



Community Engagement in the Participatory Forest Management in Kigoma, Uvinza, Mpanda and Nsimbo Districts

Proceedings of the Workshop held in Kigoma Town on 1st and 2nd August 2014

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Background

The Jane Goodall Institute has secured funding from The Africa Biodiversity Collaborative Group (ABCG). The goal of ABCG's BATS component is to support USAID AFR/SD, Africa Missions and African organization partners to increase their effectiveness to tackle major existing and emerging threats to Africa's biodiversity and contribute to sound development and security based on wise use of natural resources and maintenance of ecosystem services.

With funding from USAID Tanzania, The Jane Goodall Institute in collaboration with other partners is facilitating the Kigoma, Uvinza, Mpanda and Nsimbo districts (initially were Kigoma and Mpanda) in establishing Local authorities forest reserves (LAFRs) in the general land of Masito Ugala landscape. The mapping process of these forests has completed and named as Masito LAFR for Uvinza District (156,493.6ha) and Tongwe West LAFR for Mpanda District (405,957.9ha) and interdistrict steering committee formed for the purpose of improving supervision, coordination, communication and implementation of activities across the Ecosystems.

The gazettement of both forest reserves in Uvinza and Mpanda districts is at its final stage and will be finalized in the next few months after completion of the preparation of General Management Plans for each LAFR and submitted to the Minister for approval. While the establishment of the LAFR's is a notable achievement, the task of ensuring their proper management and sustainability needs to be initiated through the development of participatory forest management plans that will identify ecological zones and set limits of acceptable use of the forest reserves. Clarity on the engagement of communities in the Participatory Forest Management process by the district that sets the stage for the establishment of partnerships that identify mutual benefits for both district and villages in the monitoring and protection of LAFR.

1. Workshop Objectives

The objectives of the workshop were twofold;

- Laying a foundation that ensures that the local authority forest reserves established are operationalized for the sustainable management of the reserves and areas of high biodiversity value identified and protected.
- Clarity on the engagement of communities in the Participatory Forest Management process by the district that sets the stage for the establishment of partnerships that identify mutual benefits for both district and villages in the monitoring and protection of LAFR.

The target audience was inter-district steering committee members who are involved in implementing and coordinating activities related to the forests resources management. The training was also intended to provide a common understanding on General Management Plan and Participatory Forest Management (Community Based Forest Management and Joint forest Management). Therefore, workshop participants brainstormed on the following;

- Participatory Forest Management (Community Based Forest Management and Joint forest Management) and how it can be applied in the established LAFRs
- Concepts of Forest General Management Plan in Tanzania context (what is it, content, when it is prepared, who is involved, give examples and more)

- Elaboration on how four program districts will develop work plans for the establishment of the General Management Plan and Participatory Forest Management.

3. Methodology

Methodology employed during the two days workshop through presentation by the workshop facilitator which was proceeded by interactive discussion for clarification and enrichment of the presented information based on participant's field experience. Two presentations were held during the first day of the workshop which was then followed by group work. Focus of the presentations and subsequent group work was specifically on Participatory Forest Management (Community Based Forest Management and Joint forest Management). Groups made their group work presentation in the plenary late in the afternoon of day one. Day two of the workshop started with facilitator's presentation and subsequent discussion. This focused specifically on the concepts of Forest General Management Plan in Tanzania context. Presentations made are presented in Sections 4 and 5 below;

4.0 Understanding the Concept of Participatory Forest Management

The Tanzanian Government defines PFM as “The arrangements for management that are negotiated by multiple stakeholders and are based on set of rights and privileges recognized by the government and widely accepted by resource users; and the process for sharing power among stakeholders to make decisions and exercise control over resource use.” In this regards therefore, (PFM) is simply a strategy to achieve sustainable forest management; by encouraging the management or co-management of forest and woodland resources by the communities living closest to the resources. Thus, Participatory forest management (PFM) is an overall term for decentralised forest management models. This is a genuine shift of management over forest resources from government to local community. There are two distinct set-ups for Participatory Forest Management:

- Community Base Forest Management (CBFM);** This takes place in ‘village land’. Here villagers take full ownership and management responsibilities and collect forest royalty from sale of forest products.
- Joint Forest Management (JFM);** This takes place in Government Forest Reserves. It is a collaborative management approach: divides management responsibility between Gov and the communities. In this case community gets user rights through signing of formalized management agreements.

