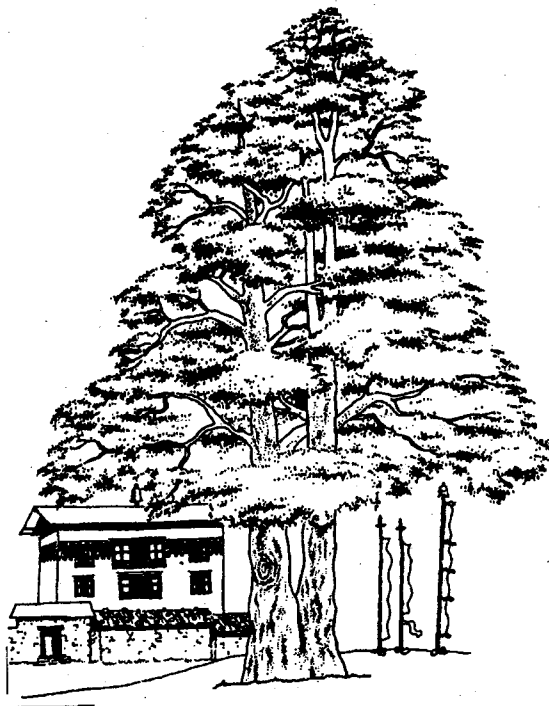


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COMMUNITY FORESTRY GUIDELINES FOR BHUTAN



**Social Forestry & Extension Section
Forestry Services Division
Ministry of Agriculture
Royal Government of Bhutan
Thimphu**

with support from

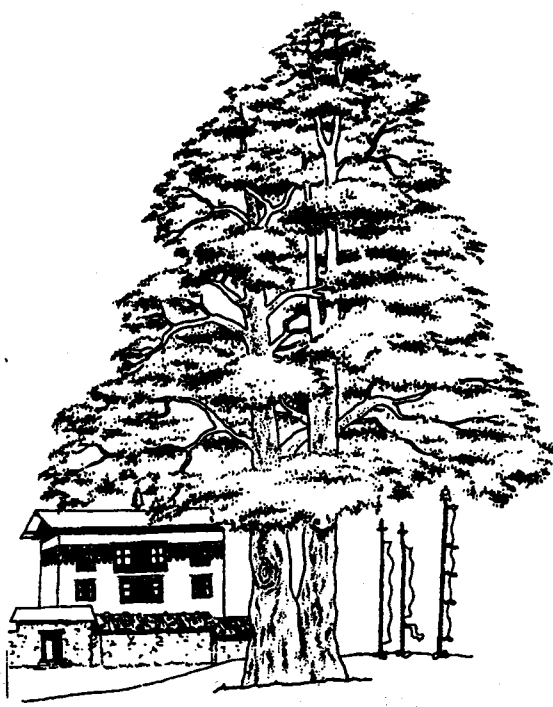
**FAO/UNDP Forest Resources Management
and Institutional Development Project**

December 1996



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COMMUNITY FORESTRY GUIDELINES FOR BHUTAN



**Social Forestry & Extension Section
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FOREWORD

The participation of the local community is the key to the conservation and utilization of forest resources.

King Jigme Singye Wangchuck, 1979

Presently, forestry in Bhutan is in a state of flux. It is progressing from a conventional regulatory approach to a participatory approach involving local communities in forest conservation and management. There is a growing emphasis on a forestry extension programme which enables forestry staff to work closely with the local people.

The Forest Policy, the Forest & Nature Conservation Act, and the Social Forestry Rules offer conceptual guidelines for organizing the forestry extension programme and its sub-programmes. They are not detailed enough, however, to guide field implementation. Therefore, the Forestry Services Division (FSD) is in the process of preparing a series of guidelines to assist forestry extension staff in implementing the field programme. These Community Forestry Guidelines, in preparation since 1993, are the first in a series that will eventually cover all forestry extension programme activities.

The basic aim of the Royal Government of Bhutan's Community Forestry programme is to transfer the rights and responsibilities for sustainable management (protection, development, and utilisation) of forest resources on land owned by RGOB to local Community Forest Management Groups.

Since pilot efforts began in two gewogs in 1988, activities in Community Forestry have been expanding. Since decentralization in late 1993, the programme is being implemented by the Dzongkhag Forestry Extension Sectors. The Territorial Forest Divisions are responsible for assisting the Dzongkhag Forestry Extension Sectors in technical backstopping as and when needed. The Social Forestry and Extension Section (SFES) of FSD is expected to provide guidelines and coordinate training to implement the programme.

I am happy to see that these guidelines are now finalized. I expect that they will be very useful for implementing the Community Forestry programme. As experience is gained across the country, I hope that these guidelines will be further revised to incorporate the lessons learned.

I thank the SFES and all others who have worked so hard and contributed to these guidelines.



Sangay Thinlay
Joint Secretary
Forestry Services Division
Ministry of Agriculture

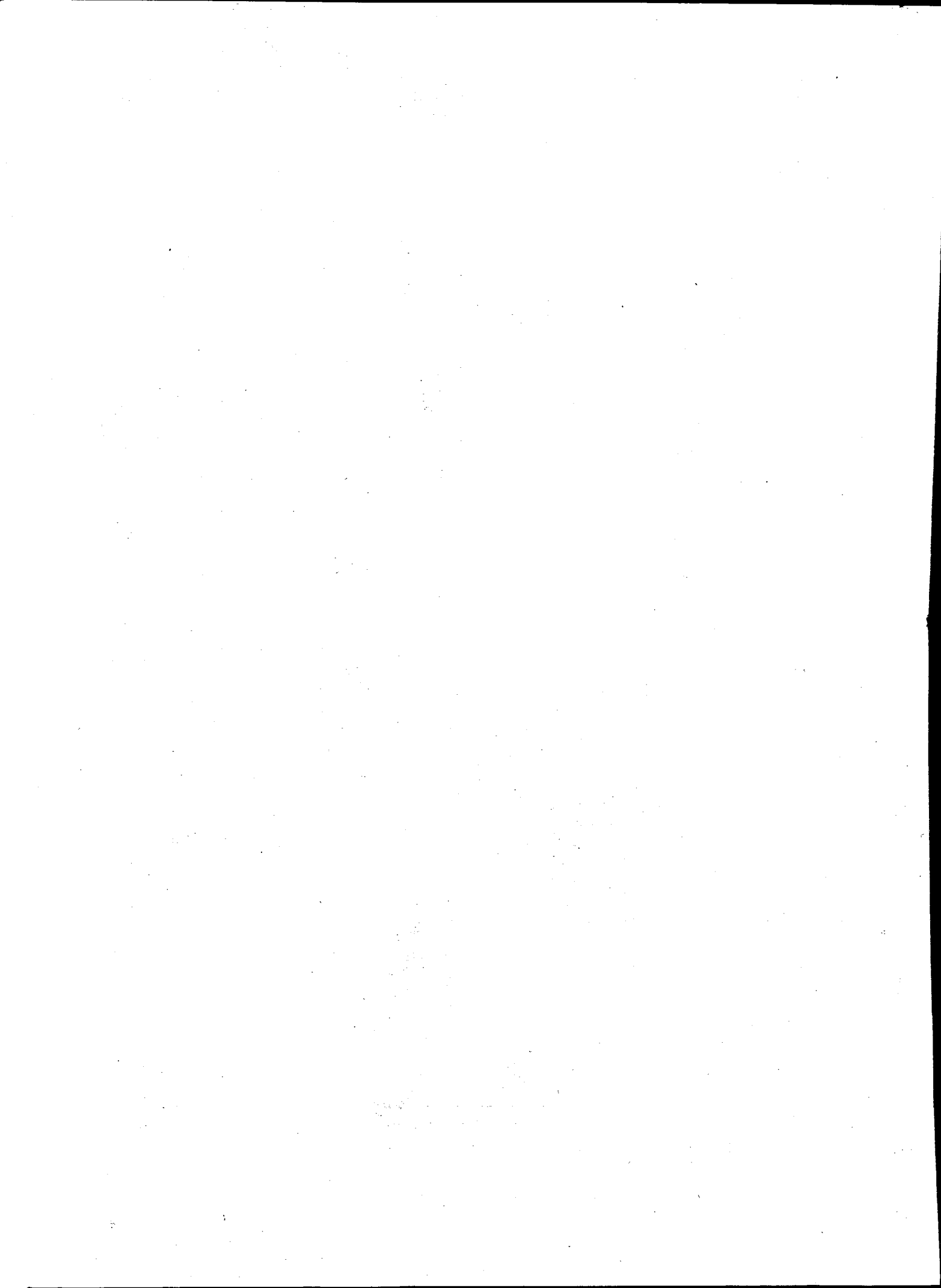


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ABBREVIATIONS

CF	COMMUNITY FOREST
CFMG	COMMUNITY FOREST MANAGEMENT GROUP
CFMP	COMMUNITY FOREST MANAGEMENT PLAN
CFR	COMMUNITY FOREST RULES
CUFA	COMMONLY USED FOREST AREA
DA	DZONGKHAG ADMINISTRATION
DFEO	DZONGKHAG FORESTRY EXTENSION OFFICER
DFES	DZONGKHAG FORESTRY EXTENSION SECTOR
DFO	DIVISIONAL FOREST OFFICER
DYT	DZONGKHAG YARGEY TSHOGCHUNG
FSD	FORESTRY SERVICES DIVISION
GRF	GOVERNMENT RESERVED FOREST
GYT	GEWOG YARGEY TSHOGPA
LUPS	LAND USE PLANNING SECTION
MOA	MINISTRY OF AGRICULTURE
PF	PRIVATE FOREST
PPD	POLICY AND PLANNING DIVISION
PRA	PARTICIPATORY RURAL APPRAISAL
RGOB	ROYAL GOVERNMENT OF BHUTAN
RRA	RAPID RURAL APPRAISAL
SFES	SOCIAL FORESTRY AND EXTENSION SECTION
SFFM	SOCIAL FORESTRY FIELD MANUAL
TFD	TERRITORIAL FOREST DIVISION

GLOSSARY

COMMONLY USED FOREST AREA	An area of forest, be it Government Reserved Forest, private forest, or a combination thereof, which is used in common by local households on a regular basis for their forest product needs. The area may have a locally recognized boundary. <i>Traditionally Utilized Forest Land Unit (TUFLU)</i> has been another term used.
COMMUNITY FOREST	Government Reserved Forest land for which responsibility for management (protection, development, and utilization) has been handed over to a defined Community Forest Management Group as per the Community Forest Rules.
COMMUNITY FOREST MANAGEMENT GROUP	An organized group of people who have agreed to collectively establish and manage a Community Forest as per the Community Forest Rules.
COMMUNITY FOREST MANAGEMENT COMMITTEE	Representatives of the Community Forest Management Group, selected by its members, who are responsible to the CFMG for coordinating the planning, implementation, monitoring, and review of the management plan.
COMMUNITY FOREST MANAGEMENT PLAN	A management plan prepared by the Community Forest Management Group with assistance from the Dzongkhag Forestry Extension Sector. This plan defines group membership, constitution & bylaws, community forest area, management objectives, and institutional and technical aspects of protection, development, and utilisation of the forest. This plan is a formal agreement between the Community Forest Management Group, the Divisional Forest Office, and the Dzongkhag Administration required before legal handover of the forest to the group.
COMMUNITY FOREST PRODUCE	The following found within the Community Forest: (i) trees and parts or products of trees; (ii) wild plants and parts or products of wild plants.
CONSERVATION	Wise use. Careful and sustainable management of natural resources involving protection, preservation, and utilisation.
DEVELOPMENT	The process of coming or bringing to a later or more advanced or expanded stage; improvement of value. In the context of a Community Forest, it implies application of silviculture, soil and water conservation, and other land and forest management techniques.

GOVERNMENT RESERVED FOREST	Any land that is owned by the RGOB for which the responsibility of management lies with the Forestry Services Division of the Ministry of Agriculture. Refer to the Forest & Nature Conservation Act 1995 for the legal definition.
INDIGENOUS	Based on local initiative, as opposed to externally sponsored in which the initiative comes from outside the local community. Different from 'traditional' (see below).
INDIGENOUS FOREST MANAGEMENT SYSTEM	A system of social and technical arrangements for the management of a local forest which has evolved at the local level from initiatives of the villagers themselves.
INTEREST GROUP	A group of people with similar interests with regards to the use and management of the forest. E.g., women, ethnic groups, occupational groups (e.g., seasonal herders), poor/landless, bazaar dwellers, households with sizable livestock holdings, kinship groups, etc.
MANAGEMENT	The technique, practice, or science of administering or controlling; the skillful use of resources, materials, time, etc. In the context of a Community Forest, management means the control of forest protection, development, and utilisation; includes forest conservation.
MANAGEMENT PROCESS	The cyclic stages involved in management, including investigation, planning, implementation, monitoring, and evaluation.
PARTICIPATORY RURAL APPRAISAL	A participatory learning process, or information gathering approach, where outsiders are facilitators who enable rural women and men to conduct and share their own investigation, analyse their situation, and plan and make decisions on development actions. In community forestry, PRA can be used for management planning.
PRIMARY USERS	Those households who depend on a particular Commonly Used Forest Area or Community Forest for all or most of their forest product needs.
PROTECTION	The act of of defending or keeping safe from trouble, harm, injury, loss, etc.
RAPID RURAL APPRAISAL	A learning process, or information-gathering approach, where outside investigators use a wide range of tools in cooperation with rural women and men in order to understand a situation, topic, or problem, draw conclusions, and plan actions. In community forestry, RRA can be used for site selection.

Community Forestry Guidelines for Bhutan

SECONDARY USERS	Those households who do not depend on a particular Commonly Used Forest Area or Community Forest for all or most of their forest product needs, but rather have limited use rights (customary or legal), such as cattle grazing.
SOCIAL FORESTRY	The umbrella under which the Private Forestry and Community Forestry programmes operate.
STAND	A sub-unit of a Community Forest that has been delineated for ease of management, based on such factors as forest type, forest condition, natural boundaries, management objectives, etc.
TRADITIONAL	Customs characterized by a degree of antiquity. Indigenous customs are not traditional, unless they are also old.
UTILISATION	The process of making practical or useful worth of. In the context of Community Forestry, the activities ranging from harvesting/collecting to processing to actual use, consumption, and/or marketing (sale).

INTRODUCTION TO THE GUIDELINES

Purpose and Structure

The main purpose of these guidelines is to show that community forestry, even though it may be complex, is a logical and systematic process. More precisely, the guidelines aim at describing the process as a sequence of activities (or stages) which, if followed, will result in the establishment of a Community Forest (CF). Well-defined outputs, such as an understanding of the Forest & Nature Conservation Act and the Community Forest Rules by the beneficiaries, a map of the Commonly Used Forest Area (CUFA), a list of the forest users, and a management plan for the community forest, should emerge when proposed activities in a particular stage are completed. The information generated in one stage is subsequently used in the next stage. This systematic approach should lead to the establishment of Community Forests without too much difficulty.

However, the guidelines also indicate that, once the Community Forest is established, the job of the community forester is not over. Continuous monitoring, provision of technical assistance, and periodic evaluation are also necessary to guarantee sustainable management.

These are general guidelines, not hard and fast rules. They are intended to indicate "what to do" more than "how to do it". As national guidelines, they will not be able to address all issues of community forestry in a country like Bhutan, where bio-physical and socio-economic settings differ from one valley to the other. The guidelines are designed to be a simple and flexible base upon which field staff can develop their own methods of implementation. Flexible interpretation, creative thinking, and trial-and-error will be part of the learning process. When the user is confronted with a special situation not covered by the guidelines, the issue should be referred to the FSD headquarters or directly to the Social Forestry and Extension Section (SFES) of the FSD for assistance.

Target audience

These guidelines are primarily intended for Dzongkhag Forestry Extension Sector (DFES) staff who are responsible for field implementation of the Community Forestry programme, as well as Territorial Forest Division (TFD) officials, Dzongkhag Administration (DA) officials, and all other people working in community forestry. These guidelines may also serve as a reference to trainers.

Additional assistance

Four Social Forestry Field Manuals (SFFM) accompany the guidelines to provide further assistance to field staff in the implementation of the Community Forestry programme:

SFFM No. 1: *RRA for Community Forestry Site Selection*

SFFM No. 2: *Planning Together: Using PRA in the Planning Stage of Community Forestry*

Chapter One: Introduction

SFFM No. 3: *How to Conduct the Community Forest Resources Assessment*

SFFM No. 4: *Management Options for Community Forests*

In addition, a manual entitled *Forest Resources and the Environment: Activities to Promote Awareness of Forest Resources and Present Social Forestry Rules to Farmers* is useful during the identification stage of Community Forestry. The manual has been published by and is available from Save the Children/USA (PO Box 281, Thimphu), as well as SFES.

CHAPTER 1 BACKGROUND

1.1 Evolution of Social Forestry in Bhutan

Crops, livestock, forests, and people together have formed the essential elements of the hill farming systems in Bhutan. Historically, access to the forest has been crucial to the existence and sustainability of farming systems, in which forest resources have been used for subsistence purposes.

Little is recorded of forest tenure (ownership and use) systems in the past. While legal (or official) ownership remained undefined, customary tenure arrangements most likely existed within and among local villages. Where forest resources were abundant, the local people enjoyed unlimited rights and privileges for use of nearby forests.

As the population grew, the cultivated land area also increased. Development initiatives, together with the opening up of various parts of the country through the construction of the north-south and lateral roads, led to the penetration of market forces for various forest products. Consequently, in 1969, all forests in the country were nationalized with the good intention of ensuring environmental protection and equitable availability of forest products to all Bhutanese.

While nationalization of all forests has led to effective protection of forests in some parts of the country, it has also contributed to adverse social and environmental impacts. Nationalization shifted the responsibility for protecting and managing the forests from the community to the Government. Official rules and regulations and a network of forestry offices were established to regulate the use of forest resources. Villagers eventually lost the feeling of customary ownership of their nearby forests and traditional systems of forest protection and management, where they existed, may have broken down. In some areas where government protection efforts have been insufficient due to lack of adequate manpower, the "tragedy of the commons" has prevailed. Previously considered "common property" lands have become "open access". In the absence of adequate controls, either by local user groups or government forestry staff, the forest resources on these lands have progressively degraded.

Recognizing the importance of community involvement in the protection and management of forest resources, in 1979, His Majesty the King commanded the Department of Forestry to prepare a scheme on Social Forestry to involve the local people in the planting of trees in their own private or village lands.

In response, the Department of Forestry (DOF, now FSD) initiated a Social Forestry scheme all over the country. For several years, this programme was limited to annual distribution of ten seedlings per household for planting in privately registered lands and, to a lesser extent, on communal lands. However, the scheme could not take off since ownership of trees planted on private lands still remained with the Government--a disincentive to tree planting. Also, DOF lacked an effective forestry extension network.

