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*Participatory Forest
Management
Case Studies in
South Africa*

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Preface

"The role of local people and forests is variable and revolutionary, making it virtually impossible to produce a recipe or a "blue print" model in order to disseminate Community Forestry over the whole country. Even the most developed Community Forestry approaches require a continuum of self-critique, analysis, adaptations and improvements"

Case Study: Mozambique, E. Mansur and A. Cuco, 2002

A Case Study can be defined as: *the use of a particular instance as an exemplar of general principles that can inform the direction of future activities within a project framework.*

By investigating a case study, it is possible to monitor the impact of a set of circumstances on a situation. Valuable lessons can be learnt from this situational analysis that can thus provide guidelines as to how to influence a situation to get the required outcome.

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Foreword

There is a global realisation that forest management cannot exclude the needs of the people living adjacent to forests. People are dependent on forestry goods and services and no level of policing will prevent them from making use of these resources.

This realisation of the need for participation in forestry stems not only from the waves of democracy that have swept over South Africa in the last ten years, but also from a realisation that top-down, paternalistic forestry management systems do not work. The 1981 Peasants' Charter of the FAO emphasises the need for participation in development by stating that:

"...Rural development strategies can only realise their full potential through the motivation, active involvement and organisation at the grassroots level of rural people, with special emphasis on the least advantaged, in conceptualising and designing policies and programmes and in creating administrative, social and economic institutions..."

In line with the need for participation, Participatory Forest Management (PFM) has evolved. Through PFM, government strives to consider local people's forest based needs and to involve them in the development of efficient strategies for the sustainable management of South Africa's forest resources. This is, however, not an easy task in a country where so many people for so very long have been excluded from participating in governance.

The challenges of bringing grass roots people into decision-making structures have not prevented government, communities and other stakeholders from pioneering partnerships in the last couple of years.

This case study summary presents this effort and gives an overview of challenges and opportunities experienced when involving communities in forest management and utilisation.

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Acknowledgements

The DWAF/Danida Project for Capacity Development in Participatory Forest Management (2001-2005) compiled this case study summary from a range of reports describing case studies on forests and people in South Africa.

Dedicated DWAF staff members and consultants developed these reports over the last couple of years with funding from a number of donors.

Acknowledgements would, however, not be complete without thanking the communities and DWAF field staff, who were involved in these various case studies and who are the real practitioners.

List of Abbreviations / Acronyms

AA	Administrative Area
ANC	African National Congress
CBNRM	Community Based Natural Resource Management
CFA	Community Forestry Agreement
CPA	Communal Property Association
CPPP	Community Public Private Partnership
Danida	Danish International Development Assistance
DEAT	Department of Environmental Affairs and Tourism
DFID	Department for International Development
DLA	Department of Land Affairs
DME	Department of Minerals and Energy
DPW	Department of Public Works
DWAF	Department of Water Affairs and Forestry
EIA	Environmental Impact Assessment
EU	European Union
FAO	Food and Agriculture Organisation
GIS	Geographic Information Systems
GTZ	German Agency for Development Co-operation
ICRAF	International Center for Research in Agroforestry
IDP	Integrated Development Plan
IFP	Inkata Freedom Party
INR	Institute of Natural Resources
JMB	Joint Management Board
NFA	National Forest Act
NGO	Non-Governmental Organisation
NTPP	Non-timber Forest products
NWA	Ntendeka Wilderness Area
PFM	Participatory Forest Management
PFMC	PFM Committee
PLA	Participatory Learning and Action
PPP	Public Private Partnership
PRA	Participatory Rural Appraisal
SADC	Southern African Development Community
SAFCOL	South African Forestry Company Limited
SANCO	South African National Civic Organisation
SANParks	South African National Parks
SDI	Spatial Development Initiative
SME	Small and Medium Enterprise



UNITRA	University of the Transkei
WESA	Wildlife and Environment Society of South Africa
WfW	Working for Water
WFSP	Water and Forestry Support Programme
WHS	World Heritage Site

How is this Document relevant to you?

This document is a compilation of various case studies, which contain valuable lessons to assist practitioners of participatory forestry. The case studies were sourced from a number of reports, reviews, studies, surveys and assessments commissioned by DWAF as well as other donors, institutions and departments involved with the role of communities in sustainable resource management.

The DWAF/Danida Project for Capacity Development in PFM embarked on an extensive training needs assessment exercise, which highlighted the limitations and difficulties of implementing PFM, and this was taken into consideration when selecting case studies. Due to the large number of documents, reports and participatory forest projects, available, not all case studies could be documented, therefore, **lessons learnt and recommendations** were used as the criteria for selection of a case study.

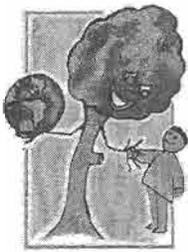
Each document was systematically summarised, edited and standardised to follow a specific format in order to read clearly, concisely and logically. Scientific and academic documents were thus simplified and references within the text removed. In most cases, only **relevant** experiences and lessons learnt were extracted so as to avoid repetition or monotony. The table at the end of each case study outlines the lessons learnt. Details of the author(s) and funding agent of each case study is supplied and a complete version of each document can be accessed from the Directorate: Participative Forestry, DWAF, Head Office.

When reading this document it is important to remember that this is a **resource document** that captures real experiences in DWAF Indigenous State Forests as well as the processes, interventions and outcomes of each scenario. This information will assist you to make informed decisions in the future by having an understanding of the successes and failures of projects and the dynamics that affected these situations.

These case studies have also been used to inform the development of the PFM training modules as well as the Guidelines. Some case studies were used as part of the PFM training exercises such as the Project Management Planning and Participatory Approaches training modules. The PFM training modules were shaped around a strong ethos of learning by doing and by focussing on real life experiences. The case studies have therefore played a valuable role in informing the training curricula.

As a resource document, it is also useful to people who are interested in environmental and socio-economic development and sustainable resource management. Many of the case studies captured here share experiences that chronicle the learning curve that DWAF has undergone in the past few years in attempting to adopt the participatory approach to forest management.

We hope that this document provides you with a greater understanding of the challenges, strengths, weaknesses and successes of participatory approaches to resource management.



1. Participatory Forest Management Partnerships

Traditional top down ways of forest management are increasingly making way for participatory methods of managing forests. A critical component of these Participatory Forest Management (PFM) approaches is the relationship between the different partners in the management system. The first four case studies focus on the relationship between the resource users and their institutional partners.

1.1 Community Involvement in Forest Management - A Regional Perspective

DANCED / Danida: Sustainable Forest Management in Southern Africa
Workshop Proceedings, FAO/ICRAF Report (2001)
By Dr. Patrick W. Matakala and Dr. Freddie Kwesiga

1.1.1 Introduction

Participatory approaches are becoming more relevant as a way of managing natural resources in southern Africa. Traditional top down approaches are frequently questioned as new ways of involving local people in forest management are developed. This case study illustrates the roles of different stakeholders in creating an enabling environment for PFM activities. It stresses that PFM approaches can only work if it empowers people. It also shows that conflicts over land tenure and illegal harvesting is not unique to South Africa but can be found in most of the other countries where PFM is practiced.

1.1.2 Case Summary

Today, traditional approaches to forest management in the SADC region (such as forest reserves, national forests, local forests, industrial or concession forests, etc.), often dominated by the state and the private sector, are under question primarily because:

- They have often failed to sustain the forests they were designed to protect;

- They have usually failed to involve or benefit those who bear most of the costs of their mismanagement;
- They are rarely financially sustainable.

In general, the alternative approach is one of involving stakeholders in forest management - seen by protagonists (governments, donors and local communities alike) as a viable option for improving rural livelihoods, securing environmental conservation, and promoting local economic growth.

This report presents empowerment requirements and roles of key stakeholders to ensure successful PFM.

Empowerment

The ultimate success of PFM depends on the levels of empowerment accorded to the stakeholders. Empowerment can be understood as a three-pronged approach:

- Empowerment to make decisions;
- Economic empowerment;
- Partnerships.

Decision-making Empowerment

Decision-making empowerment involves re-distribution of decision-making authority between the power-holders (often the state) and the powerless (local communities). Decision-making empowerment thus refers to the decentralisation of decision-making among actors and the influence each stakeholder has on final decisions.

The source and nature of authority as well as legitimated mandates of the actors are important factors to take into account in PFM, considering that this authority could serve to advise or to implement decisions. For instance, a group can make decisions which it has the power to implement or it can make decisions about advise to the State regarding its actions and policies.

Economic Empowerment

Local communities can only be stimulated to be efficient and engage effectively in PFM if they are economically empowered.

Economic empowerment includes the factors of production: land, labour and capital. Efficient production involves combining these factors in such a way as to generate the maximum possible net return.

With land being the fixed factor in forest production, it is important that community land tenure is clear and secure from the outset.

Skilled labour to undertake efficient forest management is often a limiting factor at the community level. This means that PFM can only be regarded as an empowering approach if the capacities of local community members are enhanced to take advantage of new technological innovations in forest and business management. However, the major challenge for community capacity programmes is the existing high levels of innumeracy and illiteracy. PFM programmes will have to address both if true community economic empowerment is to happen.

Availability of seed money (capital) to engage in PFM is another limitation at the community level. Also, while the trend by international donor projects and governments alike has been to advance financial grants to communities or different user/interest groups, little assistance is given to market identification and product quality control. Giving credit to communities without also assisting them with effective marketing of their products is simply a lost cause and ground for conflict. In fact, market studies should precede credit grants and only where markets are viable should credits be granted.

Partnerships as a Form of Empowerment

Partnerships are a form of empowerment because those involved learn from each other. Partnerships, particularly between communities and the private sector can open new markets and entrepreneurial opportunities for rural communities engaged in PFM. Well-planned partnerships, where community interests are strongly protected, could go a long way in turning PFM from a welfare development approach to a more self-reliant and thriving business approach. For partnerships to work as a form of community empowerment, the following minimum set of conditions has to be met:

- There is a legal agreement or contract between the partners;
- Partners share in policy-making and management;
- Decisions are made by majority vote of partners or through other mechanisms mutually agreed upon by the partners;
- Each partner is responsible for any other partners' actions;
- Each partner is legally liable, without limit for the total debt of the partnership.

The Role of Key Stakeholders in Promoting PFM

Governments

Governments could play a major role in the following areas:

- Promotion of policy and legal reforms that grant ownership and legislative jurisdictions (tenure) to communities. This should include legal recognition of customary tenure. In particular, the regulatory framework should be adaptive so that it is informed by local field experiences in participatory approaches. Overall, PFM should be reflected in policy as a priority area for government.
- Enforcement of laws and regulations without randomness, corruption or favouritism. In general, current legal arrangements in the SADC provide little incentive for sustainable long-term use and development of forest resources relative to their exploitation for short-term profits.
- Harmonisation of policies and laws related to the environment. Forest and environment laws are key to successful environmental management yet often, these are not congruent particularly with regard to PFM.
- Promotion of policies/incentives for value-added processing of forest resources. This represents an opportunity in PFM to derive down-stream income, employment and wealth from a valuable natural resource.
- Promotion of agroforestry as one of the PFM interventions aimed at achieving food security among rural households and environmental conservation needs.
- Supporting urban forestry implementation as part of PFM involving neighbourhoods, NGOs, and other stakeholders.
- Strengthening of research and extension. There is need for governments to support and strengthen research on PFM to discern key factors contributing to its successful implementation.

Government needs to promote collaborative research so that all stakeholders have the same information and knowledge levels. There is also a need to strengthen extension services so that civil society - especially local communities - is informed of their rights, roles, responsibilities and benefits. Governments could do this effectively by outsourcing some of its extension functions.

- Ensuring of adequate budget and qualified personnel for PFM implementation through support to capacity building programmes at all levels (community, government staff, NGOs, etc.). Governments could raise such funds from forest management activities and other economic investment sectors as well as through international donor support.
- Supporting individual private sector companies and Community Public Private Partnerships (CPPPs) with long-term commitments to communities through policies and programmes that encourage investment in sustainable resources production systems. Such CPPPs should ensure that community interests are first and foremost protected. This will not only assure viable community forest enterprises but also local economic growth.
- Promoting democratic governance and getting rid of corrupt practices.

Non-Governmental Organisations (NGOs)

NGOs can play a critical role in PFM especially by:

- Providing technical expertise and financial resources necessary for PFM implementation. The funding could be sourced through proposals submitted to potential donors.
- Undertaking independent monitoring and critical evaluations of PFM projects.
- Lobbying governments to provide an enabling environment for PFM development.
- Assisting forest-dependent communities by aiding them in communicating their concerns to governments and development agencies.
- Promoting agroforestry practice as part of PFM.
- Facilitating conflict mediation/resolution in PFM among various stakeholders.

Donors

Equally, donors could play a major role by:

- Lobbying governments to support policy and legal reform favouring PFM by extending financial incentives to governments to reform forest sector policies in ways that respond to the needs of rural communities.
- Providing funds to support urban forestry implementation as part of PFM.
- Supporting provision of resources for improved law enforcement capacity by national governments and capacity building programmes in general.
- Supporting of funding for agroforestry. Since food insecurity is one of the key issues at community level, donors should support funding of agroforestry programmes as part of PFM development. The International Centre for Research in Agroforestry (ICRAF) has tremendous practical experience in this area within the SADC region. Funds for agroforestry implementation could be channelled through ICRAF.
- Providing funds to support education and training. There is need to support curricula development and reform in higher institutions of learning to incorporate PFM as a discipline. While the SADC region has a rich history and experience in PFM, this is currently not being incorporated in education and training systems.
- Breaking the dependency syndrome. Donors can help break the dependency syndrome among rural communities where PFM projects are often seen as welfare projects. The problem is particularly exacerbated where donors give free handouts to communities in the name of PFM. Rather, there is need to support viable community credit schemes for PFM.
- Providing funds to support national programmes aimed at democratisation of government institutions and civil society.

Private Sector

The private sector could play a key role in the following areas:

- Securing viable market niches for various products arising from PFM so as to assure long-term sustainability of PFM projects.

- Engaging in socially responsible partnerships with local communities in PFM and investing in research and development pertaining to PFM.

Communities

As one of the key stakeholders in PFM, communities also bear certain responsibilities:

- Communities should be catalysts in asserting their rights to land ownership and access rights. They should convince governments and other stakeholders from the outset that they are, or want to be, in control of their future. They should not always look to outside help before exploring their potentialities.
- It is also a primary role of communities to monitor their involvement in PFM.
- Communities should also be involved in resolving conflicts that arise from PFM.
- Communities should be able to raise funds to facilitate their involvement in PFM through proposal writing and submission to potential donors and through partnerships with other stakeholders.

1.1.3 Lessons Learnt and Recommendations

	Lesson and Recommendations
1.	<p>A number of constraints to the development and implementation of participatory approaches can be discerned:</p> <ul style="list-style-type: none"> • Lack of true devolution of decision-making powers to community levels through ownership and legislative jurisdictions remains the most critical constraint to PFM development in the SADC region. There is a need for secure community land tenures, rights and interests if PFM is to move forward. • The general failure by most governments to recognise and protect customary rights in land as group private property. This has rendered customary lands vulnerable to government expropriation for other uses such as reserves or lands open for lease by outsiders. • Illegal harvesting of forest resources and/or unsustainable harvest levels continues unabated primarily due to weak law enforcement and identification of resistance to it. • In some cases PFM has failed to instil in local communities a sense of the value of forest resources. • The use of reserve-creation by governments as a form of appropriation of customary held lands and curtailing customary rights. • Changing of common property rights (community tenure) to access rights by governments, where, in some cases, communities have to pay for such access rights.

2. There are a number of challenges to overcome if PFM is to achieve its conservation and development goals. For example:

- PFM should be based on clear and defensible boundaries with secure tenures and rights to the bounded land areas.
- PFM should be established at manageable scales. The areas should be sufficiently large, yet small enough to take advantage of economies of scale and local management capacities.
- Increasing resource scarcity and impending ecological degradation appear to be major catalysts of PFM. Selection of communities to engage in PFM should, however, be based on clear methodologies that take into account the socio-economic and environmental conditions of such communities.
- Selecting the "right" community for a PFM project is not always an easy and straightforward task. Political and/or personal preference of one community over the other is not the solution. Rather, it requires rigorous analyses of prevailing socio-economic and environmental conditions within a given community.
- Adding value to forest resources so as to maximise net returns from resource utilisation provides incentives for PFM and hence its chances of success. One of the biggest challenges in PFM is to ensure that communities are provided with incentives to become involved in sustainable forest management.
- It should be noted that when the value of the resource increases, perhaps as a result of success of PFM, there is often a tendency by more powerful groups to move in at the expense of communities.
- Who should participate as "community"? While there are valid reasons for wanting to deal with "the community", there are also good reasons for involving individual "community champions" who have knowledge of local conditions and interests in the community at heart.

Use of knowledgeable and business-oriented individuals that are socially accepted locally as entry points regarding PFM may go a long way in striking a balance between the achievement of both conservation and development goals.

3. Emerging opportunities:

- Discussions on PFM often come back to the issues of tenure, access rights, benefits, and responsibilities. Given the constraints and challenges highlighted above, there are emerging opportunities within the SADC region witnessed by a number of policy and legal reforms (some completed and some ongoing) to facilitate PFM.
- One of the emerging opportunities is the trend towards legalising customary tenure. The cases of Tanzania and Uganda provide good examples where the respective national land laws provide for customary land law and title for customary rights.
- Linked to customary tenure, another emerging opportunity is government recognition of common property rights as a legal and private right in land. This is already happening in countries like Tanzania, Uganda, Mozambique, and South Africa where common property rights are entrenched within their respective land.
- Another emerging opportunity is the creation of legally binding community public private sector partnerships in PFM to promote local economic growth. These would be particularly suited in areas with high value products such as timber and ecotourism under co-management regimes.

4. As a way forward, it is also suggested that:

- PFM models should incorporate gender strategies.
- Numeracy and literacy programmes should be integral parts of PFM implementation. This function could be outsourced to NGOs competent in adult literacy.
- Thorough market analysis should be an integral part of PFM implementation particularly in cases where various interest groups are involved in income generating activities.

1.2 Participatory Forest Management in South Africa

Chapter from Indigenous Forests and Woodlands in South Africa: Policy, People and Practice Ed. Mike Lawes *et al*, UKZN Press (2004)
By Isla Grundy and Nicola Michell

1.2.1 Introduction

PFM is generally accepted in the southern African region as the correct way of managing natural resources. It calls for a partnership approach between local resource users and government, who are ultimately responsible for the protection and sustainable management of natural forest resources. This partnership is not always equal, as government does not have the resources to fulfil its role in the partnership. Communities subsequently end up having to manage a resource without appropriate assistance. This could lead to over exploitation, unsustainable management and conflict. This case study defines the concept of PFM and emphasises the need for an equal partnership in PFM.

1.2.2 Case Summary

The Concept of PFM

PFM can be defined as the sharing of products, responsibilities, control and decision-making over forestlands between Forest Departments and local user groups. It arose out of the convergence of thinking and debate in three major schools of thought:

- The first is the conservation movement and its focus on global biodiversity reserves.
- The second is the concern of political scientists for democracy and the well being of local peoples.
- The third is the development lobby and its call for sustainable use of natural resources.

Globally, sustainable multiple-use of protected forest areas has been adopted as a means of managing forests. Sustainable use can be described, as the matching of social and economic needs with the productivity and ecology of the resource base to ensure that environmental, social and economic stability are maintained into the future.

The objectives of contemporary forest management are increasingly to create healthy, productive ecosystems through an adaptive management approach that incorporates needs and values defined by social, physical, economic and biological criteria.

The transition to this type of forest management will require faith, perseverance and adaptability as forest and natural resource agencies continue to shift their orientation from:

- Protective to collaborative conservation;
- Patronising bureaucracies to partnership organisations with open, adaptive interdisciplinary teams;
- Linear-thinking specialists to synergistic integrators;
- Output-oriented managers to social-value managers;
- Technical functionalists to ecosystem-based management facilitators.

Analysis of the PFM Approach to Date

The understanding of "management" by researchers and foresters may be quite different from "management" in the eyes of indigenous, forest-dependent peoples. The latter can be defined as involving a series of mechanisms put into practice by rural people who are co-ordinating their actions with others, under the legitimate control of local authorities.

Forestry operations that are both participatory and sustainable imply that local people are committed to maintaining the forest resource, have an active role in the forest management decisions, and have or are developing necessary skills to manage the resource sustainably. At the same time forest product harvesting should be at levels that do not damage the productive potential of the resource and can be maintained 'indefinitely' based on a participatory management plan.

Sustainable management is therefore best viewed as a long-term goal, rather than an immediate objective. Participation of all stakeholders at all levels in natural resource management is a tool that is used to achieve this sustainability. Some authors have often erroneously described participatory forestry as an equal partnership between forest owners and forest users. In most cases it is, however, not a simple question of sharing between two partners. The meaning of participation is varied, and can range from almost complete outside control with token involvement of local people, to a form of collective action in which local people set and implement their own agenda in the absence of outside initiators and facilitators.

Initial Experiences of PFM in South Africa

South Africa's land reform and restitution programmes have resulted in a fundamental difference between the South African situations and most other PFM programmes elsewhere. Ownership of the land has generally not been at stake in other countries and communities have usually only been offered a share in the products. Moreover, in productive forests, the share is usually restricted to the non-timber products. In many other respects, however, the fledgling initiatives in South Africa have suffered a similar fate to those developed 10 to 15 years ago in India and Nepal.

It is clear that fine legislation, policy documents and strategic plans are not enough to secure the future of South Africa's forests as important reserves of both biodiversity and useful forest products. The key to successful participatory forest management is:

- Support from both government and non-government sectors in terms of budgetary allocations;
- Training for staff and community members;
- Commitment to the time-demanding participatory process;
- Investment in rural areas;
- Development of alternatives to forest use.

A worrying trend is that, for a number of years now, several authors have raised concern over the rapid demise of many of South Africa's forest areas since 1994, particularly in the Eastern Cape. Apparently the State is failing in its national responsibility to protect natural forests and manage them sustainably, being hindered predominantly by lack of human and financial capacity.

Since 1997, DWAF has been struggling to define its responsibilities and roles in the new South Africa, which has had a lasting, detrimental effect on the implementation of the new Forest policy. In the recent climate of government restructuring and downsizing, DWAF will be reduced to essentially a regulatory and advisory role. Consequently, responsibility for the fledgling PFM programmes will be allocated to other government service providers. While these organisations may seem to be more appropriate managers than a centralised government body, due to their location and focus, they may have neither the ideological background nor the financial resources to complete what DWAF has so wholeheartedly begun.

The lack of institutional backing at government level will not diminish the ever-increasing need for social development in rural areas, nor the expectations raised within local communities that the forests can be used to bring about social upliftment. There is a very real danger, therefore, that, in the course of government's reshuffling, forestry bureaucrats and managers may lose sight of their ultimate responsibility and goal, that of sustainable management of South Africa's indigenous forests and woodlands.