Participatory Forest Management (PFM) was introduced into law in Tanzania with the passing of the Forest Act of 2002. The Act provides a clear legal basis for communities, groups or individuals across mainland Tanzania to own, manage or co-manage forests under a wide range of conditions. As already pointed out, the law recognizes two different types of Participatory Forest Management. The first type enable local communities to declare – and ultimately gazette village, group or private Forest Reserves commonly referred to as Community Based Forest Management (CBFM). Community-based forest management encompasses the management of forest lands and forest

resources by or with local people, individually or in groups, and for commercial or non-commercial purposes. This form of PFM takes place on village land – or private land, and the trees are owned and managed by either a village council (through a village natural resource committee), a group, or an individual. Most of the costs and benefits relating to management and utilization are carried by the owner. The role of central government is minimal, and districts only have a role in monitoring.

The second type of forest management allow communities to sign joint forest management agreements with government and other forest owners commonly referred to as “ Joint Forest Management ” or JFM. This takes place on land that is owned and managed by either central or local government. Villagers typically enter into management agreements to share responsibilities for the management with the forest owner.

Rationale for establishing Participatory Forest Management was based on the reality that the government was lacking the sufficient capacity to sustainably manage forest and hence there was a need to involve communities in forest management. This was also considered to provide an opportunity for improved livelihoods through increased forest revenues and secure supply of subsistence forest products, improved forest quality through sustainable management practices, and improved forest governance at village and district levels through effective and accountable natural resource management institutions. Table 1 provides status of PFM implementation based on 2006 Survey.

Table 1: Status of PFM Implementation Based on 2006 Survey

Total area of forest covered by PFM arrangements	3,672,854 ha
Percentage of total forest area under PFM	10.8%
Number of villages involved in PFM	1,821
Percentage of total villages involved in PFM	17.5%
Number of villages with approved management plans or signed Joint Management Agreements	531
Number of districts with ongoing PFM processes	57

While many villages are participating in PFM across the country, relatively few have formalized their forest management in line with the Forest Act of 2002. The Act requires that villagers to have an approved management plan or signed Joint Management Agreement for their forest land. The Forest Act allows for a range of different forest management arrangements under the overall authority of the Village Council. But to date the greatest majority are Village Land Forest Reserves (VLFRs). Recent study shows that only 329 VLFRs have been declared by village and district councils. The Forest Act allows for “gazettment” of VLFRs by central government. But only 53 have been through this process (mostly in Iringa Region, following support from the HIMA project). However, the route followed by villagers towards protecting their forests seems to vary

from place to place. In many cases is not yet fully “legalized”. For example, villagers may develop by-laws, without a forest management plan, or vice versa. In other cases, villagers declare a village land forest reserve, but they have yet to identify and demarcate their “village land” boundaries. In some cases, villages have not elected Village Natural Resource Committees.

It is also noted that, with the exception of mangrove forest blocks along the coastal strip and some Local Authority Forest Reserves, there are relatively few examples of JFM operating in production forests – either natural or plantation. This is largely due to uncertainties regarding benefit sharing mechanisms and how much of the forestry royalties (central government revenue) from timber harvesting can be shared with local communities.

Despite the large area of forest being covered by JFM and the high number of participating villages– only a small number of agreements have ever been signed. This is partly due to uncertainties over cost and benefit sharing arrangements. Without signed agreements the basis for equitable Joint Forest Management is questionable.

5.0 How to Establish Participatory Forest Management

The process of establishing PFM systems is broken into three distinct stages; investigation, negotiation, and implementation stage.

5.1. Investigation Stage

It is essential to understand the different interest groups and resource user groups who should be involved in sustainable forest management. These groups are referred to as stakeholders. The principle of inclusive management depends on an understanding of the different stakeholders and the institutions that they represent. There is a need to clearly understand who could gain or lose by changes in resource management systems. Identifying how people perceive their own rights and responsibilities, as well as those of others, is a crucial starting point in initiating discussions over who should have which rights and responsibilities in the management system.

Therefore, a crucial part of the first stage in establishing PFM is to undertake a review of stakeholders and carry out a stakeholder analysis. The immediate objective of a stakeholder analysis is to identify and analyse the different stakeholders in terms of direct and indirect resource uses. This information is then used to begin to assess appropriate rights and responsibilities for the various interests among the different groups.