Chapter One: Background

To further promote tree planting, the Department of Forestry declared Coronation Day, June 2nd, as Social Forestry Day. A scheme for annual tree planting on this day by school staff and students, now known as School Social Forestry, was formalized between the Department of Forests and the Department of Education in 1985. School Social Forestry has since become a successful decentralized forestry activity.

During the implementation of the Sixth Plan (1987-92), the DOF began implementation of social forestry in a systematic way. A new functional section (now the Social Forestry & Extension Section--SFES) was established in 1989 to organize the programme. Among other activities, this new section developed and tested different forestry extension schemes in a few villages, first in Chhukha, and later in Thimphu, Punakha, and Wangdue Dzongkhags. Interim Social Forestry Rules (Private, Community, and Lease Forest) were issued by the MOA in 1990.

The pilot demonstration activities, though limited in scope, revealed encouraging results. The experiences were presented in the National Workshop on Social Forestry and Forestry Extension held in Lingmethang in 1992. Linkages between the draft Forest Policy, draft Forest and Nature Conservation Act, and interim Social Forestry Rules were reviewed and changes recommended. Of the four forestry extension schemes, two were recommended, with appropriate revisions, for implementation: Private Forestry and Community Forestry. Based on this, a second set of interim Social Forestry Rules was issued in 1993.

Under the decentralization programme, the Royal Government of Bhutan in May 1993 designated Social Forestry and Community Forestry as district-level programmes. In 1994 forestry staff were transferred from FSD to the Dzongkhag Administrations (DA). A Dzongkhag Forestry Extension Sector (DFES) was created in each DA and is responsible for implement the following activities: Private Forestry; Community Forestry; School Social Forestry; Protection of forest from fire; Protection from encroachment into sokshing and tsamdo; and Allocation of dry firewood.

The draft Forest Policy (1993) reflects RGOB's growing commitment to promoting people's participation in forest conservation and management. The new Forest and Nature Conservation Act, ratified in 1995, authorises the MOA to issue Social (Private) and Community Forest Rules. Since the passage of the Act, further revisions to the Social Forestry Rules have been made, leading to the current 1996 version.

Together with the long-standing School Social Forestry scheme, the Private Forestry and Community Forestry schemes today constitute the Social Forestry programme, which is the main operational focus of the national-level forestry extension programme.

Further impetus has been provided to the implementation of the Social Forestry programme in the last few years with the start-up of a number of donor-funded Area Development Projects (ADP) with private and community forestry as major components. SFES's role has been shifting from direct pilot testing to support of these field projects.

1.2 What is Community Forestry?

Community Forestry is forest management based on an agreement (management plan) between an organized group of forest users (a Community Forest Management Group--CFMG) and the RGOB. The ownership, rights, and responsibilities for sustainable management (protection, development, and utilisation) of forest resources on land owned by RGOB is transferred to the CFMG as a Community Forest (CF).

Often, forest users have already been involved in looking after the forest and using it to meet their basic needs for forest products. However, they may have only limited experience of acting together as a group to care for the forest, and they may not have been able to plan their activities systematically to secure the long-term future of the forest resources, since the forest previously did not belong to them. Community forest management is the process where the CFMG organises its activities in a way which will meet its needs from the forest in a sustainable manner.

1.3 Why is Community Forest Management Needed?

Community Forestry is intended to meet, in part, the RGOB's basic development goals of protection, production, and equity (see section 1.5.1). Management of Community Forests is the way these goals can be met.

Forests can provide timber, fuel, fodder, and many other products which are essential to the life of rural communities. With good management, the CF will be able to produce a regular supply of the forest products that the CFMG require. Without management, the forest may not be fully utilised and users may not be benefitting as much as they could. In other situations, the users may be harvesting too much from the forest with the result that it is becoming degraded and will be less able to meet their future basic needs.

Community forest management is needed in order to maximise the benefits a CFMG can get from its forest.

Community forest management is also needed to reduce people's pressure on Government Reserved Forest (GRF) and to reduce the conventional forester's burden of controlling forest resource utilization and encroachment.

1.4 Community Forestry in the Forest and Nature Conservation Act, 1995

The provisions in the new Forest & Nature Conservation Act in support of Community Forestry are as follows (Chapter IV, Sections 17 and 18):

- the Ministry of Agriculture may make rules for the establishment of community forests on Government Reserved Forest;
- the rules for community forests may provide for the transfer of ownership of the forest produce in the community forest to appropriate groups of inhabitants of communities adjoining the forest;

- the groups to which community forests have been transferred shall manage them for sustainable use in accordance with the rules for community forests and the approved management plans;
- permits, royalties, and other charges, as well as assistance to community forestry, shall be governed by rules for community forests;
- any person who contrary to the Forest and Nature Conservation Act or Rules established under it takes, damages, or destroys any forest produce in a community forest established under the provision of the Act, is guilty of an offence punishable with imprisonment which may extend to 3 months, or a fine which may extend to an amount prescribed in the Rules, or both, in addition to either (i) confiscation of anything illegally taken or the proceeds from the sale thereof, or (ii) payment of compensation at fair market value for anything illegally taken, damaged or destroyed.

1.5 Community Forestry Programme Goals, Objectives, and Principles

Many and varying goals and objectives have been adopted by the Ministry of Agriculture and the Forestry Services Division that directly relate to Community Forestry. Diverse as these statements may be, they all contain common basic points related to environmentally, economically, and socially sustainable development. Based on these points, the goals and primary activities for the Community Forestry programme are stated below.

1.5.1 Goals

1. **Protection.** To maintain or improve the biological diversity and ecological functions of forest lands.
2. **Production.** To maintain or improve the sustainable supply of forest products and services in order to enhance the self-sufficiency and improve the economies and living standards of local rural people.
3. **Social Equity.** Maintain or improve communal institutions that can sustainably manage forest lands and ensure equitable decision-making, implementation, and distribution of forest benefits by and for its members.

1.5.2 Objectives

1. Transfer the primary responsibility for management (protection, development, and utilization) of forests adjacent to communities to local management groups.
2. Strengthen the institutional and technical capacity of forest management groups to sustainably manage and equitably share the benefits from the forests handed over to them.
3. Assist forest management groups in the development of appropriate forest-based home and cottage industries and provide marketing assistance.

1.5.3 Principles

Principles upon which the Community Forestry programme is based are as follows:

- A. The focus is on the forest and the people, rather than just on the forest. The primary purpose is to ensure conservation of the forest environment, its functions, its resources, and its diversity. Thereafter, the purpose is to ensure that forest resources are sustainably used to derive economic benefits and contribute to social justice and equity.
- B. The forest has value to local people only insofar as it meets their needs and benefits them. People's perception of the forest's value, rather than government subsidies and other motivational devices, represents the greatest incentive for sustainable forest management. Sustaining this perception is the reason behind the clear and legal transfer of management rights over forest resources to the CFMGs.
- C. Given this recognition of users' value perception, sites for community forestry will focus not just on barren/degraded land for new plantation establishment, but also on existing natural forest. Priority should be given equally to degraded land and to natural forest that is progressively degrading due to lack of sound management. Handover of a combination of degraded, degrading, and intact forests should be considered the ideal.
- D. While various criteria should be considered for CF site selection (see appendix 2), the primary criteria for determining community forest boundaries shall be traditional use patterns and the closeness of the forest to the settlement area(s) of the CFMG.
- E. Group benefits of community forest management will first focus on self-sufficiency in basic forest product needs, of which the priorities will be determined by the users. However, it is recognized that full self-sufficiency from the CF in all required forest products will not always be possible.
- F. Group benefits from income-generation should be a secondary focus. Income generation will provide a major incentive for the sustainability of community forest management, providing motivation and funds for forest management investments (e.g., labor, seedlings, etc.) and improving the economies and living standards of the group.
- G. People's participation is a key strategic element in the RGOB's RNR sector policy and overall development policy. The recognition that local people need to be increasingly involved not only in the utilization of the forest but also in its protection and development is a principal basis of the CF programme. Community forestry can only succeed if the CFMG has real control over its forest and makes forest management decisions itself.
- H. While the basis for handover is an approved community forest management plan, the focus is on the management process, in which the user group itself investigates, plans, implements, monitors, and periodically evaluates and makes desired changes to the plan.

Chapter One: Background

- I. All users of the particular forest should be included as members of the CFMG and be actively involved in all stages of the management process. Special focus will be placed on gender and equity issues, i.e., on the needs, potentials, and contributions of women, the poor, and the landless. In this regard, the CFMG formation process is of paramount importance and a major key to success.
- J. Local wisdom, beliefs, knowledge, skills, and practices will be taken into consideration in the formulation and implementation of community forest management plans. This will not only ensure sustainability but reinforce cultural heritage.
- K. A principal belief of the programme is that traditional and/or indigenous institutions, forest management systems, and tenure systems have functioned in the past and may be functioning at present. As much as possible, these institutions and systems should be identified, respected, and built upon, rather than ignored or replaced. Modifications should be attempted when the workings of the institution or system are in conflict with programme goals (e.g., inequitable benefit distribution).
- L. Forestry extension is a two-way process between rural people and the extension staff, as opposed to a top-down, one-way, technology-transfer system. The role of extension staff will be to provide advice and support to the CFMG. The staff do not tell the CFMG what to do. The CFMG makes the final decisions, not the extension staff.

1.5.4 Forest plantations and natural forest

Small-scale community plantations in degraded/critical areas may not be enough to meet the local forest product needs. Therefore, depending on the local situation, priority should also be given to natural forest that is progressively degrading due to lack of sound management. Some reasons follow:

- In terms of labor and supplies for establishment and maintenance, the implementation of community management in degrading natural forest will be less costly. With limited government resources, more forest area can be brought under sustainable management if the focus includes natural forest.
- Community plantations usually consist of one or a few species. Natural forest provides a wide range of forest products that best meet the traditional needs of local people.
- Natural forest better responds to the immediate needs of the local people. With plantations, it takes several years before the trees are of sufficient size to yield products.
- Degrading natural forest is the most in need of improved management practices. If local management remains restricted to small community plantations, then large areas of natural forest will continue to be harvested, often illegally on an un-planned basis, leading to further degradation.
- Natural forest management better promotes the maintenance of native biodiversity.

1.6 Community Forestry and Decentralized Forestry Extension

1.6.1 Decentralized Planning

In the context of the decentralization of development activities, the RGOB decided in May 1993 that implementation of the Community Forestry programme, along with a number of other forestry activities, is the responsibility of the Dzongkhag Administrations (DAs). Therefore, it is important to understand the relevant guidelines on decentralization, as laid out by the RGOB in 1993, particularly with regard to the role of the GYTs and the DYT in planning.

Decentralization is designed to make the government more responsive to the views and needs of the people. For this purpose, at the district level, two institutions have been established: the Dzongkhag Yargay Tshogchung (DYT) in 1981 and the Gewog Yargay Tshogchungs (GYTs) in 1991. The DYT and GYTs provide the means whereby the people can participate in planning, decision making, and implementation of development activities.

While the dzongkhags shall execute the Five Year Development Plans (FYPs) on behalf of the Government, the GYTs will be invited to submit their plans and proposals concerning the development activities and services required by them in the coming FYP. These are discussed in the DYT keeping in view the central directives, budget implications, and capacity of the dzongkhags to implement the proposals. As chief executive in the dzongkhag, the Dzondag shall then prepare the Five Year Plan in consultation with the sectoral heads and the DYT. Based on the FYP, the sectoral head shall be responsible, along with the DA planning officer, for preparing Annual Plans in consultation with GYTs and the DYT.

Furthermore, the dzongkhags are encouraged to set up coordination committees for sectoral (such as RNR) activities at the dzongkhag level. Such Committees shall be chaired by the Dzondag. Membership of the Committee shall comprise of respective sector heads and the heads of regional and other field offices that are controlled directly by the concerned ministry. For forestry, as part of the RNR sector, this membership would mean the DFEO and the territorial DFO.

1.6.2 Decentralized Forestry Extension

For implementation of the decentralized forestry activities, a Dzongkhag Forestry Extension sub-Sector (DFES) has been created in each DA as part of the Renewable Natural Resources (RNR) Sector. The DFES is responsible for the identification of community forest areas, identification and formation of management groups, and for providing assistance to CFMGs in the preparation of community forestry management plans (CFMPs) and in their implementation, monitoring, and evaluation.

The Territorial Forestry Division (TFD) is responsible for working with the DFES in the identification and evaluation of community forest areas and forest users. The Territorial DFO is responsible for approving the CF boundaries and, along with the DA, the CFMPs. The TFD will also provide necessary assistance to the DFES on an as-required

basis. The Territorial DFO and the Dzongkhag Administration are jointly responsible for issuing the Community Forest Ownership Certificate.

The Social Forestry & Extension Section is responsible for preparing national programme guidelines, coordinating the training of DFES staff in their implementation, and providing technical backstopping in the field. The SFES is responsible for overall monitoring, evaluation, and revision of the programme at the national level.

Detailed responsibilities of DFESs, TFDs, and SFES are described in **Appendix 1**.

1.7 The Community Forest Rules, 1996

The RGOB has issued Community Forest Rules to enable transfer of areas of Government Reserved Forest to defined local management groups for protection, development, and utilization. The intention of the Rules is that the ownership of the trees and wild plants (community forest produce) shall be vested in the group, while the ownership of the land and other forest resources (animals and minerals) remains with the Government.

The transfer process officially begins when the local users form a Community Forest Management Group (CFMG) and submit to the Dzongdag a completed application form expressing interest to establish a community forest. A "Community Forest Handover Certificate" is issued only after approval of a management plan, prepared by the Community Forest Management Group (CFMG), with assistance from DFES staff, according to which all forest activities are subject.

NOTE: These guidelines do not replace the Community Forest Rules. It is the responsibility of all DFES and TFD staff to familiarize themselves with the rules and create awareness and enforce these rules among the local populace.

CHAPTER 2

OVERVIEW OF THE COMMUNITY FORESTRY PROCESS

The process of community forestry is the same for forest plantations areas as it is for natural forest areas. DFES staff will conduct a variety of activities to assist CFMGs. It is helpful to think of Community Forestry as going through separate but linked stages, one following from the other. We can divide Community Forestry into four distinct stages, namely: the Identification Stage; the Planning Stage; the Implementation Stage; and the Review Stage. These four stages each have discrete activities, shown as follows:

2.1 IDENTIFICATION STAGE

The stage deals with the identification of the site—the community forest management group (CFMG) and the commonly used forest area (CUFA). Activities include:

- Identification and selection of the area
- Establishment of rapport
- Motivation and awareness raising on the CF Programme
- Familiarization with the area; information gathering on the people, the forest, and their interaction (RRA used)
- Identification and selection of the forest site
- Identification / verification of the forest users
- Formation of the CFMG
- Filing and approval of the application

2.2 PLANNING STAGE

This stage involves organizing the CFMG, selecting a CFMG committee, preparing and approving a community forest management plan (CFMP), and handing over the Community Forest (CF). This stage involves interest group discussions, CFMG assembly meetings, informal surveys, and visits to the forest. Specific activities include:

- Definition of management objectives
- Identification of existing communal organizations and forest management systems
- Development of a CFMG constitution
- Formation of a CFMG committee
- Definition of CF utilization and protection rules
- Assessment of forest product requirements
- Assessment of forest resources, including wood inventory (if applicable)
- Determination of block management objectives (if applicable)
- Determination of forest management operations
- Formulation of a plan of activities and resource requirements
- Preparation and approval of the CFMP by the CFMG
- Approval of the CFMP by the DFO and DA
- Handover of the CF

2.3 IMPLEMENTATION STAGE

This stage deals with assisting the CFMG to implement their CFMP and monitoring CFMG activities. Activities include:

- Assistance to the CFMG in implementation of the CFMP
- Monitoring of CFMG activities
- Strengthening of the CFMG
- Minor revision of the CFMP

2.4 REVIEW STAGE

During this stage, CFMGs will review and revise their CFMPs and get them re-approved by the DFO. This will be upon the request of the CFMG or after expiry of the CFMP period, which is normally five years. Activities include:

- Evaluation of the ongoing plan
- Revision of the plan
- Approval of the revised plan by the DFO and DA

During the community forestry process, DFES staff should follow the steps described under each of the stages. It is important to remember that these guidelines describe "what to do". They do not tell exactly "how to do". The guidelines are supposed to steer DFES staff in the proper direction, but they are not hard and fast rules and they do not have a fixed time scale. The guidelines are deliberately flexible to allow DFES staff to apply them in their own way and to allow DFES staff to modify their activities to suit the social and cultural differences across Bhutan. However, all the four stages should be followed in order to ensure successful formation of CFMGs and establishment and management of CFs.

Particular care should be taken in the first two stages. These are the most important stages in the community forestry process.

Table 2.1 Summary of stages and activities in the community forestry process.

Key: Int Gr = Interest Group
 Ass = CFMG Assembly
 Com = CFMG Committee

x = recommended
 (x) = if requested by community

STAGE	ACTIVITY	RESPONSIBLE PARTIES					
		CFMG			DFES	DA/ DYT	TFD/ DFO
		Int Gr	Ass	Com			
I D E N T I F I C A T I O N	Identification and selection of the area				x	x	
	Establishment of rapport				x		
	Motivation and awareness raising				x		
	Familiarization of oneself with the area				x		
	Identification and selection of the forest site	x	x	(x)	x		x
	Identification / verification of the forest users	x	x		x		
	Formation of the CFMG				x		
	Filing and approval of the CF application			x	x		
P L A N N I N G	Definition of management objectives	x	x	(x)			
	Identification of communal organizations and forest management systems	x	x		x		
	Development of a CFMG constitution	x	x	(x)			
	Formation of a CFMG committee	(x)	x				
	Definition of CF utilization and protection rules	x	x	(x)			
	Assessment of forest product requirements	x		x	x		
	Assessment / inventory of forest resources			x	x		
	Determination of stand management objectives			x	(x)		
	Determination of forest management operations			x	x		
	Formulation of activities plan & resource requirements		(x)	x	x		
	Preparation and approval of CFMP by CFMG		x	x	x		
	Approval of the CFMP by DFO and DA				x	x	x
Handover of the CF			x	x			
I M P L E M E N T A T I O N	Assistance to CFMG in CFMP implementation			x	x		
	Monitoring of CFMG activities			x	x		x
	Strengthening of the CFMG				x		x
	Minor revision to the CFMP		x	x	x		
R E V I E W	Evaluation of the ongoing plan		x	x	x		
	Revisions of the plan		x				
	Approval of the revised plan by DFO and DA			x	x	x	x

Chapter Two: Overview of the Community Forestry Process

CHAPTER 3 THE IDENTIFICATION STAGE

At this early period in the CF programme, it may be difficult for the DFEO to decide where and how to begin programme implementation. Since funds, manpower, and experience for each DFES are presently limited, the Community Forestry programme should be implemented on a limited scale during the 7th and 8th Five Year Plan periods. To ensure successful implementation, it is important that a systematic and, in the spirit of decentralization, participatory site selection process be followed.

