water & forestry

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Water Affairs & Forestry
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Stakeholder Participation

2005

RAMBØLL

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Figures and Tables

List of Abbreviations

CBO	Community Based Organisation
C,I&S's	Criteria, Indicators and Standards
Danida	Danish International Development Assistance
DWAF	Department of Water Affairs and Forestry
NGO	Non-Governmental Organisation
PFM	Participatory Forest Management
PLA	Participatory Learning and Action
PRA	Participatory Rural Appraisal
RRA	Rapid Rural Appraisal
SANParks	South African National Parks

Acknowledgements

This PFM Guideline was developed using relevant material and information from:

- Generic Public Participation Guidelines, DWAF, September 2001.

- Guidelines for Stakeholder Participation in Integrated Water Resources Management Areas in South Africa, Carl Bro International, March 2001.

1. Introduction

The Department of Water Affairs and Forestry (DWAF) has adopted Participatory Forest Management (PFM) as a general approach to all its activities. PFM seeks to ensure that there is a shared responsibility of forest management between key stakeholders and the state, and that there is a sustainable flow of benefits to key stakeholders. Through PFM, DWAF thus strives to consider local people's forest-based needs, their role in sustainable forest management and their involvement in decision-making processes. The PFM approach entails multiple stakeholder involvement and the development of efficient strategies and mechanisms to ensure the effective participation of all stakeholders.

Incorporating stakeholders into forest management and decision-making is a recent practice in the country. As a result, few management agencies or local rural communities have had much experience in identifying relevant stakeholders and effectively engaging and interacting with them. This document serves to provide guidance and information on participation techniques and procedures, and how to effectively and sustainably engage with stakeholders.

This Guideline is part of the PFM Guidelines developed during the DWAF/Danida PFM Project (2001-2005). The PFM Guidelines aim to empower DWAF staff, the new custodians of the State forests and partners at local level to implement the new DWAF Forestry Vision. The PFM Guidelines are meant to support community upliftment in accordance with the DWAF Criteria, Indicators and Standards for Sustainable Forest Management.

2. About this Guideline

2.1 Aim and Objectives

This Guideline aims to provide an understanding of the concepts, methods and the implementation of the participation of stakeholders, whether for a particular project or participatory management activities and shared decision-making regarding the forest.

Since every situation is different, the procedure, methods and examples included here are fairly simple and broad in their approach and can be adapted to each different situation. In many cases it will be best to use more than one method or participatory technique during the participatory process. Some participatory techniques require some form of training to ensure their effective and successful use. Alternatively, it may be appropriate to hire a facilitator to implement these techniques.

The objectives of this Guideline are to:

- Provide an understanding of the reasons and principles of stakeholder mobilisation and participation in the PFM context;

- Explain how to prepare, plan and implement a participation procedure;

- Explain how to disseminate, gather and share information using appropriate methods;

- Provide participatory techniques to effectively conduct workshops and meetings.

2.2 Who is this Guideline for?

The target groups of the Guideline are various organisations responsible for forest management. This includes regional DWAF staff, the new custodians of the state forests such as SANParks and provincial government, PFM Forum/Committee members, NGOs, development organisations, etc.

This Guideline will also be helpful to many other organisations that have adopted or are establishing public participation programmes to build lasting relationships with the surrounding communities.

2.3 How to use this Guideline

Chapter 3 deals with the aspects and elements of stakeholder participation and explains the reasons for stakeholder participation.

Chapter 4 outlines the principles in stakeholder participation.

Chapter 5 and 6 give essential advice on the procedure, methods and techniques to use during the process.

Annex 1 provides details on stakeholder analysis.

Annex 2 provides a glossary explaining terms used in the text.

Annex 3 presents a list of references used in the text as well as other useful documents, reports and guidelines.

Annex 4 gives an overview of the eight PFM Guidelines.

This Guideline has been produced as a practical resource document as well as for training purposes. Sections of the Guideline can be easily copied for discussions, presentations and other training and development purposes.

Stakeholder participation often requires assistance from an experienced facilitator, preferably with good local knowledge, to motivate the stakeholders and engage them in the process.

3. Aspects of Stakeholder Participation

3.1 What is Stakeholder Participation?

As the forest provides various resources to a number of people, all involved parties must be made aware of one another's needs and collectively decide upon sustainable resource utilization. This includes the mobilisation and participation of all involved **stakeholders**.

A Stakeholder

A stakeholder as an individual group, institution, organisation (government or non-government) or business, amongst others, that could affect, or be affected by the outcome of a particular activity, process or project – either positively or negatively. There are two types of stakeholders, namely primary stakeholders, and secondary stakeholders.

Primary Stakeholder[1]

Primary stakeholders are persons, groups, organisations or other entities that are actively involved in forest–related activities and are directly affected by the participatory approach and can thus significantly influence the process or project. In many cases, primary stakeholders can be viewed as those stakeholders that need to be included if objectives of forest management in the area are to be met.

Secondary Stakeholder

Secondary stakeholders are not directly involved in, or affected by, forest – related activities or the participatory approach. They may, however, be indirectly affected (for example a local shop owner indirectly benefiting from a tourist venture in the nearby forest due to an increased number of customers), or are interested and willing to participate in the process in different ways and stages.

