest product marketing organisation and sample MoU.
Annex 15. Guidance on silviculture – forest management implementation.
Annex 16. Elaborated Got level annual action plan.
Annex 17. Guidance on monitoring, evaluation and planning.
Annex 18. Materials checklist for participatory PFM sessions