The first part of this chapter covers up to the point of selecting the forest/village site. It assumes that the DFEO is new to the dzongkhag and is starting at the beginning. Two options are described.

The second part of this chapter assumes that an area or a particular forest/village site has been chosen. It deals with awareness-raising about the CFR, establishing rapport, defining the forest users, defining the community forest boundaries, forming the CFMG, and assisting the CFMG in applying for the establishment of a Community Forest.

3.1 SITE IDENTIFICATION: OPTION ONE Dzongkhag-level Awareness Raising and Solicitation of Applications

This approach responds to the interest of villagers who are requesting assistance with establishing a community forest. The main advantage of this approach is that people are already interested and motivated, a very important success factor.

In brief, this approach involves three steps:

- (i) Awareness raising and solicitation of applications;
- (ii) Short-listing and ratification of applications;
- (iii) Selection of final site(s).

3.1.1 Awareness raising and solicitation of applications

The first step in this approach involves traditional extension: raising awareness among the public about the Community Forestry programme, its benefits, and procedures. Activities include:

- **Identification of target audience(s)**
Possibilities include:
 - other DA sector staff, especially RNR sector
 - DYT and GYT members (chimis, gups, tshogpas, mangiaps, school teachers)
 - individual villages/hamlets

- **Identification of message content**
For example:
 - need for forest conservation and management
 - government forestry policy
 - Community Forestry programme goals, objectives, and benefits
 - overview of CFR, including application and management plan preparation

- **Identification of communication methods, mediums, and materials**
 - mass: pamphlets, posters, exhibits, radio shows, etc.
 - group: study tours, meetings using audiovisual aids (pamphlets, flipcharts, slides, filmstrips, overhead projector, videos, etc.),
 - individual: household visits, discussions with visual aids (pamphlets, flipcharts).

Note: A valuable resource is "*Forest Resources and the Environment: Activities to Promote Awareness of Forest Resources and Present Social Forestry Rules to Farmers*," published by and available from Save the Children/USA, Thimphu.

- **Preparation of materials; arrangement of equipment and logistics**
This includes extension materials, fooding, and camping gear.

- **Delivery of the message**
Remember, involving the people themselves in identifying their own problems, potentials, resources, and solutions is the participatory approach. One should not forget to distribute the CF application form and questionnaire and the CF Rules. DFES staff should make it known that they are available to assist village groups in completing the application form and questionnaire.

3.1.2 Short-listing and ratification of applications

If the applications for CF surpass the budgetary and manpower capacities of the DFES to implement, a short-listing and final selection of the applicants will be necessary. Activities include:

- **Formation of selection committee**

The DFEO should request the Dzongdag to constitute a selection committee under his chairmanship to short-list the applicants. This committee may be the same sector-wise coordination committee suggested in the decentralization guidelines. The members of the committee may be among others:

- District Forestry Extension Officer (who should serve as member secretary)
- other District RNR Officers
- District Planning Officer
- Divisional Forest Officer
- DYT members (chimis, gups, mangiaps)

- **Establishment of selection criteria**

The CF application questionnaire attached in **Appendix 3** is based on the site selection criteria and indicators in **Appendix 2**. The criteria are listed in a suggested priority ranking, with the first considered the most important.

These criteria are factors, based on experiences in other countries, that contribute to successful community forestry. Rather than hard and fast 'rules' for site selection, each should be thought of as a point to consider in systematically selecting from a variety of sites. These criteria, their ranking, and their indicators (and therefore the questionnaire) may be shortened, modified, or added to by the selection committee to better suit the socio-economic and bio-physical conditions of the district.

- **Selection of applications**

The CF application questionnaire is based on the criteria. The selection committee should analyse and rank the answers of each village group to the application questionnaire. On the basis of the results, a short-list of 3-5 potential village groups (depending on the annual forestry development target) can be selected and forwarded to the DYT. If necessary, members of the selection committee may visit the recommended village groups.

If the DYT finds the recommendations of the selection committee to be appropriate, it will approve the applications or recommend the sites for further investigation. The DYT can also amend the recommended list. The DA should notify the GYT and applicants about the results of the short-listing.

3.1.3 Selection of final site(s)

Selection of appropriate sites is a key to ensuring successful implementation. A field investigation of each candidate site may therefore be recommended. The suggested approach for field investigation and final site selection is through Rapid Rural Appraisal (RRA). The 'how-to' of conducting such an RRA is outlined in SFFM No. 1, *RRA for Community Forestry Site Selection*.

Like the application questionnaire, the purpose of the RRA is to gather information on the site (the user group and the forest) to compare against pre-defined selection criteria. Another purpose is to more fully explain the CF programme to the potential participants. An added advantage is that, for the site selected, the information gathered can be used as an initial basis for the planning stage.

The criteria should be the same as that used in the short-listing procedure (see **section 3.1.2**). The RRA objectives should be based on the site selection criteria, outlining the type of information required. The RRA exercise and tools should be designed to collect this and only this information. If the criteria are modified, the RRA objectives, design, and tools should also be modified.

During the RRA exercise the concept of community forestry should be more thoroughly explained. Villagers should understand the procedures for establishment and management of the CF, as well as rights, responsibilities, and benefits. The team should allow adequate time for the villagers to discuss this information among themselves. If the group is selected, it may be necessary to meet again with the group to find out their own final decision about participating. If the villagers put conditions on their participation, these will have to be examined to make sure that they are consistent with the CF Rules as well as the CF programme goals, activities, and principles.

The RRA exercise may raise expectations and hopes among the villagers. Therefore, it is important to inform the villagers about the objectives of the visit and of the possibility of the village not being selected for implementation.

Once the RRA exercise with each village group has been completed, the RRA team will report its findings and recommendations to the selection committee. The selection committee will make the decision regarding the final selection of site(s) and refer the decision to the DYT. If the DYT agrees with the recommendation, it will approve the site(s) for further action. The DA should notify all short-listed village groups about the results of the final selection.

While a series of reports will be produced, this is not the final outcome of the RRA exercises. The final outcome is the selection of a site (or sites) for establishing a community forest.

Once the site has been selected, the next step is to identify and verify the proposed CF boundaries and CFMG membership, as outlined in **section 5.4**.

3.2 SITE IDENTIFICATION: OPTION TWO

Two-step Gewog/Watershed-level Planning for Site Selection

This approach is a more active process in that it does not wait for application of interest from villagers, but identifies an area (a gewog or watershed; a Forest Management Unit or Protected Area) for focusing CF programme activities. There are numerous advantages to this approach.

The first is that more efficient use is made of limited DFES resources. CFs and CFMGs are not scattered over the district, but focussed around one or two gewogs, watersheds, Forest Management Units (FMU), or Protected Areas (PA). The demonstration/multiplier effect of the first site(s) is more likely.

Second, greater attention can be focussed on critical areas. Selection criteria can focus on the needs of the villagers as well as the needs of the environment. Due to the large areas of forest remaining in Bhutan, not all areas in each district urgently require implementation of CF, while some are in critical environmental condition.

Third, this approach places greater focus on the CFMG formation process (see next section), which experience has shown is a critical component of success. The other option (section 3.1) expects CFMG formation to be complete before DFES intervention. This may cause difficulties farther along in the Community Forestry process.

Fourth, this approach offers potential for integration with other decentralized forestry and RNR activities, which would be useful for planning purposes both for five-year and annual plans.

One disadvantage, however, is that no application is initially received. Thus there may be some initial doubt as to the interest and motivation of the villagers to participate.

This approach involves two steps:

- (i) Selection of gewog or watershed area;
- (ii) Identification of forest and forest users.

3.2.1 Selection of gewog or watershed area

As in Option One, this stage should be a participatory process involving the sector-wise committee and the DYT. Detailed socio-economic and bio-physical surveys are not required to identify potential areas. Such survey information is more important after the area has been identified and selected. Activities include:

- **Establishment of area selection criteria**

Such criteria should be similar to the site (village/forest) selection criteria mentioned under Option One. However, this set of criteria looks at the gewog or watershed area as a whole. These criteria should focus on both the social level (villager needs, interests, and capacity) and the environmental level (forest condition and potential).

Criteria and indicators can be quantitative or qualitative. An example of a quantitative indicator is an index that can be calculated to determine the pressure on forest lands/resources. One example of a simple index would be a ratio of agricultural land to forest land--the higher the ratio, the greater the expected pressure. More complex indices could also be developed, similar to the Land Use Planning Section's (LUPS) pressure index for agricultural land (*LUP News* 3(2):2-4, April 1995). Information for calculating such indices is now becoming available through the LUPS.

Other criteria may be more qualitative in nature, such as:

- reports of difficulties obtaining forest products;
- nearest forest lands now barren or degraded and forest resources depleted; forested areas now a long way from villages;
- reports of forest becoming rapidly degraded due to increasing population pressure;
- areas where indigenous forest management systems exist. Other local systems, such as functioning irrigation or drinking water systems also indicate local institutional experience applicable to CF management.

- **Determination of information sources (maps, statistics, people, field observation)**

Maps and Imagery

For someone not familiar with his/her district, maps and images can quickly and effectively provide information. In Bhutan, there are two sources of such information:

- Survey of Bhutan: topographic maps (1:50,000), cadastral maps, aerial photographs, panchromatic spot images;
- Land Use Planning Section: land use maps (dzongkhag- and gewog-level)

Statistics and Reports

'Secondary' information on natural resources and socio-economic conditions at the gewog level, though still limited, is available from a number of sources:

- PPD/MOA, including LUPS: RRA reports, LUPS gewog data sheets, etc.;
- FSD, TFDs: Forest Management Unit (FMU) and Protected Area (PA) management plans, etc.
- local/regional projects: baseline studies, etc,
- DA: Five Year Plans, etc.

Five Year Plans of the DA are an especially important information source, as it is in these documents that the development needs of the district should be listed and ranked both within and among the gewogs.

People

Persons involved in RGOB projects or programmes within the dzongkhag ('key informants') should be contacted for information, especially those with a long history and good local knowledge of the area. This may include persons from donor agencies (e.g., FAO, UNDP, Helvetas, SNV, etc.), non-governmental organizations (e.g., Save the Children, National Women's Association of Bhutan, WWF, etc.), and any of the RGOB ministries and divisions, especially the TFD (DFO and staff) and other district RNR staff. DYT members, such as gups and chimis, are important sources of information, especially as they should be involved in decision-making for final site selection and subsequent support for field implementation.

Field Observation

Informal field visits to short-listed areas should be the last step in the information collection stage, in order to visually verify the information, such as general village and forest resources conditions, preferably in the company of people knowledgeable of the area (gups, chimis, DFO, ROs, etc.).

- **Gathering of information**

Request, gather, and compile the maps/images, statistics and reports. Meet and talk with the key informants. Make field visits once the list of potential gewogs/watersheds has begun to narrow down.

It is important to remain focused in this information gathering task, and gather only information that is relevant to the area selection criteria decided upon by the selection committee.

- **Analysis and comparison of information with criteria**

Review the information gathered and compare it to the criteria. Rank the gewogs or watersheds based on the criteria.

- **Selection of priority gewog or watershed**

Report the findings and recommendations to the selection committee. The selection committee will make the decision regarding the final selection of site(s) and refer the decision to the DYT. If the DYT finds the recommendation appropriate, it will approve the site(s) for further action.

3.2.2 Identification of Forest and Forest Users

(See next section, 3.3).

3.3 Forest and Management Group Identification / Verification

This second part of the Identification Stage is an important one for community forestry: identifying/verifying the forest users and the community forest site. If these two things are done correctly, the chances of external conflict are almost zero. Most of the problems affecting community forestry and CFMGs are a result of poorly identified users and forest areas.

The objectives of this second part of the Identification Stage are:

- To identify all the forest users and form a CFMG.
- To identify the community forest area and its boundaries.
- To develop a trusting relationship between the DFES staff and the villagers.
- To familiarize oneself with the area (the people, the forest, and their interaction).
- To make the CFMG members understand government forestry policy, the CF programme, the CF Rules, and the members' rights and privileges.

Two options for starting are possible. The first option is to first identify the forest and then identify the users surrounding the forest. This option is useful in areas such as in eastern Bhutan, where there are "forest islands in a sea of people". In such case, the users of the forest may come from more than one surrounding village. That is, the CFMG is not necessarily synonymous with a single village.

In the second option, usually in response to a CF application request, the forest users are first identified and verified, and then the forest. In areas where the forest resource is more abundant, that is, "village islands in a sea of forest", this option may be more feasible, as the more abundant forest resource may mean that each village has its own commonly used forest area, without 'competition' among villages for the same areas.

As per the CF Rules, a CF can only be established on Government Reserved Forest (GRF). Possible sites include:

- blank/degraded areas for tree plantations;
- degrading areas for enrichment planting or natural regeneration;
- intact natural forest; or
- a combination of the above.

Further guidelines on forest site identification are included **section 3.3.3**.

This stage can be divided into the following four steps (the second and third steps may be interchanged):

- (i) Discussions with the local community;
- (ii) Identification / verification of forest users;
- (iii) Identification / verification of forest area;
- (iv) Formation of CFMG and filing of CF application.

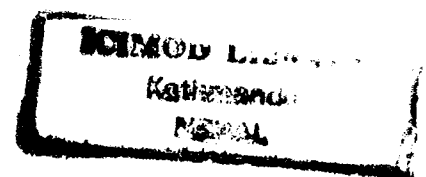
3.3.1 Discussions with local community

This is the start of establishing rapport and developing a trusting relationship between DFES staff and the local people. If option two for site selection was chosen, this step is also where the users really start to understand about the Community Forestry programme and how they can benefit from it. This step is also where DFES staff begin to familiarize themselves with the people, the forest, and their interaction through informal surveys, participatory mapping, and direct observation. For this, regular visits to the area are necessary.

Activities include:

- Identification and visiting of local leaders. Ask them what they think of the idea of locally managed forest. Do the same with other farmers, especially poor farmers and women. Seek the users' views on their need for forest products and management, priorities for forest products, assistance required, etc. Find out if there are any conflicts between users.
- Awareness raising. Inform the various villages about the Government's forestry policy, and what the Community Forestry programme can do for them. Inform them of the CF Rules and the roles of the DFES, the DA, and the FSD. Distribute a few copies of the CFR.
- Discussion with as many people as possible the idea of setting up a CFMG and a CF management plan. At the same time, the role and membership of a community forest management committee could also be discussed.
- Identification of forest areas, including those suitable as CF. Have the people make a map; gather initial information on legal status (ownership), boundaries, forest types, main species, condition, etc.
- Identification of forest users. Ask the people to identify all the people who use the identified forest area.

Note: Concentrate at first on informal discussions rather than big meetings. It is very important to introduce ideas informally and allow people time to think about and discuss them among themselves before calling large meetings.



3.3.2 Identification and verification of forest users

The DFEO must accurately identify the community forest area and the people who use it. He will have to identify the users by household and later make a list of all the users.

The users of a forest may come from more than one village; village (chewog), block (gewog), and district (dzongkhag) boundaries should not be the basis for defining CFMG membership. All users of the forest area should be given the opportunity to become a member of the CFMG. The DFES staff will have to talk to many people living around the forest area to make sure that none of the users are excluded. If the users are not properly identified before the CFMP is approved and the forest is handed over, then conflicts may result which will be difficult to resolve.

These users may fall into separate 'interest' groups. These interest groups may be based on factors such as: (a) location in relation to the forest (e.g., primary or secondary users) and (b) specific use(s) made of the forest (e.g., women who collect leaf litter). In other words, there may be various users, from various locations, using the forest for various purposes. These interest groups may be based on gender (male, female), age (children, adults, elderly), economic status (livestock or landholding size; richer or poorer households), livelihood (nomadic livestock herders vs. agricultural landholders), kinship, religion, etc.

Identifying the various users can be a time-consuming task, and involves visits and discussions with many people. Having up to 8-10 interest groups is possible.

Activities include:

- Asking the local leaders to identify the villages and households that use the particular forest area. Identify who needs/uses which forest produce (the interest groups). Verify (cross-check) this information by going around the area and asking other local people.
- Using RRA activities (such as participatory mapping) in the surrounding village areas to determine the boundaries of the forest and the people who use the forest. This is also a good time to ask questions about forest products and forest use.
- Making a list of all the users. Finalize this list through an open meeting with all the users.

3.3.3 Identification and verification of forest area

In those sites where community forestry is likely to be initiated it is expected that a range of vegetation conditions will occur--from barren/degraded forest land close to villages, to degrading forest further out, to intact forest with a significant number of mature trees even further out (see **Figure 3.1**). By including all the forest that villagers traditionally use, not only will the villagers needs be met but degradation of the forest will cease due to the implementation of simple, silviculturally-sound, planned management. For example, the intact area can be used to supply forest products while the villagers, under an agreed management plan, plant and protect the barren/degraded area, and protect and silviculturally develop (e.g., enrichment planting, singling, pruning, etc.) the degrading area.

There have been no studies done in Bhutan to determine what size of forest area is required to support the domestic and agricultural needs of rural communities. Until experience is gained, the current CF Rules stipulate that the maximum size of a CF shall equate to approximately 2.5 hectares per household, but may be increased or decreased depending on the local situation.

Start with the area of forest that the villagers in that area have traditionally used to meet their needs. Their needs in this case should be restricted to where they cut, collect, or gather most of their forest products. Their open-grazing requirements need to be considered separately, as animals are often taken long distances at different times of the year. Begin with the area closest to the settlement(s) and then work outwards.

The area may include land which is privately owned. In such cases the land owner may live someplace else. Since only Government Reserved Forest can be legally handed over to CFMG, private land must not be included in the CF area. Areas such as registered sokshing may also need to be excluded. The DFEO must make certain of the forest boundaries and ownership.

Activities include:

- Participatory mapping exercise. Gather a small number of users and have them prepare a map. This can either be of the whole area or the specific forest site. This map should include the forest boundaries and the names of such things as streams, ridges, etc. It can also include locations of houses, specific forest use areas, degraded areas, areas of good forest, etc.
- Selection of a piece of forest which appears suitable for local management, taking into account the condition of the forest and the interest of the local people in management.
- Walking through the forest with local users. Find out about the forest: approximate forest area, legal status (ownership), boundaries, use (for what? by whom?), forest types, main species, condition, possible plantation areas, etc. (a full forest survey is not necessary here).
- Confirming the map and boundaries. This could be done while doing RRA activities or in a meeting with all the users.