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[1] From DWAF/Danida PFM Guideline: Formation of PFM Forums and Committees (2005)

Stakeholder Mobilisation

Stakeholder mobilisation is often used to describe the process by which stakeholders are first introduced to participatory approaches.

Stakeholder Mobilisation

Mobilisation is the initial process of getting stakeholders interested and aware of the concept of participation and all that it entails. Mobilisation includes informing people, collecting information, assessing the situation, and getting those with various interests or concerns involved, making them understand that they are 'in the same boat', and facilitating a positive attitude with a common goal.

The mobilisation of stakeholders often involves dealing with less visible stakeholder groups. Gaining trust of the stakeholders and identifying and involving key persons (e.g. the traditional leader) are common mobilisation practices to ensure an effective participation process and avoid conflicts.

Stakeholder participation

Stakeholder participation describes the process where stakeholders are actively involved to varying degrees, in management decisions, activities, and projects regarding the forest(s):

Stakeholder Participation

This is a process through which stakeholders influence and share control over initiatives and the decisions and resources that affect them.

It aims at improving decision-making during the planning, design, implementation and evaluation of projects and processes. It involves all stakeholders, including groups that are often marginalized such as women and the youth. Stakeholder participation implies that decision-makers consider the views of stakeholders during the decision-making process.

3.1.1   Participation Levels

Participation can be seen as a continuous scale, or continuum, ranging from a low level of stakeholder participation to a high level of participation. The level or intensity of participation depends on the objective of the participatory procedure and to what extent the stakeholders need or are prepared to be involved. The number of stakeholders participating and the means of communication will vary according to the participation level. This participation continuum is depicted in Figure 1[2].

Figure 1: Continuum of Participation Levels

Low participation level				High participation level
Informing	*Consulting*	*Involving*	*Collaborating*	*Empowering*
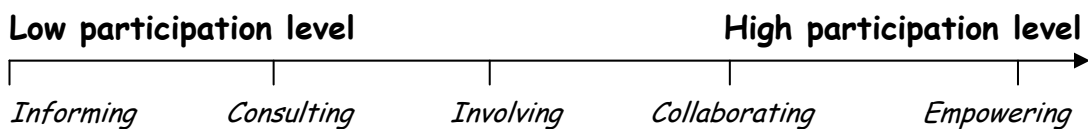
The following examples explain two situations where different levels of participation are used:

> **Example 1: Low Participation Level**
>
> Forest users regularly over-harvest the bark of certain trees in the nearby forest. In order to ensure a sustainable resource use the concept of sustainability is explained to the bark harvesters and they are *informed* that the limit of bark harvesting will be set to one bag collected once a week.
>
> **Example 2: High Participation Level**
>
> Forest users regularly over-harvest the bark of certain trees in the nearby forest. The concept of sustainability is explained to the bark harvesters. They are then actively *involved* in monitoring, impact studies and the identification of viable alternatives and *collaborate* in the setting of harvesting levels. During this process the harvesters are *empowered*, understand and are fully aware of the ecological impacts of bark harvesting, and why harvesting yields were set at a certain level.

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[2] From DWAF: Generic Public Participation Guidelines (2001)

3.1.2 Facilitation

The role of DWAF and other management agencies in the stakeholder participation process will generally be one of facilitation.

Facilitation is the process of making the implementation and progress of activities easier. In the context of this guideline, it is generally learner-centred, which means a facilitator is helping others to learn, be aware and capacitated. This often results in a change of attitude and a sense of empowerment among participants. The facilitation role is not always easy to carry out and may require an experienced person who is a professional in this field. This will depend on the size of the stakeholder group, the objectives of participation and the level of conflict between stakeholders.

3.2 Why is Stakeholder Participation needed?

South Africa has fairly recently emerged from a system that denied people access to land and natural resources and a say in their own future. Involving stakeholders in the management of forests allows for the joint identification of needs, innovative ways to meet these needs and ensures sustainable forest management. It creates ownership of management decisions regarding the forests among stakeholders. This can ensure stable benefits, access to information and opportunities for the local communities, and ultimately contribute to environmental conservation. [3]

The main objectives of stakeholder participation are:

- Improvement of decision-making as the focus is on the views, perspectives and needs of the involved parties;

- Encouragement of public input and feedback mechanisms and proof that the stakeholders' viewpoints and preferences are being considered;

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[3] From DWAF: Policy and Strategic Framework for Participatory Forest Management (2004)

- Avoidance of conflicts and extra expenses due to errors or badly informed decisions;
- To ensure the understanding of sustainable forest management, sustainable harvesting practices and other forestry-related issues;
- Empowerment of the stakeholders through their active involvement in the participation process and the opportunity to develop the knowledge, skills and resources needed to assist in shaping their own future;
- Raising awareness amongst stakeholders regarding their dependency relation with other stakeholders and the need for collective planning and monitoring;
- Upliftment of rural livelihoods by increasing benefits from the forests/ woodlots/plantations or from products related to the forests, e.g. medicinal gardens, crafts, tourism ventures, fern harvesting, beekeeping, etc;
- Capacity-building with regard to stakeholder participation in management activities, business enterprises, the forming of participatory structures and other related activities.