Stakeholders can be divided into primary and secondary stakeholders, if there is a need to differentiate between levels of rights to the forest resources. For example, primary and secondary stakeholders may be differentiated by proximity of their settlement to the forest. The stakeholder analysis can also reveal the different relationships among resource users. In this way, potential and actual risks and conflicts between groups can be identified.

Formal methods should be used to undertake the analysis in order to record and document the details and dynamics of the various stakeholders. The analysis should involve group exercises and discussions to identify forest stakeholders, and should involve as many actual stakeholders as possible. The process allows local government foresters and local communities to crosscheck stakeholder involvement, to develop a better understanding of each other, and the different

perceptions and concerns of the various stakeholders involved. Specific questions that the stakeholder analysis ought to answer focus on four elements of forest use and management;

- Who has what rights to use the forest? (Rights)
- Who takes what actions in terms of forest management? (Responsibilities)
- How do the different stakeholders relate to each other? (Relationships)
- Who benefits from the forest? (Revenues)

In order to gather information concerning stakeholders, a 4Rs (Rights, Responsibilities, Relationships and Revenues) matrix can be constructed. Working with community groups, information can then be compiled about different stakeholders, under defined headings. The end result of a stakeholder analysis is a clear understanding of who is doing what concerning the forest. The information provides the basis for community discussions of who should be involved in the new forest management system.

5.2. Negotiation Stage

The existence and establishment of functional community-based forest management institutions is at the centre of successful PFM. If the community does not have the capacity to organise itself as members within a management group, PFM will not work. The strength of the community-level forest management institution is critical. Adequate time and investment must be given to build management skills and capacity since the forest management institution is the body or group that takes on the roles and responsibilities of community-based forest management. Identification of a suitable institution should be undertaken at the investigation stage of the PFM process.

Different types of institutions will exist at the community level. Generally, if institutions already involved in the management of natural resources exist, then these are the most appropriate institutions to work with. However, existing institutions should not be assumed to be functionally effective, gender balanced and/or pro-poor.

As mentioned above, a key issue that requires attention is the legal status of the forest management group. In order to enter into a legal agreement with a government body, a community body should have legal status. Given this context, the formation of a forest management cooperative is the most appropriate form of community-based, legally registered institution. Forest management cooperatives can be formed at different scales. The Government is responsible for building community capacity in order for new groups to function effectively as a cooperative. The main purpose and objective of a Forest Management Cooperative is the sustainable management of forest resources. The cooperative consists of an executive committee and a number of subcommittees which are responsible for specific areas/aspects of forest management: for example, a forest development subcommittee, a forest utilisation subcommittee or a forest protection subcommittee.

The role of the forest management group is defined in the Forest Management Plan and Agreement. Central to the role of the management group is the ability to both make decisions and take action to implement those decisions. Good decision making will determine the success of the overall forest management systems. Therefore capacity building focused on appropriate decision making

for forest management is crucial. Linked to the legality of the Forest Management Group is the critical issue of law enforcement. The Forest Management Group must be a legal entity in order to bring offenders to the appropriate law bodies, the police or the court. The Forest Management Group needs to build recognition and understanding of itself and its institutional status regarding the other institutions with which it will work.

Formulation of the Forest Management Agreement requires further meetings, discussions and negotiations between the Government Forestry Department and Community Management Groups. Once signed, the Forest Management Agreement becomes the legally binding contract document for PFM. The signatories are the District Administration and/or the Natural Resources Department, on behalf of the Government, and the Village Chairperson and executive committee of the forest management group, on behalf of the community/village.

Forest Management Agreement clearly stipulates the rights and responsibilities of the two parties. Rights and responsibilities should be developed through discussion with, and between, the government and the community. Rights and responsibilities are directly related to the rules and regulations that have been agreed concerning the forest, for example who can do what in the forest.

Decisions concerning rights, responsibilities, rules and regulations need to be negotiated. Decisions need to relate to the objectives of sustainable forest management. Agreement formulation meetings need to be held between the community and the District Council or Forestry Department. Once rights and responsibilities, and rules are decided and agreed, they are written into the Forest Management Agreement.

5.3. Implementation Stage

In order to successfully manage PFM, taking up these new roles requires new skills as community forest managers. This implies considerable investment in skills development, learning by doing, experimentation and training. What is also implied is that building skills is a critical support role for government in general and professional foresters specifically. Community forest managers will need ongoing support from the Government Forest Department. Clarifying the new roles of forestry professionals in PFM is also very important. As the communities manage forest resources, other new roles will arise, such as new livelihood opportunities. The sale of NTFPs is a good example of this. As such opportunities arise, the community groups will need support in their commercial organization, product processing and development, and marketing of products.