Figure 3.1. Typical example of village/forest relationship.



1+2+3 Forest area traditionally used by village

- 1 Limited harvesting, well stocked with trees, suitable for silviculturally-based harvesting
- 2 Partly degraded forest, suitable for protection, silvicultural development, and perhaps limited harvesting
- 3 Highly degraded forest, suitable for planting and protection
- 4 Private forest, with plantation

If the entire forest area is not brought under silviculturally sound local management, it would be expected that areas 1 and 2 would become further degraded.

3.3.4 Formation of CFMG and filing of CF application

Once the boundaries of the forest site are defined and all the users identified/verified, it is time to see whether the users agree to form a CFMG and file an application for the establishment of a CF. A suggested activity is to call a general assembly of all the users. The list of users should be read out and verified by those present. A map indicating the proposed boundaries of the forest should be shown and verified by all. If there are unresolved disputes about who is to be accepted as a CFMG member or where the boundaries of the forest should be, then further discussion and investigation is necessary.

Once the users reach consensus on these issues, the group should be asked to decide whether it wishes to apply for the establishment of a CF. Respond to any further questions regarding the Community Forestry programme, the CF Rules, and the procedures to be followed for handover of the CF. It is important that all the users understand and agree to what they are getting into.

A temporary chairperson of the CFMG should be selected. The chairperson's signature will be necessary for filing the application for establishment of the CF. The completed application should be forwarded to the Dzongda and DFO for their approval.

Note: it is unlikely that all of the users will be able to attend the assembly meetings. They have other tasks to do and many people will be away. This is normal. But the DFEO should always ask the CFMG members if there are enough users present to conduct a meeting. If there are not enough people present, the meeting should be re-scheduled.

Hint: The time for the meeting should fit the CFMG's needs, not the DFES staff's. For example, more CFMG members might be available to attend a meeting held in the evening, rather than during the daytime, when farm chores are more important.

3.4 Summary of Activities

At the end of this stage, the following activities will have been accomplished:

Option One

- * Villagers aware of CF programme
- * CFMG formed and application filed
- * Site selected
- * Rapport established
- * Forest verified
- * CFMG verified

Option Two

- * Area identified
- * Villagers aware of CF programme
- * Forest identified
- * Forest users identified
- * Rapport established
- * CFMG formed
- * Application filed

Chapter Three: The Identification Stage

CHAPTER 4 THE PLANNING STAGE

This is the second most important stage in the Community Forestry process. It centers around the development of a community forest management plan (CFMP). The objectives of this stage are:

- to organize the users;
- to prepare and submit a CFMP;
- to hand over the CF.

Besides describing the various activities involved in the planning, this chapter also describe a process which tries to ensure that the users themselves prepare the plan; that is, that all the decisions are made by the CFMG. This process is all important. If short cuts are taken, then the result may be a plan which has no use for the CFMG--they will not understand it and will not implement it. This is a waste of time and effort. Care should therefore be taken to ensure that such a process is followed.

Three 'how to' Social Forestry Field Manuals (SFFM) provide further suggestions for CFMP preparation:

- SFFM No. 2, **Planning Together**
A 'how to' for using Participatory Rural Appraisal for CFMP preparation.
- SFFM No. 3, **How to Conduct the Community Forest Resources Assessment**
A 'how to' for carrying out a community forest resources assessment, including wood inventory.
- SFFM No. 4, **Management Options for Community Forests**
A 'how to' for technical aspects of forest management covering different forestry operations and the management of different forest types and conditions.

4.1 What is a CFMP?

Essentially, the CFMP is an agreement between the CFMG and the Government, designed to achieve, at an individual CFMG level, the three goals of the Community Forestry programme: protection, production, and social equity.

More specifically, the plan is a record of observations about the forest made by members of the CFMG and of the decisions they have made about how to manage their group and about how to manage their forest. The plan is also a tool for the CFMG to use in planning and implementing the activities they wish to carry out in the forest.

A CFMP has features different from a traditional forest management plan (as currently used for FMUs). Among these features are:

- Simple - easy to understand
- Useful - meets the users' objectives
- Independent - prepared by the users themselves
- Participatory - all CFMG members involved in preparation
- Realistic - can be carried out by the users
- Flexible - can be changed

4.2 CFMP Contents

The sequence of the CFMP contents parallels to much extent the process of its formulation. The plan consists of three parts: CFMG constitution, forest resources assessment, and future management. The CFMG constitution outlines how the CFMG will manage itself (its organization and administration), while the future management outlines how the CFMG will manage the CF. In reality, the two are closely linked. The forest resources assessment provides a basis for decision making regarding future management.

The suggested contents for the CFMP plan are shown in **Box 4.1**. A more detailed description of the CFMP contents is presented in **Appendix 4**. Users may add additional items to the CFMP if they wish.

BOX 4.1 COMMUNITY FOREST MANAGEMENT PLAN CONTENTS

Part I. Forest Management Group Constitution

1. Goals and Objectives
2. Community Forest Management Group
 - membership
 - rights and responsibilities
 - meetings
3. CFMG Committee
 - composition
 - selection and tenure
 - rights and responsibilities (including management of funds)
 - meetings
4. Outside Agencies
 - rights and responsibilities (by agency)
5. Name List of CFMG Members (household representative)
6. Name List of CFMG Committee Members

Part II. Forest Resources Assessment

1. Name, Location, Boundaries, and Area
2. Tenure and Use
 - ownership and use rights
 - products and services
3. Forest Vegetation
 - forest type
 - main species
 - forest condition
 - wood volume
 - other features

Part III. Future Management

1. Utilization Rules
2. Protection Rules
3. Block Management Objectives (if applicable)
4. Management Operations
5. Plan of Activities

4.3 Preparing the CFMP: Some General Principles

- The responsibility for preparing the CFMP lies with the CFMG. If the users do not participate fully in the CFMP preparation, they may not understand the plan and are unlikely to carry it out.
- The role of DFES staff includes:
 - assisting and facilitating the process of plan preparation
 - providing any technical help required by the users
 - arranging for the plan to be typed and copied
- The preparation of the CFMP will involve information gathering, analysis, and decision-making with the CFMG. Much of the information that will be needed in order to prepare the CFMP can be obtained by using a Participatory Rural Appraisal (PRA) approach and tools (see SFFM No. 2, *Planning Together*). Information gathered during the first stage of CFMG and CF site identification may also be used.
- **A plan should not be prepared quickly just to fulfill a target. If this is done, the plan will be prepared poorly and will be of no value or may lead to bad management.**
- It is important to identify and incorporate existing systems of communal organization and forest management into the plan. These indigenous systems may not be optimal, but they are a beginning on which to build. Other cooperative activities such as irrigation or drinking water systems, communal labour exchange, etc. also indicate useful organizational skills necessary for managing community forests.
- In the process of organizing the CFMG and preparing the CFMP, there is much information that will be collected as a basis for decision making but that does not need to go into the CFMP document. Only essential information should go into the CFMP.
- Preparation of the plan is a practical field exercise. It cannot be prepared while sitting inside a house or office. It is essential to visit every part of the forest in order to make an accurate assessment and to come to realistic decisions about how each part can be managed.
- It is easier to prepare a plan with a CFMG just before the main fuelwood harvest season, which is usually late autumn. At this time of year users have more time to spend in discussions and it is easier to arrange meetings. Because this is the season for cutting fuelwood, work can begin immediately after plan approval to carry out some of the operations. In this way, the interest and involvement of the users can be maintained. Also, the weather is likely to be better for spending time in the forest.
- A suggested activity during the planning stage is to organize a visit (study tour) to practising CFMGs and CF demonstration areas in order to motivate and educate the new CFMG.

BOX 4.2 WHICH FIRST: COMMITTEE, CONSTITUTION, OR MANAGEMENT PLAN?

In the initial stages of the Community Forestry process, there are several variations. Among these, the mode of plan preparation is critical. Either a committee is formed first and its members prepare the plan, or a plan is prepared by the users, who then select a committee to implement it. The same is true for the CFMG constitution, which forms part of the plan.

Experience in parts of Nepal has shown that in cases where the committee was formed first the plan has since become unworkable. When the plan has been made first there has been greater success in terms of both social equity and technical management.

If a committee is formed first, there is a danger that its members will influence the preparation process so that the resulting constitution and plan reflect personal interests rather than those of the general users. However, this method is much simpler—the process of plan writing is much quicker and extension staff spend much less time in the field.

Suggestion! One option is that only after the CFMG objectives, constitution, and rules for CF utilization and protection have been decided upon should the members of the CFMG Committee be chosen. This ensures that all the users are involved in the formulation of the rules, rather than just the committee members. The committee itself does not make new rules. This also helps ensure that the interest groups are recognized and then represented on the committee. The committee then helps prepare the technical aspects of the plan (resource assessment, stand objectives, management operations, and plan of activities).

How can this latter approach work? The help of one or more local person(s), such as a motivated leader, can be taken. But it is important that such a person should act as a selfless volunteer in the community, not as a member of a committee. The idea is that the person not play a dominating role in the decision-making process, but be a facilitator for information gathering and decision making by the CFMG. After finalizing the objectives, constitution, and rules, a committee is constituted. Experience is that the volunteers in the facilitating process have subsequently been elected to the committee.

This approach fits in well with the process suggested in SFFM No. 2, *Planning Together*, of forming a Planning Team composed of insiders (CFMG members) and outsiders (DFES and other government staff) who facilitate the management planning. In this approach, the planning stage can be divided into two phases, pre-committee and post-committee.

In the pre-committee phase, care is taken to ensure that all members of the CFMG are involved in decision-making, through informal discussions with the various interest groups before calling a CFMG assembly for final decision making. The decisions focus on the following: CF management objectives; CFMG organization/constitution; CF utilization and protection rules; and CFMG committee selection.

In the post-committee phase, the newly-selected committee becomes part of the Planning Team, which is relied on to collect information and make draft decisions regarding technical aspects of forest management. These decisions are then discussed and approved by the CFMG in a general assembly. Topics covered in this phase include: assessment of forest resources supply and demand; defining forest stands and their management objectives (if applicable); management operations (by stand, if applicable); and plan of activities.

4.4 The Planning Process

The planning process described here¹ divides the planning stage into 8 steps. Care is taken to ensure that all members of the CFMG are involved in decision-making, through informal discussions with the various interest groups before calling a CFMG assembly for final decision making. The decisions focus on the following topics:

- CF management objectives;
- CFMG organization/constitution;
- CF utilization and protection rules;
- CFMG committee selection;
- assessment of forest resources supply and demand;
- definition of forest stands and their management objectives (if applicable);
- management operations (by stand, if applicable); and
- plan of activities.

As described in SFFM No. 2, *Planning Together*, it is suggested that a Planning Team be formed composed of government staff (DFES, TFD, Dzongkhag RNR, RNR RC, etc.) and two or more CFMG member volunteers (who may or may not be Committee members--see Box 4.2).

The Planning Team should work to ensure that all CFMG members provide input into decisions for the first four topics, while, based on those decisions, the Planning Team itself can be relied on to collect information and make draft decisions regarding technical aspects of forest management (second four topics). These latter decisions are then also discussed and approved by the CFMG in a second general assembly.

The Planning Stage is therefore divided into eight steps:

- Step 1. Informing CFMG of Planning Tasks (CFMG assembly)**
- review CF programme goals and procedures;
 - explain the contents of the CFMP, and how the planning will be done;
 - nominate CFMG members for the Planning Team (5-8 persons);
- Step 2. Organization of Planning Tasks (Planning Team meeting)**
- discuss planning tasks and plan their implementation.
- Step 3. Definition of Objectives, Organization, and Rules (Interest Group discussions)**
- overview of current forest situation;
 - CF management objectives;
 - existing communal organizations and forest management systems;
 - CFMG organization--constitution & bylaws;
 - CF utilization and protection rules.

¹**Note: The use of a Planning Team is a suggestion.** If the CFMG as a whole is comfortable with the idea of its committee making draft decisions on objectives, constitution, and utilization/ protection rules (with final approval by the whole CFMG), then the committee should do so. **The ordering of the planning activities is also a suggestion.** The order of these activities may be switched around depending on the CFMG's specific situation and wishes. For example, steps 3 and 4 can be switched, or done simultaneously.

Chapter Four: The Planning Stage

- Step 4. Assessment of Forest Resources (fieldwork)**
- assess forest product requirements;
 - divide CF into stands (if applicable);
 - assess forest resources, including wood inventory;
 - define stand management objectives (if applicable);
 - determine forest management operations.
- Step 5. Preparation of Draft CFMP (Planning Team meeting)**
- prepare draft plan, by compiling results of steps 3 and 4 and making draft decisions;
 - prepare plan of activities and inputs required.
- Step 6. CFMG Approval of CFMP (CFMG assembly)**
- review, discuss, modify, and approve the draft management plan;
 - selection of Committee members (if not already done).
- Step 7. Preparation of CFMP Document (Planning Team meeting)**
- writing/typing of final management plan document.
- Step 8. DFO/DA Approval of CFMP**

A summary of the activities, and who should be involved in them, is included at the end of this chapter.

4.5 STEP 1: Inform CFMG of Planning Tasks

The objectives of this step are:

1. to review the Community Forestry programme goals and procedures;
2. to explain the need for and contents of the management plan, and how the planning will be done;
3. to nominate CFMG members for the planning team;

The activities in this step depend on the work done previously during the Identification Stage. For example, the CFMG may already be well-informed about the CF programme goals and procedures. If an RRA for site selection was done, the information collected could be used as an initial basis for management planning.

Activities include:

- * Calling an assembly of the CFMG members. (Remember, not all members may be able to attend. The attending members should decide whether the attendance is sufficient to run the meeting. If not, the meeting should be rescheduled.) The attendance and the decisions made should be recorded.
- * Re-verification of the list of users. If there is any dispute, it should be resolved before going any farther.
- * Explanation of the Community Forestry programme goals, rules, and procedures. Answer any questions the members might have.
- * Explanation of the contents of the CFMP. This will help explain what information needs to be collected and what decisions need to be made. For example, explain to the group why a CFMG constitution and committee are necessary, what the constitution should contain, and what the committee is supposed to do.
- * Explanation of the planning process. Explain how the planning will be done and how much time it will take. Explain that member volunteers will be part of the Planning Team. Explain the role of the Planning Team.
- * Formation of the Planning Team. Ask the CFMG to select member volunteers for the Planning Team.

If time permits, have the Planning Team do a Participatory Mapping exercise after the assembly meeting to gain an initial overview of the CF, its resources, and current use patterns.

4.6 STEP 2: Organization of Planning Tasks

The objective of this step is:

1. to discuss the tasks for preparing the CFMP and plan their implementation.

Assuming the CFMG has decided to involve some group members in the Planning Team the next step is informing the members of the tasks involved and plan their implementation. Discussions with the committee should cover the following points.

Why is a plan needed?	To help the users manage their forest and meet the objectives they have set.
What is involved in preparing the plan?	The Planning Team will need to spend time together, both in the forest, and in discussions with other users.
What are the legal implications?	A CFMG needs to have an approved CFMP before the handover certificate can be issued.
What is the role of the Planning Team?	The Planning Team will act as facilitators during the CFMP preparation process, and will provide any technical help the users require.

Activities include:-

- Review and discussion of the CFMP contents.
- Review and discussion of Steps 3 to 7 and planning their implementation.

By the end of these discussions, the Planning Team should have a good idea of what is involved. They should be prepared to commit enough time to preparing the plan and they should be prepared to discuss with other members of the CFMG what is happening and why.

Working with the CFMG members of the Planning Team at this stage is essential. If they do not agree that they need a CFMP, or if they do not understand, then the process should not move on until this has been clarified.

4.7 STEP 3: Definition of Objectives, Organization, and Rules

The objectives of this step are:

1. to gather information on the current forest situation.
1. to identify and prioritize the various interest groups' objectives for CF management.
2. to discuss options among the users on how the CFMG will organize and manage itself;
3. to discuss options among the users on rules for CF utilization and protection.

During the Identification Stage, the forest boundaries and the membership of the CFMG should have been defined; similarly, interest groups within the CFMG should have been identified (see **section 3.3**). The next step is to conduct discussions with these interest groups concerning the CF management objectives, in order to understand the extent of consensus among the users.

Members of the CFMG do not have the same status, view points, or requirements for forest products. Therefore, the Planning Team should understand the view points (needs, problems, interests) of the different interest groups within the CFMG in order to prepare a CFMP that considers everybody's requirements.

Obtaining information from poorer members of the village is especially important because they often have fewer private trees and so are more dependent on common forest resources than the more wealthy members; yet the poor (as well as women) are less likely to express their concerns at public meetings. Experienced workers report that following small private discussions, the poorer group members are more likely to express their needs at public meetings and to involve themselves actively in negotiating an acceptable management plan.

Activities include:

- Identification of groups with similar interests, e.g., women, ethnic groups, occupational groups (e.g., seasonal herders), poor/landless households, households with sizable livestock holdings, kinship groups, etc.
- Discussions with each interest group, through household visits and small group meetings. These discussions should:
 - make the group aware of the Government's forestry policy, the Community Forestry programme, and the Community Forest Rules;
 - explain what the CFMP is about and what it will do;
 - understand the views of the interest group on forest use and requirements;
 - identify the management priorities (objectives) that the interest group would like to give to the forest;
 - identify and discuss existing forms of community organization and forest management;
 - identify what rules the interest group recommends and would observe on how the forest should be used and protected.

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- Identification of existing forms of forest management. The following questions can be asked:
 - what do they use the forest for? (products, grazing, religious/cultural uses, etc.)
 - what rights do the village, other villages, or specific users have to the forest?
 - do all users have rights to the same products?
 - how have these rights changed over time?
 - what are these peoples' rights to use the forest based on?
 - what local rules, if any, exist governing forest use?
 - how is the forest protected?
 - how are decisions made about forest use, protection, etc.?
 - what disputes are there over the use of the forest?
 - are there problems in the existing forest management system?
- Discussions on other systems of community cooperation, especially other natural resource management systems (e.g., irrigation, communal pasture).
 - what institutions functioned in the village in the past and present?
 - how have these institutions functioned? (e.g., organizational structure, rules, responsibilities, etc.)
- Encouragement of interest groups. Advise each interest group that it will have to be vocal and stand up for its needs and wishes when all the users convene together at a CFMG assembly.
- Discussion of the views of each interest group with local community leaders. Encourage discussion on ways and means of resolving conflicts.

These discussions are time-consuming. Nevertheless, they should be done, as they are essential to the success of community forestry. The usual procedure of talking to village leaders and calling a large meeting before this 'social investigation' takes place is unlikely to produce a successful management agreement. The less powerful members of the CFMG will neither voice disagreement in public, nor adhere to the agreement.