Activities undertaken by DWAF staff or other management agencies are more likely to be accepted and supported by stakeholders, when they can see that they have had an active role in shaping decisions.

4. Principles for Stakeholder Participation

This chapter outlines the principles that one should bear in mind at the beginning of the stakeholder participation process – whether it is for forest management activities or a particular forest project.

Principles for Stakeholder Participation

- **Situation Assessment**
  Before you start to involve the public, conduct a situation assessment to identify the stakeholders, any conflict potential between different stakeholders, stakeholders' needs, the resource base and resource utilization issues in the forest. Use any existing community structures or PFM Committee/Forum as much as possible.

- **Clear Understanding of PFM**
  During the first meeting with the involved parties raise awareness of PFM approaches, relevant DWAF/other management policies and the importance of all stakeholders' input in the process. Give them a clear understanding of the opportunities and implications of the participatory approach. In case the PFM activity focuses on a specific project with a definite end, present the approximate timeframe and expected or potential outputs. However, be sure not to raise expectations unless there is a certainty that they can be fulfilled.

- **Clear Information Flow**
  Clear communication and information flow between all role-players is fundamental to successful participation and should be guaranteed at all times. As the management agency, be committed and keep to whatever plans have been put in place. Ensure that relevant information is sufficiently accessible in the local language. Pay attention to information distribution mechanisms to illiterate persons - these groups may require additional meetings. Always be well informed and answer questions clearly and efficiently.

… continued

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- **Rights and Responsibilities of Stakeholders**
  Try to involve the same stakeholders from the very beginning to ensure continuity, understanding and a positive outcome. Explain their rights and responsibilities. In essence, stakeholders' roles entail cooperation with the management agency in shaping the future of their environment.

- **Transparency and Flexibility**
  Keep the participation process flexible, be honest and transparent and always consider various views, suggestions and alternatives.

- **Traditional and Technical Knowledge**
  Aim at bringing together traditional/local knowledge, technical assessments and other relevant information collected, and initiatives undertaken by service providers and development agents.

- **Level of Participation**
  The level of participation[4] and thus the extent and resources committed to the public participation process depends on stakeholders' interests and severity of the matter, as well as possible benefits to stakeholders – note that these may change during the implementation of the participatory project/activity.

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[4] Refer to Figure 1

… continued

- **Communication with Key Persons**
  Where feasible, identify key persons within your stakeholder groups and include them in the participation process during the initial stages of planning and preparing, and inform them of the reason for stakeholder participation as well as the contents of this Guideline.

- **Be Prepared**
  Lastly, bear in mind that human behaviour is unpredictable - be prepared for anything that comes up. If participants raise old external or unresolved matters bring the focus back to current forest issues. Be on alert for conflict situations and try to turn negative conflict energy into constructive energy.

5. Procedures for Stakeholder Participation

The following sequence of steps will guide DWAF staff and new management agents of the state forests through the stakeholder participation procedure. When implementing the different steps, bear in mind that each situational set-up will differ. Some regions might have existing PFM structures that may speed up the process, while other communities may lack any form of local organisations.

Figure 2 describes the stakeholder participation procedure. Each phase in Figure 2 is explained in the rest of the chapter.

Figure 2: The Stakeholder Participation Procedure

**Phase 1:
Stakholder
Mobilisation**

1. Situational analysis
2. Initial stakeholder analysis
3. Identify constraints and potential pitfalls
4. Determine the level of participation
5. Call a meeting

Phase 2:
Meeting
Stakeholders &
Strategic
Planning

1. Explain PFM
2. Stakeholder representatives
3. Objectives of the initiative
4. Current resource use/issues
5. Stakeholders' needs, common vision and long-term goals
6. Interim objectives & outputs
7. Inputs and actions
8. Compile a plan
9. Form a PFM structure

Phase 3:
Monitoring &
Implementation
Evaluations

Phase 4

- Form partnerships/agreements
- Implement activities and achieve outputs and objectives
- Facilitate, capacitate and provide technical expertise

5.1 Phase 1: Stakeholder Mobilisation

Mobilising stakeholders occurs at the beginning of the participation process and entails one-to-one communication between the forest manager and stakeholders to inform them, collect information, assess the situation, establish a stakeholder list, etc.

When mobilising stakeholders the following steps help in preparing the participation process:

Activities to Follow During Stakeholder Mobilisation

1. **Situational analysis:** Engage with communities using the appropriate methods for gathering information as discussed in section 6.2, and conduct an analysis of the economic characteristics of the area, forest resources, harvesting practices, the condition of the forest[5] and other activities taking place in the forest, local infrastructure and the organisational set-up (e.g. PFM structure, NGOs, environmental groups, CBOs). Also gather information regarding existing projects or initiatives in the area.

2. **Initial stakeholder analysis**: Conduct a stakeholder analysis and establish a stakeholder list.[6] Do this by engaging with communities/stakeholders, which are in some way connected to the forest(s). The stakeholder analysis should reveal the interests, contribution, potential problems and networking capabilities of stakeholders.

