FOREST GOVERNANCE LEARNING GROUP IN SOUTH AFRICA:
Enabling practical, just and sustainable forest use

PHASE 2 WORKPLAN
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1.   Introduction

Many lists of ingredients for good governance in forests are available. The challenge is therefore not *what* but *how* to put the right leadership, institutions, policy decisions and practical systems in place. The Forest Governance Learning Group (FGLG) aims to respond to this challenge. FGLG is an alliance of independent agencies in Africa and Asia, aiming to exchange and spread learning about enabling practical, just and sustainable forest use. It is coordinated by the International Institute for Environment and Development (IIED). South Africa is one of the African States where the FGLG is active[1].

Internationally, the work of the forest governance learning group covers four outputs:
- **Output 1***. Poverty reduction strategies, national forest programmes, decentralisation programmes* and related processes that better enable improved forest governance;
- **Output 2***. Illegal and corrupt forestry that degrades livelihoods is reduced* through the adoption and spread of practical approaches to improve forest governance;
- **Output 3***. Forestry enterprise initiatives and private sector associations* that comply with the law and spread practical approaches to improve forest governance;
- **Output 4***. Ownership, access rights, policy and management frameworks* that are improved to support local control and benefit from forestry.

The purpose of the work is threefold: to (i) spread learning about workable approaches to good forest governance; (ii) make measurable progress in improving sustainable local returns to livelihoods from law enforcement, private sector responsibility and enhanced local ownership and access rights; and (iii) build long-term capacity to spread these improvements.

2.   Focus in South Africa

In South Africa, a key issue in forestry[2] is to expand control and benefits to a broader base of people, particularly to poorer people to improve their opportunities, incomes and livelihoods. This priority is recognised by government in (a) the poverty reduction principles in all departmental policies and (b) the broad-based black economic empowerment (BBBEE) initiative.

In provinces where forestry could expand to benefit a greater number of people (KwaZulu-Natal and Eastern Cape in particular), potential small-scale foresters (as growers, employees or contractors) are constrained from entering or expanding forestry operations because of the tangle of institutions and regulations at the local level. The roles and responsibilities of the various institutions involved – in particular municipalities, but also others including traditional leadership and government departments such as Land Affairs (DLA) or Water Affairs and Forestry (DWAF) – are not always clear. The lack of clarity is due in part to a simple lack of information among local people, but is also due to real transitional contradictions and overlaps in roles and responsibilities.

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[1] For an overview of the work of the FGLG internationally see www.iied.org/NR/forestry/projects/forest.html. A CD-ROM of all documentation produced by the Group in its inception phase 2003-2004 is available from forestry@iied.org
[2] Forestry in this context includes plantations, natural forest and woodlands.

Therefore it is proposed that the FGLG in South Africa tackles questions around the *roles and responsibilities of stakeholder institutions* in increasing the potential for poor people to achieve a greater share of benefits from forestry. The main vehicle for clarification of these roles is the small forest enterprises' support and development strategy (SFESDS), which is under development led by the FGLG-SA. The specific purpose of the second phase of the FGLG-SA is to **bring the SFESDS to maturity**. This is explained further in Section 4 below.

3.   Aims and objectives of the FGLG-SA

The overall aim of the FGLG-SA is to *clarify the roles and responsibilities of different institutions in enabling small forest enterprises* via the SFESDS. The FGLG-SA will works through a country learning group, explained in more detail in a later section. To achieve the overall aim of the FGLG-SA, the following objectives have been identified:

- Discuss and promote practical governance solutions among relevant institutions;
- Enable participatory problem identification, analysis and suggestion of policy options around the roles and responsibilities of stakeholder institutions in widening the benefits and control of forestry – leading to integrated policy processes and research, rather than duplication[3];
- Expose group members, especially those who do not work formally within the forest sector, to practical discussion and learning on forest governance;
- Share practical examples of good practices;
- Produce and roll-out practical guidance and/or governance tools for relevant institutions;
- Recommend training sessions and targeted learning events;
- Advocate among government and industry at various levels and thereby link ground experience into central policy directions;
- Provide targeted inputs into policy and strategic processes, using the framework of SFESDS, such as the forest sector charter, the national forest programme (NFP), the provincial growth and development strategies (PGDS), and the integrated development plans (IDP);
- Influence commitments of group members to implement and take forward recommendations made and agreed to by the group.