4.8 STEP 4: Assessment of Forest Resources

The objectives of this step are:

1. to determine the expected requirements for forest products from the CF;
2. to assess the resource condition of the forest area and decide on stand objectives and management operations;
3. to determine the maximum allowable annual wood harvest from the CF;
4. to provide baseline data for future monitoring of forest resource condition.

Note: Carrying out these objectives will be much easier and simpler for degraded/plantation areas, as few products will be derived in the first plan period.

Activities include:

- * Assessment of forest product requirements through a sample survey.
- * Division of the CF into stands (if applicable).
- * Assessment of forest resources, including wood inventory.
- * Determination of stand management objectives (if applicable).
- * Determination of forest management operations (by stand, if applicable).

These activities are discussed in more detail on the following three pages.

4.8.1 Forest products requirements

Objective: to determine the expected requirements for forest products from the CF

Up to this point, the overall management objectives have been defined, indicating what products the users want and which resources are the most important to them. They will now define how much is required of these products from the CF over the next five years. This is mandatory for wood products. They will also begin to talk about where in the forest these products can be found. Comparing this information with the CF inventory, a determination will be made regarding the sustainability of the proposed wood harvest.

Activities include:

- Determination of which forest products to investigate. Normally, this would be all major wood products, plus any non-wood forest products that are collected on a large scale for either domestic use or commercial sale.
- Determination of the survey sample. Based on the size of the CFMG, determine an appropriate sample of households for conducting informal surveys on the requirements for these products.
- Survey of sample households. Conduct an informal survey with each selected household to determine what products the household normally requires or uses each year or within the coming five-year period (e.g., shingles) which will be obtained from the CF.
- Compilation of the survey results and calculation of the estimated forest product requirements for the entire CFMG.
- Calculation of any additional requirements. For example, wood requirements for new housing construction or for monastery/temple construction or maintenance within the next five years.

Make sure that the information collected during this step is recorded and saved for later use.

4.8.2 Forest resources assessment

Objectives: to assess the resource condition of the forest area; to decide on stand objectives and management operations.

This step involves visits to the forest. The DFES staff will discuss with the committee members what forest products are available and where in the forest they can be found. A simple assessment of forest type and condition will be made. If applicable, the CF may be divided into management stands. Ideas about specific forest management objectives and operations (for each stand) will start to materialize.

While in the forest, field staff will discuss with the committee members the different management operations that can be applied to maintain or improve the forest while fulfilling the requirements of the CFMG for different forest products. These operations will be based on:

- overall goals and objectives;
- forest type, main species, and condition;
- specific stand management objectives;
- ability and willingness of users to carry out such operations.

Further details on CF assessment and management options can be found in SFFM No. 4, *Management Options for Community Forests*. See also part III of **Appendix 4**.

Activities include:

- Walking around the forest area with the committee.
- Preparation of a rough sketch map showing forest boundaries, roads, tracks, rivers/streams, hills, etc.
- Surveying and calculating the total forest area.
- Division of the CF into management stands, if applicable.
- Assessment of forest/stand type and condition. This includes: forest type, main species, age, canopy cover, natural regeneration.
- Determination of management objectives of the various stands, if applicable.
- Determination of the silvicultural operations that could be followed to produce different forest products and improve the condition of the forest, by stand if applicable.
- Solicitation of peoples' willingness to participate in plantation establishment and other management activities.
- Inspection of the proposed nursery site and its water source, if considered.

4.8.3 Wood inventory

Objective: to determine the maximum allowable annual wood harvest from the CF

The forest users themselves do not need quantitative data on growth and yield to manage their forests, as they are unlikely to understand or follow it. However, the DFO will require proof that the amount of wood the CFMG wants to remove from the forest can be sustained. It is the DFEO's responsibility to ensure that the harvesting plans in the CFMP are within the sustainable limits of the forest. To determine this, the DFEO must know how much wood is available for harvest. Therefore, in the case of natural forest and older plantations, an inventory of the wood volume in the CF should be done.

Combined with the determination of the CFMG's requirements for wood products (section 4.8.1), it can then be determined if the planned annual wood harvest can be sustained by the CF.

Conducting the CF inventory is the only step in the guidelines that must be followed exactly. The inventory must be conducted as described in SFFM No. 3, *How to Conduct the Community Forest Resources Assessment*. All the calculations for the inventory must be completed.

4.9 STEP 5: Preparation of Draft CFMP

The objectives of this step are:

1. to prepare a draft CFMP, compiling the information from steps 3 and 4 and making draft decisions;
2. to prepare an agenda for presentation of the draft CFMP in the CFMG assembly.

The CFMP should be formulated by the CFMG members themselves; that is, they must be the primary decision makers. The Planning Team's role is that of a facilitator. In other words, the draft decisions made by the Planning Team should, as much as possible, represent the views of all the CFMG members. These draft decisions should then be discussed and verified by the group.

The Planning Team should also help in the technical aspects like calculating forest area, preparation of map, conducting wood inventory, etc.

The plan should be simple and flexible enough for the users to understand and implement without difficulty. Don't try to make the CFMP perfect. The CFMG will make changes in the CFMP as they gain confidence and experience.

Activities include:

- Review and analysis of the information collected in the interest group discussions.
- Determination of wood harvest sustainability. Make sure that the planned wood harvest is within the sustainable limits of the forest. Perform the necessary calculations for the wood products the CFMG plans to harvest every year. Compare these figures with the inventory figures. Check to make sure that the amount of wood the users want to harvest is within the sustainable limits of the forest.
- Discussion of the technical feasibility of the (stand) management objectives, rules, and management operations proposed.
- Preparation of a draft plan of activities, including required inputs, for the plan period, based on the proposed operations and harvest schedule.
- Preparation of a draft of the plan, preferably following the suggested CFMP outline in **Box 4.1**. This includes:
 - CF management objectives;
 - CFMG organization (constitution & bylaws);
 - CF utilization and protection rules.
 - calculation forest product requirements;
 - division of CF into stands (if applicable)
 - forest resources assessment, including wood inventory
 - stand management objectives (if applicable)
 - forest management operations (by stand, if applicable)
 - plan of activities and inputs required
- Preparation of an agenda for a CFMG assembly meeting. The agenda should include a checklist of all topics needed to be covered by the CFMP, focusing on Future Management. This will ease the decision-making process of the users.

4.10 STEP 6: CFMG Approval of CFMP

The objectives of this step are:

1. to gain group consensus and approval of the various contents of the Community Forest Management Plan:
2. to select the CFMG committee (if not already done so).

After discussions with the various interest groups have been held and the forest field work completed, one or more assemblies should be convened in which all the users attend. The aim is to reach consensus on the following issues:

- CF management objectives;
- CFMG organization/constitution;
- CF utilization and protection rules;
- forest resources assessment;
- definition of forest stands and their management objectives (if applicable);
- management operations (by stand, if applicable); and
- plan of activities.

Another activity at this time is to select the CFMG committee, if not already done so.

Activities include:

- Calling an assembly meeting of CFMG members. Invite the DFO to the assembly meeting also.
- Preparation of a large copy of the CF sketch map for all the users to look at.
- Explanation of why the assembly was called, i.e., to discuss and approve the CFMP.
- Encouragement of participation. While presenting the various contents of the CFMP, encourage members, including each interest group, to comment and express views. Especially encourage women and poorer members, who may be hesitant to speak out. If this is not possible, DFES staff should put forward the views of these members.
- Discussion and consensus on CF management priorities. These objectives should be clearly decided upon before any other issue is raised.
- Review of the group's indigenous systems of community organization and natural resource management. Encourage discussions within the group regarding the incorporation of these existing practices into their CFMP.
- Discussion and consensus on the CFMG constitution. This includes how the group will function, rights and responsibilities, rules on how CFMG funds should be operated, etc.
- Discussion and consensus on the CFMG committee, including how many people, what the positions will be, how to select the committee, rights and responsibilities, etc. Normally the committee is responsible for implementing the CFMP and for record and account keeping. There is no rule about the size of the committee, but

record and account keeping. There is no rule about the size of the committee, but it is better to keep it small and to include representatives of each interest group.

- Discussion and consensus on CF utilization and protection rules and penalties for violations. Utilization rules define the limits on forest product use (how much, from what area, when, with what tools, at what price, etc.). Protection rules define prohibited activities.
- Discussion and consensus on the future management of the CF. It is not important to read out the description of each forest stand, but it is essential that the objectives and proposed operations in each stand be discussed and agreed.
- Discussion and consensus on the plan of activities and inputs required. Make sure everyone is willing to participate and contribute.
- Resolution of conflicts among interest groups (if they exist). If there are interest groups that are in conflict with each other, they are identified during the assembly. Rather than try to resolve the conflicts at the assembly, it is advisable that the groups in conflict be brought together in a smaller, more informal setting, and a resolution of the conflict between them facilitated. Once conflicts have been settled, the whole CFMG can then meet again.
- Selection of the committee. If the committee has not yet been formed, the assembly should now select its committee. If the committee already exists, the members of the CFMG should be asked if any of the committee members should be changed. If new committee members are needed, the CFMG should select them at this time.

Be sure that the decisions are written down, preferably in a manner in which the members can see what is being written. It is a good idea to have someone from the committee keep the records and decisions. At the end of the meeting, the recorded decisions, especially major changes, should be read out for everybody's final approval.

This process of may take more than one meeting. There is no hurry. Sometimes the CFMG can decide these issues quickly; other times it may take much thought and discussion. The important thing is to let the users decide.

It is almost certain that there will be a few changes later on, after the users have had a chance think about certain issues and decisions. Such changes will occur throughout the Community Forestry process. This is normal. DFES staff should realize this and not try too hard to make things perfect.

4.11 STEP 7: Preparation of CFMP Document

The objective of this step is:

1. to prepare the final CFMP document.

With the previous information collected and decisions made, now it is time to put it all into an organized document.

Activities include:

- Rewriting the CFMP document so that it appears neat and clean. If possible, have it typed. Include the CF inventory information.
- Making two photocopies of the CFMP document and having these and the original signed by the committee chairman.
- Submitting the three copies to the DA, which will forward them to the DFO, for comments and approval.

4.12 STEP 8: DFO and DA Approval of CFMP

The objectives of this step are:

1. to obtain approval of the CFMP from the DFO and DA;
2. to hand over the responsibility for managing the CF to the CFMG.

4.12.1 Approval of CFMP by DFO and DA

By this step the final draft of the CFMP has been submitted to the DFO, through the DA, for technical review and endorsement. Once endorsed, the DFO will forward the plan to the DA for final approval.

Activities include:

- Delivery of three copies of the CFMP to the DFO through the DA.
- Discussion of the plan with the DFO. Help him understand it and answer any questions the DFO may have. Representatives of the CFMG may also wish to discuss the plan with the DFO. If the DFO does not technically endorse the plan, the DFEO should take it back, with the DFO's comments, to the CFMG for correction.
- Endorsement and approval of the CFMP. Once the DFO endorses the plan, the DFEO should take the plan and the DFO's recommendation to the DA for final approval and CF handover.
- Distribution of approved CFMP copies. One copy of the approved plan should be sent to the CFMG, one to the DFO, and one copy kept at the DFES office.

The DFEO should periodically check with the DFO and DA to make sure the process is moving.

4.12.2 CF Handover

After approving the CFMP, the DFO and DA should formally handover the responsibility of managing the CF to the CFMG.

Activities include:

- Preparation of CF Ownership Certificate. Fill out three copies of the CF certificate form and get the DFO's and Dzongda's signatures. One copy should remain at the DA and one copy at the DFO's office.
- Arrangement for the handover of the CF certificate to the CFMG by the DFO and/or DA.

The issuing of a certificate to the CFMG marks the end of the Planning Stage. However, you will find that there are always adjustments to the plan.

4.13 Summary of Activities

At the end of this stage, the following activities will have been accomplished:

- CF management objectives defined
- Existing communal organizations and forest management systems identified
- CFMG organized, including development of constitution and selection of committee
- CF utilization and protection rules defined
- Forest product requirements determined
- Forest resources assessed, including wood inventory
- Block objectives, management operations, and plan of activities defined
- CFMP draft document prepared
- CFMP reviewed and approved by entire CFMG
- CFMP approved by DFO and DA and CF handed over

As stated at the beginning of this chapter, both who makes the decisions within each activity, and the order of carrying out the activities depend on the CFMG's specific situation and wishes. The following is a summary of who should be involved in discussions/decisions on the various activities.

Activity	Discussions in		
	Interest Groups	Committee	Assembly
Define CF management objectives	X	(X)	X
Organize CFMG (constitution, committee)	X	(X)	X
Define CF utilization & protection rules	X	(X)	X
Determine forest product requirements	X	X	
Assess/inventory forest resources		X	
Define blocks, block objectives, and management operations		X	X
Prepare plan of activities		X	X
Prepare draft CFMP document		X	

X = recommended

(X) = if decided by group members

CHAPTER 5 THE IMPLEMENTATION STAGE

The two most critical stages have been completed. The CFMG now needs the support of the DFEO in implementing the CFMP. This support should come in the form of technical assistance, participating in CFMG meetings, helping to solve problems, etc.

The objectives of this stage are:

- to implement the planned activities in the CFMP,
- to strengthen the capabilities of the CFMG;
- to monitor the activities of the CFMG.
- to make minor revisions to the CFMP, when necessary

5.1 Help Implement CFMP

Objective: to provide the necessary technical and administrative assistance to the CFMG for implementing the CFMP.

CFMGs differ from one another. Likewise, their CFMPs are also different. Therefore, each plan needs to be implemented in its own manner. The field staff should help develop consensus among the users while implementing the plan. Other assistance may include tree marking, seedling distribution, advice on tree planting and harvest operations, and training to CFMG members.

Activities include:

- Encouragement of the committee to meet regularly.
- Regular participation in CFMG meetings and committee meetings. This will build a strong relationship between the users and the DFES. It will also make the DFES knowledgeable about CFMG activities and problems.
- Provision of appropriate technical support to the group as needed. Help the CFMG to plant seedlings, mark and harvest their trees, conduct thinnings, etc. Teach the CFMG members how to do these things themselves.
- Provision of information about the CF Rules and other legal matters to the group.
- Helping the CFMG settle disputes among themselves or with other communities.
- Helping and training the committee members in records and accounts keeping.

Helping the CFMG to monitor its activities is an important part of this process. One essential aspect of monitoring is record keeping. Field staff should encourage record keeping so that CFMG has a record of activities carried out in each part of their forest.

For example, for plantations they should record when the planting was carried out, how many seedlings, which species, and from where. For harvesting operations, the CFMG should have a record of which block or part of a block was harvested, when the work was done, and the quantity of different materials produced (poles, firewood, etc.).

5.2 Monitor CFMG Activities

Objectives: to monitor CFMG effectiveness in managing itself and the CF; to provide necessary monitoring information to the DA and DFO.

The DA and the DFO will want to know how the CFMGs are performing and whether there are any technical, legal, social, and organizational problems. Field level indicators that can be monitored are included in **Table 5.1. Activities** include:

What should be monitored?

- inputs (labor, funds, equipment, supplies, activities)
- outputs (products, services, income, targets)
- impacts (on people, on forest)

- Regular participation in CFMG and committee meetings.
- Assistance and encouragement to the CFMG to maintain records and financial accounts and prepare its annual report to the DA.
- Periodic checks of the CFMG records. Encourage the committee to keep good records of group activities, harvest amounts, benefit distribution, violations, and financial matters (sale of products, fines, expenditures, bank balance).
- Occasional walks through the CF area to check on plantations, thinnings, harvesting, and the effects of CF activities.
- Maintenance of own records. Keep DA and DFO informed about progress and problems.

5.3 Strengthen CFMG

Objective: to enhance the capability of CFMG to manage itself and the CF in an effective and independent manner.

The CFMG and committee members will probably lack basic technical and administrative skills and self-confidence to implement their CFMP. In order to make them self-reliant and to keep them motivated, it may be necessary to provide training to the CFMG and/or committee members. Activities include:

- Regular meetings with the CFMG and committee members to learn their problems and weaknesses; provide moral support and encouragement.
- Helping in resolving conflicts when necessary. But remember that the CFMG should be encouraged to solve its own conflicts.
- Provision of training in forest management (e.g., nursery and plantation establishment and management; natural forest management, soil and water conservation, etc.) and group administration (e.g., record keeping, accounting).
- Organization of study tours and workshops to get interaction between CFMGs.
- Encouragement of CFMGs to form an association, where numerous CFMGs exist. This can provide a forum for CFMGs to discuss problems, solutions, etc.

Table 5.1 Field level indicators to monitor/review the effectiveness of the Community Forestry programme.

CF Programme Goals	Indicators	Verifiers	Means of Verification
Protection	Forest volume	not exceeding Annual Allowable Cut	Wood inventory
	Forest condition	crown cover, age, regeneration, erosion; plantation survival/growth	Rapid assessment
	Adjacent forest use	resource use pattern	Rapid assessment
Production	Products harvested according to CFMP	silvicultural operations in forest	CFMG records
		planned versus actual wood harvest	CFMP, CFMG records
	Self-reliance	product distribution pattern	CFMG records
		cost-sharing without external support	CFMG records, accounts, PRA
	Income generation	product distribution pattern	CFMG records
Equity	CFMG correctly identified	primary and secondary users identified from all settlements	PRA (refer to identification stage)
	CFMG committee representative of users	all interest groups represented	PRA (refer to identification stage)
	Decision making by consensus of all interest groups	attendance and regularity of meetings; decision-making pattern	CFMG records (minute book), PRA
	Self-reliance	decision-making without external support	CFMG records (minute book), PRA
		conflict resolution without external support	PRA
	Product distribution	all users receiving their fair share of products	CFMG records, PRA
	Financial management	funds being managed to the benefit of all users	CFMG records, accounts, PRA

5.4 Make Minor Revisions to CFMP (see also Chapter 6)

As they gain experience in implementation, the CFMG may decide that the CFMP needs changes, even before a formal (5-year) review. The DFES staff will have to assist with this. Or, if the CFMG is capable of making the changes by themselves, the DFES may only have to check to see if the change can be sustained by the forest or is in accordance with the CF Rules. The DFES staff should remind the CFMG committee of not revising the plan without the approval of the CFMG assembly.

Remember, the CFMP is intended to be flexible. Minor revisions can be made to the plan according to the requirements of the group.

For example, if a particular thinning operation in part of the forest produced an excessive quantity of fuelwood, then during the following year's activity this quantity can be reduced by harvesting a smaller area.

If major changes are made, the DFES should assist the CFMG in getting approval from the DFO. Major changes include:

- a more than 25% increase in area/volume to be cut in one year;
- start of new activities (e.g., a new nursery);
- a change in number of households.