3. **Identify constraints and potential pitfalls**: Identify which circumstances or existing issues could have an affect on effective participation. Determine whether prior controversy existed on the same or similar issues. Be prepared to address these issues when they emerge during discussions. Assess people's perception of DWAF as this may be negative. Reasons for this will need to be discussed and a way to improve the situation found.

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[5]   Refer to DWAF/Danida PFM Guideline: Sustainable Resource Use (2005)
[6]   Refer to Annex 1

4. **Determine the level of participation:** It may, at this stage, be possible to decide on the level and type of participatory interactions. To determine this, ask questions such as: How significant are future decisions for the stakeholders' livelihood? What is the level of stakeholder interest and availability likely to be? If these are high, the level of participation should be high. Also, the available financial resources and expertise may determine the level of participation (or visa versa - the level of participation will determine what resources are needed).

5. **Call a meeting**: Once the above activities are complete, a meeting or gathering of some form should be organised where participatory roles and process are discussed, planned and formalised (detailed in Phase 2 below). Invitations to participate in such a gathering can be in various forms as discussed in section 6.1. For the first meeting, it is suggested that a short briefing document accompanies the invitation. This document should include a brief summary of the PFM approach.

5.2 Phase 2: Meeting Stakeholders and Strategic Planning

The initial organised meetings with the stakeholders are one of the most essential parts of the participation process. Here strategic planning takes place and the stakeholder's vision for the sustainable management of the forest established. Long-term objectives, interim objectives and activities are discussed and roles and responsibilities decided on[7].

Before conducting a meeting with stakeholders, follow the recommendations below to ensure maximum participation:

If a PFM Forum or Committee already exists, the stakeholder participation procedure should have its base within this structure. Other relevant stakeholders who are not members of such PFM structures should be invited to join the meetings.

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[7] The most commonly used techniques when meeting stakeholders are detailed in Section 6.3

Meeting the stakeholders should occur in a structured and logical way. Below are suggested steps that should be covered during stakeholder meetings. The steps need not be used in the order presented here and may include others. Each situation will be different and it may take a number of meetings to cover all the relevant steps.

To Ensure Maximum Participation when Meeting with Stakeholders

- Notify stakeholders about the meeting *a few weeks in advance*. If possible, also send them full documentation (or brief them) at least five working days before the meeting.
- Clarify the *objectives* of the meeting.
- Adjust *time and place* of the meeting to the schedule of the stakeholders.
- Make sure that all stakeholders have *access to transport*. If not, make the venue more accessible.
- Pay attention to what *language* will be used during the proceedings and if necessary organise an interpreter.
- DWAF staff or (whoever is facilitating the meeting) should be open, transparent and ensure that stakeholders feel comfortable and that their ideas are valuable. If you have not already done so, build trusting *relationships* with the stakeholders during the meeting.
- It may be appropriate to spend time discussing the initiative and local issues with *key persons* of the stakeholder groups (e.g. the traditional leader) *before the meeting*. At the meeting let these key persons explain the initiative and its objectives.

The following box describes the steps to include when conducting the initial stakeholder meeting(s).

Steps to Include During Initial Meetings with Stakeholders

1. **Explain PFM:** Explain what PFM is and what it means in the local context and for the management of the forests. Clarify the interdependent relationship between stakeholders and the importance of sustainable forest utilization practices for the future.

2. **Stakeholder representatives:** If the initiative is lengthy and requires many meetings, let each stakeholder group select a representative(s). Provide the representatives with sufficient information that can be distributed back to the stakeholder group (e.g. pamphlets, newsletters) and encourage them to inform their group regularly. Also ensure that all relevant stakeholders are present/represented.

3. **Objectives of the initiative:** Explain the objectives and background of the proposed project or activity (ies) as well as the envisaged participation procedure.

4. **Current resource use/issues:** Present and discuss the current condition of forest resources, harvesting practices, the involved stakeholders and the (possibly conflicting) needs of the various stakeholders. Raise awareness regarding the importance of equitable use of the forest to ensure a mutually beneficial and sustainable use of the resource.

5. **Stakeholders' needs, common vision and long-term goal:** Let the stakeholders present their current needs and future vision of forest management and use. Identify any conflicting needs, resolve or negotiate these conflicts and facilitate the stakeholders to move towards a common vision and a viable long-term goal.

6. **Interim objectives and outputs:** Resulting from the long-term goal, determine and prioritise the interim objectives (such as the next five years - e.g. put sustainable harvesting systems in place) and what outputs should be achieved (e.g. license agreements issued to harvesters).

... continued

7. **Inputs and actions:** Determine what has to be done to meet the interim objectives. Decide who should conduct these activities by when and what inputs (e.g. resources) are required.

8. **Compile a plan:** Compile an operational/implementation[8]/business plan containing the vision, objectives, actions, outputs and inputs and who is responsible for what. This could form part of the Management Plan of your Forest Estate, or, in the case of a PFM project, part of project implementation.