It is important to note that PFM is a partnership between the Forest Department and any local community Forest Management Group. It is a working partnership where each party is dependent on the other. The new approach requires changes in the activities and roles for both forestry professionals and community forest managers. When implementing PFM, it is important to understand the different activities that will now be carried out by professional foresters. Changing the roles of professional foresters is key to determining the success of PFM. The role of the professional forester in PFM is radically different to the roles and tasks of the traditional professional forester.

6.0 Forest Management Planning (FMP) Process

The FMP preparation process itself should be used as a catalyst for facilitating capacity building, negotiation and participation in order to achieve the following four elements which are crucial for successful local forest governance:

- local institutional accountability
- local technical & intellectual capacity for management
- economic strategies based on existing local resources
- cultural resonance

The preparation of FMPs should occur in a stepwise manner with capacity of CFMs being built gradually. It is not sufficient to prepare a FMP by simply following a checklist or through a series of participatory exercises lasting only a few days. If this is done, conflicts will not be resolved (and may in fact be initiated) and disadvantaged groups will be further disempowered. A sufficient period for internal learning, debates and negotiation is crucial for establishing a strong collective forest management institution. A number of relevant policy issues which affect the preparation and implementation of FMPs are also discussed. These include for many situations dealing with power differences within local communities. The planning process is an opportunity;

- to empower local forest users
- to identify and involve local stakeholders
- to agree on management objectives and strategies
- to negotiate and agree on benefit sharing, responsibilities and costs
- to combine local knowledge with technical information

FMPs for livelihood-oriented forest management will require the following to be clearly defined:

- forest boundaries resource assessment
- assessment of forest product needs
- use rights and responsibilities of members of the group
- benefit sharing arrangements
- minimum environmental standards

In conventional FMPs, forest inventory is an activity which requires considerable technical inputs and which can take a considerable amount of time and expense to carry out. In CFM there is a need for techniques which are more appropriate to the needs and capacities of local forest managers especially for situations where timber production is not the major forest management objective. Much attention has therefore been given to the development of simple, participatory forest resource assessment methodologies for livelihood-oriented forest management. Approaches in Participatory Forest Assessment for Village Forests involves the following;

- forest resource assessment (covering the whole forest resource) rather than just timber inventory;
- participatory processes where forest users are actively carrying out the forest resource assessment themselves rather than forest technicians;

- simple, non-quantitative methods with emphasis on visual observations in the forest rather than accurate measurement;
- use of locally recognizable measurement units and classification systems rather than conventional inventory terms;
- presentation of information produced by forest resource assessment in a visual and graphic way to enable better interpretation of results by forest users;

7.0 Steps in Preparing a Forest Management Plan for other Forests

The process involves seven major steps as follows;

The first step involves the following;

- Review and collate data
- Identify missing gaps
- Collect additional data as necessary
- Use current and historical photographs, maps, aerial photos or satellite images of the forest to identify which current forest uses are sustainable.

The second step involves the following;

- Develop and agree on a common vision and main management objective(s).
- Visioning workshops can be held inviting the participation of relevant stakeholders:
- Common vision needs to be agreed upon Problem/threat analysis is conducted

The third step involves the following;

- Zonation should be carried out by identifying clear external as well as internal physical boundaries.
- Consideration should also be given to non-consumptive uses of the forest for revenue generation purposes (e.g. eco-tourism)
- Set objectives, strategies and activities for each zone.

The fourth step involves the following;

- Draft the management plan.
- This should be done by the local planning team.
- Comments are to be invited from other local or district-based stakeholders.

- The planning team produce a draft management plan for circulation to other stakeholders for comments including the District Environment Committee, DFO and Forest Conservation Committee).

The fifth step involves the following;

- Negotiate and agree on the main roles and responsibilities of each stakeholder.
- This is a critical step since it deals with the five practical questions: who, what, when, where, how?
- Who is to be responsible for the activity and how will they be supervised?
- What tasks will need to be undertaken and in what order?
- When will the activity and tasks be started and how long will the work take?
- Where, in what part(s) of the forest?
- How, what methods and techniques will be used?