In these cases the field worker should carry out the steps listed in the Review Stage.

Activities include:

- Asking the CFMG during visits about any minor changes to the CFMP.
- Encouraging the CFMG to discuss the need for any changes to the CFMP.
- Reminding the CFMG committee that it cannot amend the CFMP without the approval of the CFMG assembly.

CHAPTER 6 THE REVIEW STAGE

There is no fixed rule about how long a CFMP can be implemented before it needs to be renewed. However, during this pilot period of the CF programme, the CFMPs are being prepared for a five-year period. They will then have to be renewed every five years. The DFES will have to help the CFMGs to renew/revise their CFMPs.

The objective of this stage is:

- To evaluate the old CFMP and to finalize a new CFMP and get the DFO's and DA's approval.

Hopefully, the CFMG will be able to do most of this themselves. The review stage can be divided into three steps:

- (i) evaluation of the ongoing plan
- (ii) discussion on revision or new plan
- (iii) approval of the revised or new plan

6.1 Evaluate Ongoing Plan

Objective: to assess the effectiveness of the ongoing CFMP and to identify problems, if any.

If the CFMG requests help in reviewing the ongoing plan, the DFES staff should try to assess the inputs, outputs, and impacts of the plan. It is necessary to know how effectively the CFMG is implementing the plan and to what extent the activities of the plan have been completed. It is also necessary to know if the objectives are being met and what the impacts have been on the people and the forest. The indicators previously listed in Table 7.1 can be used for such review purposes. In particular, the following should be reviewed:

Inputs

- whether management operations have been carried out according to the CFMP;
- member understanding of the CFMP and involvement in its implementation;
- effectiveness of the CFMG committee in terms of implementing activities, maintaining records and funds, and involving CFMG members in decision making;
- rule changes since the completion of the CFMP and the process by which those rules were changed and recorded;
- need for further CFMG training and support.

Outputs

- satisfaction of CFMG members in achieving their objectives in forest management.

Impacts

- impact of CFMP implementation on the Community Forest and surrounding forest;
- impact of CFMP implementation on various interest groups both within and outside the CFMG.

Activities include:

- Study of the financial transactions of the CFMG; records of meetings.
- Informal talks with members of different interest groups to assess their views on CF management, distribution of forest products and other benefits, protection, and functioning and achievements of the CFMG and its committee. Focus on problems.
- Visits to the forest area with the users to study the condition of the forest, plantation success, harvesting operations, etc.
- Wood inventory. An inventory may need to be conducted to find out the present capacity of the forest. The DFES should conduct the inventory in accordance with SFFM No. 3, *How to Conduct the Community Forest Inventory for Wood Harvest*.
- Preparation of a list of issues which need to be discussed by the CFMG.

6.2 Discuss Revision of Plan

Objective: to prepare a revised or a new CFMP.

The same activities carried out in preparing the previous plan should be followed for the new one. The necessary revision in context of future requirements should be decided by the CFMG assembly. If the present plan needs revision, the DFES staff should encourage all the users to express their views.

Activities include:

- Convening a CFMG assembly to discuss the present CF management and future changes in the CFMP. Focus on problems and strategies to overcome such problems.
- Recording the decisions made by the assembly on the revision of the CFMP.
- Allowing the members of the CFMG to review the present constitution, including composition of the CFMG and committee.

6.3 Get Revised Plan Approved

Objective: to get the new or revised CFMP approved by the DFO.

Follow all the steps taken for getting approval of the previous CFMP.

CHAPTER 7 FINANCIAL AND TECHNICAL GUIDELINES

7.1 Financial Guidelines

Since implementation of Community Forestry is decentralized to the DAs, the financial management system for the DFES will be at par with the financial management system followed at the dzongkhag level for other sectors. The budget estimate in respect of Community Forestry and other decentralised forestry activities will be prepared by the respective DA and submitted to the Ministry of Finance. The FSD may be consulted in the budget preparation process and may also assist the DAs in negotiating the budget with the Ministry of Finance. Funds will be released by the Ministry of Finance directly to the respective DAs for implementation of budgeted activities.

It is up to each DA to determine its own policy for financial assistance (i.e., incentives such as grants and loans) for activities related to the establishment and management of Community Forests (in the form of seedlings, equipment, supplies, transport, labour costs/payments, technical assistance, training, etc.). However, FSD suggests the following guidelines for financial assistance to CFMGs. These guidelines should be modified and adapted to the socio-economic and bio-physical situation of each district.

In the long run, it is desired that all Community Forest activities should be conducted at the expense of the CFMG. All establishment and management costs, including seedling production/procurement, should be met by the CFMG. Forestry extension staff should strongly discourage external funding for community forestry activities. The ownership and control over tree and wild plants and their utilisation, the waiving of royalty payments in certain cases, and the provision of technical assistance and training should be sufficient incentives for the CFMG to invest in the management of its forest.

However, given (i) the current low economic condition of many Bhutanese rural villagers, and (ii) the established Government practice of providing financial service for such activities, it is unrealistic to immediately switch over to such a policy of complete village self-reliance. Therefore, a period in which Government incentives are gradually phased out is envisaged.

Where the CFMG is unable to meet the total costs, the DA may provide financial assistance, either as grant or loan. The following are suggested conditions under which the DA can provide financial assistance to the CFMG:

- only if the CFMG is unable to meet the cost through either cash, in-kind, or labour payments;
- only for activities that are part of an approved management plan and where no revenue is (immediately or directly) obtained;
- only after a cost-sharing arrangement (including budget estimate) has been negotiated with the CFMG;
- up to and not exceeding 50% of the activity cost. The activity cost includes cash, in-kind, and labour contributions of the CFMG;
- the cash proportion of assistance is provided as per running bills.

Forest nursery and plantation establishment and management should be guided by the document, *Norms and Standards on Nursery and Plantation*, published by FSD in 1995. This includes cost calculations for infrastructure, labour, equipment, and supplies.

7.2 Community Forestry Plantations

7.2.1 Financial Services / Incentives.

At this pilot stage of Community Forestry, FSD suggests the following guidelines on cost sharing / incentives for community plantations:

- The cost of seed or seedlings (except in the case of CFMG nurseries) and their transport by motorized vehicle to the nearest roadhead should be borne by the DA. The cost of fencing materials (barbed wire, 'U' nails, fencing post royalty, coal tar) and their transport to the nearest road head should also be borne by the DA. Site survey and plantation establishment activities should be technically overseen by DFES staff free-of-charge.
- All labour should be borne by the CFMG, including: fence post cutting, collection, debarking, dressing, coal tarring, loading/unloading, transport from roadhead to plantation site, pit digging, barbed wire fixing; seedling unloading, transport from roadhead to plantation site, planting; site clearance, pit digging, fireline clearance; all maintenance, including protection and tending.
- At this pilot stage, a small monetary incentive may be provided to the CFMG, such as for digging fence post holes and planting pits. However, it is important that this be seen by the CFMG as an incentive, not a wage. The CFMG should have the right to utilize such funds according to its needs. However, before such financial incentive is paid to the CFMG, the group should be encouraged to make a clear decision on how such funds will be used (divided among CFMG members, kept in the CFMG fund, used to pay a forest watcher, etc.).
- First-year seedling casualty replacement and fencing repair, if necessary, should follow the same division of costs between the DA and CFMG. Thereafter, all costs, including fencing repair, should be borne by the CFMG.

7.2.2 Nursery Seedlings vs. Other Options

For each community forest plantation site, before a decision on plantation establishment by seedling planting is made, other options should be considered, e.g., direct seeding, collection of wildlings, promotion of natural regeneration, etc. The DFES should provide the necessary technical advice.

7.2.3 Barbed Wire Fencing vs. Other Options

'Social fencing' should be encouraged and considered as the first option. This may include prohibition on open grazing (mandatory herders or replacement by cut-and-carry system) and/or use of a forest watcher system. The CFMG may decide to deploy a permanent watchman from within the group, or have a member from each CFMG household patrol the forest on a rotational basis (daily, weekly, etc.). Both such practices have been successfully used in other Asian countries.

Provision of barbed wire fencing should be considered on a case-by-case basis, rather than automatically assumed as necessary. Other options should first be considered. This may include construction of stone walls, use of prickly/thorny plants (live or dead), woven bamboo, or other types of physical barriers.

When barbed wire fencing is decided upon, posts should be collected locally from the nearest forest by the CFMG itself whenever possible, following sound silvicultural and harvesting methods. Transportation of fencing posts from long distances should be discouraged, unless the situation is unavoidable.

7.2.4 Management Plan

As per the Community Forestry Rules 1996, a community forest management plan (CFMP) is required before handover of a community forest, be it natural forest or plantation forest. For plantation forest, an approved CFMP should be a pre-condition for disbursement of funds for plantation establishment activities. The CFMP should include a work plan, responsibilities, and budget for plantation establishment, with a break-down of costs born by the DA and the CFMG.

7.2.5 Species Selection

The choice of tree species is a decision of the CFMG, with the DFES staff offering technical advice, such as in recommending appropriate species unknown to the CFMG. Species selection should be foremost based on technical considerations: the management objectives (e.g., timber, fodder, soil and water conservation, etc.) and the site conditions. Mixed plantations should be considered. Local/native species, when appropriate, should be encouraged over unknown and/or untested exotic species. Availability of seedlings of the desired species should not be a hindrance if proper planning is carried out, preferably one year in advance. Using "what is available in the nursery" should not be the primary factor governing species selection. Rather, planting should be delayed until the proper species can be raised.

7.3 **Forest Nurseries**

At the moment, the DA, through the DFES, is responsible for coordination of seedling production and supply for community forestry plantations (as well as private forestry, and school social forestry). Numerous options exist, including:

- creation of DA-managed nurseries;
- sub-contracting of seedling production to territorial forest division (TFD) nurseries;
- sub-contracting of seedling production to private individuals or agencies; and
- assistance in the creation of CFMG-managed nurseries.

In the long term, given the RGOB's emphasis on decentralization and people's participation, the emphasis on seedling (including rooted cutting and stump) production should gradually shift from government-managed nurseries to CFMG-, village-, or private-managed nurseries. Government financial assistance to CFMG or village nurseries, while perhaps necessary at the start, should be gradually reduced to solely the provision of tree seeds. Ideally, even seed should be sold, rather than provided free-of-charge.

Whatever the nursery option pursued, procurement and supply of tree seeds and/or other plant material of the right species, source, quality, and quantity is ultimately the responsibility of the DA. When possible, local collection should be done, following sound technical guidelines. Otherwise, DFES staff should coordinate with the TFD, neighboring DAs, SFES, and/or the Forestry Research Centre in Thapa.

Interim guidelines are offered for each nursery option as follows:

7.3.1 Dzonkhag Administration-managed nurseries

Forest nursery establishment and management should be guided by the *Norms and Standards*. This includes cost calculations for infrastructure, labour, equipment, and supplies. Costs for nursery establishment and management should come from the DA annual budget.

7.3.2 Sub-contracting to Territorial Forest Division nurseries

A purchase agreement/contract for seedling production should be made between the DA and the TFD. Technical considerations and cost estimates should be guided by the *Norms and Standards*. The contract should specify the species, the number of seedlings of each species, the type of production (e.g., bare-root; stump; polythene bag), the size/quality of seedling, price per species/production-type/seedling, and desired date of delivery. Payment schedules and penalties due to default by either party need to be noted. The DA should be able to release the fund to the TFD in the beginning of the fiscal year so that the nursery can adequately plan the production of sufficient seedlings.

This system may remain for an interim period and may be abolished once the DA nurseries are fully operational.

7.3.3 Sub-contracting to selected private individuals or agencies

The selection of a private individual or agency for sub-contracting of seedling production should be carefully considered, taking into account his/her technical background, reliability, and the suitability of the private individual's or agency's land for the nursery site, in terms of size, water, and location relative to transportation and planting sites.

Basic nursery management training has to be conducted and individuals certified in order to ensure success in seedling production.

A purchase agreement/contract for seedling production should be made between the DA and the private party. Technical considerations and cost estimates should be guided by the *Norms and Standards*. The contract should specify the types of species, the number of seedlings of each species, the type of production (e.g., bare-root; stump; polythene bag; etc.), the size/quality of seedling, price per species/production-type/seedling, and desired date of delivery. It should be made clear to the individual that under-mature, over-mature, and poor quality plantlings will not be accepted. Payment schedules and penalties due to default by either party need to be noted.

Tree seeds should be provided free-of-charge. Where the private party lacks expertise in forest nursery management, technical assistance should be provided free-of-charge by DFES. DFES may also request help from the TFD in providing technical assistance.

7.3.4 CFMG-managed nurseries

Where community plantation sites are located unreasonably far from a road and transport costs would be high, logistics difficult, and seedling damage likely, CFMG nurseries should be considered. These may be temporary in nature. Where a CFMG is well-organized and enthusiastic, a CFMG nursery should be considered as well. From the DA point of view, such nurseries have the advantage of low financial input, although technical oversight needs may be greater.

Basic nursery management training has to be conducted and management groups certified in order to ensure success in seedling production.

The *Norms and Standards* should serve as a planning guide for establishment and management. An agreement should be negotiated between the CFMG and the DA with regard to provision of inputs. As much as possible, local technology and materials should be used. While outside equipment, materials, and supplies should be donated or loaned by the DA, the CFMG should provide all labour without payment. Tree seeds and technical assistance should be provided free-of-charge by DFES. DFES may also request help from the TFD in providing technical assistance.

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If excess seedlings are produced and offered for sale to CFMG members or outsiders, the DA should encourage the CFMG to decide on the use of the sale proceeds. Possible options include re-investing the proceeds into the nursery or using them for community forest management activities.

If necessary, a lease agreement for the establishment of the CFMG nursery on Government Reserved Forest land may be made, with the approval of the DFO. The agreement should clearly stipulate that the land designated for the nursery site is not to be used for any other purpose.

Chapter Seven: Financial and Technical Guidelines

APPENDIX 1

DELINEATION OF RESPONSIBILITIES FOR COMMUNITY FORESTRY

Identification, Verification, and Formation of CFMG (DA + TFD + users)

The DFES staff will solicit applications of user groups expressing interest to establish community forest and identify the potential CFMG members. After application, the DFES and local territorial forest division (TFD) staff will verify the forest users, and evaluate the group's qualifications. If selected, the DFES will assist the users to form a Community Forest Management Group (CFMG).

Identification of Area and Delineation of Boundaries for Community Forest (CFMG + DA + TFD)

The DFES and TFD staff will assist the CFMG to identify the forest/plantation area for management, and inspect and delineate the proposed area. The sketch map with boundary descriptions will be submitted to the Dzongda and territorial DFO for review and approval.

Preparation of Management Plan (CFMG + DA + FSD)

Upon approval of the application, the CFMG will prepare a management plan, with the assistance of the DFES, according to the guidelines issued by SFES of FSD. If necessary, SFES will provide technical assistance.

Implementation of Management Plan (Community + DA)

Upon approval of the management plan and handover of the Community Forest, the CFMG group will execute the work as per the management plan. The DFES staff will provide all possible help to the CFMG including technical, organizational, and legal (law enforcement) assistance.

Supply of Seedlings and Other Incentives (DA)

When required, DFES will coordinate seedling supply, through creation of dzongkhag forestry nurseries, private nurseries, CFMG nurseries, etc. Seedlings, fencing materials, etc. will be distributed to the CFMG as per the guidelines issued by SFES.

Management and Administrative Control (CFMG + DA)

At the implementation level, management and administrative control will remain with the CFMG's committee. The DFES will provide assistance when necessary.

Harvesting and Mobilisation of Produce (CFMG + DA + FSD)

The harvesting of community forest produce will be done as per the prescription of management plan and the rules. Extraction of produce by non-CFMG members shall be subject to a permit issued by the CFMG. A transit pass issued by an authorized Forest Officer is required to transport produce from the Community Forest.

Monitoring and Review (CFMG + DA + FSD)

DFES will work with the CFMG to conduct regular monitoring. DFES will assist the CFMG to prepare and submit an annual progress reports to the DA and FSD. DFES will assist the CFMG in periodic review of the management plan. SFES will be responsible for overall programme monitoring and review.

Motivation and Extension (DA + FSD)

The SFES will assist DFES staff for motivation and extension as and when needed. SFES will also provide appropriate extension packages. SFES will conduct training for extension staff.

**POWERS AND FUNCTIONAL RESPONSIBILITIES OF
THE DZONGKHAG FORESTRY EXTENSION OFFICER**

As stated in the *1993 Guidelines on Decentralization*, the DFEO, as a sectoral head, shall exercise the administrative, financial, and technical powers delegated as follows:

- a. assist the Dzongdag in the implementation of the sectoral policies within the dzongkhag;
- b. maintain personal leave record of his staff and recommend earned leave application if deemed fit;
- c. be accountable for all types of administrative, financial, and technical performance of his staff and as such he shall be the authority to recommend all disciplinary actions against his staff whenever necessary;
- d. be the recommending authority for the promotion of his staff;
- e. be the authority to approve tour programmes of his staff and for implementation of all scheme and activities approved for the year and verify payment of TA and DA claims of his staff;
- f. be responsible for all activities approved for the plan period in terms of planning, work schedule, and implementation;
- g. be the technical in-charge, supervisor and guide all his staff in the implementation of the programmes of his sector;
- h. be responsible for preparing Five Year Plans and Annual Plans in consultation with GYT, DYT, and concerned sectors.

APPENDIX 2

COMMUNITY FORESTRY SITE SELECTION CRITERIA AND INDICATORS

Two optional codes follow some site selection criteria: 'S' and 'P'. 'S' signifies 'shared', meaning that it is a criterion shared with the Social (Private) Forestry programme. 'P' stands for 'pilot'--once the pilot stage is over and the CF programme is being widely implemented, such criteria will not be critical and can therefore be dropped.

1. Interest (S)

Justification: Ultimately, the success or failure of Community Forestry will depend on the interest and motivation of the entire user group to work together to manage the CF. Filing an application to request establishment of a Community Forest is already an indicator of interest.

Criterion Indicator: The user group should include the majority, if not all, of the households that use the forest. All should be in agreement with the CF Rules.

2. Indigenous Forest Management System

Justification: Community Forestry will be easiest to adopt in villages where indigenous institutions and systems for community forest management already exist.

Criterion Indicator: Existence of indigenous institutions and systems for communal forest resources management and willingness of villagers to strengthen these.

3. Strong Tradition of Community Action

Justification: It is far easier to introduce the concept of community management of forest resources in a village setting where there is a tradition of group or community action.

Criterion Indicator: A community where there is a strong tradition of community action in natural resource management (e.g., forest, pasture, drinking/irrigation water), infrastructure construction and maintenance, and/or cultural and religious events.