9. **Form a PFM structure:** It is almost always valuable to formalise the participatory group into a PFM Forum/Committee or other appropriate structure, or link up with an appropriate, existing structure.

5.3 Phase 3: Implementation

It is during this phase that plans are turned into actions and objectives and outputs achieved. It may be appropriate to enter into partnerships and agreements in order to achieve these objectives[9]. Various activities such as fund raising[10], developing and implementing project proposals may be carried out, and participatory forest monitoring and management activities implemented.

The role of DWAF staff will largely be one of facilitation and, where necessary, capacitating.

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[8] Refer to DWAF/Danida PFM Guideline: Logical Framework Approach Project Planning (2205)

[9] Refer to DWAF/Danida PFM Guideline: Formation of PFM Forums and Committees (2005) and refer to DWAF/Danida PFM Guideline: Legal Options for Partnerships with DWAF Forestry (2005)

[10] Refer to DWAF/Danida PFM Guideline: Fund Raising for Projects (2005)

Management staff may also be required to provide technical guidance and expertise, or at least source it by bringing in expertise from outside the project - conflict situations may arise and may be best dealt with by bringing in an objective expert to resolve the issue.

Different stakeholders have different capacities for participation. Some may have inadequate means of contact, might be illiterate, or may need support to understand the participatory process and its implications. Identifying and working with marginalized groups also needs to be done and, while it is often time-consuming, they need to be involved to ensure the success of the initiative. Involve women, the youth, and elderly people and reflect whether other unnoticed stakeholder groups exist who are using the forest resources in one form or the other, or have some interest in the forest and its management. Try to interact with them on an informal basis and hold separate meetings with the marginalized group if necessary.

5.4 Phase 4: Monitoring and Evaluation

Monitoring and evaluation of the participation process allows for assessment of progress and making adjustments and improvements where necessary. The participants should continuously monitor and evaluate whether the objectives specified are being achieved and outputs completed, through feedback mechanisms. Feedback should flow to and from stakeholders either directly during meetings/workshops or through their representatives. An evaluation session should also be held at set times during the implementation phase to ensure a constructive feedback process. This enables early strategy changes and resolves problems that otherwise might have hindered the initiative. As feedback is obtained through monitoring and evaluation, plan(s) should be updated and the evaluation outcomes documented to ensure that all issues are raised and incorporated in decision-making.[11]

The box below includes examples of some of the questions that could be asked during a monitoring and evaluation session.

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[11]   Refer to DWAF/Danida PFM Guideline: Logical Framework Approach Project Planning (2005)

Examples of Questions for an Evaluation Session

- Are the objectives and outputs defined at the beginning of the participation process being fulfilled?

- Are all stakeholders involved in the initiative and are they participating equally?

- Do all stakeholders have equal access to information on the process?

- Are all the public issues raised by stakeholders taken into the decision-making process – or if not, is it clear why not?

- Was there sufficient feedback on decisions made?

- Are stakeholder representatives adequately representing their stakeholder group and is there sufficient feedback between the representative and the group?

- Were conflicts resolved constructively and adequate conflict resolution mechanisms set in place?

It is important to remember that a set of national DWAF Criteria, Indicators and Standards (C, I &S's) have been developed for sustainable forest management. These include ecological, social, economic and policy issues and should be taken into account during monitoring and evaluation[12].

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[12] Refer to DWAF: Draft Principles, Criteria, Indicators and Standards for Sustainable Forest Management (2002)

6. Methods for Disseminating, Gathering and Sharing Information

Different participation methods send different signals to stakeholders and the general public. For example, establishing a steering committee for a project places more emphasis on the stakeholders' input and participation than disseminating information about the project in the local newspaper. It is thus important to ensure that the correct signals are being sent. Also, one single method may not reach all stakeholders, especially marginalized groups.

This chapter presents some of the different methods that exist for the dissemination, gathering and sharing of information and how they can be used in the stakeholder participation process. Guidance is also given regarding specific participatory techniques/tools, which can be used during workshops/meetings to gather and share information, and capacitate and empower stakeholders.

The selection of appropriate methods depends on the following factors:

- Amount of time, resources and expertise available;
- Number of stakeholders who should get involved and their geographic distribution and availability of postal services, telephone, fax, e-mail;
- Level of education (particularly literacy level);
- Proposed objectives, outputs and impacts of the project/activity, particularly the extent of impact on people's lives;
- Level of participation (informing, consulting, involving, collaborating or empowering).

6.1 Disseminating Information

During the mobilisation and participation process, all relevant stakeholders must be informed about the PFM approach and any meetings or gatherings to be held.

Once the stakeholders are identified, information should be disseminated to announce meetings and to distribute relevant project information. During implementation of the participation procedure too, information dissemination is important to ensure feedback to and from stakeholders.

When developing information material, in-house resources, advice and expertise should be used as much as possible. Most government departments have a Communications Policy or a communications section, such as the DWAF Chief Directorate: Communication Services that should be consulted. This is particularly important with regard to media (newspaper and radio) articles.

The following box presents some of the different information dissemination methods that can be used.