The sixth step involves the following;

- Once the draft plan has been formulated it should be presented publicly at barazas in the local area so as to allow people to react and respond:
- The planning team will need to prepare in advance for these meetings, bearing in mind that some of their audience will be non-literate and therefore much of the information will need to be presented in a visual format
- Meeting dates should be planned well in advance so as to allow the information to be communicated throughout the area even where households are dispersed
- Meetings should be arranged so that neutral facilitators can manage the meetings

The seventh step involves the following;

- After publicising the draft plan in barazas and obtaining written and/or verbal comments, the local planning team together with other supporting stakeholders should agree on prioritised activities for managing the forest.
- These will now form the basis for annual work plans.
- Such activities will also help to define the roles and responsibilities of the Forest Association(s) and its committee members.

Appendix 1 outlines table of contents of the Forest Management Plan

8.0 Discussion

A number of issues were discussed after presentations. Some of the issues discussed are as follows;

- Some of the by-laws enacted by village governments have not been effective in forest management. In some cases, these by-laws have not been harmonized with district by-laws. As a result, some of these by-laws have not been passed by the district council. It is important that District Legal Officer is engaged during the formulation of such by-laws to ensure harmonization with district by-laws.
- It was pointed out that Village and Ward Executive Officers are empowered to oversee compliance of the village by-laws. It was further emphasized that ward councils have the full mandate to handle disputes at the local levels using by-laws as instruments in handling such cases.
- It was reported that land use plans have been developed in some areas. However, such land uses only characterize major blocks with general use categories. In the absence of management plan, such land use plans may not be effective. It was also pointed out that influx of in-migrants from other parts of the country has further disrupted the land use plans. These in-migrants have invaded some of the areas that were set aside for forest management.
- Poor governance has also contributed to the disruption of land use plans. It was claimed that in some areas village government has allocated land which was initially planned for forest management. Such areas are now being transformed into either agricultural land or settlement.
- It was reported that JGI has established a multi-sectoral Steering Committee to oversee the process of establishing Local authorities forest reserves (LAFRs) in the general land of Masito Ugala landscape for Kigoma, Uvinza, Mpanda and Nsimbo districts (initially were Kigoma and Mpanda). The steering committee was recently launched. It was further proposed that a technical committee be formed to provide technical back-up for the steering committee.

9.0 Action Plan

This section presents action plan for (Uvinza and Mpanda districts) for the development of Joint Forest Management and General Management Plan for the proposed LAFRs as reflected in Table 2 below. However, this action plan assumes that all the villages concerned have by-laws in place.

Table 2: Action plan for the development of Joint Forest Management plan and General Management Plan

S/No	Action to be taken	Actors	Duration
1	Stakeholders analysis in village surrounding forests	District Officials with a facilitator/consultant	7 days for each district
2	Submission of request for user right to the Tanzania Forest Service	JGI through Regional Secretariats for Kigoma and Katavi region	
3	Signing joint agreements between the government and	JGI with support Regional Secretariats for Kigoma and	

	the villages surrounding the forests	Katavi region, and Tanzania Forest service	
4	Review of existing information as a basis for developing forest management units and consultations in respective districts	Facilitator/Consultant in collaboration with JGI and District Officials	30 days
5	Preparation of forest management units	Facilitator/Consultant in collaboration with JGI and District Officials	20 days
6	Presentations of forest management units to the stakeholders in the respective districts for further inputs	Facilitator/Consultant in collaboration with JGI and District Officials	2 days in each district
7	Preparation of forest management plans (detailing forest management activities);	Facilitator/Consultant in collaboration with JGI and District Officials	10 days
8	Negotiation and signing of forest management agreements (specifying roles, responsibilities and rules)	Facilitator/Consultant in collaboration with JGI and District Officials	4 days in each district

Appendix 1: Table of Contents of a Forest Management Plan

1. Executive summary
2. Introduction
3. Legal status
4. Institutional status
5. Planning process
6. General description
7. Maps
8. Problem analysis
9. Overall objectives for the forest

10. Resource assessment (for each FMU)
11. Problem analysis for each FMU
12. Management Objectives for each FMU
13. Strategies and options for each FMU
14. Activities for each FMU
15. Rules and responsibilities for each FMU
16. Annual Plan of Operations (prepared every year)
17. Annexes (Articles of association; benefit sharing arrangements; agreements with other institutions; list of households; any other information)