4. Small, Homogeneous Population (S)

Justification: At least in the beginning of the programme, it is easier to work with smaller groups. A homogeneous group with a common social and economic status is more likely to be more organized and disciplined in voluntarily managing its common resources compared to groups with diverse characteristics.

Criterion Indicator: The site should be a single village of 100 households or less, with no large differences in size or type of private landholdings, livestock, housing, etc.

5. Dependency on Common Forest Resources (S)

Justification: 'Resources' include both tangible products such as wood or fodder and intangible services such as water supply or religious importance. A community which is strongly dependent on forest resources for their subsistence and/or cash needs is found to be more judicious in the use of its common forest resources than those who have alternative means to meet their basic needs.

Criterion Indicator: A village in which resources from a commonly used forest are strongly depended upon as part of the farming system, livelihood activities, and/or cash income supply.

Appendix Two: Site Selection Criteria

6. Accessibility and Visibility (P, S)

Justification: The smooth functioning of the programme requires participation and involvement of government officials, technical staff, and advisors from various locations. Sites which are not readily accessible to each of these groups may impede progress. Accessibility and visibility are also important for demonstration value. The village/forest should be logistically convenient for study tours, and visible to surrounding villages.

Criterion Indicator: Pilot village/forest sites should be within 2-3 hours walk from the nearest road and should include a Community Forest area that will be highly visible to other villages.

7. Decreasing Availability and Perceived Scarcity of Forest Resources (S)

Justification: A CUFA where the availability of forest resources has decreased over time will be more receptive to Community Forestry. However, while the availability of forest resources may be declining, they may still be in adequate supply. Motivation for management increases when the resource is perceived as becoming scarce.

Criterion Indicator: A village/forest site in which needed forest resources have become less available and in which one or more are perceived to be in scarce supply by the villagers.

8. Possibility for Immediate Benefit (P)

Justification: To be motivated to manage the forest, the community needs to receive benefits at an early stage. At the same time it is necessary to improve degraded/barren sites with community participation. Priority at the pilot stage should be given to allocating forest areas which contain both well-covered productive forest area, which can provide immediate returns, together with degraded/barren area that has some production potential.

Criterion Indicator: The CUF area includes both well-covered productive forest area and barren/degraded area with adequate production potential.

9. Inclusion in a Government Forest Management Unit or Protected Area

Justification: The FSD is establishing Forest Management Units (FMUs) and declaring large areas as Protected Areas (PAs). Many of these areas are close to or surround villages which depend on these forest areas. Where such FMUs or PAs have been designated, it is possible that indigenous forest use patterns and rights may be negatively affected. FMU and PA planners are supposed to identify and recommend sites for Community Forestry in their management plans. Establishment of Community Forests would make FMUs and PAs more acceptable to the local people.

Criterion Indicator: A village inside a FMU or PA should be given priority for site selection.

10. Proximate, Contiguous, and Well-Defined Commonly Used Forest Area

Justification: This criterion actually contains a number of components and could probably be broken up into a number of criteria. Proximate means close to the users. Contiguous means one unit, not separate patches. Well-defined means no disputes among users and neighbors concerning forest boundary, ownership, encroachment, or use of forest products.

Criterion Indicator: Commonly used forest that is contiguous (one patch), with a defined boundary, is in close proximity to the User Group, and is without conflicts in resource boundary, use, or ownership by other groups/persons.

APPENDIX 3

COMMUNITY FOREST APPLICATION QUESTIONNAIRE

It is recommended that the Dzongkhag Administration attach a short questionnaire to Schedule 1, *Application Form Expressing Interest to Establish a Community Forest*, of the Community Forest Rules. The questionnaire should seek information based on the selection criteria as discussed in Chapter 5. If the criteria suggested in Appendix 2 are used, the following questionnaire may be used.

Using the information from the questionnaire, the applications can be evaluated for short-listing by comparing the answers with the criteria. To help with this exercise, a ranking system can be used. The following is an example, based on the criteria in Appendix 2:

Directions:

Circle the relevant score for each criteria.

Access and Visibility

4-----3-----2-----1-----0

Very High

Very Low

User Group Population

4-----3-----2-----1-----0

Small and/or
Homogenous

Large and/or
Heterogeneous

Tradition of Community Action

4-----3-----2-----1-----0

Strong
Tradition

Weak
Tradition

Indigenous Forest Management System

4-----3-----2-----1-----0

Highly
Developed

No
System

Dependency on Common Forest Resources

4-----3-----2-----1-----0

Very
Dependant

Not
Dependant

Questionnaire to Express Interest to Establish Community Forest

Please provide the following information in an attachment to the *Application Form Expressing Interest to Establish a Community Forest*.

1. A map of the approximate boundary of the forest area which is commonly used by the members of the forest user group (CFMG) showing the location of roads, villages, houses, etc. Indicate those houses belonging to CFMG members.
2. A description of the CFMG: number of households, hamlets, villages, etc. List the number of households by landholding category: 0-1.0 ha; 1.1-3.0 ha; 3.1-5.0 ha; > 5.0 ha. Also list the number of households by grazing livestock category (number of cattle, yaks, sheep, and/or goats): 0-5; 6-10; 11-20; > 20.
3. A description of any community actions/activities of the CFMG in the past or present.
4. A description of any traditional systems of forest management (including utilization, protection, and development) undertaken by the CFMG (include forest grazing systems).
5. A description of any conflicts with regard to the use and ownership of the commonly used forest area.
6. A listing of all forest products obtained from the commonly used forest area, in order of priority.
7. A description of any changes in the availability of the products listed in 6 above (e.g., less available, no change in availability, more available). Mark those products that are in scarce supply.
8. A listing of the percentage (or number of hectares/acres) of the commonly used forest area in each of the following categories:
 - bare/degraded
 - inadequately stocked (young or degrading)
 - adequately stocked
9. Is the commonly used forest area within a Forest Management Unit or Protected Area?
(YES / NO)

Appendix Three: Application Questionnaire

APPENDIX 4

CONTENTS OF COMMUNITY FOREST MANAGEMENT PLAN

In this chapter are described in detail the suggested contents of the CFMP. The various boxes provide examples and further explanation. The suggested format applies to both natural forest and forest plantations. However, the information required for forest plantations, due to their more simple and straightforward nature, will be less. Users may add additional items to the CFMP if they wish.

COMMUNITY FOREST MANAGEMENT PLAN	
(cover sheet)	
Dzongkhag:
Gewog:
Name of Community Forest:
Area of Community Forest (hectares):
Name of Forest Management Group:
Number of households:
Date of preparation:
Compiled and submitted by:	
<u>Forest Management Group representative</u>	<u>Dzongkhag Forestry Extension Officer</u>
Signature: _____	_____
Name:
Title:
Approved by:	
<u>Territorial Forest Division</u>	<u>Dzongkhag Administration</u>
Signature: _____	_____
Name:
Title:
Date:

CFMP Table of Contents

Part I. Community Forest Management Group Constitution

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2. Community Forest Management Group
 - membership
 - rights and responsibilities
 - meetings
3. Committee
 - composition
 - selection and tenure
 - rights and responsibilities
 - meetings
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 - rights and responsibilities (by agency)
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3. Block Management Objectives (if applicable)
4. Management Operations
5. Plan of Activities

PART ONE COMMUNITY FOREST MANAGEMENT GROUP CONSTITUTION

1. OBJECTIVES

The CF programme has three *goals* which should govern all community forest management decisions (see section 2.5) :

* Protection

* Production

* Social Equity

In addition to these, the CFMG should add its own, more precise *objectives* according to its own needs; for example, a prioritized list of the specific forest products for which it will manage the forest (see Box A.1).

2. COMMUNITY FOREST MANAGEMENT GROUP

- What is the name of the CFMG?

2.1 Membership

At this stage the membership of the CFMG should be clearly defined. For the future, however, the following are important issues that need to be clearly agreed by all CFMG members:

- How is membership defined?
- Who is eligible for membership in the CFMG?
- What are the procedures for becoming a new member? for leaving the group?

2.2 Rights and Responsibilities

In this section, the rules regarding what resources can be used and who can use them are defined (see Boxes A.3, *Sample User Rights* and A.4, *Sample Rights and Responsibilities*). Also defined are rules regarding who is responsible for monitoring, sanctioning, and resolving disputes.

- What rights and authority does each member have?
- What are the responsibilities (duties) of the members?.
- How will disputes be resolved?

NOTE: Rights regarding the collection, use, and disposal of forest products must also be within the current regulations set by the Ministry of Agriculture.

2.3 Meetings

- How often and when will the CFMG membership meet? For what purpose(s)?

3. COMMITTEE

The Community Forestry Rules require that a formal committee be elected, with at least a Chairman. Other decisions that need to be made by the CFMG include::

- What is the name of the committee?

3.1 Composition

- How many members shall the committee have?
- What will be their titles/designations?
- Will there be any village forest guard(s)?
- Who is eligible to become a committee member?
- What will be the composition of the committee? Will the committee ensure membership from each of the interest groups (e.g., women, the poor, etc.)?

BOX A.1 What are Goals and Objectives?

A fundamental step in good planning is setting clear goals and objectives. These form the basis for all activities that follow, and the criteria against which progress, success, and failure are measured.

The words *goals*, *objectives*, *purposes*, *aims*, etc., are defined differently by different people. The meaning of *goals* and *objectives* and their relationship to each other, as used in this document, are given below:

GOALS = Goals specify the particular situation to be reached within a specified time period. They are usually broad, general statements of intent, expressed as long range, achievable destinations.

OBJECTIVES = Objectives are more specific statements of accomplishments the group wants to achieve. The particular accomplishments, when achieved, will result in the goals being met. Objectives are more tangible than goals. For example, "to increase crop production by 25%".

As much as possible, each objective should include an "indicator," something that can be monitored and measured, to indicate whether or not that particular objective is being met. In the above example, the figure "25%" is the indicator.

In community forestry, there may be different objectives by different parties, reflecting different priorities. For example, we as foresters, might place more emphasis on protecting the biodiversity and ecological functions of the forest. Wealthier user group members might place more emphasis on forest grazing and fodder collection for their livestock, while the poor or landless might place more emphasis on fuelwood availability. The objectives of all parties need to be identified and discussed. Conflicting and complementary objectives can then be identified.

Even when the objectives of different parties are different, often with slight changes, everyone's objectives can be achieved. Addressing conflicting objectives is also possible. One solution might be to increase the number of activities. Dividing the forest into different use areas is another option.

BOX A.2 Rule Systems for Managing Community Forests

Four distinct types of rules have been defined that can assist a CFMG in managing its community forest (Agrawal 1994). These are rules for:

- 1. Using the resource.** Rules that determine who can use how much of what type of forest resource.
- 2. Monitoring the use.** Rules that help monitor the behavior of users and outsiders in conforming to prescribed utilization and protection rules.
- 3. Sanctioning violations.** Rules that sanction users and outsiders who violate use and protection rules.
- 4. Settling disputes.** Rules that help settle disputes among monitors (e.g., guards), users, committee members, and outsiders.

These four sets of rules are sequential in nature. Without rules that define what and how much can be extracted by who, there would be no violators. Without violators, there would be no need to monitor. Without monitoring, it is impossible to catch and punish violators. And without rules, sanctions, and the discipline they imply, there would be little need to settle disputes.

**BOX A.3 Sample User Rights Permitted in a Community Forest
in Himachal Pradesh, India**

1. to graze cattle (except buffaloes), sheep, and goats at the times given in the record when any limit in time has been imposed;
2. to take trees—
 - * for agricultural implements and domestic utensils;
 - * for the construction and repair of dwelling-houses, cattle and grass sheds, and other agricultural buildings;
 - * for the construction and repair of temples and of dwellings attached to temples;
 - * for the ark of the deotas (village gods) and other such purposes;
 - * for the bier and the cremation of the dead;
 - * for fuel and charcoal for smithy purposes;
 - * for tanning;
3. and to take the following articles of forest produce—
 - * grass of all kinds for fodder, thatching, rope-making and other domestic and agricultural purposes;
 - * flowers, ferns, plants for medicinal, domestic, and agricultural purposes;
 - * brushwood for fencing and other purposes;
 - * branches of trees of certain kinds for fodder, manure, hedges, and for making charcoal and ropes at the times given in the record when any limit in time has been imposed;
 - * fallen leaves for manure at the times given in the record when any time limit has been imposed;
 - * leaves and bark of certain trees and shrubs for tanning, incense, rope-making, medicinal and other such purposes;
 - * splinters of stumps of trees of certain kinds for torches and the manufacture of oil;
 - * bamboos for basket-making and other purposes;
 - * stones, slates, earth, clay, limestone for building, plastering, for the manufacture of earthen vessels, mill-stones and other purposes;
 - * wild honey.

Source: Hobley, M. 1992. *Policy, rights and local forest management: the case of Himachal Pradesh, India*. ODI Rural Development Forestry Network paper 13b. London, UK.

3.2 Selection and Tenure

- How will the committee members be selected? by consensus? by election?
- How long will the term of service of each committee member be?
- Are the committee member positions voluntary or will they receive compensation?
- If compensated, how? (e.g., cash, grain, excusal from communal labour, etc.)
- If a committee member is not performing his/her responsibilities satisfactorily, what will be done?

3.3 Rights and Responsibilities (see Box A.4)

- What are the rights and authorities of the committee as a whole?
- What are the rights and authorities of each committee member?
- What are the responsibilities (duties) of the committee and its members?

Management of funds.

With the establishment of the CFMG, the CFMG Committee, and the Community Forest, communal funds might be derived from various sources. For example:

Appendix Four: Contents of CFMP

- payment for forest products collected by individual CFMG members for domestic use;
- payment for forest products (in excess of local CFMG requirements) collected by individual CFMG members for sale to others outside the CFMG;
- funds from the sale (to others outside the CFMG) of forest products collected (in excess of CFMG requirements) by the CFMG as a whole;
- an annual membership fee;
- compensation from CFMG members or outsiders as sanction for breaking a CFMP rule;
- donations from outside agencies.

These funds therefore need to be managed. The CF Rules require that a community fund account be established:

- Who will be responsible for managing the funds?
- How will the funds be received and managed? (bank account? signatories? approval for bank transactions?)
- How will records of these funds be kept and managed? (e.g., bank cheque/pass books, cash/ledger book, contributions and fines register, etc.)

These funds therefore will be available for use. The CF Rules specify that these funds may be used for implementation of the CFMP, with any excess amount used for other community purposes:

- How will decisions be made regarding the use of these funds?

According to the CF Rules, sale of forest produce from a CF shall be subject to a permit issued by the CFMG:

- Who will be responsible for issuing these permits and for forwarding the required copies to the Territorial Division and the Dzongkhag Administration?

3.4 Meetings

- How often and when will the committee meet? For what purpose(s)?

4. OUTSIDE AGENCIES

4.1 Rights and Responsibilities (by agency--see Box A.4)

- What will be the role of outside agents (forestry extension staff, etc.)?
- What are the rights (authority) and responsibilities (duties) of the following?
 - DFES staff; Dzongkhag Administration
 - GYT (gups); DYT
 - Territorial Forest Division; DFO
 - other (Social Forestry & Extension Section; FSD)

5. NAME LIST OF FOREST USER GROUP MEMBERS

CFMG membership should be by household. List the names of the household representatives, as well as their hamlet/village, dividing the list according to primary or secondary user status, if applicable.

6. NAME LIST OF COMMITTEE MEMBERS

List the name, designation, and hamlet/village of each committee member.

BOX A.4 Sample Rights and Responsibilities of Parties Involved in the Management of Community Forests in Bhutan

Community Forest Management Group (CFMG)

- Attend CFMG meetings in order to contribute to decisions concerning all aspects of CF management, and the delegation of rights and responsibilities to the CFMG committee.
- Manage their CF according to the CFMP prepared and agreed upon themselves.
- Monitor and evaluate the activities of the CFMG committee, including financial aspects and benefit distribution; elect or dismiss committee members.

CFMG Committee

In general, the CFMG committee will be responsible to the CFMG for assuring that:

- the CF activities follow the CFMP;
- records are kept and an annual report is filed with the DA;
- the CFMG's finances, benefit distribution, and other affairs are properly managed.

The CFMG committee will also:

- call general meetings of the CFMG when required;
- disseminate decisions taken at such meetings to the CFMG members;
- represent the CFMG in relations with government authorities;
- resolve conflicts among members, or between the CFMG and outsiders.

Gewog Yargey Tshogchung (GYT)

- In case of any conflict among the members of the CFMG, or between the CFMG and outsiders, that cannot be solved by the CFMG committee, the GYT will solve the problem through arbitration.

Dzongkhag Yargey Tshogchung (DYT)

- In case of any conflict among the members of the CFMG, or between the CFMG and outsiders, that cannot be solved by the GYT, the DYT will solve the problem through arbitration.

Dzongkhag Forestry Extension Sector/Dzongkhag Administration (DFES/DA)

- inform the CFMG of the provisions of forest policy, act, and rules and enable their enforcement;
- assist the CFMG in preparation and revision of the CFMP;
- monitor the implementation of the CFMP (inputs, outputs, impacts);
- provide technical, organizational, and legal (law enforcement) assistance and coordinate training as required;
- for CFMG nursery and plantation establishment and operations, when applicable: assist in determining requirements and costs; arrange provision of funds and materials not locally available; certify accounts and arrange payments (e.g., nursery water supply and shed, fencing, seeds/seedlings, fencepost hole digging and seedling planting incentives, etc.)
- assist the CFMG to prepare an annual report to the DA with a copy to DFO;
- liaise with DA and DFO on behalf of CFMG, when required;
- provide relevant documents, maps, permits as required;
- assist in investigating and resolving disputes among CFMG members or between the CFMG and outside parties, when requested.

Territorial Forest Division (TD)

- DFO will review the CFMP periodically prepared by the CFMG and approve the plan if technically feasible;
- monitor the activities of the CFMG to ensure that the CFMP is being implemented to the satisfaction of all parties;
- provide necessary technical support;
- assist the CFMG in disposing of excess forest products, when requested.

PART TWO FOREST RESOURCES ASSESSMENT

1. NAME, LOCATION, BOUNDARIES, AND AREA

Indicate the name, location, boundaries, and (approximate) area of the Community Forest. If applicable, do the same by stand as well (see Box 7.5, *Forest Management by Stand*). The name should be a local one, understood by the CFMG. Boundaries should be described on all sides. The area (size) can be measured: from a map; by users' estimates; by pacing; by formal survey (tape, compass, and clinometer). A description of the topography (altitudes, average slope and aspect) would also be useful. Slope can be described simply as steep, moderate, gentle, or level. Aspect can also be described simply, e.g., North, South-West.