The learning group will be organised to provide stimulus and direction to the forest sector SFESDS identified as one of the deliverables through the forest sector charter. However, the objectives of the learning group are not to provide a "call-down" service to the sector, but rather to stimulate practical governance solutions and policy implementation among a wide set of agencies and individuals. Hence the outputs of the learning group will emphasise:

- Action points and recommendations for the whole of the learning group and the full set of institutions whose roles and responsibilities are under discussion;
- Practical governance solutions and means of policy implementation, rather than formulation of further policy.

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[3] E.g. recent work, on streamlining stream flow reduction licensing, on opportunities for forestry in municipalities across the country, on the potential of different models of small-scale timber growing for poverty reduction, on the potential of contracting for poverty reduction (much relevant research work has been sponsored by the WFSP)

4.   Bringing the SFESDS to maturity

The small forest enterprises' support and development strategy (SFESDS) will provide an organising framework for the themes of the FGLG-SA, and ultimately for the sector. The aim of such strategy is to provide a framework for required resources, and to clarify roles and responsibilities amongst relevant agencies. Components of the SFESDS might include, but are not limited to:

- Capturing new opportunities for small forest enterprises (SFE);
- Small forest enterprises (SFE) development throughout the value chain including growing, contracting, non-timber forest product enterprises and value addition;
- Management of small forest enterprises;
- Skills and capacity development of SFE focusing on organisational, technical, and business areas;
- Provision of resources and services to support SFE including fund facilities, and extension and business respectively;
- Endorsement and/or provision of incentives to SFE including SFRA licensing charges, water use charges, property rates, and environmental impact assessments.

The first phase of the FGLG-SA has engaged stakeholders in the process of developing the SFESDS, secured the approval and mandate of participating agencies, (including representatives of SFE organisations, government departments such as DWAF and DED, local government, parasitical such as FIETA and IDC, financial organisations such as ABSA and NedBank, private sector and independents), undertaken a full SFE situational analysis, and developed working groups on key aspects of the SFESDS. To ground this progress in reality, the FGLG-SA is collaborating with the sector role players on field projects in four provinces, viz. KwaZulu-Natal, Mpumalanga, Limpopo and Eastern Cape. Additional activities have included workshops with SFE, predominantly growers, on appraisal of their issues and alternative business models, participation in national and international forums, and outreach to support agencies such as finance institutions.

The main purpose of the second phase of the FGLG-SA is to bring the SFESDS to maturity. This will involve:

- Capturing the expertise of the learning group, supplemented where necessary by other sources and stakeholders, on each of the key recommendation areas of the SFESDS;
- Preparation of text to express the key recommendations of the SFESDS in each of the key areas;
- Strategic inputs to policy and implementation processes at national level, including the forest sector charter and the NFP, and at local levels, including PGDS and IDP;
- Collaboration with the sector agencies in pilot field projects to roll out the recommendations of the SFESDS;
- Assistance with preparation of practical tools and support materials arising from the SFESDS, such as business guides for SFE, and explanatory briefs for the sector support agencies.

5.   Methodology of the FGLG-SA

The learning group in South Africa will take an informal, flexible and broad-based structure to create opportunities for engagement among groups who do not otherwise have forums to confer on forest governance. The group is a mix of junior to senior professionals, of local municipality to national-level representatives, and of forestry and non-forestry practitioners. A special emphasis is put on engaging members to broaden learning on practical forest governance issues and to feed up field experience to influence higher policy levels.

Group members include a mix of "core" and "call-in" members. The learning group is not intended to be a formal, representative structure and hence the core membership will not attempt to provide comprehensive coverage across agencies and geographical areas. Instead it will be an agile and provocative group able to provoke and stimulate governance, rather than to provide the fully legitimated multi-stakeholder position.

"Core" members of the group include:
- Officials in district and/or local municipalities in areas with high forestry or potential;
- Official in DWAF both from regional and national levels;
- Civil servants in other relevant government departments (e.g. DLA, DED and DTI);
- Small and medium forest enterprises;
- Dynamic individuals without representative status who can bring fresh stimulus to the group, from outside the usual professional or sectoral boundaries;
- Officials from parasitical organizations including FIETA and IDC.

"Call-in" members of the group include:
- Community-level representatives;
- Representatives of development-oriented NGOS and people's organisations, including those which do not have a primary focus on forestry;
- Representatives of large forest enterprises;
- Financiers and insurance agencies;
- Experts in particular subject areas.