Methods to Disseminate Information

The following methods are popular for information dissemination and public announcements. They can also be used during and after the implementation of a project:

- Bulletin boards/community notice boards/signs;
- Existing newsletters and free publications;
- Broadcast announcements/advertisements;
- Press releases or newspaper inserts;
- Brief presentations/announcements at other local meetings;
- Project newsletter.

6.1.1 Bulletin Boards/Community Notice Boards

Use community notice boards and signs to inform the public of the PFM project – in this way, other interested parties you may have excluded from your stakeholder list can be reached. A sign should be easily visible and large enough so that passers-by can easily read it. Use clear, local language. Post the sign at the community hall, notice boards, grocery stores, public facilities and major intersections.

6.1.2   Existing Newsletters and Free Publications

Placing a notice in a newsletter distributed by a local government, a civic or community organisation is generally an inexpensive way to target a specific segment of the community. Sometimes free publications that highlight environmentally related local or community issues may exist. Check the paper for it's political background and general content - some might not be suitable, as the stakeholders you need to reach may be unlikely to read it. Placing an article in an existing newsletter or free publication is a good way to disseminate information at the beginning of the initiative.

6.1.3   Broadcast Announcements/Advertisements

Advertising can successfully disseminate information about events or address particular issues in a short time-span using limited space. Identify the local radio stations and newspapers, which are widely used in the community. Prepare a brief notice and enquire at the radio station or publisher whether they can broadcast or publish it. Radio stations may broadcast announcements of government agencies or community groups free of charge. Announcements on the radio or advertisements in the local newspaper reach a broad audience and create public awareness.

6.1.4   Press Releases or Newspaper Inserts

Articles or newspaper inserts can be used at any time of the stakeholder participation process to encourage general interest, obtain wide publicity and educate the public on the background and current issues of the project. Newspaper inserts stand out from other newspaper advertisements since they come as a loose section of the newspaper.

If a press release or insert is to be published, the contents should be discussed with the stakeholder representatives and include assistance and input in editing and publishing the article. Press releases and inserts are generally not expensive and are convenient for the public to read at their own pace and time. Limitations of this method are that only the literate public can be reached and that the decision to print the article will rest with the publisher or editor of the newspaper.

6.1.5   Brief Presentations/Announcements at other Local Meetings

Announcements at environmentally- or community-related meetings are a good way to disseminate information on the forest project to a wider group of potential stakeholders. These meetings might also serve as a good opportunity to network and make valuable contacts with other key persons. As only preparation time, transport and time at the meeting are required; this method is generally very cost effective. Announcements will also create a deeper understanding of an initiative and usually allows for a question-and-answer session after the presentation. Disadvantages of this practice are that it only reaches a particular sector of the community and relies on the participants to convey the information to the rest of the community. Be prepared to answer unanticipated concerns, which may not have come up in other stakeholder meetings. Also, consider that the time of another organisation's meeting is being used - be clear and quick.

6.1.6   Project Newsletter

Check whether sufficient resources are available to distribute a newsletter. If they are, newsletters can be an excellent form of giving updates on current affairs, providing background information and announcing stakeholder gatherings.   Sending the newsletter to key stakeholders can spread information more effectively, especially if e-mail facilities are available. Reports can also be summarized or published fully in a newsletter. However, it must be remembered that newsletters can be time consuming, costly and are limited to the literate community members.

6.2 Gathering and Sharing Information

Gathering and sharing information generally forms the greatest part of the participatory process. The methods detailed below are some of the more common ones that can be used during all the phases of the procedure. Note that most of these methods and the suggestions presented are simply good practice when implementing any participatory management approach.

Methods to Gather and Share Information

- Semi-structured interviews;
- Public or stakeholder meetings;
- Workshops;
- Open days;
- Open field office;
- Personal visits to marginalized stakeholders;
- PFM Committee/ Forum meetings.

6.2.1   Semi-structured Interviews

Semi-structured interviews are face-to-face interviews held with local residents, community groups or other individuals to get inputs from citizens and identify any concerns. Semi-structured interviews consist of a few predetermined questions or themes that should be discussed while allowing more questions to arise during the conversation. The interviewer should take detailed notes for possible reference at a later stage. Interviews are a good tool to assess the situation, gather information on the resource base, harvesting practices, the organisational set-up, etc, prior to the start of the participatory project/activity as well as during it's implementation.

Interviews are a time-consuming activity when done on a large scale. Interviewers should schedule time for research, preparation, the interview itself and follow-up activities. Nevertheless interviews are a valuable and flexible tool that produces good descriptive, qualitative information.

Recommendations for Interviews

- Prepare a short checklist of relevant topics in advance and ask simple questions using plain language;
- Introduce yourself and let the other parties introduce themselves;
- Be objective, open-minded and listen carefully to both what is being said and what is not being said;
- Use open questions so that the answer cannot just be a plain 'yes' or 'no';
- Avoid leading questions and never help respondents with answers;
- Encourage participation of quiet respondents but never intimidate by asking questions such as 'What do you think?'
- Do not raise expectations.