1.2.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	The term "management" of natural resources may mean something very different to the local community compared to a Forest Manager - these differences must be clarified at the initial stages of any PFM project.
2.	<p>In general, participatory management initiatives are often seen as a way of reversing government's increasing inability to control access of outsiders into Forest Reserves, with the focus being on biodiversity conservation.</p> <p>From the communities' perspective, however, with the change to democracy and the raised expectations of social upliftment through job creation and the utilisation of previously denied forest resources, DWAF's engagement with them was often interpreted as a catalyst for local economic development.</p>
3.	Benefits to stakeholders involved in the process remain unclear. Short-term tangible benefits to the communities are usually few while the costs of any reduction in forest use by local users, in return for legal access to the resources, have to be internalised by rural householders who are already struggling to feed themselves. Thus, communities often find themselves as disadvantaged partners in the whole process.

4.	<p>The traditional leadership, which in the past would have been responsible for allocation of land within the communities, has often been marginalised in new initiatives - a situation which has resulted in conflict over decision-making power.</p> <p>Lack of clarity as to the identity of the legitimate forest users has also caused confusion and delays in implementation of programmes.</p>
5.	<p>Devolution of authority to manage forest resources requires intensive capacity building at all levels, within both government and the communities. This aspect has been neglected so far in many cases.</p>
6.	<p>Participatory initiatives require the input from a range of organisations, including provincial government, local government, municipalities, other government service providers, etc.</p> <p>As yet, this partnership is weak, and practitioners in the various fields are often not aware of the wide range of policies and legislation that has an impact on forests and users.</p>
7.	<p>Forest users generally weigh up the communal benefits they receive in return for reducing their individual demands for forest products, and decide whether or not to support any collaborative agreement.</p> <p>When engaging in any participatory programme it is essential to determine if the overall community will gain more than it gives up. The future of the forests will depend on such decisions.</p>
8.	<p>An understanding of community dynamics to aid in the development of transparent and effective mechanisms for decision-making and cost benefit sharing at the grass roots level is crucial.</p>
9.	<p>Agreed indicators of success are essential as an integral part of monitoring.</p>
10.	<p>Sustainable management should be viewed as a long-term goal, rather than an immediate objective.</p>

11.	Matching participation to local demands for it, and ensuring full transparency, is more important than full participation, while securing of rights is more necessary for effective partnerships than transfer of forest ownership.
12.	<p>The principle of participatory forestry is now widely accepted, but the danger of lack of quality in participation work is a very real problem. Lip service paid to participation is just as dangerous as top-down management.</p> <p>Collaborative approaches are time-consuming and costly, and yet PFM has been introduced in many developing countries where governments have neither the resources nor the incentives to manage forests for multiple benefits.</p>
13.	Multiple users bring demands for multiple uses, and yet there is a glaring lack of information on the sustainable use of non-timber forest products in terms of growth patterns, impacts of harvesting on plant structure, appropriate sampling strategies, etc.
14.	Amidst restructuring and reshuffling processes, decision-makers and forest managers must be careful not to lose sight of the ultimate responsibility and goal of sustainable management of South Africa's indigenous forests and woodlands.

1.3 A Review of Poverty in South Africa in Relation To Forest Based Opportunities

DWAF/WFSP/DFID Forestry Programme Report (2003)
By Fonda Lewis, Claire Blanché, Mark Todd - Institute of Natural Resources

1.3.1 Introduction

Natural resource users are often the poorest of the poor. Forestry activities can assist in empowering these people but does not necessarily move them out of poverty. The case study investigates the impact of outgrower schemes on rural communities. It shows that rural poverty can prevent community members from becoming equal business partners in these schemes.

1.3.2 Case Summary

The study was undertaken as a component of the inception phase of the DFID funded project titled 'Making Forest Markets Work for the Poor'. The Forest Markets project investigates these market opportunities and endeavours to provide the keys to unlock their potential for the rural poor.

The study focussed on five provinces that have significant areas of natural forests and plantations:

- Limpopo Province
- Mpumalanga
- KwaZulu-Natal
- Eastern Cape
- Western Cape

It is important to note that while there are regions with significant areas of natural forests and plantations that have relatively low levels of poverty, it is not possible to conclude that it is the forestry operations that are directly responsible for generating the benefits. There are many other influences in these regions that could be having impacts on the economy (e.g. mining, industry, and tourism, access to land). It is however possible to identify from the information that there are areas with high levels of poverty despite the presence of forests, plantations and their associated economic activities.

Opportunities Utilizing Non-Timber Forest Products

In South Africa there is a plantation resource of approximately 1.5 million hectares, a natural forest resource of approximately 400 000 hectares, and woodlands of approximately 23 million hectares.

These resources play a critical role in the livelihoods of millions of rural dwellers throughout South Africa, and provide people with a wide range of goods and services, including fuelwood, medicines, fodder, fibre, timber and wild foods (honey, mushrooms, nuts, fruit, insects and small mammals).

However, due to the informal nature of the enterprises undertaken by the rural poor in this sector, there is little information regarding the value, scale and sustainability on these enterprises to provide an overview of the size and value of the sector. The results from an assessment of the medicinal plant sector can, nonetheless, be used to demonstrate the potential value of one component of the non-timber forest products (NTFP) sector.

Trade in Natural Medicinal Plants

It is estimated that approximately 20 000 tonnes of medicinal plants are traded nationally per year, with an estimated value of approximately R60 million. There are approximately 16 000 harvesters operating in KwaZulu-Natal, predominantly rural black women. The harvesters collect plants from the wild. They then supply these raw products in bulk, with little or no processing, to the urban informal street markets. The only processing that may be carried out by the harvesters is simple drying or chopping of plant material such as bark, before packing it into old 50 kg bags for transport to the markets. There are approximately 1 200 street traders operating in KwaZulu-Natal, with 600 trading from the informal street markets in Durban. Between 80% to 90% of the street traders are women.

The supply of plants in the traditional medicine sub-sector is declining as wild stocks are systematically depleted. The combination of buoyant demand and declining supply clearly show that there are both needs and opportunities for cultivating indigenous medicinal plants. The cultivation of forest species in general, and scarce woodland and grassland species, are likely to be the only alternatives available, and present an opportunity for the establishment of Small and Medium Enterprise (SME) initiatives in rural areas. A number of initiatives are currently underway to commercially cultivate high value medicinal plants that are either extinct or are near extinction in the wild. However these initiatives are largely undertaken by commercial farmers. Recently, however, a number of government funded interventions have focused on promoting the commercial cultivation of scarce and high value medicinal plants in rural areas and the establishment of associated enterprises. None of these have, however, reached a stage of being self-sustaining.

Opportunities for Timber Production

Commercial forestry companies in South Africa that focus on the production of wattle, eucalypts and pines, are contributing to rural livelihoods by offering a variety of commercial and non-commercial opportunities for adjacent communities. Various arrangements between companies and communities or individuals have emerged, including contracts between large timber companies and small-scale outgrowers. Outgrower schemes are formalised partnership arrangements involving contracts between two or more parties combining land, capital, management and market opportunities, formed with the intent to produce a commercial forest crop.

It is estimated that 18 550 individual smallholders are involved in tree-growing schemes with company support, and the total area of land planted is 43 200 ha. Most of the South African outgrower schemes operate in KwaZulu-Natal, although there have recently been some initiatives to extend the outgrower schemes into the Eastern Cape. Sappi and Mondi, the two largest timber companies in South Africa, run the main schemes. The South African Wattle Growers Union and Natal Cooperative Timbers have also introduced outgrower schemes

Households in all wealth/poverty categories join the outgrower schemes as growers. Even highly vulnerable, marginal households are motivated to become growers, as the advance payments allow poor households to employ small-scale planting and weeding contractors. More than half the growers in the schemes are reported to be women. The schemes, however, cannot alone take households out of poverty because access to land in communal areas is limited.

Motivation for entering into an outgrower forestry partnership from a grower's perspective includes:

- Income generation;
- Physical proximity to trees or land suitable for forestry;
- Traditional or legal rights to land suitable for forestry;
- Economic and cultural dependence on forest goods and services.

Problems experienced with outgrower schemes include:

- *Prices:* Open market prices are higher than the contract prices to the outgrowers because the companies have to recoup their input costs (i.e. of establishing the plantation).

However the outgrowers frequently feel that the costs being recovered by the companies exceed the actual input costs, and that they are therefore not receiving a fair market price for the timber. *Farmers unclear on what they signed up for:* There is sometimes confusion among the outgrowers over the terms and conditions of the outgrower schemes. For example confusion often arises when the companies do not buy back all the timber, or when they do not buy back timber from second or third rotations.

- *Regulations:* It remains difficult for small growers to obtain licences for afforestation, and therefore many have illegally established their plantations. This means that timber companies are finding difficulty in supplying timber purchased from "illegal" small grower plantations to their mills without affecting their certification.
- *Land conflicts and emerging elites:* Conflicts are arising in areas where tribal authorities are awarding large tracts of land for forestry to households, e.g. to join outgrower schemes.
- *Interest groups within communities starting to compete for land:* While tribal authorities do generally act against individuals' acquiring large tracts of land, an elite group of timber growers can develop through astute use of the mechanisms of land allocation, purchase and sharecropping. The schemes also lock up communal land (i.e. not allocated for use by specific individuals) for an indefinite amount of time.
- *Impacts on gender relations:* More than half the growers in the schemes are women, but almost all the companies' extension officers are men.
- *Accessibility of membership:* Households that have insufficient land holdings (such as the youth who have left their parents' properties or newcomers to an area) may not benefit from the outgrower schemes.

Despite the belief that forestry based SMEs are an underdeveloped opportunity to stimulate job and income generation opportunities among rural poor communities, the existing enterprises remain primarily survivalist and the opportunities for sustainable enterprises remain largely undeveloped. The enterprises that have been established in poor rural areas are mainly micro-scale enterprises that provide little more than employment for the business owners themselves.

Corporate Social Responsibility Investments

Often, the forestry companies have been the dominant social and development service providers in some areas. Small projects and programmes implemented to date include:

- Grazing schemes under eucalypt plantations in Zululand (KwaZulu-Natal);
- Managed access for hunting and harvesting thatch, building materials, mushrooms and medicinal plants and honey production;
- Intercropping groundnut schemes and vegetable gardens.
- School and literacy classes;
- Clinics and crèches;
- Recreation and tourism management (hiking, birding, fishing, camping, rafting);
- Craft production such as wood and ornamental stone carvings;
- Provision of sewing machines and classes for women's groups.

1.3.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	<p>Since poor rural communities are not homogenous, within these communities there might be the emergence of elites who are able to secure the rights to resource utilization and the establishment of associated enterprises.</p> <p>Conflicts have been reported to arise in areas where tribal authorities are awarding large tracts of land for forestry or where resource use households, and interest groups within communities are starting to compete for land. It is therefore important that market interventions do not disrupt or threaten traditional resource and land use allocation to the detriment of highly vulnerable sectors of the community.</p>

2.	<p>The high dependency levels (characterized by relatively high percentages of young and elderly people within the community), the threat and debilitating effects of HIV/AIDS, and high ratio of women in certain communities requires that interventions do not focus on only those of traditionally economically active age.</p> <p>Interventions aimed at addressing some of the most needy of rural households should focus specifically on creating opportunities for the elderly, disabled, the youth, and women.</p>
3.	<p>Many issues related to poverty are clearly related to not having enough money; however there are also many non-material aspects to poverty. For example the poor are not exclusively concerned with inadequate incomes and levels of consumption. Achieving other goals such as security, independence and self-respect are regarded as just as important.</p> <p>Forest market interventions aimed at addressing poverty should also therefore take into consideration these non-materialistic aspects of poverty and include addressing components such as:</p> <ul style="list-style-type: none"> • Capacity building; • Improving land and resource use security; • Reducing dependency and establishment of a level of independence.
4.	<p>Despite the presence of plantations and natural forests, relatively high levels of poverty characterize many of the surrounding districts. Proximity to forestry resources is therefore in itself not an agent for poverty alleviation.</p>
5.	<p>Rural households suffering from chronic poverty are unlikely to be able to take advantage of whatever opportunities may arise for escaping poverty. For example access to financing and technical support for the establishment of enterprises often requires a level of capacity that exceeds that of the average rural poor household.</p> <p>Furthermore, information regarding forestry enterprise and resource use opportunities is often in formats that are not understandable to rural poor who are characterized by low literacy levels. Blockages to income generation and poverty alleviation thus often occur through an inability of these surrounding communities to secure legal access to the resources.</p>

6. Market interventions that focus on generating sustainable enterprise opportunities for the rural poor could have a significant impact on rural livelihoods. Market interventions should focus on:

- Dissemination and understanding of opportunities for and management of SMEs. A knowledge base needs to be built among the potential entrepreneurs, as well as among the facilitators, financiers and authorities.
- Positive policy instruments and removal of barriers to SME development in order to harness the potential that SMEs hold for reaching the poorest through stimulating local economies and generating sustainable income earning opportunities.
- Development of capacity and transfer of entrepreneurial skills to informal survivalists and to improvement of the efficiency and sustainability of SMEs.
- Developing appropriate financing systems that can accommodate the characteristics and capacities of entrepreneurs with limited technical and financial.
- Shaping markets to recognise and harness the potential of small and medium scale rural enterprises to efficiently supply commodities and services to the formal markets. Furthermore, opportunities should be created for the rural poor to become involved in downstream value adding components of the forestry sector, rather than remaining trapped in primary level production.

1.4 Community Perception Regarding DWAF

Consolidated DWAF/Danida Report of a PFM Community Perception Survey
(2003)

By Kwetsima Consultants

1.4.1 Introduction

In a PFM partnership it is critical that the different partners know and trust each other. This case study investigates the relationships between DWAF and resource users. It seems that although a high percentage of resource users are aware of DWAF there might be differences in expectations regarding PFM projects.

1.4.2 Case Summary

This is a consolidated report of DWAF's Community Perception Study that was conducted in eight selected areas in the Eastern Cape, southern Cape and North East regions. The north east regions incorporated Limpopo, Mpumalanga and KwaZulu Natal provinces.

Process and Interventions

Workshops were held in the regions that were attended by about 290 people, of which 59% were women and 41% were men. Individual interviews were also conducted based on a pre-defined series of questions. A total of 215 people were interviewed in the regions.

Key Findings

In those areas with established PFM Forums, the level of awareness of DWAF, including its relationship with the communities, was found to be reasonably high. This can be attributed to the fact that these PFM Forums were recently established. In the areas where there are no PFM Forums and DWAF does not have a formal relationship with communities, the awareness of DWAF was also high. This is attributed to the presence of the Working for Water Programme (WfW) in these areas.

However, most of the people who participated in the study did not know how DWAF handles contact issues ranging from communication to submission of proposals. This could be explained by the fact that very few of the established PFM Forums have consistently and continuously interacted with DWAF for a long time. Even in the areas where DWAF has interacted with communities, the discussions have not yet reached the point where PFM related issues involving forest management and budgets have been discussed.

There were high expectations that the PFM approach would not only enable communities to participate fully and effectively in the management of local indigenous state forests, but would also result in job creation, education and capacity building of the intended beneficiaries, and increased access to forest resources.

These findings are consistent with quantitative findings that show people would like the following management options implemented:

- DWAF allows local people to participate in decision-making - 22.18%
- Authority and responsibility of forests are shared in a formal way - 20.9%
- DWAF controls forests but seek consensus - 19.53%
- Local people have full authority and responsibility of forests - 19.13%
- Forests remain under the control of DWAF - 18.28%

Key actions that DWAF needs to undertake in order to improve its relationship with communities include:

- Job creation;
- Education and capacity building of the beneficiary communities;
- Increased cooperation, information sharing and communication;
- Community representation on DWAF structures;
- Access to forests.

In the qualitative study, the four highest ranked actions that DWAF should introduce to improve working relationship with local communities in the eight research sites were, in order of priority:

- Allow local people decision-making status for forest management;
- Help initiate businesses and other employment opportunities;
- Permit people access to forests;
- Facilitate access to loans to initiate forest related businesses.

Fuelwood, medicinal plants and animal fodder appear to be the three key forest resources that the majority of the research participants rely on from the local indigenous state forests.

There were, however, serious contradictions in their perception of the increase and decrease of forest resources. While the majority of the research participants identified fuelwood as a forest resource that had increased in the last five years, fuelwood also appeared in the list of forest resources that had decreased in this time period.

Due to the high rate of unemployment in the areas surveyed, about 88% of the people interviewed would like to start their own businesses. The five main problems that were considered to be impediments in starting businesses were ranked, according to their importance, as follows:

- Lack of finance;
- Lack of skills;
- Restricted access to forests;
- No formal decision making powers;
- Conflict between communities.

In order to overcome these obstacles the respondents ranked the following skills as necessary to acquire and engage successfully in their envisaged businesses:

- Business and financial skills;
- Project management;
- Trade skills (technical);
- Tourism skills;
- Organisational management.

The types of businesses that respondents said they would like to engage in varied widely from one research site to another and included selling craft material, tourism, pubs and restaurants. Many of these businesses were not forest related.

1.4.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	A clear communications plan/policy needs to be developed and publicised regarding the different aspects of PFM including the submission of PFM proposals. Strategies to explore could include the production of pre-packaged radio programmes that could be aired at the local community radio stations.

2.	The introduction of the PFM approach appears to raise expectations of job creation and increased access to forests by community members. These expectations may not always be realistic especially for large numbers of individuals. Caution must be taken not to raise expectations during the initial stages of implementing PFM.
3.	The majority of community members tend to want to be involved, at least in the decision-making and, in some cases, have shared authority and responsibility for forest management. This shared approach is consistent with the PFM principles, which should make PFM projects relatively easy to implement.
4.	The needs of the community (ies) are often not the needs assumed by DWAF or other project implementers. This must be clarified at the very beginning of project planning. It may be that another organisation is better suited to deal with these needs. Pursuing the project by the inappropriate organisation will only lead to frustration by all stakeholders.
5.	While community members may aspire to start their own businesses, they are often not forestry-related. DWAF officials must then be in a position to guide individuals in contacting the appropriate government departments and/or NGO's.
6.	DWAF should undertake an in-depth market analysis study to determine the market demand and potential profitability of those forest-related businesses that were identified.
7.	DWAF should develop a social marketing and branding strategy directed not only at the communities it works with but also the broader South African public.
8.	DWAF should undertake an in-depth skills needs assessment of the forest beneficiaries who would like to start their own businesses before any decision is made on the design of training programmes to capacitate the forest beneficiaries.
9.	DWAF should educate the communities about current regulations, policies and laws that govern entry into indigenous state forests. Where possible, specific locally based forestry access regulations should be negotiated and designed jointly with the local PFM Forums.

10. It is clear that DWAF Foresters and Forest Guards have to have a range of skills to deal with the PFM approach and the needs of the communities they serve.

DWAF officials thus need substantial training in community development skills so that they can effectively carry out their job.



2. Land Restitution, Conflict and Participatory Forest Management

A feature of the participatory forestry approach in South Africa is that in many of the cases it is based on land claims and restitution. People were removed from protected forest areas in the past and are now claiming back the rights to be in these areas and to utilise the resources. This often creates a conflict situation where conservation and utilisation are presented as opposing forces. Through PFM structures it is possible to bring these opposing viewpoints together and to develop sustainable utilisation systems within conservation areas. The case studies in this section highlight the conflict associated with land claims and illustrate how solutions can be found through participation.

2.1 Indigenous State Forests under Land Claims: Challenges

DWAF report (2002)
By IUCN-SA and ART-SA

2.1.1 Introduction

In many rural areas people have been denied access to natural forest resources in the past. Conflict over the ownership of natural resources has become one of the biggest drivers in the PFM process. A balance needs to be found between conservation and sustainable utilisation of these resources. This case study gives a general overview of the issues related to land claims on natural forests.

2.1.2 Case Summary

The purpose of this particular report is to develop critical information material about challenges concerning indigenous state forests under land claims, based on three real situations, namely, Nqondeni, Ntendeka (KwaZulu-Natal) and Makuleke (Mpumalanga). This information will be used by DWAF when developing co-management models between themselves and the communities who were forcibly evicted from indigenous forestry areas and have now lodged land claims in those forests.

Background

Indigenous forests cover less than 1% of South Africa and over a third of them are in the hands of private and communal owners. Indigenous forests have high biodiversity significance and many have endemic fauna and flora species. Moreover, they play a role in socio-economic and culture activities of local people. It is estimated that one-third of households in South Africa rely on fuelwood and harvest about 11 million tons of wood per year of which 6.6 million tons is harvested from natural woodlands.

It is estimated that 60 % of the State Forest land managed by DWAF is subject to land claims. With the land restitution process now well under way, DWAF has an obligation to explore ways in which land claimants, if successful in their claims, can be actively involved in the sustainable management of its forests. Problems currently facing DWAF with regards to its indigenous forests are:

- The movement of people onto state forest land, as has happened in Dukuduku and Port St. Johns. In such circumstances, DWAF needs to be able to work with the community through its representatives and structures, to negotiate options such as moving to alternative dwelling land, or finding other means of benefiting from the forest resources.
- The absence of concrete examples, where these land-based forest-use issues have been combined into a comprehensive co-management framework that can form the basis of either a legal agreement between DWAF and a community institution for practical benefit-sharing, or an effective community-based natural resource management system.

Field Trip Reports of Each of the Three Areas:

1. Nqondeni Community Field Trip Report

Nqondeni Community

The Nqondeni community has lodged a land claim in one of the protected areas nearby. This land claim has been validated and the community representatives have already signed a land restitution agreement. An interim committee has been selected and it represents the community during workshops with the Land Claims Department. The aim of this particular workshop was to introduce the community to a Communal Property Association (CPA) concept.

Non-occupancy clause

Through previous workshops, the committee was thoroughly informed about the non-occupancy clause contained in the agreements they have to sign before being given the title deed. In this particular workshop a community member, though not a member of the committee was present to obtain clarity on the non-occupancy clause. He hinted that if community members were not allowed to occupy the protected area, then they would have to receive compensation.

Compensation

The Land Claims Department discouraged the compensation motion on various grounds. This included highlighting the fact that 87% of land currently rests in the hands of the white community. Hence compensation does not redress the skewed ratio. Secondly, the committee was reminded that money will be exhausted but a title deed lasts not only for a lifetime but can be passed on to the following generations too.

Co-management

The committee was informed that once they have gained title deed to the protected land they, specifically the CPA, would be in position to make co-management decisions with regard to the running of the land. Benefits accrued from the protected area would be shared with the community under the management of the CPA. The CPA would draw up a business plan concerning the proper management and utilisation of the monetary benefits. The CPA would be the only structure that the Land Claims recognises and which will receive title deed.

2. Ntendeka Community Field Trip Report

The Ntendeka Community

In 1966 the Community was moved from the land, in 1994 a land claim was lodged in the area and in 1997 the community moved back into the forest reserve (Ngome State Forest) where they first lived in tents and then started building permanent structures in the reserve.

In 1998 DWAF negotiated with the community to move to land that DWAF had bought from a private landowner. During this time, negotiations with regards to co-management of the forest were also taking place and DWAF hired consultants to train community members with regards to constitutions, trusts etc. After completion of the training, certificates were promised but were never received.

A Ntendeka Community Trust was then formed and a Land Restitution agreement with the Minister of Land Affairs signed.

At present, the community feels that DWAF is not keeping their side of the bargain since they have not heard from DWAF. They say that they regret their decision to co-operate with DWAF by moving from the reserve.