The group will work through a series of workshops and learning cycles as described in Section 7 below. The group convenor will maintain the group, convene workshops, distribute information regularly and maintain momentum. The convenor, Steven Ngubane of Forestry South Africa, who has convenorship has been re-endorsed by the group following the success of the first phase of the FGLG-SA, will take responsibility to advance membership of the group beyond the obvious candidates who already interact regularly on forestry issues to a wider set of active agencies and individuals.

In addition, it is proposed that a service provider be contracted to provide recording, writing and documentation services to the FGLG-SA. This is aimed at providing a quick turn-around on recording, writing, documenting and producing FGLG-SA's relevant practical tools and/or instruments including SFESDS, and strategic briefs for various processes. This has budgetary implications, and in essence, means more resources need to be secured for this purpose. To this end, IIED has been mobilised, and is exploring options for support. Furthermore, other organisations have been, and are being, mobilised to partner, and complement existing resources, including:

- Ford Foundation – who welcomed the call, and requested that the convenor to draft a concept proposal in taking the process forward to explore possibility of harnessing their potential support;
- DWAF – a formal request will be forwarded, and should be re-enforced with the FGLG-SA contribution to the forest sector charter implementation as SFE strategy is one such identified deliverable.

Until such time as additional resources and/or support has been secured, the group will continue its work as scheduled, and closely supported by the IIED country contact person, Sonja Vermeulen.

6.   Outputs of the FGLG-SA

The FGLG-SA will deliver on all four of the international outputs of the FGLG (see introduction). Specific outputs are listed below under these international outputs, and are linked to activities in the logical framework at the end of this document:
- **Output 1***. Poverty reduction strategies, national forest programmes, decentralisation programmes* and related processes that better enable improved forest governance
    - Small Forest Enterprises' Support and Development Strategy developed, and recommendations installed within all key agencies and among SFEs;
    - Roles and responsibilities of agencies in supporting SFEs clarified;
    - Strategic and technical inputs and recommendations made and delivered to various processes including the forest sector charter, NFP, PGDS and IDP;
    - Capacity building through broad-based learning events.
- **Output 2***. Illegal and corrupt forestry that degrades livelihoods is reduced* through the adoption and spread of practical approaches to improve forest governance
    - Small Forest Enterprises' Support and Development Strategy developed, and recommendations installed within all key agencies and among SFEs, to enable legal practices;
    - Roles and responsibilities of agencies in relevant legal processes, including licensing for small forest enterprises, clarified and streamlined;
    - Incentives for legal and viable SFEs agreed and installed as part of SFESDS.
- **Output 3***. Forestry enterprise initiatives and private sector associations* that comply with the law and spread practical approaches to improve forest governance
    - Small Forest Enterprises' Support and Development Strategy developed, and recommendations installed within all key agencies and among SFEs, to enable legal compliant start-up and viability of SFE initiatives;
    - Roles and responsibilities of agencies supporting SFEs are clarified;
    - Representative organisations for SFEs supported and their capacity developed.
- **Output 4***. Ownership, access rights, policy and management frameworks* that are improved to support local control and benefit from forestry
    - Small Forest Enterprises' Support and Development Strategy developed, and recommendations installed within all key agencies and among SFEs, to provide appropriate policy and management frameworks to support local control and benefit;

- o Roles and responsibilities of agencies supporting SFEs to advance ownership and secure rights on forest land are clarified;
- o Site-specific participatory reviews of land tenure and forest resource access for case-based learning.

7.   Implementation plan

An implementation plan is provided below as well as logical framework for activities in Section 10 to explain in more detail the methodology and thinking behind operationalising the intended outputs of the FGLG-SA. The comments provided in the implementation plan below reflect discussion with other FGLG country teams at the December 2008 International Learning Event in Bhopal, India.