6.2.2   Public or Stakeholder Meetings

Public or stakeholders meetings are gatherings used to present information and exchange views on specific aspects of an initiative. Meetings expose the views of different stakeholder groups and provide an opportunity to discuss issues in the broader context. During the meeting it should be emphasized that the stakeholders' input is very valuable for the initiative, as, in this way they actively contribute to project planning and implementation. However, the nature of public meetings may limit interaction due to large attendance or a dominating group/individuals – this needs careful facilitation.

6.2.3   Workshops

Workshops are structured meetings with the aim of defining issues, planning activities, evaluating options, explaining technical material or developing solutions when problems need to be resolved.   They are seminars or gatherings of small groups of people (usually between 10 and 30), led by representatives of the management agency and/or a facilitator. Workshops are designed to produce a group product and are useful for bringing the stakeholders together and sharing information and ideas.

As workshops can take several days, facilities need to be organised, and depending on the budget, meals and accommodation arranged. The following points will provide assistance in planning and implementing a workshop:

Planning and Running a Workshop

- Pay attention to the planning and management of the workshop, as this will predetermine success;
- Decide upon the topic, time, participants, participatory techniques to be used (discussed in section 6.3) and subjects to be covered;
- Notify the participants early;
- Plan logistics and costs with other relevant organisers, if they exist;
- Design the workshop structure and timeframe with alternate plenary sessions, subgroups, presentations, ice breakers, etc. – it is usually better to discuss in a circle, not lecture from the front;
- Plan for methods to include stakeholder groups who are not participating, others dominating, as well as how to deal with potential conflict between stakeholder groups;
- Decide upon who is responsible for documenting the results of each day and final results of the workshop;
- Establish effective feedback mechanisms.

6.2.4   Open Days

Open days are informal meetings at a public location where people can talk to the DWAF forester (or other forest management agent) on a one-to-one basis. The gathering allows the public to ask questions and express their views directly to management/project staff. The informal setting allows a more relaxed atmosphere and thus builds trust among stakeholders and management/project staff. If possible the management agency should even consider their office for the event.

To achieve maximum output of the event, advertise the event widely among the public, use simple language when explaining issues. If displays are used, they need not be fancy and costly. Consider the available budget when planning an open day. Also, arrange the open day on a day, time and location that is convenient to the public. Ensure that sufficient staff will be at the event and brief them in advance.

6.2.5 Open Field Office

Open up the management/project's office to the public at prescribed hours to respond to enquiries and distribute information. As the stakeholder participation process depends heavily on feedback from the stakeholders, it should be ensured that they can talk to the relevant forest officer at set times during the week. Also, stakeholder representatives should be given the telephone numbers of all relevant forest officers/project personnel.

6.2.6 Information Mechanisms for Marginalized Stakeholders

Some role players might have neither a telephone nor postal services or live far away. Keeping these stakeholders up-to-date is important. Either go to them personally or develop reliable mechanisms through networks to ensure that these groups will receive relevant information. If there are stakeholder representatives, they should be sure to inform and get feedback from these stakeholders.

6.2.7 PFM Committee/Forum Meetings

If a PFM Committee or Forum already exists in the area their meetings should be used to steer the participation process. The advantage of this is that relevant role players are already identified and are aware of and integrated into the PFM approach.[13]

Depending on the nature of the forest project/activity, it may be decided that a stakeholder task team with separate meetings should be established. This stakeholder task team meeting could then be held in conjunction with the PFM Committee/Forum meeting.

6.3 Participatory Techniques for Meetings and Workshops

Participatory techniques are the actual tools that can be used during stakeholder meetings/workshops to gather and share information, mobilise, capacitate and raise awareness amongst stakeholders.

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[13] Refer to DWAF/Danida PFM Guideline: Formation of PFM Forums and Committees (2005)

Participatory techniques put emphasis on the capability of local people to analyse, plan, learn, implement, reflect and monitor by themselves. These techniques are best suited for working in small groups using creative visualisation techniques and, depending on the group size, best results are achieved with several facilitators. These participatory techniques/tools require time and commitment by implementing staff.

What are Participatory Techniques?

Participatory techniques or tools can be described as:

"A growing family of approaches, methods, attitudes and behaviors to enable and empower people to share, analyze and enhance their knowledge of life and conditions, and to plan, act, monitor, evaluate and reflect." (Chambers, 2003)

The two main participatory approaches RRA and PRA/ PLA are described:

RRA stands for **Rapid (or Relaxed) Rural Appraisal**, but its approach and methods are now also used in urban and other contexts. RRA includes the collection of data, mainly done by the agent implementing the project. Typical RRA methods include observation, semi-structured interviews, transects.

PRA stands for **Participatory Rural Appraisal** and is often associated with PLA (Participatory Learning and Action). PRA/ PLA evolved out of RRA. It is an empowering process of appraisal, analysis and action done by local people themselves. PRA puts emphasis on local knowledge and uses group dynamics and exercises to facilitate information sharing and learning among stakeholders. PRA is a process, not a once-off event. The management agency functions as catalyst/facilitator - their role being to enable others to do their own analysis, presentations, planning and action and thus to own the outcome.