3. Makuleke Field Trip Report

Makuleke and South African National Park

The land claim that was lodged in the areas of the Kruger National Park after the community were forcibly removed and dispossessed of the land right in 1969 to extend the boundaries of the Kruger National Park, was validated by DLA. A CPA, consisting of community members and their descendents (consisting of more than 5 000 individuals) who were evicted from the Pafuri region, has signed a clear contract with South African National Parks (SANParks).

Below are some of the terms of reference in this contract between the Makuleke CPA and the SANParks, best known as the Joint Management Agreement:

- SANParks and Makuleke CPA shall establish a Joint Management Board (JMB) that will manage the Makuleke region and day-to-day responsibilities.
- The Makuleke CPA has ownership of the land at all times.
- The community has utilisation rights of the land.
- The community has access to the park and can collect resources in the park such as wood, grass, plants, seed etc according to levels determined by the Joint Management Board (JMB).
- The JMB is expected to facilitate skill transfer to members of the community.
- The CPA has the right to determine which commercial activities may take place.

Capacity building

SANParks is currently carrying out all the management responsibilities as a result of lack of capacity and finance by the community.

Although the contract states that the JMB shall annually review progress made in skills transfer during the previous year as well as identify opportunities of new areas of capacity building, the contract is silent in expressing exactly how this will be done and the time-frame in which it should take place. Members of the community believe that within five years, they would have been capacitated enough to take on management responsibilities.

Trust between parties

Given that the community was forcibly removed from their land, the relation between the community and the SANParks is inevitably somewhat strained. However, this is slowly improving as a result of continuous communication, cooperation and assistance that SANParks has been extending to the community. However, SANParks has viewed the community as "opportunistic" at times as they tend to have high expectations regarding such issues as transport to meetings, food, accommodation etc.

Institutional arrangement

The CPA comprises traditional and civic leadership - the traditional leader is the chairperson of the CPA Executive Committee, which was elected by the community. Some executive members of the CPA represent the community at the JMB and are accountable to them. They are expected to report back to the entire community especially around matters relating to decision-making, as stipulated by the CPA act.

2.1.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	Given that about 60% of DWAF's indigenous forest are under claim, it is fundamental that a comprehensive co-management framework be designed that can form the basis of either a legal agreement between DWAF and a community institution for benefit sharing, or an effective community based natural resource management system.

2.	<p>Before engaging with DWAF on negotiations regarding collaborative management of indigenous forests, the claimant community needs to be made aware of their legal rights as title deed owners in accordance with the Land Restitution Act. Furthermore, rights are accompanied with certain responsibilities as well as opportunities, which should also be effectively communicated to the community.</p>
3.	<p>Although staff members in DWAF undergo training on new policy and legislation including PFM approach and principles, this information does not always trickle down to the officers who engage with the communities on the ground.</p> <p>It is therefore recommended that a communication strategy be designed to capacitate all DWAF staff members that will be implementing PFM approaches with the communities. Communication should not only be horizontal but it should extend vertically through different directorates within DWAF.</p>
4.	<p>It is imperative that a PFM toolkit be drafted with practical implementation guidelines, which is to be used by DWAF's field workers who engage with communities that derive their livelihoods from DWAF's indigenous forests, especially those who have valid claims on the forests.</p>
5.	<p>It is feared that claimant communities do not have enough capacity to effectively develop and implement sustainable forest-use projects and forest management programs. To overcome this concern, it is recommended that priority be given to capacitating selected members of the claimant community as a long-term objective, with adequate resources being set aside for this.</p>
6.	<p>In areas where the claimant community is far bigger than the size of the land under claim, in relation to expected profits from the land, a strategy of meeting the needs of the community should be developed.</p>
7.	<p>There is a need to develop an inventory on forest related activities that are currently being carried out within the land claim area, and the sustainability thereof.</p>

2.2 Land Use Rights and Conservation Status: Establishing a Legal Entity for Representing the Community

Report for GTZ Transform (2003)
By Dawie Bosch

2.2.1 Introduction

Within a partnership there is a need for the appropriate legal entity to represent the interests of the community partners. This case study investigates the different legal and management options available to a community.

2.2.2 Case Summary

Project Area

The area in question is the 'triangle' immediately inland of the confluence of the Nqabarha and Nqabarhana rivers, including the Nqabarha-Nqabarhana estuary, and a corresponding area on the east side of the Nqabarha river that includes the isolated portion of Dwesa Nature Reserve.

The area contains a number of pocket forests of differing sizes. These forests vary in species richness and conservation status. They are heavily utilised for a range of products

The land is owned by the state, under the jurisdiction of the Departments of Land Affairs (DLA) and Public Works (DPW) and managed partly by DWAF. On the west side of the Nqabarha River there is currently no infrastructure. The land on the east side of the Nqabarha, part of Dwesa Forest Reserve, contains a number of hiking trail huts and bathhouses erected by cottage owners.

The Project

The PFM committee of the Nqabarha Administrative Area is concerned about the over-utilization of community forests, mainly by outsiders. They have started exploring ways to offer greater protection to those forests.

At the same time communities around Dwesa have started exploring ideas around a community Nature Reserve, on the east side of the Nqabarha River. The conservancy programme would entail implementing special measures to protect indigenous pocket forests and establishing a community conservation area.

The community felt, however, that they needed considerable financial and advisory assistance to implement this initiative. The community members also need expertise regarding nature conservation and management.

The envisaged project requires co-operation from DWAF and the Department of Environmental Affairs (DEAT), because these departments manage the forests and the coasts. In addition, the community is not aware of the legal implications of the envisaged change of land use concerning the forests and the communal land, which are to constitute the future conservancy. However, since the start of this project, the Nqabarha Community Trust has been established and registered as part of the European Community project in the area.

The proposed community conservancy would consist of three zones covering between 1 250 to 1 600 ha:

- *A tourism zone*, consisting of i) the forest patches (Sihlonthweni/Sibuqu) closest to the estuary on the west side of the Nqabarha, ii) the estuary itself, and iii) the Nqabarha and Nqabarhana riverine ecosystems, up to 3 km inland from the estuary. The total area of this zone (excluding the riverine component) is estimated at 200 - 300 ha.
- *A controlled utilization zone*, consisting of Mkulu, Ntlopa and Mqotwana forest patches and surrounding grasslands and woodlands, and a corresponding area on the east side of the Nqabarha to be identified. Total estimated area 600 - 800 ha.
- *A sustainable use zone*, consisting of select forest patches in the Nqabarha and Nqabarha gorges, still to be identified by the community. Total estimated area 450 - 500 ha.

These zones would not be fenced, but boundaries need to be indicated with concrete beacons and signage used to inform visitors of the status and boundaries of conservancy areas. Trained community forest guards would regulate utilization and access, and the various government departments would play a strong supporting role.

Project Outputs

- To determine the necessary steps with DLA and DWAF in order to clarify with the government departments the best way to obtain the use rights for the conservancy.
- To advise on the most appropriate way to achieve a conservation status.
- To advise on the legal community structure, that would hold and manage the land.

2.2.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	<p>Options for obtaining the use rights necessary to establish a conservancy:</p> <p>From the documentation the following categories of uses currently exist :</p> <ul style="list-style-type: none"> • Land is occupied or used by the community. • Some land falls under jurisdiction of DWAF, some of which is also used by the community and others. • A few cottage owners have cottages, hiking trail huts and boathouses on sites next to the coast just north of the Nqabarha River mouth outside the proposed area of the Nqabarha conservancy. <p>Bearing in mind these different uses, the following options exist regarding obtaining use rights of this land:</p> <p><i>Lease</i></p> <p>The Minister of Water Affairs and Forestry can lease a state forest or part of it to any person in terms of section 27 of the National Forests Act (NFA) (1998). The permission of the Minister of Land Affairs must be obtained for such a lease.</p>

Lessons and Recommendations

Community Forestry Agreement (CFA)

A CFA is more complicated and does not achieve more than a lease, since a lease could be made subject to conditions containing the same community protections available in a CFA.

Delegation

While delegation of management powers is a possibility, the option of a lease is better since a delegation can always be withdrawn.

Considering the above, it is recommended that a lease by DWAF, with the consent of the Minister of Land Affairs, be pursued regarding the forest patches.

If it is decided to request DWAF to declare the conservancy land outside the forest patches as state forest and DLA agrees to this, one such lease covering all the conservancy land could be issued by DWAF.

2. Options for achieving conservation status:

DWAF legislation

A flexible and appropriate option appears to be the mechanisms available under the NFA. However, the NFA can only be applied to land falling within the ambit of that Act - presently only the forestry patches.

One solution that may be explored is to declare the remaining parts of the conservancy land a state forest in terms of the NFA. However, DLA may not support this option and, secondly, even if it is agreed to, it is likely to take long for this to be implemented by DWAF.

Provincial legislation

The Transkei Environmental Conservation Decree 9 (1992) provides a mechanism for establishing conservation status, but does not provide an appropriate mechanism for ensuring that the community itself can manage and exercise power while allowing for limitations upon use and development.

Cape Nature Conservation Ordinance 19 (1974) exists but is not applicable in the former Transkei area.

The draft provincial Protected Areas Bill is relevant, but does not provide for community conservancies and an appropriate legal and management framework in this regard. Inputs could be made to have this Bill amended, but it is not clear if this will be acceptable to provincial Department or how long it will take to amend and implement the Bill.

National legislation

The Environment Conservation Act of 1989 does not seem a good option as it does not contain explicit provisions facilitating communities to conserve and manage their own land.

As with the provincial Protected Areas Bill, the draft National Protected Areas Bill lacks the provision of community conservation and management of the environment, although it may be possible for these defects to be corrected in the last phase of the Parliamentary process.

Conservation conditions in lease agreement

Lastly, there is the option of using the lease agreement to include conditions that will protect the conservation status of the area, including provisions regarding the drafting of a management plan that sets out all the conditions.

In assessing the various options for achieving conservation status the key element is: What are the reasons for achieving such status?

From the documents provided and interviews conducted, the following reasons for achieving conservation status emerge:

- To limit uses (including over-utilization of community forests, mainly by outsiders) and development in the area in order to conserve the natural resources, while allowing for sustainable use.
- To provide the legal backing necessary for community guards and the management authority of the area to enforce rules and regulations aimed at conserving and managing the area.
- To facilitate a role for a state conservation body to ensure that the environment is appropriately protected, and to intervene appropriately where there are disputes in the community-linked management authority which may compromise the management of the area.
- To obtain the kind of status that will encourage funders interested in supporting conservation-related development to provide funding for infrastructure and management of the area.

The most appropriate type of conservation status will allow effective control by the community, with input from any private investor in the area, as well as a form of external monitoring to ensure maintenance of environmental conservation standards.

It is thus recommended that the option of a lease agreement, which includes conditions for conservation, be chosen as it can be implemented at the same time as the granting of the lease for the land, and will not delay the establishment of the conservancy unduly.

3. Options regarding forming a legal entity to represent the community to hold the land rights:

Trust

A trust must be registered by the Master of the High Court for the province concerned, in terms of the Trust Property Control Act (1988). This Act does not set parameters on community participation, fairness, etc. However a trust deed itself can contain all the necessary provisions to govern land holding and setting conditions of use and decision-making by the community. Also, a trust is entitled to run a business.

Communal Property Association (CPA)

A CPA, registered in terms of the Communal Property Associations Act (1996), is a type of legal entity well suited to community land-holding. A CPA may be registered where the association has as its main object the holding of property in common. Holding of land through a lease qualifies as such land holding. However, a CPA is not entitled to run a business.

Company

A Company may not be the best type of legal entity for holding the land rights of the area to be conserved, due to the complexity of the law of companies. On the other hand, it could be argued that the high levels of good governance and transparency required in the case of a company could make this a suitable type of entity, also it may be able to enter into partnerships and deals with the private sector on a more equal footing.

Considering the above, it is thus recommended that a trust is an adequate legal entity to represent the community's collective interests in holding land rights. The trust that has already been formed (The Ngqabarha Community Trust) is thus appropriate in this regard. The existing trust deed deals with most of the key issues that should be address.

The few areas of concern, which should be workshopped with the trustees and the community, could be corrected by way of an amendment to the trust deed. The process of adopting the trust requires a further and more detailed process to be followed within the whole community. The possibility of forming another entity to run the management of the conservancy (such as a company or another trust) can be considered during this process.

2.3 Dukuduku PFM Project, Kwazulu-Natal

DWAF report (2001)
By Juana Horn

2.3.1 Introduction

The Dukuduku PFM process is probably one of the best known in South Africa. Illegal settlements in a high conservation value forest has led to intense conflict and presented a steep learning curve to DWAF. This case study summarises the process and the lessons learnt.

2.3.2 Case Summary

Dukuduku

Dukuduku State Forest is a Coastal Lowland Forest of approximately 6 000 hectares that plays an important role in the larger biosystem of the Greater St. Lucia Wetlands Park. It constitutes 40% of Coastal Lowland Forest in South Africa. It is situated on the northern banks of the Umfolozi River, between Mtubatuba town and St. Lucia village on the St. Lucia estuary mouth. Dukuduku is a rare forest biome, containing a wealth of indigenous flora and fauna, including several Red Data Book species, and numerous plants traditionally used for medicinal purposes.

Dukuduku State Forest is divided into three sections by tarred roads: a western, eastern and northern section. Forest dwellers inhabiting the northern section have already been resettled at Khula Village on the northern side of the forest adjoining sugar cane farms.

DWAF has purchased alternative land for resettlement of the communities in the southern section, who are currently still occupying the forest. Of this group, some are seen to have a legitimate land claim to forestland, whilst others have not registered land claims but have inhabited the forest for several years.

It is alleged by DWAF and other departments/bodies working on the Dukuduku project that many of the people in the forest have entered it illegally, including illegal immigrants and people using the forest as a cover for criminal activities. The situation is further complicated by local level politics, including tension between different traditional authorities and between traditional authorities and elected local government structures.

Project Background

The history of DWAF's engagement with people inhabiting the Dukuduku State Forest is complicated and conflict-ridden. A host of role players are involved in Dukuduku.

They include various groupings inhabiting the forest, DWAF officials from local, regional and Head Office levels, local government structures, traditional and tribal structures, party political leaders, other conservation bodies such as the KwaZulu-Natal Nature Conservation Services and the Wildlife and Environment Society of South Africa (WESA), and role players and stakeholders involved in the Lubombo Spatial Development Initiative.

Since Dukuduku forms part of the Greater St. Lucia Wetlands Park, which has just been declared a World Heritage Site (WHS), huge economic and political forces are at play in this area. The area stands to generate substantial tourist-based income that could benefit local development initiatives, and will certainly boost the national economy. It has an important role to play in inter-regional economic development initiatives.

Some of the difficulties at Dukuduku need to be understood in terms of the peculiar political context of KwaZulu-Natal, which has seen decades of conflict and violence between supporters of the two major political players, the ANC and the IFP.

Process and Interventions

It is estimated that several thousand people currently inhabit the forest. Attempts have been made to evict them, but the courts have overturned eviction orders and the numbers of forest dwellers have rapidly swelled. Areas of forest degradation are clearly visible.

In 1998 the Minister of Water Affairs and Forestry and leaders of the Dukuduku Community signed the Dukuduku Declaration.

It contained a set of guiding principles, a procedure for resolution and points regarding the future of the forest. DWAF undertook to find alternative land for the forest communities and to meet these communities' needs.

DWAF, working in conjunction with other state organs like the Department of Land Affairs (DLA), purchased two sugar cane farms adjacent to the forest. A Dukuduku Implementing Committee comprising all main role players was formed. A Dukuduku Resettlement Plan was commissioned by DWAF and completed by Acer (Africa) Environmental Management Consultants in October 1999. A project manager for the resettlement phase was appointed. It was agreed that the DWAF would appoint a farm manager and that benefits from sugar cane yields would revert to the state until title for the farms is transferred to the community. Once ownership has been transferred, all income from the farms will accrue to the community.

In spite of the completion of the major tasks required to enable the resettlement process, the project has, until recently, remained fraught with problems, conflict and setbacks. Several attempts to register households for the moves to the sugar cane farms were unsuccessful and DWAF officials have been working with the support and backup of the South African Police Service and the South African National Defence Force.

2.3.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	One perception is that the issues-based cooperative governance approach implemented through the multi-stakeholders' Development Implementation Committee, has forged solidarity between political parties and ensured shared responsibility for the project.
2.	The opposing view has also been expressed: that political differences as well as differences regarding priorities of conservation versus local economic development within DWAF has led to a poor working relationship amongst staff.
3.	The approach adopted was not sufficiently needs based.
4.	It is difficult to impose time frames whilst adopting an inclusive approach - the process should be allowed to unfold rather than deadlines imposed.
5.	Dukuduku's status as a rare, ecologically critical and endangered forest has concentrated huge state and organisational resources intended to expedite a sustainable solution. It has provided an opportunity for the implementation of far-reaching and long-term plans. This opportunity should not be squandered.
6.	Local DWAF officials made several creative and apparently feasible suggestions for a way forward at Dukuduku. The contributions of people working on the ground with communities needs to be given recognition. Opportunities for the generation and capture of ideas need to be created and institutionalised.



7.	DWAF, in conjunction with communities, needs to define issues of representation from the outset. Many NGOs and government departments such as DLA and the Commission on the Restitution of Land Rights do this through the holding of mass meetings at which the community defines criteria for representivity and the majority elects community representatives. Caution must be exercised to ensure that engagement does not occur solely with vested or elitist interests within communities.
8.	Local traditional processes and structures need to be known, understood, and respected.
9.	It is deemed essential that PFM operates within an explicit and clear legal and policy framework, properly understood, and accepted by implementers and by communities.
10.	DWAF officials and local people at Dukuduku (and elsewhere) expressed the need for additional forest guards and more fencing. While forest guards and fencing may be necessary, it might be hard for DWAF to play a dual facilitative and policing role. DWAF needs to make choices about these kinds of issues and clarify them at policy and programme level.
11.	There was found to be a need for the recruiting of female forest guards as well as the greater recognition of women as primary resource users by DWAF.

2.4 Dukuduku - The Forest of Our Discontent

An AFRA special report (2003)

2.4.1 Introduction

This case study elaborates on the previous Dukuduku case study and focuses attention on the conflict between conservation and resource utilisation. It also questions the processes that were followed in the Dukuduku case.

2.4.2 Case Summary

The state's interest in the Dukuduku forest began to consolidate after the so-called 1988 "invasions" when it declared the need to conserve the area. Since dominant conservation models at the time required the maintenance of pristine conditions through the exclusion of people, the state deemed it necessary to conserve Dukuduku by removing the "illegal squatters".

These conservation moves were to become linked to the Greater St Lucia Wetland Park, the declaration of the park as a World Heritage Site (WHS) and the economic plan to rejuvenate the area through the Spatial Development Initiative, which was based on the expansion of tourism.

This amalgamation of state interests has obscured the key issues and questions in Dukuduku. The WHS status creates potential to develop the area as an international ecotourism destination. To conserve the forest, people living in it had to move out. Since they were "squatters" living there illegally, the state could do this. To ensure that the move did not cause undue hardship, the state would provide alternative accommodation in the form of a settlement village and an economic plan that would result in jobs and livelihood opportunities from tourism.

This report has attempted to "complicate" this neatness by presenting the ambiguities and contradictions in the state's actions, by giving a platform to voices not often heard and records and maps not referred to.

The picture that emerges from these is very different from the dominant one. Africans occupied the forest and the greater area where the forest once grew long before the British and apartheid governments annexed the land, created new property systems, and removed people to clear the forest for commercial agriculture and timber, mines, towns, military bases and entertainment venues. The previous two centuries were a systemic process of forced dispossession and relocation combined with massive state-sponsored destruction of the forest and lake system. Removed people lost their livelihood bases and systems and were thrown into extreme poverty that remains today.

Post 1994 promises to restore the dignity and equity in the area have delivered little to date. The state has disregarded its own land laws and policy frameworks by negotiating and consulting with untested and traditional leaders rather than the individual occupiers who hold the legal rights. The Commission on the Restitution of Land Rights has burdened and harassed legitimate restitution claimants, failed to follow its own established procedures and dismissed the claim with so little consideration that the judge was prompted to question the commissioner's motives.

When questions are asked about whom in the state should be doing what, clarity slips into chaos. It seems that it isn't clear which departments own which pieces of land in the Dukuduku area, or have authority over it, or what the impact of decisions like the establishment of an authority for the Greater St Lucia Wetland Park means for departmental and local government authority. It's possible that the Minister of Water Affairs and Forestry has acted outside of this legal mandate by releasing some of the forestland for the new settlement. The Dukuduku case exemplifies a state with competing interests acting frequently outside of its own parameters and, possibly, laws.

The questions of conservation further confirm this. Land in the indigenous forest area is released for settlement. The settlement is a fairly large-scale township, which is likely to result in the destruction of a narrow corridor of indigenous forest linking the Mfutululu Lake and the St Lucia Estuary. Khula village, the first authorised settlement, is closer to the lake system than where people live now and yet DWAF claims that the current occupiers will pollute the lake system. There is no mention of pollution from Khula or from the proposed township. That the forests are diminishing is of concern both because the forest is unique and because it supports the livelihoods of the people who live in it. Settlements won't resolve this fact.

The basis of eco-tourism in the area is the WHS status. International policy around WHS applications requires that people dependent on such areas be consulted. The South African government has even passed its own legislation to ensure consultation, participation, redistribution or benefits and opportunities. Despite this, people living in the Dukuduku forest have been poorly consulted about their relocation to the settlement or about the WHS application or about eco-tourism as a catalyst for economic growth in the area. DWAF claims they have been consulted about relocation and yet DWAF has explicitly instructed the developer planning the settlement to work only with the "elected" trust, which is led by a traditional leader.

Regardless of what has been said about the 1988 "invasion" of the forest, the reality is that people's access to land in the area has been severely eroded by the very state that wants them to move once more. They may indeed occupy the last remaining piece of natural coastal forest but this same piece of land is also the last remaining piece of their original land. If they move from this, they have nothing of the land that was historically theirs. The apartheid state charged the costs of establishing white commercial agriculture to the indigenous owners of the land. Now the post-apartheid state is charging the costs of conserving the little forest left to the same group of people. This, if nothing else, is surely sufficient reason to weigh up the public-good issues involved.

2.4.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	<p>Part of the negotiations and decisions must include options for continued community involvement in the forest. This involvement could mean continued occupation with or without ownership of the forest or ownership with or without occupation. Either option would require the state to support people to conserve the forest, which it is in their interests to do.</p> <p>This would be in line with current international thinking on how to conserve important natural resources. It would also meet political needs for change in land ownership along with an important redistribution of productive resources, which would significantly shift power relations.</p>
2.	<p>Conservation measures to preserve the forest will have to be negotiated with the owners/occupiers and adapted to support their livelihood strategies. Such measures may also have to include eradication of the commercial plantations adjacent to the forest and their restoration to indigenous trees and other flora and fauna, as is already happening in parts of the WHS.</p>
3.	<p>However, the state may, after extensive consultation with the people affected (and not untested leaders), conclude that conservation of the forest is the primary public good and can only be achieved through removal of people living there. If so, then it must provide a base for very concrete alternative livelihood resource strategies.</p> <p>Models like Khula village do not work. They remove people from the resources they need to survive and impose financial burdens that they are unable to meet. Any proposal must be based on in-depth understanding of how people survive now and include measures to support and adapt these strategies.</p>

2.5 Ntendeka PFM Project, Kwazulu-Natal

DWAF report (2001)

By Juana Horn

2.5.1 Introduction

In the case of the Ntendeka Wilderness Area, DWAF had to deal with a legal land claim for forest land. Due to the opposition by DWAF to the claim, restitution became a long and painful process. The case study illustrates this process and highlights the fact that participatory management became a solution to an otherwise hopeless situation where the needs of the community were not supported.