A map, either a sketch map drawn by the CFMG or based on a topographical map or aerial photos (or both), should be included showing physical features such as: streams and ridges (watershed drainages); access routes; inhabited areas; forest/land use types; blocks.

BOX A.5 Forest Management by Stands

For management purposes, it is useful to divide large forest areas into stands. Each stand is then separately described in the CFMP. The users should find that the stand system is easy to understand; they may already have such a system in operation.

Stands can initially be defined during the participatory mapping exercise. It may be necessary to change these during visits in the forest, due to differences or features actually observed in the forest.

Forest user groups may use one or more of the following criteria to divide their forest into stands:

- Forest type: each forest type could be a different stand.
- Forest condition: patches of forest in different condition can be separate stand.
- Natural boundaries: streams, ridges, paths, etc.
- Management objectives: according to the forest products or other reasons (e.g., protection of wildlife or water source; restoration through tree planting) for which the stand will be managed. May be based on traditional use.
- Area: if the forest is uniform, it could be divided into a number of stands of similar area, in which harvest and development activities are done on an annual rotation.

2. TENURE AND USE (by stand, if applicable)

2.1 Ownership and Use Rights

The CF should only include GRF land. Note whether private registered land exists within the CF/stand area. Indicate use rights and privileges--both formal and informal, individual and communal--such as tsamdro/grazing, sokshing, water rights. These items may also be shown on a map.

2.2 Products and Services

Normally, the specific management objectives for each stand will be based first and foremost on the current forest products and other uses (e.g., grazing) in the CF/stand.

List the major, if not all, forest products, both wood and non-wood, currently being obtained from the CF/stand. Indicate if and to what extent these products provide cash income, either through direct sale or after processing. Indicate the specific species from which the products are derived, if appropriate.

If possible, quantify the annual demand from the CF for each product. This is mandatory for wood products (see SFFM No. 2, *Planning Together* and SFFM No. 3, *How to Conduct the Community Forest Resources Assessment*).

List the services provided by the CF/stand, as identified by the CFMG, such as water, soil conservation, improved microclimate, social/religious uses and values, etc.

3. FOREST VEGETATION (by stand, if applicable)

For natural forest, this section should include, as a minimum, the following features:

- Forest type
- Main species
- Forest condition (based on forest age, canopy density, natural regeneration)
- Wood volume (summary of wood inventory)
- Other features (erosion features, disturbances/pressures)

Details on describing the forest vegetation for management purposes are contained in SFFM #4, *Management Options for Community Forests*. A summary is included here:

3.1 Forest type

This could be as per the Land Use Planning Section's land use / forest cover categories or the CFMG's own categories.

3.2 Main species

A list of all important plant species, not just trees (e.g., *Daphne* sp.), and their uses. This should help to focus attention on any non-wood forest products, especially those which may have commercial value.

3.3 Forest condition

Described simply as Good, Average, or Poor. This depends on the forest type and the following three factors. See the appropriate chart in SFFM #4.

- Age
- Canopy density
- Regeneration

Age. A simple description of the age-class of the trees forming the main canopy:

- mature forest
- immature (sapling or pole-stage)
- shrubland (from coppice regrowth)
- bare / grassland
- any (meaning that there is no true forest canopy)

Canopy density. A simple description, making it possible for the CFMG to make their own estimate of canopy density with no need for any measurements:

- dense (crown cover is > 80%)
- moderate (crown cover is 40% to 80%)
- open (crown cover is 10% to 40%)
- very open (crown cover is < 10%, isolated trees only)

Appendix Four: Contents of CFMP

Regeneration. Described simply:

- abundant (seedlings present and easy to find in most places)
- few (seedlings only present in some places and not easy to find)
- none (no seedlings present)

For degraded/degrading areas, the presence of coppicing species should be described. This could include:

- percentage of coppicing species (0-25%, 25-50%, 50-75%, 75-100%)
- stocking level (stools/ha; 0-250, 250-500, 500-1000, 1000-2000)
- quality of coppice growth (poor, moderate, healthy, vigorous)

A brief assessment by the users of whether the forest condition has improved, degraded, or remained the same over the last few years would be useful for future monitoring purposes.

3.4 Wood volume

While the assessment of forest condition will assist in making recommendations for management operations, the wood inventory's main objective is to determine if the planned annual harvest of wood/trees can be sustained by the CF. The information from both will also provide baseline information for future community forest monitoring and evaluation activities. See SFFM No. 3, *How to Conduct the Community Forest Resources Assessment*.

If the harvest of one or more non-wood forest products (e.g., for commercial sale) is to be a major objective, an inventory specific to that product may be necessary. If so, contact SFES for assistance.

3.5 Other features

These are features that may help in deciding on management activities. They may also include human disturbances that are causing excessive pressure on the area. For example:

Erosion. Evidence of soil erosion should be noted and described. This may include landslides (mass wasting), gullies, rills, surface/sheet erosion, etc. Percent ground cover.

Fire. History and evidence of fire should be noted (annual, sometimes, seldom, never).

Grazing. Evidence of grazing should be noted (heavy, moderate, light, never).

Lopping/Cutting. (heavy, moderate, light, none).

PART THREE FUTURE MANAGEMENT

1. UTILIZATION RULES

In this section are defined are the rules that limit the use of each forest product: how much, from what species/areas, when, with what tools, at what price, etc. (see also Box 7.9, *Sample Control Systems*). Also defined are the compensation rules (or sanctions) in case of violations. These rules can be defined in the form of a schedule such as shown in Box 7.10, *Sample Set of Utilization Rules*. Also defined are the rules for ensuring the distribution of forest products in an equitable manner. A sale rate, to CFMG members and/or to outsiders, is an option that should be decided by the CFMG.

Based on the comparison of the wood inventory with the expected wood harvest, the total maximum quantity of each wood product that can be harvested should also be defined.

2. PROTECTION RULES

The CF Rules outline a number of prohibited activities. These should be included in this section. The CFMG has the right and responsibility to regulate and punish many of these activities. Therefore, this section should describe the rules and sanctions for protecting the forest. This can include protection from the following: fire, hunting, encroachment, livestock grazing, soil erosion, etc. These rules can be presented in the form of a schedule such as shown in Box 7.11, *Sample Set of Protection Rules*.

BOX A.6 TYPES OF SANCTIONS

The type of sanctions is another aspect of rule-making that should be decided upon and clearly defined. The following is a short list of possible types of sanctions:

- verbal chastisement
- compensation (cash, grain, labour)
- temporary or permanent restriction on forest access or harvesting rights
- public apologies
- reporting to Territorial Forest Division or Dzongkhag Administration for legal sanctions

Experience in other countries in Asia suggest that graduated sanctions (i.e., sanctions that are increasingly harsher on the violator for each subsequent violation) are best.

3. STAND MANAGEMENT OBJECTIVES (if applicable)

In Part One, the overall goals and objectives of the CFMG for managing its CF were defined. If the CF has been divided into stands, however, specific management objectives for each stand should be included. These objectives depend on the prioritized products and services to be derived from each stand as well as the forest condition of the stand.

Objectives are often confused with operations. For example, "to carry out thinning" is not an objective. The objective is the reason why thinning was needed, e.g., "to produce timber". Thinning is the operation.

4. MANAGEMENT OPERATIONS (by stand, if applicable)

Appendix Four: Contents of CFMP

Management operations are a mix of activities that relate to the protection, utilization, and development (see Box A.10) of the CF/stand. The forest management charts in SFFM #4 will help in deciding which management operations are appropriate for the CF/stand. This decision depends on a consideration of the following:

- suitable for the forest type and condition.
- able to meet the objectives stated for the stand. For example, if fuelwood production is an objective, then total protection of the forest will not achieve this.
- feasible for the users to carry out.

A list of possible management operations is given in Box A.7. Each is fully described in the SFFM#4. In the CFMP, these operations should be described in a way which users can understand (not in technical terms). For example:

Enrichment Planting: Need to state the approximate area, how many seedlings will be planted, the spacing, and what species. The source and type (bare root, polypot, stump) of seedlings should also be noted.

BOX A.7 Sample Management Operations for Community Forests	
* Selective felling	* Agroforestry
* Thinning	* Fodder lopping
* Coppicing	* Soil conservation
* Coppicing with standards	* Fire control
* Singling	* Grazing control
* Pruning	* Non-wood forest product harvesting
* Weeding/Cleaning	* Leaf litter collection
* Promoting natural regeneration	* Protection (fencing, closure)
* Enrichment planting	* Access improvement (trails)
* Normal plantation	

Other operations may depend on the specific forest product, e.g., chir pine resin collection; controlled burning for lemon grass production; etc.

5. PLAN OF ACTIVITIES

The plan of activities should answer the questions: What? When? Where? Who? How much? The challenge of the plan of activities is to set realistic targets. It is preferable to be under-ambitious rather than over-ambitious. Especially in the first few years, it is important that the CFMG gain confidence in its ability to manage the forest. Achieving its annual activity targets is one way of doing so.

It may not be realistic to plan activities for the full five years. However, the users should be encouraged to do so for at least the next two years. Because the plan is flexible, the detailed activities can be changed at a later date if the CFMG decides.

Two types of schedules may be useful here. The first could list the activities with their targets over the next five years, For example:

BOX A.8 Five-Year Activities Plan					
Activity	1996	1997	1998	1999	2000
1. Natural forest thinning (acres)	10	10	10	10	10
2. Plantation creation (acres)	1	1	1	1	1
3. Plantation maintenance(acres)	1	2	3	4	5
4.

The other schedule may be a seasonal calendar, listing in which particular time of year each activity will be carried out. If the collection of various forest product is controlled by season, this could also be listed in such a calendar. For example:

BOX A.9 Annual Utilization and Management Operations Calendar												
Bhutanese month	1	2	3	4	5	6	7	8	9	10	11	12
Utilization												
Timber	x	x	x	x								
Firewood								x	x			
Fodder										x	x	
Leaf-litter	x											x
(other...)												
Operations												
Natural forest thinning								x	x			
Plantation creation				x								
Plantation maintenance				x								
(other...)												

One suggested method for planning is through the use of RRA/PRA seasonal calendars. Creating a calendar showing seasonal manpower availability (supply and demand), as well as traditional collection times for various products can assist in deciding appropriate times of the year for carrying out each activity.

Part of activity planning involves inputs: determine what inputs are required to undertake each activity, what inputs are available within the CFMG, and what inputs will be needed from outside. Inputs can include manpower, technical advice, funds, tools, supplies. If one or more of these resources is unavailable or in short supply, the activity plan should be revised to set more realistic targets.

If the CFMG wishes to carry out nursery activities, these should be specified here, such as who is responsible, how many seedlings will be produced, and infrastructure, tools and supplies required.

Activities related to training may also be included. Community organization and forest management may be new activities for the CFMG. It may need training in aspects such as:

Appendix Four: Contents of CFMP

- how to manage funds (accounting)
- how to keep records
- how to market forest products
- how to establish and manage a tree nursery
- how to establish and manage a plantation
- how to manage natural forest

Such training needs, and the resources for meeting these needs, have to be identified and planned. Such training may be either informal in-the-field assistance or formal organized courses.

BOX A.10 What About Silvicultural Development in Community Forestry?

Of the three aspects of management, Silvicultural Development, Utilization, and Protection, the first is generally the least practiced 'management operation' by villagers, while utilization has been the main one. Where indigenous forest management systems exist, rules on both utilization and protection are followed. In Nepal, experience has shown that once areas are formally handed over as CF, the CFMG becomes overly-cautious, focussing on protection and decreased utilization of their CF (in some cases poaching products from other forest areas outside their own CF!). The goals of the CF programme include not only increasing forest protection but increasing forest productivity. Silvicultural development is therefore a necessary aspect.

In many areas of natural forest, the selection and harvest of the desirable straight tree species for construction timber has resulted in "high-graded" forests, i.e., stands of crooked and deformed trees, and undesirable species. In other areas, the forest has been severely cut, grazed, and/or otherwise degraded, with no tradition of replanting, leaving only a blank area. Silvicultural practices need to be introduced to improve such situations.

Villagers may collect a multitude of products from the forest. Depending on the size, type, and condition of the forest, they may gather different products from different areas of it; for example, leaf litter and fuelwood as nearby as possible, while timber from farther away due to non-availability of desirable trees closer by. At the other extreme the forest may be a small blank area in need of reforestation. In such cases, the traditional forest (timber) management strategy of dividing and harvesting trees in blocks on a rotational basis may not be appropriate. Other strategies, suitable to each particular forest and the products desired from it, will be needed.

We do not currently have all the answers. Much participatory research with the Community Forest Management Groups will be needed. SFFM No. 4, *Management Options for Community Forests*, is a start.

BOX A.11 Sample Control Systems in Traditional Forest Management in Nepal

<u>Basis of Group Rules</u>	<u>Examples</u>
1. Harvesting only selected products and species	<ul style="list-style-type: none"> * <u>Trees</u>: timber, fuelwood, leaf fodder, leaf mulch, food (fruits, nuts, seeds, honey), fibre, other minor forest products (gums, dyes, resins, plate leaves) * <u>Grass</u>: fodder, thatching, rope * <u>Other wild plants</u>: medicinal herbs, food (tubers, etc.), bamboos, etc. * <u>Other cultivated plants</u>: upland crops (maize, millet, wheat, potatoes, vegetables), fruits, etc. * <u>Wildlife</u>: animals, birds, bees, other insects, etc.
2. Harvesting according to condition of product	<ul style="list-style-type: none"> * Stage of growth, maturity, alive or dead * Size, shape * Plant density, spacing * Season (flowering, leaves fallen, etc.) * Part: branch, stem, shoot, flower
3. Limiting amount of product	<ul style="list-style-type: none"> * <u>By time</u>: by season, by days, by year * <u>By quantity</u>: number of trees, baskets, headloads, number of animals * <u>By tool</u>: sickles, saws, axes * <u>By area</u>: zoning, blocks, altitude, types of terrain * <u>By payment</u>: cash, kind, food or liquor to watchers or village, manure * <u>By agency</u>: women, children, hired labour, contractors, type of animal
4. Using social means	<ul style="list-style-type: none"> * By watcher: paid in grains or cash * By rotational guard duty * By voluntary group action * By making use of herder mandatory

Source: Arnold, J.E.M. and J.G. Campbell. 1986. *Collective management of hill forests in Nepal: the Community Forestry Development Project*. Pp. 425-455 in *Proceedings of the Conference on Common Property Resource Management*. National Research Council/BOSTID, National Academy Press, Washington, DC, USA.

Appendix Four: Contents of CFMP

BOX A.12 Sample Set of Utilization Rules¹			
FOREST PRODUCT	RULES	DISTRIBUTION & SALE RATE	SANCTIONS
Floor Grass	The users are allowed to cut grass on first Saturday during the third through sixth months only.	Free of cost, may be cut as much as one wants to cut.	If the grass is cut at other times than prescribed, fine will be as follows: For 1st time Nu. 25 For 2nd time Nu. 50 For 3rd time Nu. 75
Litter and Fallen Leaves	The users are allowed to collect on second and last Saturdays during the first through seventh months only.	Free of cost, may be collected as much as one wants to collect.	If collected at other times than prescribed, fine will be as follows: For 1st time Nu. 25 For 2nd time Nu. 50 For 3rd time Nu. 75
Dry Branches (Fuelwood)	The users are allowed to collect all the year round without using any tools.	Free of cost, may be collected as much as one wants to collect.	If collected with use of any tool, fine will be as follows: For 1st time Nu. 25 For 2nd time Nu. 50 For 3rd time Nu. 75
Green Branches (Fuelwood)	Following the Plan, and under the supervision of the Committee, users are allowed to take out the small wood while pruning, singling, and thinning.	Rs. 5 per load. One load shall mean branches having a length of 3 feet being tied with a rope having a length of 7 feet.	If such wood is cut at other times than prescribed, all tools and wood will be confiscated and fine will be as follows: For 1st time Nu. 50 For 2nd time Nu. 100 For 3rd time Nu. 150
Wood for Agricultural Tools	Except while working as per the Plan, the Committee will provide instructions at other times.	To give at half the local rate.	If someone does otherwise, fine will be determined on the basis of damage made.
Medium Wood	Following the Plan, the medium sized woods that come out while singling and thinning will be allowed to be taken as determined by Committee.	To give at half the local rate.	If someone cuts down the medium sized wood, the value will be determined and fine will be on basis of that value. If repeated, the culprit will be sent to DFO.
Construction Timber	Keeping in mind the Plan and the condition of the forest, by calling meeting and taking the decision of the users and Committee.	To give at half the local rate.	If someone cuts down the wood, the value will be determined and fine be on the basis of that value.
Natural Calamity	To give according to the decision made by the users and the Committee.	Keeping in mind the condition of users, to give at nominal rate.	Nu. 100 per load of green branches and Nu. 500 to Nu. 1000 per tree cut from the bottom.

¹NOTE: This is an **example only**. These are not hard and fast rules to be copied word for word. Rules and control systems for each CFMP will be different, depending on the particular characteristics of the CFMG and the CF.

BOX A.13 Sample Set of Protection Rules ¹																		
In addition to the prohibited activities outlined in Community Forest Rule No. 11, <i>Prohibited Activities</i> , the CFMG has established the following rules and penalties:																		
SUBJECT	RULES	SANCTIONS																
Fire	No one is allowed to make burn in the forest.	If someone sets fire to the forest or extends help to do so, the culprit shall be taken to the DFEO and legal action shall be taken against him/her.																
Hunting	Hunting is prohibited.	Action will be taken to the hunters according to the existing regulations of the Royal Government.																
Grazing	Grazing is closed.	In case of grazing, fine will be collected as follows: <table border="0" style="margin-left: 40px;"> <tr> <td></td> <td style="text-align: center;">Cow</td> <td style="text-align: center;">Goat</td> <td></td> </tr> <tr> <td>1st time</td> <td style="text-align: center;">25</td> <td style="text-align: center;">10</td> <td></td> </tr> <tr> <td>2nd time</td> <td style="text-align: center;">50</td> <td style="text-align: center;">20</td> <td></td> </tr> <tr> <td>3rd time</td> <td style="text-align: center;">100</td> <td style="text-align: center;">40</td> <td></td> </tr> </table>		Cow	Goat		1st time	25	10		2nd time	50	20		3rd time	100	40	
	Cow	Goat																
1st time	25	10																
2nd time	50	20																
3rd time	100	40																
Encroachment	Digging and ploughing in the forest is prohibited.	In case of encroachment, fine will be collected on the basis of the damage made and the culprit is compelled to plant trees in the encroached area.																

¹NOTE: This is an **example only**. These are not hard and fast rules to be copied word for word. Rules and control systems for each CFMP will be different, depending on the particular characteristics of the CFMG and the CF.