Main purpose	Methodology	Potential impact	Potential limitations	Comments
Catalyse development of SFE support and development strategy (SFESDS)	Outsource SFESDS packaging services; workshop different components of SFESDS; mobilise key role players based on SFESDS; facilitate creation of information & capacity;	Provide strategic coordination; facilitate sustainable project development; facilitate sector customised SME programme; facilitate achievement of various policies, e.g. forest sector charter & KZN industrial development policy;	Time for implementation; perceived lack of buy-in from key role players;	FGLG-SA would focus on promoting uptake of SFESDS with key role players
Consolidation of inputs into various planning processes	Appraisals, participation on key identified processes; mobilisation of key role;	Facilitate achievement of integrated planning on SFE issues;	Perceived lack of buy-in from key role players; timing;	Impact on on-going exercises
Host &/ co-host SFE events	Workshops; meetings; presentations; programmes;	Effective communication & information dissemination; awareness creation on FGLG-SA role on SFE development;	Financial resources; time;	Partner &/ leverage resources with other key stakeholders
Pilot implementation of SFESDS	Mobilise key role players based on SFESDS; meetings; presentations;	Facilitate uptake of SFESDS components & integrated planning;	Time for implementation; perceived lack of buy-in from key role players;	Interact with key stakeholders simultaneously to the development of SFESDS

8.   Activities towards the objectives and outputs of the FGLG-SA

The main purpose of the second phase of the FGLG-SA is to bring the SFESDS to maturity. To this end, the recommendations of the SFESDS, and other the outputs, will be generated by drawing on the expertise of the group through a series of one-day workshops, with preparation and follow-up to the workshop that constitute a "learning cycle". Each workshop will focus on one component of the SFESDS, and will produce a set of specific practical recommendations for specific agencies. Each workshop will follow a carefully designed action-oriented workshop agenda. Build-up to the workshop will involve preparation of information pertinent to the theme, and planning of activities and facilitation for the event. Outputs for each workshop will be sets of short and punchy recommendations not more than 2/3 pages in length – where more information is needed, several shorter briefs rather than one long document will be prepared. Where appropriate, a specific case study will be used, with the intention not only to learn from it but also to move the case forward. A detailed activity log frame is included at the end of this document.

9.   Management and timeframe

Achieving the main purpose of the FGLG-SA second term within timeframe will require a clear and pragmatic scheduling of events and activities to maintain learning cycles and to achieve the set of project outputs needed to bring the SFESDS to maturity. The ongoing timetable will be devised and managed by the FGLG-SA under the guidance of the convenor.

10. Logical framework for activities

Outputs and Indicators (of the international forest governance learning group project)	Outputs and activities in South Africa (contributing to the international outputs)	Preparatory activities in South Africa	Budget (In Euros, noting too where further funding will be sought)
1.1 Entry points are identified, in the formation and implementation of Poverty Reduction Strategies (PRSs), national forestry programmes (nfps), decentralisation and related programmes, to make forest governance improvements such as tackling illegality, increasing local ownership and access, and enabling sustainable community forest management	Major entry point to national policy has been identified as Small Forest Enterprises' Support and Development Strategy (SFESDS) developed, and recommendations installed within all key agencies and among SFEs; Strategic and technical inputs and recommendations made and delivered to various processes including the forest sector charter, NFP, PGDS and IDP;	Convener to ensure that FGLG-SA maintains links with all relevant policy entry points Convener to maintain meetings and learning cycles, ensuring full follow-through	Human res Travel Equip & supplies Office costs Other costs
1.2 Forest Governance Learning Group (FGLG) - of key decision makers both inside and outside the forest sector - agrees to implement well targeted change within the above programmes	Small Forest Enterprises' Support and Development Strategy developed, and recommendations installed within all key agencies and among SFEs; Strategic and technical inputs and recommendations made and delivered to various processes including the forest sector charter, NFP, PGDS and IDP;	Convener to maintain meetings and learning cycles, ensuring full follow-through	Human res Travel Equip & supplies Office costs Other costs
1.3 FGLG work plan defines practical steps to tackle illegal and corrupt forestry, develop responsible forest enterprise and its associations, and improve ownership and access for communities in each of the above programmes	Roles and responsibilities of agencies supporting SFEs are clarified within framework of SFESDS	Convener to keep focus of FGLG-SA on practical issues of roles and responsibilities of various agencies Build partnerships through ground projects	Human res Travel Equip & supplies Office costs Other costs