2.5.2 Case Summary

Ntendeka Wilderness Area

The Ntendeka Wilderness Area (NWA) lays 70km east of Vryheid in Northern KwaZulu-Natal. It covers 5 230 ha, approximately half of which is grassland, the rest being Ngome indigenous forest. The area is bordered in the east by Sapekoe Tea Estate and the Dlabé area, which is owned by the Buthelezi Trust and which the Ntendeka community are buying from the Trust with DWAF's assistance.

The Ntendeka Community who forms part of the Buthelezi clan, and includes members of the Khumalo clan, has lodged a restitution claim for forestland in Ntendeka.

Project Background

The present situation and PFM project at NWA reflect the unfolding of a historical process. Since the project cannot be separated from this process, a summary of the recent history is presented below:

- In 1994, the 88 families who were removed from NWA in 1966 lodged land claims for NWA with the Commission on the Restitution of Land Rights. A meeting between DWAF and community representatives were held. Forestry officials advised the community that since Ntendeka was a wilderness area, it was unlikely that the claimants were going to be able to return to it. For the next couple of years DWAF opposed the land claim on the grounds that the claimants were not removed on the basis of racially discriminatory laws or practices.
- An NGO was then hired to represent the claimants, and apparently had the mandate to see the land claim through to resolution. However, this NGO was defined by the DWAF as operating in bad faith and with a hidden political agenda. The Ntendeka community themselves also chose to terminate their relationship with this NGO.
- In 1995 it was decided that the claiming families would be accommodated in tents for one month until alternative permanent arrangements were made for them. A task force comprising representatives of, amongst others, DWAF, DLA and SAFCOL, was formed to investigate options for and drive the (temporary) resettlement process.
- In February 1996, four months later, the community wrote a letter to DWAF highlighting the hardship they were suffering in the temporary accommodation and the lack of basic services.
- So conflict again arose between DWAF and other government departments, and local communities.
- A further complicating factor was the looming possibility of tribal clashes between those people seeking restoration and others already living around Ntendeka. Fourteen months after having been promised by government that suitable permanent arrangements would be made for their resettlement it was reported that the NWA had been invaded. It was then proposed by DWAF that the community should be temporarily settled on land found for them by the Department and that suitable land be purchased for the community south of the Wilderness Area. This was to be done on condition that the claims for restitution be withdrawn and replaced by a land need registration. It was also stated that the Ntendeka Community would retain the right to visit the Wilderness Area as long as each individual or group had some form of identification card.

- There followed a period of investigation and negotiations around the purchase of alternative land for the community who, after changing their mind once, requested that the Pelepele farm be bought whilst "negotiations about Ntendeka area proceed". Community members joined sub-committees to participate in the development of an infrastructural plan incorporating the community's land use vision.
- Conflict flared up again later in 1997 at which time the Ntendeka Community advised DWAF that it would neither leave Ntendeka nor would it seek land elsewhere. It wished to settle in another area in Ntendeka and be fenced off. Towards the end of 1997, the community began to erect permanent residential structures in NWA. When the community refused to move, arrangements were made to demolish their houses. Support was obtained from the South African Police Service and in early 1998 the building material used for the houses removed by helicopter.
- During 1998 DWAF began to pursue the idea of PFM projects and agreements with the Ntendeka community.

Process and Interventions

DWAF commissioned the Institute for Natural Resources (INR) to develop a utilization and development plan for NWA. It seemed that this was a turning point in the DWAF/Ntendeka process. The INR report made numerous apparently feasible, and exciting proposals regarding land use options and PFM initiatives in NWA, and specified the importance of choosing options that provide the community with tangible short-term benefits and long-term economic upliftment. Also, the status of Ntendeka as a wilderness area is being challenged by DWAF who now seeks parliamentary ratification for its re-proclamation as a Category III Area (Natural Monuments and Areas of Cultural Significance). This classification requires a lower level of protection than NWA's previous classification as a Category I area.

2.5.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	Loopholes in statutory obligations can be found if there is sufficient need or will to do so. The present attempt to de-proclaim Ntendeka as a wilderness area in order to accommodate other concerns illustrates that legislation is not the limit to which the PFM framework can stretch, and that previously used legal rationales can be overturned.
2.	It can be futile to attempt to dissuade communities from pursuing their own objectives, or to expect them to alter their agenda to incorporate that of an outside agency. Wherever possible, attempts should be made to seek creative solutions where the outcome would satisfy local needs.
3.	The possibility was explored with DWAF officials that the Ntendeka community gain residential rights either within the forest itself, or in the "fingers" of the forest and that the low-lying land surrounding the forest is designated as commonage. It might be useful to explore this option further since there appears to be no convincing argument that such a solution would inherently compromise conservation goals.

2.6 Guidelines for Participatory Forest Management in Ntendeka Wilderness Area

Investigational Report No. 230 (2001)
By: Institute for Natural Resources

2.6.1 Introduction

The previous case study on Ntendeka highlighted the conflict and destruction associated with the opposition of community needs by government. This study focuses on the way forward once both parties have agreed to a participatory process. It shows that it is possible for communities to function within a protected area.

2.6.2 Case Summary

The Study

This study was commissioned by DWAF to explore the opportunities for participatory forest management, between DWAF and local stakeholders surrounding Ntendeka Wilderness Area (NWA). This report integrates the findings of an assessment of the environmental characteristics and conservation significance of the natural resource base of NWA, and the resource use needs and desires expressed by three neighbouring communities.

Key issues arising from the assessment of the environmental characteristics and conservation significance of the natural resource base in NWA included:

- The plateau grasslands are unquestionably of national conservation significance and no grazing of livestock should be permitted in these areas.
- Grazing of livestock should be restricted to the low altitude secondary grassland spurs, during the winter months.

- Only dead wood with a diameter less than 30 cm should be collected for firewood. However opportunities for the collection of dead wood from neighbouring plantations should be negotiated in order to minimize or reduce pressure on the use of the Ntendeka forest for firewood.
- A biennial burning policy for the low altitude grassland, with burning after the first spring rains, is advocated.
- Harvesting of medicinal plants should be limited to those species that are known to be able to sustain harvesting pressures and must exclude the vulnerable and endangered species that are known to occur in NWA.
- Thatch can be harvested from the secondary grassland at lower altitude during mid-winter.
- The harvesting of mature trees for building materials must be carefully regulated to ensure that this practice does not lead to the decline of mature tree populations.
- The harvesting of fruits from trees is a relatively low impact activity but should be monitored.
- The harvesting of roots and bulbs for food should be carefully monitored due to the negative effect this has on the plants.
- Hunting of wildlife should only be permitted if population estimations for wildlife populations in NWA show that hunting would be sustainable, and must exclude the rare blue duiker and samango monkey.
- There is a need for special protection of a range of endangered and vulnerable species occurring in NWA (e.g. this area is a breeding ground for the endangered blue swallow).

Process and Interventions

Workshops were held with three communities neighbouring on the NWA whom DWAF recognise as stakeholders and with whom they would like to engage in participatory management of NWA. Key issues related to community needs and desires raised during community workshops included:

- The need for access to key resources such as medicinal plants, firewood, fruits and foods, craft and building resources.
- Recognition by the communities of the threats of unsustainable levels of harvesting and the need to protect the resources within NWA.
- A desire to take part in the protection of the resources within NWA, through for example, the exclusion of outsiders and practices of sustainable harvesting techniques.
- The communities also demonstrated extensive knowledge and understanding of local plant species and issues affecting sustainability of resource harvesting in NWA. This information and knowledge should be used as the basis for guidelines for a participatory management strategy for NWA. The key features of this strategy include:
 - The establishment of a sound institutional system that is representative and recognised as legitimate by all stakeholders.
 - Staffing of the institutional system with people that have the capacity and willingness to effectively carryout their responsibilities.
 - Adequate resourcing of the institution and staff to enable them to function effectively.

Needs with regard to the management system were seen as the following:

- Accurate estimates of resource utilisation quotas.
- The equitable allocation of sustainable quotas for resource utilisation.
- The implementation of a system (e.g. permits) that enables the regulation of harvesting.
- The implementation of a monitoring system that accurately monitors the impacts and effects of harvesting and use of resources in NWA.
- The establishment of an effective decision-making system for revising quotas and allocations based on information generated through monitoring.

2.6.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	Harvesting of slash or dead wood from neighbouring plantations as firewood for local communities should be negotiated in order to minimize or reduce pressure on the use of the NWA forest for firewood.
2.	The largely unknown risk of the impact of grazing on the species composition of grasslands, with so many threatened taxa at stake, should be taken into account.
3.	The importance of NWA for biodiversity conservation raises the issue of the interests of the local community being in conflict with national interest.
4.	Harvesting of medicinal plants should be limited to those species that are known to withstand harvesting pressures, and must exclude the vulnerable and endangered species that are known to occur in NWA.
5.	Special care must be taken to monitor the trends in the condition of populations, particularly high value medicinal plants that occur in NWA, so that initiatives for the special protection of these species can be initiated if necessary.
6.	Initiatives for the commercial propagation of medicinal plants in areas surrounding NWA, using NWA to source start-up materials if necessary, should be explored as an opportunity to reduce pressures on wild populations of important medicinal plant species and create local income generation opportunities.

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| 7. | A sound institutional system that is representative and recognised as legitimate by all stakeholders. A PFM Committee should comprise community representatives from Community Resource Management Committees and other stakeholder and specialist groups (e.g. DWAF, local authorities, forest management specialists). |
| 8. | The PFM system must furthermore be dynamic and regularly updated to reflect the changing social and environmental conditions. |

2.7 Forest and Fence

DWESA/CWEBE - DWAF/DFID Documentary Video: A Case Study of Forest Use and Management in South Africa (2001)

By Isla Grundy

2.7.1 Introduction

This case study describes the situation at the Dwesa/Cwebe Nature Reserve where local people were excluded from the forest resource in the past. It explains the process of land restitution and the establishment of a participatory system. It also shows that through the establishment of partnerships and good communication sustainable forest management can be promoted.

2.7.2 Case Summary

The Study

The documentary aims to highlight the importance of natural resources in the livelihoods of rural people in South Africa using a case study from the coastal forest areas of Dwesa/Cwebe in the Eastern Cape. The documentary emphasises the importance of understanding the way communities function, the history of resource use in the area, as well as the different ways in which people use forest products in their livelihood strategies. Participation by local people in management decision-making is key to the future sustainability of forest resources.

The video documentary shows people from two adjacent rural coastal areas of Dwesa and Cwebe (in the former homeland of Transkei) talking about the use and importance of the forest areas, which border their villages. In these remote and little-developed communities where agriculture is the main source of food and income, the forest provides a wide range of supplementary products that improve the villagers' standard of living. Fuelwood, poles and lathes for house and kraal construction, sticks for making traditional beer, wild foods such as small game, fruit and leafy vegetables, medicine, twine, spiritual benefits, grazing, and farming implements are but a few such products.

One village leader says that "all villagers, irrespective of wealth status, depend on the forest products and are unable to function properly without them".

There is a definite gender division of labour with regard to forest use in the two areas. Men hunt and cut materials to make houses, kraals, agricultural implements and slaughtering platforms. Women collect thatch and fuelwood, and wild foods such as fruit, mushrooms and vegetables. Children use sticks from the forest in their games, and to herd domestic animals, plus they gather fruit. There is also seasonality to the use of forest products. Most of the work done on house and kraal building or repairing is done in the dry season when people are freed from agricultural routines.

The Forest

The forest areas of Dwesa and Cwebe were proclaimed by the government as important biodiversity resources and designated a Forest Reserve as far back as 1890. Thus, access to vital forest products by the surrounding community was dependent on the political climate of the day, and has largely been coupled with conflict. Management of the forest areas was first the task of the government Forestry Department, and then, from 1976 onwards, of the Department of Nature Conservation who fenced and stocked it with wild animals to attract tourists to the area. Tourist hotels and chalets were built inside the reserve.

In the documentary, villagers talk about the hardships they experienced when first they were forcibly removed from their homes inside the reserve area, and how their access to the forest areas was gradually reduced over the years, until they were not allowed to enter the forest Reserve at all. Thus the issues of land rights and rights of access became intertwined.

In 1994 leading community members approached officials from Nature Conservation to request access to the reserve, so that neighbouring communities could visit their ancestral graves, could collect sea water, sand, shellfish, poles and saplings and could use some of the reserve land for emergency grazing. Their requests were denied, and in response the community decided on mass action to raise awareness of their plight at national level. Hundreds of local people, mainly women and children, invaded the reserve.

The mass action achieved its objective of dramatising the dependency of the local people, many of them poor and neglected by successive governments, on natural resources, and forced the authorities into action.

Soon afterwards, representatives of Nature Conservation initiated a process, which laid the foundations for co-operation between themselves and the local communities.

Land Restitution

The negotiations amongst local communities, government departments, local interest groups and outside researchers have been long and difficult, but each group has persevered. Each of the seven villages that lie within 12km of the forest perimeter formed a Common Property Association (CPA) to deal with the land restitution claim of villagers forcibly removed from inside the forest reserve.

In 2000, as a result of this claim, ownership of the land was transferred to a trust, the trustees of which are drawn from members of the seven villages. The trust will then, in turn, lease the forest reserve to a government department that will work with the community to manage the area. The long-term objective is for the communities to take increasing, and ultimately total, control of the management process over the coming decades. Joint management plans are to be developed and an important focus is to establish eco-tourism ventures in conjunction with the Eastern Cape Wild Coast Development Initiative.

Two committees report to the trust on conservation and development. Half the members of each committee are outside stakeholders and half are community members. In addition, the chairpersons of the CPAs sit on the Forest Management Board of Trustees. The head of each CPA is responsible for issuing the permits that allow villagers to harvest forest products in the reserve.

Issues of forest management by the wider community, and sustainable use of the forest resources, have been hampered by the long drawn-out land restitution process. The villagers believe their use of the forest resources is sustainable.

For all forest resources, both inside and outside the reserve, a permit system controls cutting of trees, but as yet no participatory vegetation surveys have been done to assess the long term impacts of harvesting. It has, however, been agreed that the forest reserve will remain intact, as a resource for the communities in the future.

Villagers who were interviewed tended to see the new community structures as positive, because they give those involved a channel through which to negotiate.

The whole process of community involvement has changed the relationship between the forest rangers and the villagers. Villagers describe how the lack of harmony between the authorities and the community in the past has been improved because of the on-going negotiation process.

Tangibles

As well as being able to harvest products from the forest, villagers see the reserve as a source of income, largely through employment, although it does not provide much paid employment at present. People are poor and would like to have more work. Many of the young and able-bodied have left these remote villages to seek jobs in the towns and cities.

Occasionally community members are offered piece-work in conservation activities, and a handful of people earn a living in the hotel and holiday cottages inside the reserve. Villagers are keen to see tourists come into their areas, because they are seen as a source of potential income. Very few people make crafts or items that can be sold to outsiders, and village leaders emphasised that materials harvested from the forest are not for commercial purposes, but are intended to improve the lives of the families, which live in the surrounding villages. The only users who are allowed access irrespective of where they come from, are traditional healers.

2.7.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	Past negative relationships can be improved through on-going negotiations and interactions.
2.	Land restitution issues can hamper the process of achieving sustainable use of forest resources.
3.	The participatory approach was proven to be a good approach thus far, to improve the prospects of conservation and of benefits to local communities.
4.	CPAs can be a useful and workable forum to engage with communities and to ensure equitable benefit sharing.
5.	Cooperation amongst different stakeholders can lead to positive outcomes and a win-win situation for all.

2.8 The Makuleke Region of the Kruger National Park: Experiences and Lessons Linking Communities to Sustainable Resource Use in Different Social, Economic and Ecological Conditions

DEAT/GTZ Transform CBNRM Report (2001)

By Dr. Stephen Turner, Steve Collins and Johannes Baumgaart

2.8.1 Introduction

The Makuleka case study illustrates that it is possible to develop effective co-management agreements after a land restitution process. It also shows that such a process can only work if all parties are committed and can gain from the co-management agreement.

2.8.2 Case Summary

The Project

TRANSFORM (Training and Support for Natural Resource Management) is a joint project of DEAT and The German Agency for Development Co-operation (GTZ), using funds from the German Government. The project, which started in 1996 in partnership with DLA, supports communities who have a stake in national conservation areas by virtue of either owning or claiming land in the park or reserve. The project is an exploratory one that attempts to identify workable approaches to how rural communities can enhance their livelihoods by sustainably managing and using available natural resources.

For the purpose of this document, the case of the Makuleke Region has been extracted from the Community Based Natural Resource Management (CBNRM) report, which was compiled, to highlight the experiences and lessons learnt about co-management.

The Makuleke Region and its Management

The Makuleke people were forcibly removed from the Pafuri area in 1969 so that the Kruger National Park could be expanded to include their territory. They regained ownership of the land in 1999, following three years of difficult negotiations within the framework of the land restitution process. One of the conditions of the ultimate agreement was that the land be used for conservation purposes only. The Makuleke would continue to live in the Ntlaveni area to which the apartheid government had removed them.

The Makuleke's agreement with SANParks is complex. It comprises both co-management provisions and agreement of exclusive ecotourism rights. The Makuleke Region remains part of the Kruger National Park.

Day-to-day technical natural resource management in the area remains the responsibility of SANParks, although the agreement anticipates that the Makuleke will gradually take over this role as community members gain the necessary training and qualifications. A Joint Management Board (JMB) has been established, comprising three representatives each of the Makuleke Communal Property Association and SANParks.

This has overall authority over the area, with SANParks acting as its agent in carrying out resource management activities. For more frequent interaction, a Joint Management Committee has been set up under the JMB, comprising two people from each side.

At the same time, the Makuleke have exclusive cultural and commercial rights in the area, although decisions taken in this regard must fall within the conservation and environmental guidelines of a Master Plan that the JMB has agreed. The Makuleke are already well down the road to commercial ecotourism developments on this land. They sent ripples through the South African conservation fraternity in 2000 when they licensed their first commercial elephant hunt in the Makuleke Region. There were protests and queries from various quarters in South Africa, but it was soon clarified that the Makuleke were entirely within their rights in this regard.

The JMB is proving an effective forum for the exercise of joint management authority and decision-making, and for contentious debate about management strategies.

2.8.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	Experience so far shows that genuine, effective co-management can be made to work in South Africa. But it also shows that making it work is a substantial challenge.
2.	Rights to the land and resources to be co-managed must be clearly defined. Part of this clear set of definitions must refer to resource use rights, again including careful statements of who may enjoy these rights.
3.	Devoting land and resources to the purposes set out in a co-management arrangement should offer clear prospects of profit and economic sustainability to the land owners (which, in South Africa, is typically a defined local community).
4.	Forsaking former management models for the more complex co-management format must be sufficiently attractive for the state or other conservation agencies who are to be the community's partners.
5.	All parties to co-management arrangements have to apply a proactive, constructive and realistic attitude.
6.	On the environmental side, co-management of natural resources must be able to maintain or enhance the biodiversity and ecological integrity of the area in question.

7.	On the community side, structures of representation and authority must be transparent, democratic and legitimate.
8.	Underlying these requirements is the condition that the general public in the area understand the co-management arrangements and what they can and cannot deliver in terms of better livelihoods - as well as the obligations that the agreement will place on them.
9.	The same conditions apply to other parties in co-management. They need to be clearly and equitably focused, and broadly committed to the agreements that have been made. The Makuleke co-management agreement has sometimes been hindered by dissent within SANParks whose management is less than unanimous about the policy directions being taken.
10.	On both sides, therefore, it is clear that co-management needs those responsible for joint decision-making to have the necessary authority from within their organisations or constituencies.
11.	Institutional capacity among all co-management partners is a major prerequisite for success.
12.	Co-management agreements must incorporate viable conflict resolution mechanisms. This is also a key area of capacity that needs to be built among all parties to co-management agreements.
13.	Public authorities at the national, and especially the local, levels need to be providing a supportive policy environment.
14.	Adequate external facilitation and support capacity must be available to co-management partners from the government and NGO sectors.



15.	Co-management must be given time to grow. Successful co-management arrangements cannot be set up in a hurry. All parties must be patient.
16.	Co-management is a viable and profitable way for rural people and public and private sector agencies to work together in nature conservation and ecotourism. As economic, political and institutional conditions in South Africa evolve, its importance will grow.



3. Participatory Forest Management and Forest Product Utilisation

Indigenous forests and woodlands are important sources of essential products for rural livelihoods. People depend on these resources for products such as fuelwood, medicinal products, construction timber and food. Although the harvesting of forest products are often illegal, people continue to do so as they need these products in their daily lives. Active policing of these resources has only limited success. By involving local people in the sustainable harvesting of resources it is possible to control and manage exploitation much more effectively. Through participatory management and research techniques people are empowered to become research partners.

The case studies in this section explore different scenarios where local people became involved in the sustainable management of the resource and assisted with research. It also emphasise the fact that PFM needs to be build on a sound research base.

3.1 Fuelwood Report for PFM Community Perception Survey

DWAF/DME/Danida Report (2003)
By Kwetsima Consultants

3.1.1 Introduction

Wood for fuelwood is one of the most important products derived from natural forests and woodlands. It is important that this product should be considered in PFM systems. This case study emphasise that fuelwood remains the main source of energy in rural areas.

3.1.2 Case Summary

A survey was conducted on fuelwood consumption patterns and a report prepared for the Department of Minerals and Energy (DME) as part of DWAF's Participatory Forest Management Community Perception Survey. The study was conducted in eight selected research sites in the Eastern Cape, Southern Cape and North East regions of DWAF. The North East regions incorporate Limpopo, Mpumalanga and KwaZulu Natal provinces.

Process and Interventions

Workshops were held in the research areas and were attended by about 290 people. Individual interviews were also conducted, based on a pre-defined series of questions. A total of 215 people were interviewed in the research areas. The report combines the findings from these interviews and workshops.

Key Findings

Fuelwood:

This study has shown that fuelwood remains the main source of energy in rural areas, even in those areas that have been electrified. The significant finding is that in those urban areas where fuelwood is easily available, it is the preferred source of energy for poor households. Fuelwood is also the main source of energy for poor households in rural areas mainly because it is easily available and cheap to purchase. Fuelwood is used in both summer and in winter mainly for the following:

- Social gathering;
- Cooking;
- Space heating;
- Water heating.

Paraffin:

The second most commonly used source of energy in both rural and urban areas that formed part of this study, is paraffin. Paraffin is an important source of energy in rural areas because it is relatively cheap and readily available. Paraffin is used mainly in summer in the eight research sites for the following three purposes, according to their importance:

- Lighting;
- Water heating;
- Cooking.

Electricity:

Electricity is the third most commonly used source of energy, where it is available. It is used mainly for lighting.

3.1.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	Fuelwood clearly remains the most important and preferred source of energy in both urban and rural areas. This should be taken into account during the promotion of woodlot establishment/management as well as plantation and indigenous forest management.
2.	The place where fuelwood is collected varies and does not necessarily depend on the shortest distance. Factors like the dryness of the fuelwood, the ease with which it can be gathered, and the amount of smoke it produces are some of the main considerations involved when a decision is taken on where to collect fuelwood.
3.	The quantity and how often the fuelwood is collected vary from summer to winter. It is also highly dependent on the climatic conditions of the area.
4.	It is clearly important to take all these factors into account when assessing forest use or establishment of a woodlot and not just distance to the resource.

3.2 Umzimkhulu Bark Harvesting: Meeting the Demand for *Ocotea Bullata* Bark

Chapter from Indigenous Forests and Woodlands in South Africa: Policy, People and Practice Ed. Mike Lawes *et al*, UKZN Press (2004)

By C.J. Geldenhuys

3.2.1 Introduction

The illegal harvesting of forest products is a large problem in South Africa. Harvesting of forestry products is often taking place in an unsustainable and wasteful manner, leading to resource depletion. This case study illustrates that by working with the plant harvesters a more sustainable method of harvesting can be developed. DWAF also has better control over the legalised harvesting of natural products than in the past when harvesting took place illegally.

3.2.2 Case Summary

The Project

In South Africa, as elsewhere, bark from selected tree species is a common component of traditional medicine. With growing urbanisation, the demand for bark and other ingredients for such medicines have increased and an extensive informal trade has developed. As this trade has become more commercialised the harvesting pressure on forest and woodland resources has increased.

Under the National Forests Act (NFA) (Section 7) harvesting is illegal without a licence. However, there is provision for licensing resource harvesting for commercial purposes and users can apply for exemption for domestic and cultural uses. The task is to find ways of controlling the industry and ensuring that harvesting from natural areas is kept within sustainable levels.

The short-term strategy of this project was to stop the uncontrolled and negative impacts of bark harvesting from the Umzimkhulu forests and to find better alternatives for sustainable management of the resources. This involved investigating the resource and various alternatives to its use and harvesting techniques, as well as linking up with the bark harvesters in an attempt to solve the problem of uncontrolled and degrading bark harvesting.

Key Findings and Actions

Harvesting the Resource

The resource inventory of the forests indicated that the population status of key bark-stripped species was severely affected, and highlighted the constraints and potential alternatives for sustainable management of bark harvesting for traditional medicine.

Results show that if dying *Ocotea bullata* trees are cut before they die, almost 70% of the bark remaining on the stem can be harvested. If only one of every four *O. bullata* trees is cut for harvesting, but each cut tree is used for all its bark (including bark on the branches), its bole (for high-quality timber) and its branch wood (for wood carvings and small ornaments for the tourist industry), then more bark could be harvested with a much smaller impact on the forest.

i) Short-term Action:

The short-term action is therefore to salvage dying trees. The trees should be cut just above the ground to stimulate coppice development and the stumps covered by branches from the cut tree to prevent browsing of the developing shoots. This should be the responsibility of the bark harvesters. This facilitates the coppice regrowth of cut trees, and the potential future rotational harvesting of the developing three to five stems per stump for bark and leaves inside the forest.

ii) Long-term Action:

The long-term management strategy will focus on sustainable timber and bark harvesting, based on data from the long-term growth plots established in the area, and the recovery rate of the debarked wounds obtained from bark harvesting experiments.

iii) Planting:

Although there is little regeneration within the forest, the number of well-established saplings and small poles of *O. bullata* and other bark-stripped species in the understorey of the adjacent pine plantation stand, provide a source of plants for planting in gaps and on the forest margin for forest restoration, as well as in suitable plantation sites and community home gardens for leaf (and bark) production. The seedlings can also be used in production orchards for the harvesting of leaves from low-grown bushes.

iv) Leaves:

From the results of the study of variation in composition and concentration of the four components in the bark and leaves of *O. bullata*, there appears to be no biochemical reason why leaves could not be used as a substitute for bark in traditional medicine, although they have lower concentrations (more material would be needed). Leaves can be harvested earlier from cultivated trees than bark, and careful leaf harvesting will be less likely to result in death of the plant.

Development of an Association of Bark Harvesters

Two options were considered for negotiations with the bark harvesters. The first was to follow DWAF's PFM approach. In this approach forums are developed with local communities around the forest to assess the general needs for forest products and values and to develop joint forest management. The process is slow and costly and thus a second option was followed after completion of the resource survey: Those bark harvesters from the Umzimkulu District selling their bark at the Durban Herbal Market, were approached to help solve the problem of uncontrolled and degrading bark harvesting. A first meeting was held at the Durban Herbal Market to clarify the intentions and objectives. A second meeting was held at Nzimankulu forest to identify and discuss the problems in the forest, to discuss alternatives and better harvesting techniques, and to assist the harvesters to form an association through which an agreement could be negotiated with DWAF. Additional follow-up meetings were held, both at the market and in the forest, to maintain regular communication.

A medicinal plant harvesters association, the Sizamimphilo Association, was formed towards the end of 2000, with the assistance of an external facilitator, and a constitution developed. The key parts of the constitution, in terms of sustainable resource management, were:

- To train, uplift, educate and develop its members with the objective of increasing their business skills and profits and to enhance their harvesting skills with the express purpose of protecting the environment and the long-term sustainability of targeted species of medicinal plants.
- That all members sign an agreement between themselves and the Association that binds them to a set of standards, rules, objectives or laws.

Licensing the Bark Harvesting

External lawyers on behalf of the Association compiled a draft legal agreement between the Association and DWAF. This draft agreement was submitted to DWAF in February 2001. On 30 May 2002, after extensive discussions, DWAF issued the General Licence under sections 7, 15 and 23 of the NFA to the Sizamiphilo Association for harvesting of bark under guidance of the management plan for natural forests in the Umzimkhulu area.

The license is subject to the management plan that was compiled by consultants and DWAF officers. The management plan provides guidelines for resource harvesting, planting for alternative resources, and monitoring of resource use impacts, and stipulates the arrangements between DWAF and the Association.

The Association agreed on the following rules for sustainable resource use:

- Sustainable resource harvesting practices to be implemented in the forests should contribute to the recovery and conservation of the forests.
- Bark harvesters should be able to continue with harvesting the bark resources with improved operating conditions, reduced effort and costs, minimised resource harvesting impacts, and better opportunities for the development of a viable, productive small business.
- Rules for controlling resource harvesting must be simple, practical, and easy to manage, and cause minimal interference with effective harvesting.
- A constructive, collaborative relationship between DWAF (resource managers) and the Association (legal commercial bark harvesters) should facilitate (i) effective and sustainable bark harvesting, and (ii) the elimination of undesirable, destructive, and illegal commercial bark harvesting from the forests.

Aspects of the Licence Agreement

1. It is incumbent on the DWAF Forester in charge to ensure that:

- Adequate consultation has been held with communities surrounding the forests in question, and the attitude of the community towards the issuing of this license is disclosed to the Minister.
- A PFM Committee, comprising the Area Manager or his/her representative, persons appointed by the local communities, representatives of licensed forest users and any additional members appointed by the Minister, be established.
- A process for establishing the scientific basis for the sustainable off-take of plants is in place, including a programme of monitoring this off-take.

2. It is incumbent upon the Association to ensure that:

- The constitution of the Association is acceptable to the Minister.
- The Association is represented on the Committee to be established around the forests in question.

Additional special conditions to the granting of a license included the following:

- Becoming a holder of the license, the licensee(s) shall also abide by and be party to the rules and regulations of the management plan and the annual work plans for the particular forest.
- The licensee is responsible for any damage caused by not complying with the license and associated terms and conditions.
- The licensee must pay for the license according to the license tariffs issued in accordance with Section 55 of the NFA, unless the Minister has waived the fee.
- This license will be reviewed annually and where the special conditions and management plan have been reasonably implemented, will be deemed to continue.
- A license, or a category of it, may be amended, suspended or cancelled if there is a material change in the circumstances that existed at the time of the grant of the license or licenses that requires such amendment, suspension or cancellation; or the licensee does not comply with the license.

3.2.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	During this study, over a relatively short period, good knowledge was developed of the resource base, of the response of species to bark harvesting, the regeneration status of the key species, and of harvesters' needs and requirements.
2.	Good communication was developed with resource managers and harvesters. The setting up of the Sizamimphilo Association was undertaken, as well as the licensing of controlled bark harvesting.
3.	The results of the project support the notion that products currently derived from harvested bark, will in future be developed from the following resources: <ul style="list-style-type: none"> • Bark from felled dying trees; • On a small scale as part of a sustainable forest management system; • From planted trees in forest restoration plantings adjacent to the forest; • From harvesting leaves and young bark from short-rotation coppice stands in suitable sites outside the forest;
4.	Since the bark sellers are also the harvesters who come from the communities around the Umzimkulu forests, direct discussions with them at the Durban Herbal Market shortened the process towards a solution.
5.	In all meetings representatives of DWAF were present to provide for open discussions on mutual problems, to shorten administrative procedures and to empower both groups to come to grips with the problems involved.
6.	Additional follow-up meetings were held, both at the market and in the forest, to maintain regular communication.

3.3 Sustainable Harvesting of Rooiwortel (*Bulbine latifolia*) for Medicinal Use From Natural Forests in the Southern Cape

DWAF report (2004)
By W.J. Vermeulen

3.3.1 Introduction

In many rural communities natural plant products are essential in everyday livelihoods. People will continue to utilise these products even though it might be illegal. The only way to effectively control harvesting is by working with the community members to find sustainable harvesting options. This case study highlights such an instance where DWAF worked with community groups to find sustainable resource use solutions.

3.3.2 Case Summary

The Study

In the southern Cape rooiwortel grows in dry scrub forest and in the dry forest-fynbos ecotone. On state forest land, these forest types are largely restricted to the coastal areas of the Harkerville State forest. These forests form part of the southern Cape forest complex, the largest in Southern Africa, covering a total area of ca 60 500 ha. It has been classified as Southern Cape Afrotropical Forests, consisting of mountain forests, coastal platform forests and scarp forests.

In the southern Cape the species is widely used by members of the Rastafarian community, not only to treat specific medical conditions but also as a general health drink. The Rastafarians are a well-defined user group in the area, are represented on the local PFM Forum and are actively involved with environmental and ecotourism projects in and around the town of Knysna.

The big demand for rooiwortel resulted in the illegal, uncontrolled harvesting and overexploitation of the species, especially in the more accessible Sinclair Nature Reserve. The Sinclair Nature Reserve, where a large percentage of the rooiwortel occurs, is managed as a strict Nature Reserve.

The forest and fynbos in the reserve is maintained in a natural, unaltered state, to serve as a control and monitoring area.

Consumptive resource use is not compatible with these management objectives. The National Forest Act (NFA), though, makes provision for access by local communities to forest resources such as medicinal plants, for domestic use, subject to the principals of sustainable harvesting.

The large demand for the plant resulted in the uncontrolled, overexploitation of the species, which demanded urgent management intervention. The ultimate objective of the study was thus to ensure the optimum, sustainable harvesting of rooiwortel.

Process and Interventions

Through the local PFM Forum, a meeting was arranged with representatives from the Rastafarian community to resolve the conflict of interest. During the meeting the stipulations in the NFA and access rights of communities for consumptive use were discussed and recognized. There was also consensus on the importance of sustainable harvesting of the resource to ensure a steady flow of social and other benefits to communities. The need to set aside areas where no resource uses is allowed, for biodiversity conservation and to serve as undisturbed control areas was also recognised.

These constructive discussions lead to the following steps:

- No harvesting will take place within the boundaries of the Nature Reserve.
- DWAF management identified suitable areas on the Harkerville coast for conservative, controlled harvesting of rooiwortel for domestic use, under the supervision of a forest guard.
- The user group selected a member from the group to do the harvesting on their behalf. Arrangements are made with the relevant estate manager prior to entering the state forest.
- Records are kept of the size and number of plants harvested from the different selected areas.

- A planning and research programme was initiated to determine sustainable harvest levels and to develop a harvest system for the species.
- Development of a yield regulation and harvest system for a specific product requires an in-depth knowledge of the ecology, dynamics and demography of the target species.

The process that was initiated to develop a yield regulation and harvesting system involved the following:

- The floristics of the species was described. This entailed a phytosociological classification of the vegetation where rooiwortel occurs and a description of the habitat. This will enable the mapping of all rooiwortel populations and the identification of possible harvest areas.
- Information on the population dynamics of the species were gathered by way of transect surveys through the forest-fynbos ecotone. All plants in a transect were counted and the diameter of plants $\geq 1\text{cm}$ recorded to provide information on the size class distribution of the population. This is required to formulate harvest prescriptions for the species.
- Monitoring plots were established to obtain information on the reproduction, growth rate and phenology of the species. This is of relevance in determining harvesting levels.

Key Findings

Preliminary results of the applied research undertaken include the following:

- Harvestable populations of the species are limited to the dry forest-fynbos ecotone and to dry scrub forest. It occurs on steep slopes that are ecologically sensitive. This presents a further challenge when developing a harvest system for the species.
- The dynamics, size class distribution and phenology of the species vary between habitats, with the more suitable, harvestable growing stock restricted to the more dynamic forest edge.
- The reproduction of the species seems to be of a complex nature, which would require further monitoring to assess the impact of harvesting on the resource.

- Growth rate of the species are relatively slow, which would result in a longer harvest rotation to allow populations to recover after harvesting.

The initial results can be used successfully to formulate interim harvest prescriptions for the species, which will be refined as monitoring data becomes available as part of the adaptive management approach. As it is unlikely that the demand for rooiwortel would be met from plant populations in the Harkerville State forest, consideration will have to be given to establishing the species in nurseries to meet demands.

3.3.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	There is a huge demand for the harvesting of plants for medicinal use from the wild, of which most grow in natural forests. Unrealistic expectations of the potential of the resources to supply the demand plus the perceived benefits, should not be created, as yield is limited by the slow turnover and sensitivity of the forest ecosystem. Also, needs for domestic use should be accommodated first after which potential for economic use can be explored. The provision of alternative resources, where possible, is therefore paramount.
2.	The determination of sustained yield levels and development of harvest systems require applied research and scientifically sound monitoring programmes. There are no short cuts, but an adaptive management approach could be followed whereby conservative measures are implemented and refined as research data becomes available.

3.	Stakeholder and user group participation in the process to develop harvest systems are essential. A major challenge will be to obtain understanding and acceptance from user groups of much lower yields where previously, over utilization of the resource has taken place. To maintain the interest of user groups in applied research where benefits are only realized in the future, presents a further challenge.
4.	Stakeholders should understand and support the management system that is in place for the forest area as a whole. Only then can the objective of multiple-use management, which includes biodiversity conservation and consumptive (timber and non-timber) and non-consumptive (outdoor recreation and forest-based ecotourism) use be met, through a participatory forest management approach.
5.	Well-defined stakeholder or user groups are important to ensure success with participatory research in the development of harvest levels for consumptive use. Well-functioning PFM Forums could be of critical importance in this regard.
6.	The determination of harvest levels and development of harvest systems for non-timber forest products is a specialized field. Experience and resources to obtain this are currently lacking which poses a threat to the implementation of the NFA regarding sustainable resource use and community development.

3.4 Harvesting of Seven Weeks Fern (*Rumohra Adiantiformis*) From Natural Forests of the Southern Cape

DWAF report (2004)

By W.J. Vermeulen, L. du Plessis, and H. Herd

3.4.1 Introduction

This case study presents a scenario where it was possible to apply research in the development of an adaptive management system. This management system enables previously unemployed individuals to earn an income through the sustainable harvesting of forest products. DWAF also played a facilitatory role by linking community members with commercial export agents.

3.4.2 Case Summary

The natural forests in the southern Cape form the largest forest complex in Southern Africa, covering a total area of ca 60 500 ha. It has been classified as Southern Cape Afrotropical Forests, consisting of mountain forests, coastal platform forests and scarp forests.

The canopy consist of a mixture of canopy tree species, with *Cunonia capensis*, *Ocotea bullata*, *Olea capensis* subsp. *Macrocarpa*, *Podocarpus latifolius*, *Cassine peragua* and *Pterocelastrus tricuspidatus* dominating, depending on the type and specific locality. Ferns, including Seven Weeks Fern (*Rumohra adiantiformis*), form an important component of ground flora communities, especially in moister forest types. Seven Weeks Fern fronds have a long vase-life and are extensively used in flower arrangements, both locally and abroad.

The state-owned forests are managed in accordance with a multiple-use management system, which includes conservation, resource use (timber and non-timber) and eco-tourism. A policy of PFM is followed to ensure local participation in decision-making and the sharing of economic, social and environmental benefits from the forests.

The region consists of three forest estates, namely Farleigh, Diepwalle and Tsitsikamma. A community development pilot project, which entails the harvesting of Seven Weeks Fern fronds for commercial purposes, was initiated at the Farleigh Forest Estate.

Historical Background

The harvesting of *R. adiantiformis* fronds on an economic scale from natural forests in the southern Cape started as far back as 1970 when private landowners were issued permits to harvest small quantities of ferns on their land for the local flower market. These licensed suppliers could not meet the increasing demand for fern fronds, resulting in the escalation of illegal harvesting on state forest land. In 1982 ca 4 000 ha of state forest land was released for commercial harvesting of *R. adiantiformis* for the European market when tenders were invited for harvesting for a 1-year period.

The rapid growth of the industry and the employment opportunities created, resulted in major economic benefits for the region, and by 1989, 20 000 ha of state forest was subject to fern harvesting.

However, little was known about the ecology and dynamics of the species to guide planners and managers in enforcing measures to ensure the sustainable harvesting of the species. An adaptive management approach was therefore implemented and harvesting restricted to 50% of the pickable fronds of ≥ 30 cm in length on a five-week rotation. In 1983 a research programme was initiated to gain more information on the ecology, dynamics, phenology and demography of the species and its response to harvesting.

This resulted in the initial picking rotation of five weeks gradually being increased as research results became available to the current 15 months. Initial results from intensive monitoring since commercial harvesting started, indicate that the current levels of harvesting is sustainable and that fluctuations in yield could be attributed to natural trends.

Tenders are invited for the sole right to harvest ferns in fern picking areas within a state forest for a specific period of time. A total of 1.6 million fronds were harvested during the 1998/1999 financial year, realising a total income for the Department of Water Affairs and Forestry of approximately R345 000. This is considerably less than the 14 million fronds that were harvested (unsustainably) from this same area in 1986 for an income of about R6 million. The enormous potential as a source of foreign revenue together with the low productivity of the indigenous forests forced suppliers to look for alternative sources, such as ferns grown in commercial pine plantations and shade houses.

The Project

Market factors and competition from cultivated Seven Weeks Fern, resulted in a waning interest in the fern picking tenders that are available on state forest land. Dictated by market forces, large commercial harvesters now only showed a real interest in the larger (≥ 40 cm) fern fronds, which rendered picking operations in natural forest less viable. This, together with DWAF's PFM policy and objective of ensuring an equitable distribution of benefits from forests, resulted in a commercial fern harvesting project being initiated at the Farleigh Forest Estate whereby communities could harvest ferns to provide to larger commercial operators.

To ensure the viability and success of the project, it had to be ecologically, socially and economically sustainable, which require the optimum, but sustained use of the available resource. Sixteen fern picking areas were identified at the Farleigh Forest Estate for commercial fern picking by communities.

Process and Interventions

Three communities closest to the Goudveld forests were identified as beneficiaries to the project. Altogether 15 people benefited from the project and the three areas were "awarded" participants in relation to their population size. Existing community structures (local leaders) together with PFM Forum members devised a representative composition for each area, taken into consideration gender and specifically targeting the poorest of the poor.

The target group was unemployed, previously disadvantaged individuals, especially women, living in close proximity of the natural forests.

Legal Mechanisms and Price Structure

It was decided to approach a local export company (Sassenheim Estate), to purchase the ferns from the communities. It was also expected from the export company to provide all the necessary infrastructure and logistics like transport etc. The export company transported the pickers to the field and transported the ferns to their premises. The harvesters together with DWAF negotiated a selling price for the ferns (R0,10 was agreed upon for a start and an increment to be negotiated at a later stage).

The responsibility is now with the harvesters to select and negotiate the selling price with prospected buyers.

If the project is expanded to other areas, a cash flow projection can be made to determine a minimum selling price, and the communities can invite tenders from interested buyers to purchase the ferns (and provide the necessary logistical support).

Monitoring

Prior to harvesting in a picking area, surveys were conducted in selected areas to assess the state of the fern resource. This entailed sampling in 1m² circular plots, using a systematic plot layout, to gather data on number of plants, number of pickable fronds of different size classes, presence of spores, etc. This data will be used as baseline information to assess changes in the population and impact of harvesting according to the new system, on the resource.

In addition to baseline surveys, a plot area of 10x20 m was cordoned off in selected picking areas. These plots are excluded from fern picking as it serves as control areas and to simulate picking.

Harvesting Operation

Only one fern picking area was harvested per week. This resulted in a steady flow of income over a period of 18 weeks. Prior to commencing with harvesting, all harvesters were properly briefed on the harvest system, the sensitivity of the resource and the importance of abiding by prescriptions to ensure sustainability. The harvesting operation entails the following:

- A forest guard accompanies harvesters to a selected fern picking area to oversee the harvest operation and to ensure that prescriptions are abided by.
- Starting from one end a picking area is covered systematically, ensuring that all pickable leaves are harvested, as the viability of the project depends on optimum utilisation of the resource.
- All leaves picked are counted by the forest guard and divided into bundles of ten according to different size classes.
- A minimum of 10% of fronds picked are selected at random by the forest guard and measured to gain information on frond length, and to ensure that no leaves are < 40 cm are picked. This data is also to be used for monitoring purposes.

3.4.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	Although the harvesting of Seven Weeks Fern fronds from the southern Cape forests became less attractive to larger buyers, it could still be a viable business opportunity for the small entrepreneur. New price structures, though, need to be developed to improve the economic viability if the project.
2.	Sustainable harvest systems should be revised as product specifications (e.g. size and dimensions) change with market demands. An adaptive management approach is required to quickly react to new demands.
3.	Communities do not have the necessary infrastructure to start businesses of this magnitude, and need to link up with already established businesses to provide logistics like cooling rooms, transport, existing markets, etc.
4.	DWAF could play an important role in the identification of viable business opportunities for communities and support to get projects going. The sustainability of projects would require the development of business skills within the target community.
5.	Consumptive use of non-timber forest products requires scientific input in the form of applied research and monitoring to ensure sustainability. DWAF must be prepared to provide this support to ensure that consumptive forest-based community projects are successful. An adaptive management approach can be used to get projects off the ground while more scientific studies are conducted to refine harvest prescriptions.
6.	The input required from DWAF to develop and adapt sustainable harvest systems, where necessary, should not be underestimated. Local communities should view these costs within the context of the long-term benefits from such projects, and DWAF's commitment towards ensuring access to forest resources.