1.4 Lesson learning, capacity and support for FGLG develops within national and international programmes	Capacity building through broad-based learning events	The group to adopt SFESDS framework for its learning events	Human res Travel Equip & supplies Office costs Other costs
2.1 Initial findings from Sub-Saharan Africa, on practical approaches to address the impacts of illegality-poverty links, promoted widely	Small Forest Enterprises' Support and Development Strategy developed, and recommendations installed within all key agencies and among SFEs, to enable legal practices	Convenor to monitor group membership (both "core" and "call-in") to ensure wide impacts	Human res Travel Equip & supplies Office costs Other costs
2.2 New assessments in South Asia complement body of knowledge and refine approaches to tackling impacts of illegality-poverty links	N/A	N/A	Human res Travel Equip & supplies Office costs Other costs
2.3 Findings shaped into specific guidance materials and tools to effect change within strategic frameworks (PRSs, nfps, decentralisation and related processes)	Incentives for legal and viable small-scale forest enterprises agreed and installed	Convenor to oversee preparation of targeted materials arising from specific components of SFESDS	Human res Travel Equip & supplies Office costs Other costs
2.4 Key decision makers in the above strategic frameworks support practical changes that directly contribute to in-country implementation of the EC Action Plan for FLEGT	Roles and responsibilities of agencies in relevant legal processes, including licensing for small forest enterprises, clarified and streamlined	Convenor to keep focus of FGLG-SA on practical issues of roles and responsibilities of various agencies	Human res Travel Equip & supplies Office costs Other costs
2.5 Training events developed and held to build long term capacity relating to tackling illegality and enhancing livelihoods	See 1.4	See 1.4	Human res Travel Equip & supplies Office costs Other costs
2.6 Evaluations of progress carried out	Full installation and evaluation of Small Forest Enterprises' Support and Development Strategy through government networks	Convenor to supplement monitoring by government and other group members with monitoring through quarterly reporting	Human res Travel Equip & supplies Office costs Other costs

3.1 Understanding developed of the main opportunities and constraints for enterprises in legal compliance	Small Forest Enterprises' Support and Development Strategy developed, and recommendations installed within all key agencies and among SFEs, to enable legal compliant start-up and viability of SFE initiatives;	Convenor to use existing networks to maximise impacts among the small-scale forest sector	Human res Travel Equip & supplies Office costs Other costs
3.2 Necessary steps to foster greater compliance - through changes in policy, technical support, finance, private sector organisation and action within the labour force - identified and widely accepted	Roles and responsibilities of agencies supporting SFEs are clarified	Convenor to keep focus of FGLG-SA on practical issues of roles and responsibilities of various agencies	Human res Travel Equip & supplies Office costs Other costs
3.3 Practical tools and incentive mechanisms implemented to foster strategic change and greater compliance	Specific tools for SFEs are identified and developed	Convenor to oversee preparation of practical tools in clear well targeted formats	Human res Travel Equip & supplies Office costs Other costs
3.4 Best-practice groups established and supported within enterprise associations to implement solutions for greater compliance	Representative organisations for SFEs are supported and their capacity developed	Built into FGLG-SA as the convenor is a representative organisation for small-scale forest enterprise	Human res Travel Equip & supplies Office costs Other costs
3.5 Private sector reporting and monitoring network successfully piloted to exchange information on progress	N/A	N/A	Human res Travel Equip & supplies Office costs Other costs
4.1 Participatory review completed, and reform options identified, on local land tenure and forest resource access and the impact of governance processes	Site-specific reviews of land tenure and forest resource access for case-based learning	Convenor to facilitate broad-based participation in case-based learning	Human res Travel Equip & supplies Office costs Other costs

4.2 Tools and guidance materials delivered to communities and their supporters about how to improve their control over ownership and access rights	Roles and responsibilities of agencies supporting SFEs to advance ownership and secure rights on forest land are clarified Case-based learning delivers site-specific guidance to communities	Convenor to keep focus of FGLG-SA on practical issues of roles and responsibilities of various agencies Convenor to oversee preparation and delivery of targeted materials	Human res Travel Equip & supplies Office costs Other costs
4.3 Key decision makers from appropriate sectors governing land and resource ownership and access engaged by FGLG to strengthen the control by local communities in sustainable forest resource management	Small Forest Enterprises' Support and Development Strategy developed, and recommendations installed within all key agencies and among SFEs, to provide appropriate policy and management frameworks to support local control and benefit	Convenor to ensure strategic links between case-based learning and SFESDS	Human res Travel Equip & supplies Office costs Other costs
4.4 Lesson-learning and training events held in new governance options for secure local tenure and frameworks to foster community based forest management	See 1.4	See 1.4	Human res Travel Equip & supplies Office costs Other costs
4.5 Process of participatory monitoring of changes in ownership, access and policy frameworks installed amongst active community organisations and local NGOs	N/A	N/A	Human res Travel Equip & supplies Office costs Other costs