7.	The uncertainty regarding the compatibility of DWAF's PFM policy and objectives, and other government legislation, Departmental policies and Tariff Instructions could handicap the implementation of PFM projects on the ground and the realisation of benefits from forest resources.
8.	Legitimate PFM Forums or community structures through which projects could be initiated, are essential. Identifying beneficiaries for projects must be done by the PFM Forum in conjunction with existing structures within the community, and not by DWAF alone. Expectations must not be raised by DWAF, and PFM Forum members must form part of the initial planning (cash flow projections, etc.).

3.5 Combining Scientific and Local Knowledge in the Eastern Cape

DWAF Report (2001)
By Rhodes, Fort Cox and UNITRA

3.5.1 Introduction

For any participatory action to take place, communication is essential. This case study presents a number of participatory research methods as effective tools in communicating with community stakeholders. These tools not only assisted with the gathering of information but also helped with awareness-raising and building of trust relationships between stakeholders.

3.5.2 Case Summary

The Project

It is now widely accepted that improved access to forest resources need to be accompanied by a mechanism and procedure for monitoring the impacts of such use. Ideally resource users themselves should be encouraged to participate in the monitoring of forest resources and utilization, and information gained in this way should feed into participatory management. The project, a joint effort between Rhodes University, Fort Cox College of Agriculture and Forestry and UNITRA, was designed to explore ways in which this could be achieved.

Mt Coke forest is situated approximately 20 km from King William's Town on the Zwelitsha/Kidds Beach Road. DWAF in King Williams Town has identified it as a priority site for a participatory monitoring pilot study. Three villages neighbor the state forest. It was decided, in consultation with departmental officials, that the research team would initially focus on the village of Machibi, situated closest to the Mt Coke forestry offices.

Objectives

- To develop, test and implement a monitoring system for sustainable community forestry by combining scientific and local knowledge, using the Sustainable Livelihoods framework as a guide.
- To develop capacity in the field of participatory forestry of three key role players: a) DWAF; b) communities who use forest products, and c) the three participating academic institutions.

Process and Interventions

From the very beginning it was clear that community members were interested in the intangible benefits of participation, in particular the transfer of indigenous knowledge, and more sustainable use of natural resources. Through initial consultations with SANCO, a number of community members were nominated to work with the project. This group remains unformalised but is sometimes referred to in the report as the 'Forestry Committee'.

The project followed a Participatory Learning and Action (PLA) approach. PLA provides a research orientation that places the emphasis on learning from, and with, the community. It also provides a number of research tools to facilitate engagement with non-literate people. Ideally this approach not only includes community members in the research but also empowers them, through training, to use tools that may be used in the community to solve problems outside of the research field. Researchers received two days of training prior to the onset of fieldwork activities.

The research approach had a number of exceptional characteristics:

- The work plan and methods were continuously re-evaluated and adapted, following regular feedback from participants.
- Errors were embraced rather than ignored.
- Communication was horizontal rather than vertical, i.e. there was no or little hierarchy of decision-making and all participants had an equal say in the direction the research would follow.

- Local villagers were empowered to the strongest extent possible by giving them ownership of the process and the data, continuously stressing the value of their knowledge, and engaging them fully in activities and planning.
- The capacity of young, developing environmental professionals was built by training them in methods, giving them responsibility for facilitating workshops, asking them to synthesise and record results in teams, and rewarding them both intangibly and tangibly for their efforts.

Methods

Some examples of the PLA methods used include:

Pie Charts

Pie charts were used to gather information about natural resource use in general and about the use of forest products in particular. Pie charts were also used to gather information about income and expenditure.

Mapping

The Forestry Committee was asked to draw a map of resources showing their perception of their community and from where they obtained different resources.

Seasonal Calendar

Twelve cards were used to depict the months of the year. The participants were asked to choose the four busiest months regarding forest-related activities. These were then ranked from busiest to the least busy.

Ranking

Community participants were asked to try to identify categories of aspects to be monitored, e.g. households in terms of wealth/poverty based on observable criteria, or the different forest patches in terms of the abundance of a particular resource. Each category was then written on a card. The participants were then asked to arrange the cards in decreasing order.

Questionnaire Surveys

The community group conducted a village survey using a short questionnaire schedule. This was done in order to establish the range of perceptions within the community relating to the state forest.

Excursions and Transect Walks

A number of excursions took place. These included trips to the village (for the researchers' benefit) and transect walks to and through the various forest patches.

Open Days

Two open days were held. In both instances the content and arrangements were left entirely in the hands of the Forest Committee, although the catering was subsidized by Rhodes University.

Student Fieldtrips

Students working on the project were each allocated a specific research subject that related to the testing of pre-identified indicators. Students worked with members of the community group at all times in carrying out their research. This normally involved surveys of each of the community forests to assess their condition and to establish base-line information.

Management Recommendations:

- DWAF should step up its communication with the villagers of Machibi as well as other villages in the area. Field managers should receive training in communication and listening skills. PFM agreements should be entered into.
- Extension services should focus on the restoration of community forests, and the nursery at Mt Coke should be used to grow indigenous seedlings of forest margin species that are well suited to forest rehabilitation.
- The village should be assisted to establish a Community Forest Trust Fund, with a Trust Committee to administer funds. The informal Forest Committee should be formalized into a PFM Committee.
- The PFM Committee should control the utilization of community forests by establishing a system of forest guards whose function would be to issue permits for forest resource use, administer funds and monitor trends in forest resources, using the methods developed during this project.
- Funds raised from permits and other activities should be deposited in the Trust Fund to amongst others, remunerate Forest Guards.

- The Machibi community should be assisted with negotiations with other communities, especially neighbours, who use natural resources on Machibi land and could jeopardize control of utilization.
- Machibi residents should be assisted with skills to develop forest based entrepreneurial activities such as tourism trails, medicinal plant gardens and treated poles. Assistance and funding mechanisms should be sought to compensate the villagers for an improvement in ecosystem services such as forest restoration, biodiversity improvements and increased water yield.
- DWAF should establish links with other departments such as the provincial Department Environment Affairs and Tourism and the Department of Agriculture, to establish a system of integrated land management. The development of a land use plan and local environmental action plan should be one of the first priorities.
- Controlled use of fast growing and abundant products in the state forest will alleviate pressure on the community forests and speed up their restoration.
- It is recommended that access in the forests should focus on non-consumptive uses such as tourism trails, environmental education linked to the national school curriculum, harvesting of parts of fast-growing medicinal plants in a way that facilitates their fast recovery, honey, and dead branches.

Future Research

Research into community-based monitoring and management at Mt Coke should continue for at least another two years. The key gaps to be filled are:

- The monitoring indicators developed at Machibi should be tested and validated with scientific data on wildlife and forest resources, and ecosystem services.
- The research at Machibi should continue but the team should focus the bulk of its efforts on the other four villages around Mt Coke where similar indicators should be developed and tested.
- The joint management process should be monitored as it unfolds.

- DWAF should be a more active participant in the research than during year one.
- DWAF is requested to continue funding the project for another two years.
- The community should be permitted to define and test their own management systems.

3.5.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	The PLA methods helped to effectively document the knowledge that existed within the group, and facilitated the pooling of knowledge and creation of new knowledge through discussion. Effective PLA facilitation however requires training and practice.
2.	The idea of starting broad and then focusing on specific resources worked very well and ensured that the indicators, monitoring and management systems that emerged were well informed and contextualized in terms of local realities.
3.	<p>PFM at Mt Coke should be based on incorporating local knowledge about ecosystem processes and forest resources, and on participatory monitoring of the impacts of management strategies.</p> <p>The Forest Committee has proven that it is capable of making sophisticated decisions about forest management, based on knowledge transferred over generations. This knowledge will be extremely powerful if combined with formal scientific knowledge and research.</p>
4.	The community group went further than merely identifying indicators. It also developed sets of management rules that would be implemented to reduce the impact of harvesting on resources. This is a clear indication that the community wants to actively manage its resources to ensure their sustainability.



4. Managing Participatory Forestry

Participatory management requires inputs from all stakeholders and places the responsibility for the facilitation of effective participation with forest management staff. These people need to ensure that management decisions include stakeholders in a "bottom-up" approach so that local stakeholders buy into, and are empowered by the process.

The case studies in this section present practical examples of PFM and illustrate the complexity of this management approach. It also shows that forest managers are often required to be creative and skilled in dealing with communities, but are not always suitably capacitated in this approach - the emphasis should thus be on capacitating and supporting field staff to effectively manage participatory systems.

4.1 Roodewaal PFM Project, Limpopo Province

DWAF report (2001)
By Juana Horn

4.1.2 Introduction

Effective participatory management depends on the participation of all stakeholders. It is important to remember that a community is not a uniform entity and that different interest groups in the community might have different needs. This case study illustrates how a project can fail if stakeholders are not properly consulted or if negotiations are taken place on behalf of interest groups without their direct involvement.

4.1.2 Case Summary

Roodewaal

Roodewaal is situated 10 km east of Louis Trichardt and consists of a Nature Reserve and a Primary Conservation Area, separated by a commercial plantation managed by SAFCOL.

Three separate community groups have restitution claims on the area. They are the Tshilata, Maphaha and Tshifhefhe groups all of whom live at a distance of 50km or more from Roodewaal State Forest. The latter community wished to pursue its land claim and had chosen not to enter into a Community Forest Agreement (CFA) with DWAF. The Tshilata and Maphaha communities had just entered into negotiations with DWAF with a view to formulating a CFA.

The Project

DWAF was approached by a local NGO whose mandate was to assist the Tshifhefhe community with their land claim. It appears that the NGO and the community approached DWAF on the assumption that concluding a CFA with DWAF would expedite the land claim.

The NGO was commissioned by DWAF to take the process further by assisting the community to develop a written expression of interest in a co-management arrangement, and to indicate the nature of their interest. During this process, DWAF dealt only with the NGO, not directly with the community or community representatives.

Over time DWAF, believed that the issuing of a permit or licence would be a more appropriate immediate arrangement than a CFA. This was partly because of the needs listed by the community (poles, sand, etc., as well as access to their ancestral grounds). This would provide a way of addressing the community's needs in the short-term whilst assessing the appropriateness of concluding a CFA, which is a longer process.

However, it appeared that the NGO and the community it represented were solely interested in forming a CFA with DWAF. An impasse between DWAF and the NGO developed and the project ground to a halt.

4.1.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	DWAF needs to engage directly with communities.

2.	Where communities are represented by consultants or NGOs, roles, responsibilities, basis of representation and expectations need to be clarified from the outset.
3.	Criteria for the initiation of a particular PFM project need to be determined.
4.	It is recommended that DWAF formulates a systematic approach to land claims within its programme by clarifying the limits to which it is willing and able to go in relation to restitution and the implementation implications thereof. Within this broad policy outline each project and associated land claim(s) can be assessed and investigated.
5.	Caution should be exercised in the choice of legal entity established. The automatic use of Community Forestry Agreements (CFAs) needs to be debated.
6.	An assumption underlying the use of CFAs and many other agreements is that a 'community' is a homogenous and unified entity. This is usually a false assumption and entering into agreements with distinct user groups rather than the concept of 'community' would ensure devolution to the lowest local level and reduce conflict.
7.	Organisations working in land reform have experienced that CFAs can initiate and/or exacerbate conflict in local communities. Wherever possible, traditional or local structures that have developed within communities over time should be used.
8.	It is important to establish multi-stakeholder and multi-disciplinary forums at as early a stage as possible within the project cycle.

4.2 Assessing New Rest (Pirie) PFM Project, Eastern Cape

DWAF report (2001)
By Juana Horn

4.2.1 Introduction

The success of a project could depend on how effectively a development agent can address the needs of a community. It is, however, often found that the community's needs do not correspond to what the development agent can offer. In this case study the community needed to complete a water system but DWAF could not assist them in this regard. This failure to address the true needs of the community jeopardised communications and impacted on the sustainability of the PFM project.

4.2.2 Case Summary

New Rest

The New Rest Pilot Project is one of three being established in the Eastern Cape by a DWAF/DFID partnership. The New Rest community is situated on the southern foothills of the Amatola mountain range. The indigenous forest area in question consists of closed canopy afro-montane forests on the steep mountain slopes north of the New Rest village.

The New Rest community is situated about 20km north of King William's Town and was, under the apartheid regime, part of the old Ciskei homeland. Estimates of unemployment in New Rest are as high as 80%. The community is impoverished, depressed, and plagued by unfulfilled promises made by outside agencies.

The Project

A PFM project aimed at improving the quality of life for New Rest residents through tree-based projects was initiated. A PFM Committee was formed, a study of potential projects was completed and a detailed plan of action drawn up. However, initial progress on the project was problematic because of accelerating conflict between the villagers and DWAF around access to and provision of water. This report looks at the progress made by the PFM project.

Background

DWAF officials and villagers reported that an undertaking was given by a large and well-known NGO to assist with the completion of a reticulated water system. A substantial sum of money was collected by the NGO from individual residents as a contribution towards this repair, but neither the NGO's representative nor the money have since been seen. It is reported that completion of the water system could be achieved at minimal cost, and could be completed by local people or with DWAF's assistance.

However, it appears that this was not permissible because such work is the preserve of the Water Directorate of DWAF. A stalemate around this issue developed. As a result of this water issue, the villagers had an antagonistic relationship with DWAF.

This continued until PFM initiatives and proposals were suggested by DWAF, at which point the villagers' stance became more cooperative. However, the result of the water issue continues to jeopardise the relationship between DWAF and the villagers, who struggle to understand why DWAF is unable to assist with water provision.

Process and Interventions

After the PFM programme was initiated, a workshop with 34 members of the New Rest community was held to monitor progress of the project and in this way, identify aspects that need to be improved. In addition, an interview was conducted with the chairperson of the PFM Committee.

The purpose of the workshop was to:

- Engage directly with members of the New Rest community in order to develop an understanding of their perceptions and experience of the PFM project, rather than to rely solely on mediated versions of their experience through the DWAF officials.
- Clarify what forest resources the community uses, or wishes to use in the future.
- Develop an understanding of what aspects of the PFM project community members perceive to have worked well, and why.

- Develop an understanding of what aspects of the PFM project were experienced as not having worked well, and why.
- Facilitate the formulation of proposals about what could be changed in order to improve implementation of the project.

General Impressions From the Workshop

General comments made by villagers were that there was no progress on the project, but that it appeared to be moving in circles, and that there was a need to understand what has gone wrong, particularly in relation to the provision of water and related infrastructure.

Proposed Changes

- This group was invited to make proposals to the way in which the PFM project is currently working in order to ensure smooth implementation.
- Participants stated that they had been under the impression that the project would provide employment opportunities - they suggested either being employed on a Working for Water project, or being paid to develop infrastructural support for the supply of water to their area.
- They emphasised the need for action and progression of the project.
- They requested consistent and continuous engagement with DWAF in the form of fortnightly meetings.

4.2.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	Roles, responsibilities and expectations need to be defined from the outset.
2.	Communities need tangible economic benefits to sustain an interest in PFM.
3.	DWAF appears to want the community to assist it with its conservation role without addressing the community's own needs.
4.	DWAF might be uniquely situated to facilitate cross-departmental or cross-sectoral linkages on behalf of communities with whom they want to enter into collaborative forest agreements.
5.	It seems necessary for DWAF to take steps to prevent villagers' attitudes from becoming confrontational, and to investigate every possible avenue to find a mutually acceptable way of taking the PFM project forward. In the short-term, this might mean searching for ways to complete the water system. In the long-term, economic empowerment is critical.

4.3 An Evaluation of PFM in the Southern Cape

DWAF Report (2002)
By Juana Horn

4.3.1 Introduction

The case study highlights the complexity of PFM in areas where forests and communities are interwoven. It emphasises the need for strong PFM structures, coordinated action and the empowerment of local people to effectively participate in PFM activities.

4.3.2 Case Summary

The Study

A PFM programme was initiated in 2000, establishing three PFM Forums on the state forest estates of Diepwalle, Farleigh and Tsitsikamma. Local individuals or community representatives, estate managers and/or their assistants, and forest guards constitute these Forums, which meet regularly.

The study consists of a review of the PFM programme at the three forest estates. The objective was to identify "what conditions optimise the successful and sustainable implementation of PFM, thereby enabling DWAF to achieve its goals of sustainable forest utilisation and management whilst providing measurable socio-economic benefits to its focus group, poor rural communities."

Information and data for the review was gathered through interviews with key stakeholders, plus four workshops held - one with DWAF officials, and the other three with each PFM Forum. Relevant documentation and literature was also used.

Diepwalle Forest Estate

Diepwalle Estate falls within the Western Cape Province and is the biggest indigenous forest estate in South Africa, covering approximately 18,000 hectares - 95% of the Estate is closed canopy forest, with the remaining 5% being fynbos.

DWAF officials report that the Diepwalle PFM Forum is the most difficult to manage because most local communities live at some distance from the forest.

Of fourteen participants, one was female. One forest guard was present but did not participate, maintaining observer status.

Farleigh Forest Estate

Farleigh Estate is situated in the Western Cape Province, stretching from the Saasveld forest in George to the Knysna river. It covers approximately 8,300 hectares, 99% of which is closed canopy forest and 1% fynbos.

Unlike the Diepwalle Forest Estate, which has integrated three separate forest areas into one, Farleigh consists of fragmented forest patches.

Of seventeen workshop participants, eight were female. One forest guard was present but did not participate.

Tsitsikamma Forest Estate

Tsitsikamma estate lies in both the Western and Eastern Cape Provinces. It covers an area of approximately 9,200 hectares, and is largely closed canopy forest, with 4% being fynbos. Like Farleigh Forest Estate, it consists of long stretches of fragmented forest patches.

Of the three forest estates covered in this report, Tsitsikamma is surrounded by the greatest number of local communities, most of which are inhabited by 'Coloured' people.

Of eighteen participants, five were female. Several forest guards were present, but did not participate.

Findings

The review found that PFM in the southern Cape has made important gains, particularly in the areas of bridging and linking social capital. However, it has also resulted in some reductions in social capital and has not made sufficient gains in economic empowerment of poor local people. A solid foundation to ensure the sustainability of PFM in the region has not been built - representivity of black Africans and women has not been secured, nor have PFM stakeholders developed an operational framework.

The programme appears to be operating on an *ad hoc* basis with no clear goals, strategy, targets and indicators, nor the institutionalisation of participatory monitoring and evaluation mechanisms to ensure accountability of stakeholders. This aspect of PFM has been referred to by numerous review participants from both DWAF and local communities, who reported that they were "working in the dark". Multiple stakeholder engagements such as PFM are always complex and difficult and often become conflict-laden. An operational framework jointly developed by PFM stakeholders would go a long way towards mitigating such conflict by providing clarity for participants. The review has recommended that this issue needs to be addressed by DWAF and their PFM partners.

The review also found that there has been a concerning lack of capacity building and skills development for both DWAF staff and local people.

Apart from the internal variables mentioned above, the single most important external variable that will determine the future of PFM in the region is the anticipated merger between SANParks structures and DWAF. This amalgamation represents continued public sector restructuring being undertaken by DWAF, which is in the process of divesting itself of non-core assets and functions. Many review participants expressed fears about the amalgamation, uncertain about whether or not PFM will be more firmly entrenched, or, diluted, once the amalgamation has taken place.

4.3.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	<p>It is important that all participants in the southern Cape PFM programme jointly strategise about how to take PFM forward, with specific reference to the future DWAF/SANParks amalgamation.</p> <p>This strategy should build on the gains made by PFM so far and ensure representivity as well as ensuring that mechanisms and structures are in place to enable the disbursement and distribution of economic benefits to poor households or communities prior to the anticipated amalgamation. If necessary, this process should be mediated by an external facilitator.</p>
2.	<p>To date, DWAF has failed to include local government as a vital partner in PFM. All local level planning and associated setting of land development objectives must however conform to strategic developmental priorities captured in regional/provincial planning frameworks and Integrated Development Plans (IDPs) through active community consultation.</p>
3.	<p>A proposed methodology for the PFM process would include the generation of options, a listing of the advantages and disadvantages of each option, and selection of options on the basis of PFM goals.</p> <p>Options should be prioritised and evaluated for feasibility taking into account time, resources and capacity. A strategy and action plan, including mechanisms for accountability, should then be developed. Some options have been listed below. PFM participants can use these as a starting point for discussion. It could also be possible to mix aspects of one option with aspects of another.</p>

<p>4.</p>	<p><i>Option 1:</i> The Forums could identify specific poor households for the purpose of income-generating project-development such as bee keeping, flower (fynbos) farming, and/or the development of projects for harvesting and marketing of medicinal plants and by-products.</p> <p>Private sector funding support, and the development of partnerships for enterprise development, such as the creation and development of markets could be explored. SANParks could be approached for support to the development of markets by providing distribution channels in captive tourist markets, and the idea of developing a SANParks 'brand' could be explored.</p>
<p>5.</p>	<p><i>Option 2:</i> The PFM Programme could move quickly to conclude Community Forestry Agreements (CFAs) with local communities to ensure their continued inclusion as important, necessary and legitimate stakeholders in forest management, and would strengthen the rights of communities prior to the SANParks amalgamation. DWAF has already drawn up a Pro-Forma CFA agreement that could be used as a base document.</p> <p>A joint working committee could then be established to take the CFA process further, and to finalise estate-specific details over a longer period (for example, six months). The CFA should include process and structural issues such as roles, responsibilities, goals and policy, as well as targets. CFAs could also include aspects of <i>Option 1</i> above, and <i>Option 3</i> below.</p>
<p>6.</p>	<p><i>Option 3:</i> Partnerships with local government structures at municipal and regional level could be developed, and funds deriving from forestry-related activities be paid to, and managed by, these authorities in terms of clear agreements and for the achievement of developmental priorities identified by communities themselves. DLA has recently been exploring this option because the establishment of legal entities is usually a demanding and conflict-laden endeavour. Engagement with local government is strongly recommended, since it could avoid the need to establish legal entities for the receipt and disbursement of funds, and is in line with the spirit of integrated local level planning policy and legislation.</p>

4.4 Isidenge PFM Project Facilitation, Eastern Cape

DWAF report (2003)
By Umsobomvu Development Consulting (PTY) LTD

4.4.1 Introduction

Participation is about involving people but it is important to keep in mind that different groups within a community may have different ideas and needs. This case study shows how different interest groups within a community can promote or inhibit participation in PFM projects.

4.4.2 Case Summary

Isidenge Forest Estate

The Isidenge Forest Estate consists of indigenous state forests ranging from Qacu Nature Reserve, Frankfort forest, Ntseleni forest and Pirie forest. They are high canopy afro-montane forests with a large variety of fauna and flora.

These forests support the immediate needs of various user-villages separated by social and political boundaries. Incentives had been developed to incorporate six user-communities to be key role-players in the PFM programmes. The intention is that this will be achieved through local empowerment regarding forest-related issues.

The Project

The PFM project aims to strengthen economic alternatives (income-generating projects) developed in all facilitated villages in the area, as initiatives to alleviate dependency pressure from state forests. There are three sets of stakeholders that had been identified and classified as having stakes in indigenous state forests. These are resource managers (DWAF), resource users (communities) and resource distributors (service providers). All of these stakeholders have direct and indirect roles in the management of state forests.

Process and Interventions

The stakeholder collaboration/mobilization processes involved are two-fold. Firstly, they are aimed at empowering local communities to engage in planning and decision-making processes, establishing genuine interests in developing Community Forest Agreements (CFAs) and reaching mutually acceptable solutions.

Secondly, the facilitation and mobilization processes aim at identifying and developing economic alternatives to alleviate pressure on state forests. These alternatives can range from forest related-projects such as plantations, beekeeping, tourism, nurseries, etc, to other income generating projects such as farming, sewing, and brick-making.

Progress of the PFM programme was assessed in each of the villages and the findings summarised below.

Key Findings for Each Village

Ndakana

Within Ndakana, the traditional councillors have equal priority status in the area. Any new programmes introduced to the area would need to be consulted and presented to both traditional and local government structures before being presented to the people.

The local PFM Committee structure was developed in a way that would cater for all socio-political and ecological needs. There is a tendency for the traditional structures to pull resources and new programmes on to their side, resulting in credit and ownership of programmes attributed to them. The plan is to recognize both structures, but ensure that control and management of forest-related processes is maintained by the PFM Committee.

Regarding capacity and skills, the community has the local PFM Committee and DWAF staff to facilitate them on forest management and PFM issues, but there are no structures present with expertise and knowledge on economic issues. Further facilitation is required for this.

Tourism potential in the area is tremendous. Further development in this area and feasibility studies around tourism require special priority.

Notenga

The community is more aware of PFM and forest related issues because the PFM Committee has been in existence for five years already. Although social development is at an early stage, the community has unresolved issues with DWAF due to the water extraction plans that were initiated two years prior to the start of the PFM programme. These plans never materialised and the community is therefore not willing to cooperate with the Forestry sector until this is resolved.

New Rest

The area still bears socio-political tensions and antagonism towards any governmental programmes. The tensions need to be resolved with the whole community, ensuring no issues are left unresolved. If any of the issues are overlooked and not dealt with satisfactorily, conflicting conditions could result which could lead to the collapse of the PFM programme.

Pirie Mission

Community participation is still very low and gaining buy-in from the community is difficult due to social tensions. Community relationships and project support needs to be further facilitated and strengthened. The only reliable projects developed are the PFM Committee's fencing and nursery projects. Constant interaction with the community will strengthen what has been developed so far.

Mxhalanga

Project facilitation in Mxhalanga stopped due to socio-political tensions. These tensions are evident in leadership only. The community had offered support for the PFM programme, but leadership had restrained people from participating.

The key issue is misunderstanding and power struggles. Leaders do not want to risk losing the people's confidence by accepting a programme rejected by the majority of leaders. Facilitation needs to be done regarding leadership, otherwise forest managers will experience difficulty in monitoring and managing state forests in the area.

Nakani

In Nakani, the community and leadership were fully supportive of the PFM programme until village citizens won a case against DWAF. This led to the belief that the community had the upper hand in state forests. Measures to enlighten people and call them to PFM workshops failed. It should be made clear that forest exploitation is illegal and could lead to arrest - particularly to the communities of Nakani and Mxhalanga.

Mnqesha

In Mnqesha, there were three village subsections. There was no central area to meet these subsections. Plans were made to meet each subsection separately, but still there was low or no attendance. The most supportive people in Mnqesha were members of the farmers association. The entire community thus perceived the PFM project as the farmer's programme. Clarifications were made but still village co-operation was not achieved.

4.4.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	Indigenous knowledge preserved in rural communities can be used for both ecological (forest management) purposes and economic purposes (nursery and tourism).
2.	It is common for co-ordinators of programmes to assume that they know and understand community needs, therefore can easily provide for them. Also, the assumption is often made that the needs of rural communities are the same and that provision of these generalised community needs will solve the socio-economic problems of all rural communities. Such assumptions must be guarded against.
3.	Recognition of rural people as key role players attributes dignity and ownership of the processes to them. This allows people to express and prioritize their major needs.

4.	Honesty and transparency empowers people with relevant information to make informed plans and decisions.
5.	Contextual differences in social livelihoods must be considered.
6.	There must be flexibility to allow people to choose participation and income generating projects suitable to their social needs and available resources.
7.	Recognition of the significance of other stakeholders relevant to the project and the mobilisation of these stakeholders to form Community Public Private Partnerships (CPPPs), is an important aspect of economic empowerment.
8.	The sustainability of the PFM programme itself lies in the maintenance and growth of developed partnership relations between key stakeholders. Constant interaction with the community is vital to strengthen any interactions and relationships that have been developed.
9.	Realistic opportunities such as tourism should be identified and given priority.
10.	Existing tensions can disrupt PFM progress and finding a solution may need to be given priority before PFM can continue.
11.	While communities have the support of DWAF staff regarding PFM and other forest management issues, there is often a shortage of knowledge and understanding regarding economic issues.

4.5 Forest Resource Use and Conservation in the East Griqualand Area of Kwazulu-Natal

DWAF Report (2003)

By Environment, Economic and Social Impact Assessment Consultants (EESIA) in association with NDG-Africa Environment and Social Development Consultants

4.5.1 Introduction

The DWAF staff members at ground level serve as the interface between communities and government. The success of any PFM effort would depend on how well they can communicate and facilitate the participatory processes associated with PFM. This case study shows that in some instances DWAF field staff are not sufficiently capacitated and empowered to deal with the complexities of PFM.

4.5.2 Case Summary

The Study

This report outlines studies conducted in Bulembu, Mtambalala and Ntsubane Forest Estates regarding the formation and promotion of the participatory approach in the management of indigenous forests found in the area.

Aims

- To raise awareness among forest users regarding DWAF's PFM approach in the management of indigenous forests.
- To determine resource use and conservation patterns.
- To assist with the development of the institutional capacity of forest managers.
- To establish linkages between DWAF, community structures and other service providers.

- To assist DWAF with the development of PFM structures.
- To assist DWAF with the development of forest management plans, based on the DWAF regional and national guidelines.
- To establish linkages between forest resource users and other development initiatives.

Results

Awareness

- There is a limited understanding of the PFM process among some members of DWAF staff and particularly members of the community.
- The local community including members of the local government displayed limited interest in the conservation of the forest, compared with DWAF's intentions.
- Forests are mostly considered for their use value rather their ecological value.
- Local communities are not aware of the provision of the National Forest Act (NFA) and PFM policies as outlined by DWAF.
- There is lack of agreement between DWAF and the local forest community regarding the value of the indigenous forest.

Resource Use and Conservation Patterns

- There is a significant amount of illegal harvesting of several significant species in Ntsubane Forest Estate.
- There is significant clearing of the forest around Mtambalala Forest Estate for the cultivation of crops.
- Tree species are harvested for fuel wood, fence and house construction, poles for resale and poles for the crafting of walking sticks and other wooden artefacts.

Institutional Capacity of DWAF Staff Members

- There is a need to develop a PFM approach amongst DWAF staff members.
- In a number of instances, DWAF staff experienced problems in the identification of beacons demarcating the proclaimed forests.
- There is a need for training in communication and facilitation skills for DWAF staff members.
- DWAF staff are hampered by a number of logistical problems in the management of indigenous forests which includes poor office infrastructure, transport, staff compliment and communication facilities.
- A number of DWAF staff members feel that their experience in forest management is not recognized.
- DWAF management systems have not been clarified for the management of the indigenous forests in Ntsubane Forest Estate.

Linkages between DWAF and Community Structures

- The relationship between DWAF and other government structures in the area is poor and not conducive to the establishment of a co-management structure such as a PFM Committee.
- There is a conflict relationship between DWAF staff members and some other government structures, particularly the local councillors, based on the different value placed on the conservation of the indigenous forests.
- There is no clear communication between DWAF and other government development initiatives in the area.

The Establishment of PFM Structures

- The local community feels that DWAF first needs to meet their demands before PFM structures can be established.

4.5.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	<p>Logistical support:</p> <ul style="list-style-type: none"> • A costing should be conducted which would investigate the possibility of providing transport facilities for forest guards and other DWAF staff to monitor the forests. • The abandoned forest stations, for example at Cuthwini forest, should be made habitable for forest guards in order that they can spend time based at these stations visiting neighbouring forest areas. • An investigation should be conducted as to how forest guards can communicate with stakeholders. A contract cellular phone connection has been suggested, however, this needs further investigation. It is essential that forest guards be in contact with the police, other DWAF staff and community leaders, particularly when 'patrolling' the forest patches.
2.	<p>Policy issues:</p> <ul style="list-style-type: none"> • DWAF should make a clear statement on the need to conserve indigenous forests for their ecological value and sustainable use value. • The management of indigenous forest at Ntsubane needs to be clarified and rectified. This may entail employment of other staff members and training.

3. Sustainable use:

- Through the process of PFM, community resource harvesters should be identified.
- Based on the resource harvesting process (and the quantification studies) DWAF should issue licences for the harvesting identified species.
- Licences should be issues for a specific zone of the forest and must contain the size, type and period during which trees may be harvested.
- A further study should be conducted (or present study extended) to zone the different areas.
- That degraded forest patches should be rehabilitated: Care should be taken to cultivate a sense of stewardship in the rehabilitation process as experienced in some Working for Water projects.
- DWAF needs to train staff to do the harvesting themselves for sale to licensed buyers.

4.6 Community Forestry Project in the Bushbuckridge Area, Mpumalanga

DANCED/Danida: Sustainable Forest Management in Southern Africa Workshop Proceedings, DANCED/DWAF report (2001)

By Marius du Toit, Laura Yeatman and Lise Andreasen

4.6.1 Introduction

The case study highlights the complexity of PFM projects. The project deals with a range of different land use projects loosely related to forestry. This also means that the forestry officials dealing with such a project must be multi-skilled and able to advice on agriculture, business development and various other disciplines.

4.6.2 Case Summary

Bushbuckridge

The size of Bushbuckridge is 2 400km². Population figures are estimated to be between 700 000 and one million people, with an estimated population density ranging between 150 to 303 people per km².

The forestry resource in the Bushbuckridge area can be characterised as open woodland that is under heavy pressure in the peri-urban areas in the west and near settlements in the eastern areas. There is a high demand for woodland resources in the Bushbuckridge area due to the large population and their high dependency on these resources for a variety of household and farming activities. The movement of Mozambicans into the area, including those following the recent floods, also places a demand on the resource base, particularly as these people are usually the poorest and therefore most dependent on the natural resources.

Besides the pressure from increased utilisation, the underlying problems and reasons for the degradation of natural resources include unclear tenure systems, weak local government structures, conflicting agendas of the different service providers, and the lack of clarity on the mandate of traditional authorities, as well as low levels of awareness and knowledge on environmental issues, and lack of sufficient financial resources.

The Project

The community forestry project in the Bushbuckridge area is aimed at improving sustainable woodland management through strengthened capacity of the Nelspruit section of DWAF, and rural communities in the Bushbuckridge area to plan and implement community based tree planting activities and natural woodland management.

When the project was formulated, one of the core problems in the Bushbuckridge area was identified as poor and unsustainable land husbandry and natural resource management and it was concluded that there was a need to focus on the integration of forestry and tree growing within a wider rural development agenda. The development objective of the project therefore became: *Improved sustainable woodland management and environmental reconstruction through participatory community based activities.*

The immediate objectives of the project were established as:

- Strengthened capacity of the Nelspruit section of DWAF, extension wing of Department of Agriculture and rural communities in the Bushbuckridge area to plan and implement community based tree planting activities and natural woodland management.
- Diminished degradation of natural resources, and especially natural woodlands in the Bushbuckridge area through implementation of natural woodland management plans and the adoption of sustainable food, fodder and fuelwood production by community members in target areas from home plots and farm trees, community woodlots and natural woodlands.

Process and Interventions

The project has developed capacity in the field of community-based forestry through a combination of training and experience gained through activities at field level.

Both achievements and errors have carried the project through an interactive action-reflection-learning process increasing the capacity of its staff to approach and implement community-based activities. For example, training and informal workshops have been used to increase an appreciation of the need to consider the underlying socio-economic conditions and needs of the communities, as well as actual or potential conflicts within communities.

The project initially undertook Participatory Rural Appraisals (PRAs) and community planning workshops in three target areas to determine needs, priorities and strategies that would guide the project to develop an implementation plan for each community/area. This approach was to ensure broad community participation, awareness-making of the project and of the community itself, address needs and preferences of the community and inform the project of the general status of the area (tenure, institutions, natural resources use, status and management etc.).

In the early stages of the project, interest groups requested support from the project. The project developed the resource user group approach that focused on their specific interests and were supported by studies conducted by consultants. The project implemented a range of pilot projects with specific resource user groups (such as traditional healers or woodcarvers) and community-based groups (such as members of a community garden and nurseries).

The various pilot projects include the following activities: beekeeping, medicinal plant garden and nursery, vegetable/crop gardens and multi-purpose tree nurseries, soil erosion control and prevention, agro-forestry technologies (live fencing, soil improvement, wind, shade, fodder, parklands, etc), a woodlot attached to a pole yard, marula and indigenous fruit tree orchards.

Typically, these projects have been demand-driven by smaller groups and the income-generating component has been an important aspect.

Support from the Tree Fund includes initial and follow-up training on both technical and business issues as well as support for low cost technologically appropriate materials and equipment.

4.6.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	Forestry staff working in the field need to develop a very different understanding and set of skills from the training they have been given for commercial forestry. In participatory forestry they have to function as facilitators and not physically implement activities.
2.	<p>Through user-group pilot projects, members are not only developing technical skills but they are also in the process of developing their cognitive skills, learning to think critically and be reflective in order to improve their situation in relation to resource use.</p> <p>Participatory principles and facilitation of processes are not skills that can be acquired solely by formal training, but have to be learnt by doing, before an effective out-reach can be achieved in pilot projects. It is important to encourage and acknowledge the internal learning process of a project by DWAF staff and other stakeholders.</p>
3.	<p>The entry point to a more established cooperation between the communities and the project was a participatory resource assessment, conducted with the assistance of consultants.</p> <p>Members from all communities took part in the fieldwork and key persons from the communities provided substantial input on the availability of species now and in the past. The results were written up and the findings presented to the community, which showed great interest.</p>
4.	<p>The main challenges for the project have thus far also included:</p> <ul style="list-style-type: none"> • Obtaining the co-operation of other relevant government departments; • Taking care not to raise unrealistic expectations; • Ensuring that the opinions and needs of marginalised groups, such as Mozambican refugees and women, are heard.

5.	As a result of the project, there has been an improvement among the participants with regard to an understanding of sustainable natural resource use and management, the need for natural resource management, and the interrelatedness of issues around natural resource management such as tenure, governance, ecology and human impact on land and resource use.
6.	It is important to highlight and promote the multiple tangible benefits derived from woodland resources and not only focus on those that have a monetary value.
7.	Diversifying activities in pilot projects is necessary in order to reduce dependency on one source of goods for immediate consumption and to supplement incomes.
8.	If resources are traded, the market aspects such as product development, accessing markets, the assurance of secure markets and finance, need additional support.
9.	Participants are not only taking responsibility through seeing a need to become self-sufficient but are aware of the need to reach out beyond their own immediate interests to the broader community. They realise that rural development or the development of others is in their own interests. This understanding is contrary to the attitude of what is commonly called <i>mona</i> (roughly translated as jealousy).
10.	The issue of building trust between the external agencies and the community, as well as within the community, is crucial. Trust also links to the progress and pace of the project. It takes time to build trust and overcome past negative experiences.
11.	<p>The impacts on people that are unquantifiable (such as pride, motivation, dignity, hope, responsibility, self-worth and confidence) are important parts of the process of achieving development. Without these, initiatives cannot succeed and development cannot take place.</p> <p>It is the difference between development being done to people and people being involved in their own development - this links to participation in decision-making.</p>

12.	It takes time for the project to establish its roots with regard to working with people in developing a strategy to deal with the socio-economic, cultural, political and ecological issues involved in sustainable natural resource use and management.
13.	The project has, from the start, made sure that low cost appropriate technology has been introduced. The purpose of this is that it can easily be replicated, is affordable, does not involve high risk, and can be easily maintained by communities.
14.	Political complexities and poor institutional capacity must be considered in the work and incorporated into the approaches applied in the field so as not to result in the withdrawal of members or decrease in the level of activities.
15.	<p>The very low level of capacity within local government, particularly in rural areas, directly affects development initiatives and thus requires serious consideration.</p> <p>In addition, the competing and conflicting roles of local government and traditional systems of governance makes development initiatives in a rural area particularly difficult to implement and increases the time required to embark on such activities.</p>
16.	Much of the support needed for the communities to succeed in income-generating activities is beyond the capacity of the project and Forestry staff. Therefore, a range of other line departments and NGOs should be drawn into the process through greater co-operation, if DWAF is to fulfil its core functions.
17.	Projects should pursue co-operation but should be designed so the implementation does not depend on service providers who have not been committed to participate in project implementation through formal agreements.

18. Dissemination of a project's experience to other departmental levels and sections should be ensured. This is partly to establish a certain level of co-ordination and partly to ensure that, for example, field level experience is included in policy development. Also, this would facilitate the is sharing of experiences and expertise between projects.

4.7 Feasibility Assessment of PFM Projects in Nqabarha Administrative Area, Eastern Cape

GTZ Transform, Danida and DWAF draft report (2004)
By Mafa Environment and Development CC

4.7.1 Introduction

The case study shows the importance of developing a thorough and holistic feasibility study for PFM projects. It also illustrates the need to consider all potential projects and land uses in such a feasibility study and to look not only at local aspects but also regional factors that might impact on, or promote such a project.

4.7.2 Case Summary

Nqabarha Administrative Area

The Nqabarha Administrative Area contains 33 pockets of forests of differing sizes. These forests are in different states of conservation and vary in species richness and conservation. The trees provide a range of essential goods and services to local people: bark for medicinal purposes, poles for building homes and kraals, fuel-wood and medicinal herbs.

All of the forest patches show clear signs of heavy utilization, alien infestations and general degradation. People are highly aware of the values of, and threats to their forests and would like to conserve them. Six local institutions that relate to indigenous forest management were identified, and these are active and strong.

Nqabarha Administrative Area is troubled by high poverty levels: 78% of people live below the breadline. People rely heavily on natural resources to make a living - for example the Nqabarha forests are popular amongst traditional healers, who travel for up to 5 hours to get to them.

Healers collect between 5 and 13 species per collection trip. Some of the healers collect commercially to sell to other healers. However, 75% of local healers are already cultivating medicinal plants in their home gardens.

Tourism and conservation, on the other hand, is growing in the area. The Nqabarha Administrative Area has developed a vision for natural resources management:

"The natural resources of the Nqabarha Administrative Area are the foundation for economic development of our community. These natural resources are sustained through co-operative management underpinned by sensitive development and wise environmental protection. The community is sufficiently empowered to participate in management."

The Project

The aim of this study is to explore the feasibility of initiating a range of community-based enterprises, based on the use of natural resources, to create income opportunities for local people.

This would inform government departments, NGO's and donor agencies about the opportunities and constraints of PFM and provide guidance to them about funding priorities and collaborative projects in the Nqabarha area.

Process and Interventions

The survey combined participatory and conventional research approaches. DWAF was used as the entry point to make contact with local people and thereafter all contact was through the Nqabarha PFM Committee. Local people were, as far as possible, involved in the data collection and interpretation, and a feedback workshop was conducted to check the validity of results. Data from published and unpublished research reports about the area were incorporated.

Botanical surveys were also conducted in the form of transect walks through the most important forest patches. The local forester and members of the PFM Committee accompanied research team members on these transect walks. Geographic Information Systems (GIS) was used to calculate the areas of forest and other land and to produce maps.

The National Forest Act (NFA), Department of Environmental Affairs and Tourism's CBNRM guidelines, the Mbashe Municipality Integrated Development Plan (IDP), and the Dwesa-Cwebe Development plan provide the broader context for the study.

Based on mutually defined criteria, four projects or enterprise opportunities were prioritised. These were:

- A medicinal plant nursery;
- Crafts;
- A commercial woodlot;
- A community conservancy and tent camp.

4.7.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	<p>General lessons learnt and recommendations for project development:</p> <ul style="list-style-type: none"> • Start with at least one short-term project and one long-term project. • Co-operate closely with the relevant existing projects and programmes as well as the local municipality and align activities with the IDP and other relevant development plans in the area. • Involve the relevant tourism board in marketing and capacity development. • Identify the critical steps in each project. • Identify a community champion, and an 'outside' partner for each major step. • Invest in training and exchange visits to similar projects elsewhere.

Lessons and Recommendations

- Plan for follow-up training at least every five years.
- Where relevant business plans exist, stick to them as far as possible, but modify them as new information becomes available. Do not deviate from them unless for good reason.
- Train capable community members in business plan development.
- Appoint a consultant to set up a legal entity(ies) for managing revenue and enter into agreements.
- Develop a constitution and code of conduct for the PFM Committee.
- Ensure adequate infrastructure such as roads and water - negotiate with the local municipality to improve access roads and ensure that piped water is reliable (a water tank for storage is essential), also harvesting rain-water from roofs will increase self-reliance.
- Set up accountable monitoring systems for financial and environmental management.

2. *Medicinal plant nurseries:* The establishment of commercial medicinal plant nurseries will reduce the dependency of the traditional healers on harvesting some of the plants in the forests. More specifically:

- The nursery should be at least 0.5 ha in size.
- Remuneration should be realistic and equitable - in this case less than or equal to 40% of sales.
- Products must be packaged to add value to the final product.

- Invest donor funds in fencing, training, the provision of irrigation systems and specialist consultants.
- Large trees cannot be cultivated in nurseries. The bark of *Protorhus longifolia*, *Strygnos henningsii* and *Schotia latifolia* is in high demand and can be harvested sustainably from the forest in longitudinal strips, while at the same time re-planting seedlings and saplings of these trees within the forest patches.
- Involve those community members who are already cultivating medicinal plants at home, in the communal nursery.
- Find markets for medicinal plants outside the Ngqabarha Administrative Area.
- In the short term: link the PFM committee up with muti shop owners in nearby towns and cities. Involve botanists who specialize in the development of medicinal plant nurseries.
- Longer term: make contact with pharmaceutical companies, using consultants as go-betweens and involve NGOs such as Biowatch that specialize in intellectual property rights.
- Ensure an adequate supply of irrigation water.
- Use the same area for vegetable production. Intercrop rows of vegetables (cabbages, potatoes, tomatoes) with rows of medicinal plants.
- The nursery must be strategically placed for practical use as well as accessible to tourists. It should be advertised with a clear, attractive sign-board.

Visit other communal gardens in the area and learn from their successes and mistakes.

3. *Crafts*: the community has the skills to produce high quality woven products, but do not have the ability to promote their products or find large markets for them. Therefore:

- Start with five entrepreneurs and aim for eight units per entrepreneur per month. Increase production by 15% annually, aiming to involve 10 entrepreneurs after 10 years.
- Invest donor funds in the upgrading of the craft centre and its infrastructure and signage as well as training and specialist consultants to find markets, as per the attached business plan.
- Specialize in the production of woven goods such as reed mats, trays and baskets for the tourism industry. Supplement it later with wooden carvings and walking sticks.
- Contact the Eastern Cape Tourism Board who can link the community with hotel and lodge owners, game ranches and companies that have tendered to run tourism facilities in Provincial Nature Reserves in Eastern Cape. Enter into contracts with them.
- Display crafts at various festivals e.g. the National Arts Festival in Grahamstown.
- Find a joint venture partner who can market and sell products outside the area.

4. *Commercial woodlot*: A *Eucalyptus grandis* woodlot will reduce the dependency of the community on the forests for building material, firewood and fencing material. Indigenous species that are currently over-utilized like umzimbeet and sneezewood might get a chance to recover if an alternative source of wood is provided. The area has a high rainfall, which makes it easy to establish a woodlot. More specifically:

Find a suitable 9 ha site, taking into account soil types and environmental impacts, and fence it with galvanized wire, using local labour only. Smaller sites (e.g. 6 ha) are not profitable and create very few jobs.

- Source *Eucalyptus grandis* seedlings from DWAF nurseries.
- All activities should take place with the assistance of DWAF estate managers.
- Plant the first 1.5 ha immediately, spacing seedlings 2 m apart. Fertilize with 100 g 2:3:4 fertilizer. Follow up with the second 1.5 ha in year 2, and so on, until year six.
- Harvest the first 1.5 ha after six years. Harvest both stems for poles, and shoots for droppers.
- Trees will coppice and can be harvested in four rotations, after which new saplings should be planted. Coppiced trees produce three times as many stems as the first harvest.
- For the first two years, community members should volunteer their services. In year three, two people can be employed. Increase this to four employees in year 7, eight in year 11, moving up to 15 employees in year 15.
- Poles must be treated locally with creosote. Creosote baths made of drums can be installed in year 6.
- Conduct a thorough investigation of the impact of creosote treatment on the environment and tourism. Take the main wind direction into account when siting the creosote plant.
- Invest donor funds in fencing, the purchase of seedlings, specialist consultants, the purchase of tools, signboards and training, as per the business plan.

5. *Community conservancy and tent camp:* The Ngabarha-Nqabarhana estuary system is unique and scenic. This offers an opportunity for a sensitive nature based tourism facility development. This project has the potential to generate the most income for the community and is also important to sustain some of the other projects that have been suggested.

However, the community needs the assistance of an ethical professional developer to be able to implement this project. Therefore:

- Liaise closely with the relevant local government department such as provincial Department of Environmental Affairs, Eastern Cape Tourism Board, municipalities in the implementation of the IDP, as well as any development plans in the area. There are already plans underway for a community conservancy on the east side of the Nqabarha - link up with it.
- Develop a conservancy vision immediately.
- Start by refining the locally accepted rules and codes of conduct for the use of the conservancy forest patches. Everybody must agree to abide by these rules.
- Create sign-boards, in English and the local language, that prominently display the rules and procedures at each forest patch and at the entrance to the Administrative Area. These rules must be enforced, if not, they will be ignored.
- Establish a three-tent luxury tent camp on wooden platforms and with ablution facilities attached to each tent overlooking the Nqabarha -Nqabarana estuary. The most scenic site must be selected for this. Access roads can be created afterwards.
- Invest donor funds in training, exchange visits to other similar initiatives, infrastructure, initial marketing and specialist consultants.
- Set aside funds to invest in promotion and marketing.
- Involve local people trained through the EU Wild Coast Support project, to do catering, offer horse rides and guided tours.
- Contact any relevant projects in the area to guide, train and supplement activities.

4.8 Enterprise Development and PPP Opportunities in the Straalhoek, Amatola and Mariepskop Forest Areas

DWAF/DFID Report (2003)
By GRM de Beer Consulting

4.8.1 Introduction

In developing enterprises it is important to consider the social, economic and environmental sustainability of such an enterprise. This case study gives a good summary of the aspects to be considered in investigating this "triple bottom line" of potential forestry based enterprises.

4.8.2 Case Summary

The Study

The aim of this study was to identify achievable development opportunities within the physical, ecological, cultural-historical, marketing and socio-economic realities, as well as constraints and opportunities of three state forest areas, namely Straalhoek and Amatola in the Eastern Cape and Mariepskop in Mpumalanga.

Note: This is a consolidation of the results of 3 individual reports into one case study.

Objectives

- To identify sustainable forest related development opportunities that could benefit local communities by way of small enterprise development and income generating opportunities.
- To identify opportunities for the establishment of equitable and sustainable partnerships between the state, the local communities and the private sector.
- To demonstrate the range of different institutional and financial alternatives for the development and utilisation of these DWAF assets.

- To investigate and demonstrate the potential role of supplementary activities (tourism, agriculture, manufacturing, resin tapping, bee keeping etc.) within the context of the DWAF forests.
- To investigate and demonstrate the potential role and impact of the private sector in terms of investment and/or management of proposed enterprises.

The study concentrated heavily on identifying opportunities linked to the physical and social environment. Consultative community workshops were held and field visits were made to the indigenous forest, plantation area and surrounding grasslands and settlements. Experts in the fields of forestry, agriculture and tourism assessed development opportunities.

Straalhoek

The Straalhoek State Forest is located in the Eastern Cape, to the west of the R56 approximately 5 km south-west of the town of Umzimkulu. It represents some of the more extensive Afrotropical forests and includes a large area of pine plantations. These forests have a high socio-economic value in terms of timber (including poles) and non-timber forest products, including medicinal plant species. The biodiversity value is also high, plus they have great scenic value and contribute to the sustainability of water supply.

The land use pattern in the area appears to be centred on subsistence agriculture with livestock playing a very important role. In terms of the indigenous forests, one of the most important resources, namely bark that is used for medicinal purposes, is already harvested in an organised and recognised manner through the Sizamimphilo Plant Harvesters Association.

Amatola

The Amatola forests are located about 120 km west of East London between Stutterheim, King Williams Town and Keiskammahoek.

The predominant vegetation type in the indigenous forest reserve (45 000 hectares) is a mixture of Afrotropical forests, Moist Upland grassveld and fynbos. The natural vegetation has, in areas, undergone significant transformation due to the imposition of various land uses practiced in the area including commercial forestry, crop cultivation, stock grazing and housing development.

The primary strategic function of the indigenous state forest reserve is as a conservation area for the indigenous forests and as a water catchment. The forests are also used to provide limited quantities of indigenous timber for commercial uses.

There is a high reliance by most households, especially the poorest, on the harvesting of a wide range of natural resources from the forests as a livelihood strategy. The main uses for the forests are for the grazing of cattle and livestock, for medicinal plants, for firewood, for construction and fencing timber, and probably for seasonal fruits and other natural products.

Mariepskop

The Mariepskop complex is located in the Drakensberg mountains, due west of Acornhoek and southwest of Hoedspruit. It is located adjacent to the existing Blyde River Canyon Nature Reserve. The predominant vegetation type in the indigenous forest reserve (17 000 hectares) is a mixture of high altitude montane grasslands with indigenous Afrotropical forests in the ravines.

The primary strategic function of the indigenous forest reserve is as a conservation area for the indigenous forests and as a water catchment.

As in Amatola, there is a high reliance by most poor households on the harvesting of a similar range of natural resources from the forests as a livelihood strategy.

Key Findings and Actions

Enterprise Development Opportunities

Straalhoek

Based on its natural resource base, Straalhoek has limited potential for the development of financially successful projects that may benefit surrounding communities. An important resource, namely bark for medicinal purposes, is already harvested in an organised and recognised manner. The production of decorative foliage (in particular from forest ferns) holds promise but logistics and market access need to be assessed.

Other interventions in the Small and Medium Enterprise (SME) sector as well as growth in tourism outside of Straalhoek State Forest are critical.

The Straalhoek forest area can play its role but can in no way provide all the solutions to the development problems of the Umzimkhulu area.

Amatola and Mariepskop

The following projects are proposed for Amatola and Mariepskop:

- Facilitating community based uses of forest products. This is already in implementation, and these activities are clearly very important to the local communities. However, in terms of longer-term sustainability issues it is important that an accurate assessment is made of current extraction rates. Based on the outcomes of such studies, strategies to limit and/or increase extraction can be designed and implemented. Funding for such studies will need to be sourced from the state or via donor agency programmes.
- The development of a luxury hiking trail and the parallel development of adventure tourism facilities.

For the Amatola, the following two projects are also proposed:

- Upgrading the existing Amatola Hiking Trail. This is directly focused on addressing some of the most fundamental and well-known problems associated with the operation of the existing Amatola Hiking Trail, such as improving the quality and reliability of service associated with the operation of the trail, and enhancing the perceived safety of hikers.
- Foliage production and export project. This is a low risk venture providing that the feasibility studies confirm the availability of natural product and the ability to cultivate additional products.

Design Principles for Tourism Development

- In view of the very sensitive nature of the indigenous forests detailed, Environmental Impact Assessments (EIAs) will need to be conducted at the expense of the successful bidder(s) where sites are proposed for the development of accommodation, as well as the construction and operation of all adventure tourism activities. Building plan EIA approval will be the responsibility of the provincial government.

- There must be a clear allocation of responsibilities between key role players for the main functions involved in tourism development (state, private sector and local communities). Broadly defined, the main functions include tourism development, environmental regulation, environmental management, and SME development and support. It is essential that there is a common understanding between the role players of these responsibilities.
- Private sector investors require secure land tenure arrangements (e.g. a 20-30 year lease/concession which can be registered at the deeds office) as a means to provide security for their investment.
- Besides tourism development, specific provision must be made in the planning and selection process for the identification of opportunities for, and support to SME development.
- Dedicated support is required for training and capacity building. A critical component of the community empowerment process is their ability to assume proportionate control over the spectrum of tourism functions. This is unlikely to be achieved in outlying rural areas without very significant capacity-building interventions.
- It is important to ensure that the community gets a mix of immediate and long term (usually profit related) returns on their investments. An immediate and steady income flow is a very important component of the financial package for poorer communities.
- The contractual arrangements underpinning the community/private sector partnership need to be subjected to a periodic review (five years) to ensure that they remain market related.
- The optimal financial structure is one which ensures a win/win situation and must allow for: normal commercial returns to property developers and entrepreneurs; secure long term financial backing as a means of financial sustainability; ensure defensible returns to the state and/or communities; secure, as far as possible, large up-front developments that have a positive impact in terms of injecting money into the local economy.

- In exchange for the rights to develop and operate tourism facilities within these forests, the developers (private sector and/or community) should be required to pay a lease concession fee to the state (as land owner). These fees could in turn be utilised by the state in support of the ongoing conservation and socio-economic development initiatives within and adjacent to these reserves.
- When deciding between prospective bids and bearing in mind the extremely competitive nature of the tourism industry, it is imperative that the bidder's existing financial capacity, existing marketing capacity, and existing capacity to "put heads in beds" is considered. Clearly the bidder must have the capacity to ensure the long-term sustainability of the enterprise.
- A strategic development plan, and a regulatory framework (including the environmental management plans and procedures) needs to be put in place prior to the mobilisation of investors and/or the development of the chosen tourism nodes.
- The planning, implementation and tendering processes must be supported by a broadly based publication and information dissemination campaign. There must be opportunity for interested parties to provide feedback into the process.
- The attainment of tangible results - particularly positive returns on investments - takes a considerable amount of time. Do not create or allow unrealistic expectations to develop.

Process for SME Development

DWAF could consider the following policies to assist with SME opportunities within the state forests and its sphere of influence:

- Assisting in the identification of targeted entrepreneurial opportunities within the state forests - promotion of group activities should not be at the expense of emerging or existing individual entrepreneurs.

- In the planning and design of new ecotourism projects/developments within state forests, those non-core business activities which lend themselves to entrepreneurial opportunities should be identified, separately structured into potentially viable commercial ventures, and be made available to entrepreneurs.
- Mobilising NGO's, development finance institutions, and commercial banks to extend their financing outreach to entrepreneurs in those areas, and to provide assistance in overcoming constraints related to guarantees and collateral required to secure financing for entrepreneurs.
- Mobilising resources for technical assistance to entrepreneurs (e.g. product development, low level technology transfer, and market research).
- Supporting efforts to contract local contractors as opposed to DWAF's own employed labour, in competition with local entrepreneurs.
- Strengthening the capacity of local structures to communicate within the communities (in respect of systems and procedures) to ensure an adequate flow of information to entrepreneurs about business opportunities and the requirements of such opportunities through, for example, local business service centres.
- Mobilising training institutions towards training delivery according to the technical and business training needs of entrepreneurs.

Proposed Criteria for Project Selection

As a basis for selecting the most likely projects, the following criteria are proposed:

- Select a project that can be implemented within a period of six months. (i.e. there should be no land claim related conflicts, or institutional conflicts within a community(ies) that will jeopardise the projects implementation and long-term operation).
- The selected project should have the capacity to impact positively on as many communities as possible.

- The selected project should provide the opportunity for members of the local community to participate directly in the ownership, management, and operation of facilities.
- The project should be one that has the ability to generate new/additional employment opportunities (rather than recycling or re-packaging existing opportunities).
- The selected project should, if possible, be one where there is an existing, proven demand. This criterion is specifically intended to reduce commercial risks.
- The project should be one that has the potential to attract private sector investment interest. The most likely areas of private sector participation could include:
 - Participation in the marketing, logistics and product development;
 - Direct investment of financial resources in the development of new accommodation facilities and tourist activities.;
 - The sharing of technical expertise in terms of boosting tourism demand, developing accommodation, and design and construction of forest based tourism facilities.
- The project must have the 'in principle' support of the DWAF officials responsible for management of the forests plus it must have the 'in principle' support of the relevant community structure (such as the PFM Committees and the traditional and elected structures).
- The selected project must be environmentally sustainable.
- The project must be one that can legally be implemented. (In particular, the project should not be in conflict with the NFA, PFM principles, the Public Finance Act, and nor should the project be negatively influenced by outstanding land-claims, etc.)

4.8.3 Lessons Learnt and Recommendations

Lessons and Recommendations	
1.	Different state forests have different potentials. As an example the Mariepskop State Forests has a much greater potential considering its location, adjoining the Blyde Canyon Nature Reserve in the Kruger to Canyon Biosphere.
2.	<p>The smaller forest estates in more remote, isolated areas might require substantially more funds for a proper assessment and planning than larger estates, and require more and wider input to creatively realise benefits because:</p> <ul style="list-style-type: none"> • They have an intrinsically lower potential; • Less is known about their inherent opportunities and limitations; • Any development will be logistically more expensive because of a lack of basic infrastructure and communication.
3.	<p>The long-term sustainability of current harvesting rates of forest products has yet to be scientifically assessed. It is possible that current extraction rates are not sustainable, and that if no interventions are made to control these rates, the survival of the indigenous forest may be directly threatened.</p> <p>Related to this, a detailed understanding of trends in terms of demand for local subsistence consumption, as well as extraction to supply a growing commercial demand for external markets (often in Gauteng and Durban) is urgently required.</p>
4.	Tourism market demand research and an assessment of future growth are critical in order to make the right recommendations on tourism development. This research is lengthy and costly. Nevertheless it is important that it is being done thoroughly, particularly as local stakeholders may have an overoptimistic expectation of tourism potential.

5.	<p>Tourism opportunities that are being identified in remote areas will require tourism awareness and tourism safety training for the communities involved in addition to the normal costs of marketing, infrastructure and facility development.</p>
6.	<p>It must be noted that the initial hype and enthusiasm regarding tourism development has been tempered by the realities of how difficult it is:</p> <ul style="list-style-type: none"> • To secure private sector investment (especially international investors); • To resolve land claims speedily; • To compete with and/or compliment existing tourism products in the market; • To boost tourism demand for new tourism products and facilities; • To generate a reasonably positive revenue flow from the new tourism developments within the first 1-5 years.
7.	<p>Both high and low potential state forests require linkages to be established with the surrounding areas. Within the spirit of PFM surrounding communities need to be drawn in, yet the indigenous forest patches may not yield significant benefits on a sustainable basis.</p> <p>It is thus beneficial to see the state forest as a nucleus with higher resource levels (including access to expertise) that can be used to uplift surrounding areas. The danger is that DWAF may start implement programmes that are not its primary function but the responsibility of other government departments.</p> <p>Planning and development should thus be seen as fitting within broader local, provincial and national development programmes with DWAF being the facilitator or lobbyist (not the implementer) for improvements/projects outside of the forest area.</p>

8.	<p>To decide on how far and at what level DWAF may become involved outside the state forest, criteria may include "the zone of influence and involvement defined by that area and those communities that are directly dependent on the state forest or that impact on its conservation".</p> <p>This would justify involvement outside the boundaries of the state forest, as it would directly benefit the state forest.</p>
9.	<p>It must be noted that, however much one takes pains to limit community expectations, they invariably are being awakened through the community consultation and workshop process.</p>
10.	<p>There appears to be little integration between the commercial plantation areas and the indigenous forests in terms of resource utilisation, development and activity control. It is important that the privatisation of plantations is undertaken with cognisance of their role in terms of natural resource extraction, community benefits and potential integration in tourism development.</p>
11.	<p>There must be an appropriate institutional structure (for example a Communal Property Association, a Company/Section 21 Company, a Community Trust or Co-operatives) within the community to mobilise, manage, receive, and utilise benefits that accrue from development projects. Also, a strong focus should be on supporting individuals coming from within the disadvantaged communities alongside the state forests.</p> <p>Development models should attempt to create viable small businesses in agriculture and supporting industries. The entrepreneur should be empowered to employ people rather than the perception that the state employs people.</p>

12. Key concepts in the development of a tourism project:

- Develop something unique.
- Develop a tourism product that provides the tourist with access to multi-faceted tourism experiences.
- Realise that many prospective users have very limited leisure time, and that tourists are not necessarily always fit - a shorter hiking trail may be appropriate.
- It is important to add value by developing a trail in a manner that would generate as much employment, entrepreneurship and revenue as possible.
- Minimise the risk of failure by structuring the business as a partnership comprising parties whose strengths are identified as being potentially complementary.
- Maximise the inherent development potential for adventure tourism activities.



5. Summary of Case Studies

PFM PARTNERSHIPS		
COMMUNITY INVOLVEMENT IN FOREST MANAGEMENT - A REGIONAL PERSPECTIVE	2001 - Dr. Patrick W. Matakala and Dr. Freddie Kwesiga	DANCED/Danida: Sustainable Forest Management in Southern Africa Workshop Proceedings -FAO/ICRAF Report
PARTICIPATORY FOREST MANAGEMENT IN SOUTH AFRICA	2004 - Isla Grundy and Nicola Michell	Chapter from Indigenous Forests and Woodlands in South Africa: Policy, People and Practice, Ed. Mike Lawes <i>et al</i> , UKZN Press
A REVIEW OF POVERTY IN SOUTH AFRICA IN RELATION TO FOREST BASED OPPORTUNITIES	2003 - Fonda Lewis, Claire Blanché, Mark Todd - Institute of Natural Resources	DWAF/WFSP/DFID Forestry Programme Report
COMMUNITY PERCEPTION REGARDING DWAF	2003 - Kwetsima Consultants	Consolidated Report of PFM Community Perception Survey - (DWAF/Danida Report)
LAND RESTITUTION, CONFLICT AND PFM		
INDIGENOUS STATE FORESTS UNDER LAND CLAIMS: CHALLENGES	2002 - IUCN-SA and ART-SA	DWAF report

LAND USE RIGHTS AND CONSERVATION STATUS: ESTABLISHING A LEGAL ENTITY FOR REPRESENTING THE COMMUNITY	2003 - Dawie Bosch	GTZ Transform
DUKUDUKU PFM PROJECT, KWAZULU-NATAL	2001 - Juana Horn	DWAF report
DUKUDUKU - THE FOREST OF OUR DISCONTENT	2003 - AFRA	Special Report
NTENDEKA PFM PROJECT KWAZULU-NATAL	2001 - Juana Horn	DWAF report
GUIDELINES FOR PARTICIPATORY FOREST MANAGEMENT IN NTENDEKA WILDERNESS AREA	2001 - Institute for Natural Resources	Investigational Report No. 230
FOREST AND FENCE	2001 - Isla Grundy	A Case Study of Forest Use and Management in South Africa DWESA/CWEBE - DWAF/DFID Documentary Video
THE MAKULEKE REGION OF THE KRUGER NATIONAL PARK: EXPERIENCES AND LESSONS LINKING COMMUNITIES TO SUSTAINABLE RESOURCE USE IN DIFFERENT SOCIAL, ECONOMIC AND ECOLOGICAL CONDITIONS	2001 - Dr. Stephen Turner, Steve Collins and Johannes Baumgaart	DEAT/GTZ Transform CBNRM Report

PFM AND FOREST PRODUCT UTILISATION		
FUELWOOD REPORT FOR PFM COMMUNITY PERCEPTION SURVEY	2003 - Kwetsima Consultants	DWAF/DME/Danida Report
UMZIMKHULU BARK HARVESTING: MEETING THE DEMAND FOR <i>OCOTEA BULLATA</i> BARK	2004 - C.J. Geldenhuys	Chapter from Indigenous Forests and Woodlands in South Africa: Policy, People and Practice, Ed. Mike Lawes <i>et al</i> , UKZN Press
SUSTAINABLE HARVESTING OF ROOIWORTEL (<i>BULBINE LATIFOLIA</i>) FOR MEDICINAL USE FROM NATURAL FORESTS IN THE SOUTHERN CAPE	2004 - W.J. Vermeulen	DWAF report
HARVESTING OF SEVEN WEEKS FERN (<i>RUMOHRA ADIANTIFORMIS</i>) FROM NATURAL FORESTS OF THE SOUTHERN CAPE	2004 - W.J. Vermeulen, L. du Plessis, H. Herd	DWAF report
COMBINING SCIENTIFIC AND LOCAL KNOWLEDGE IN THE EASTERN CAPE	2001 - Rhodes, Fort Cox and UNITRA for DWAF	DWAF report

MANAGING PARTICIPATORY FORESTRY		
ROODEWAAL PFM PROJECT, LIMPOPO PROVINCE	2001 - Juana Horn	DWAF report
ASSESSING NEW REST (PIRIE) PFM PROJECT, EASTERN CAPE	2001 - Juana Horn	DWAF report
AN EVALUATION OF PFM IN THE SOUTHERN CAPE	2002 - Juana Horn	DWAF Report
ISIDENGE PFM PROJECT FACILITATION, EASTERN CAPE	2003 - Umsobomvu Development Consulting (PTY) LTD	DWAF report
FOREST RESOURCE USE AND CONSERVATION IN THE EAST GRIQUALAND AREA OF KWAZULU NATAL	2003 - Environment, Economic and Social Impact Assessment Consultants (EESIA), NDG-Africa Environment and Social Development Consultants	DWAF Report
COMMUNITY FORESTRY PROJECT IN THE BUSHBUCKRIDGE AREA, MPUMALANGA	2001 - Marius du Toit, Laura Yeatman and Lise Andreasen	DANCED/Danida: Sustainable Forest Management in Southern Africa Workshop Proceedings - DANCED/DWAF report
FEASIBILITY ASSESSMENT OF PFM PROJECTS IN NQABARHA ADMINISTRATIVE AREA, EASTERN CAPE	2004 - Mafa Environment and Development CC	GTZ Transform, Danida and DWAF draft report

ENTERPRISE DEVELOPMENT AND PPP OPPORTUNITIES IN THE STRAALHOEK, AMATOLA AND MARIEPSKOP FOREST AREAS	2003 - GRM de Beer Consulting	DWAF/DFID Report
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