... continued

The menu of **PRA tools** and visualization techniques are constantly growing. Examples are participatory mapping, Venn diagrams, ranking, listing, seasonal calendars, daily time use analysis.

This section explains the two main participatory approaches (RRA and PRA/PLA) in more detail and presents a few simple participatory tools. If you intend to use participatory techniques extensively, with a large number of people – particularly where there is conflict – it is best to acquire a deeper understanding of the technique(s) first by attending a course or hire experts who can facilitate the process.

Some RRA and PRA tools are explained below - these are some of the more simple techniques. There are many other such participatory tools described in the literature that can be used.[14]

6.3.1 Transect Walks

Transect walks are a good tool to gain information on different natural resource zones, conflict areas, harvesting practices, land tenure and land use patterns around a community. It provides a systematic overview of ecological, economical and social facts. Transects are generally conducted with key persons of the community, stakeholders and members of the project team. The advantage of the method is that the group can stop at points of interest or whenever they meet another community member along the way. It is important to focus on mobilizing women, elderly people and youngsters to participate in the transect as they may perceive the environment differently.

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[14] See List of References in Annex 3

How to Conduct a Transect Walk

1. **Aim:** Identify the aim of the transect walk. For example do you want to gather information on the area? Clarify land tenure? Get information on harvesting practices in the area? Discuss decisions that have to be made?

2. **Criteria and route:** Define criteria for the walk based on the aim. Examples of criteria are harvesting practices, conflict areas, current land tenure, tree species, condition of the forest. Find (or draw) a map of the area and define the route and points of interest with the project team and stakeholder representatives. The route may be predetermined and will depend on the aim and criteria.

3. **Participants:** Identify relevant stakeholders, forest users, key persons, women and young people who should be on the transect walk.

4. **Inform the participants:** Arrange a suitable time and starting point. In summer you might want to start the transect early in the morning.

5. **Conduct the transect:** Start the transect and stop for discussion at points of interest. Discuss the predetermined criteria. Take notes.

6. **Analysis and evaluation:** Once the group is back in the community establish a matrix with the criteria and sections of the transect. Note the results of the transect walk with the participants and discuss the results.

Table 1: Example of a Matrix from a Transect Walk

	Drawing of Section 1 of the Transect	Drawing of Section 2	Drawing of Section 3
Harvesting practices			
Land tenure			
Condition of the forest			

6.3.2   Participatory Mapping

Maps are useful to develop for different environmental issues such as land use practices, land tenure, availability of water, problem areas, etc. People from rural areas are, however, often not familiar with maps, so you would need to clearly explain what is required and use appropriate types of maps. Depending on how the maps will be used afterwards and the understanding of the participants, decide on a poster, sketch on the ground or a 3-dimensial modal of the area. These can be done by the participants or by the facilitator by following the instructions of the participants regarding where the different features occur.

Pay attention to the discussion during the process to give insight into the different perceptions, issues, conflicts, etc. Use the product for later discussions in the stakeholder participation process.

6.3.3   Matrix Scoring and Ranking

For the analysis of situations, finding solutions and decision-making, it is often useful to know what criteria people used to make certain decisions and take certain actions. For example, why do people eradicate certain plant species while they carefully look after others? People's preferences and their distinction between useful and not useful, essential and unessential often depends on different customs and livelihood practices. Matrix scoring or ranking of different attributes or options helps to gain an understanding of peoples' priorities and evaluation criteria.

The following box explains the procedure of initiating a ranking exercise with the stakeholders.

Conducting a Matrix Scoring Exercise with Stakeholders

1. Think about the purpose of the exercise and expected outcomes. What attributes/options do you intend to weigh up? For example, reforestation of an unused area with fruit-trees, timber trees or other trees? Discuss the ranking technique with the key persons.

2. When all the stakeholders are gathered, explain the aim and procedure of the ranking exercise and initiate discussions regarding the relevant criteria to use to decide on the different options – these criteria could be availability of necessary skills, availability of transport, expense, the most time consuming options, etc.

3. Ask them to visualise the options under discussion. The visualisation can be done in a large drawing or by placing different items such as branches or fruit on the ground.

4. In the next step ask the stakeholders to weigh up the different attributes/ options by attaching points (seeds, fruit, penned in crosses, etc) to the different criteria for each option. Listen carefully to the reasons for their preferences and take notes - such reasons may determine peoples' broader decisions and actions in the region and are hence useful to DWAF and other management agencies in the area.

5. Together the matrix can be discussed and analysed and a decision made on the most appropriate option(s) under the existing circumstances.

Tables 2 and 3 below give examples of matrixes for ranking for the identification of effective soil conservation practices (Table 1) and of income generating activities in a rural environment (Table 2). The criteria for evaluating the different options in this case are the amount of time involved, effectiveness of the option, labour intensity, costs involved, etc. Tables 2 and 3 below give examples of matrixes for ranking for the identification of effective soil conservation practices (Table 1) and of income generating activities in a rural environment (Table 2). The criteria for evaluating the different options in this case are the amount of time involved, effectiveness of the option, labour intensity, costs involved, etc.

Tables 2 and 3 below give examples of matrixes for ranking for the identification of effective soil conservation practices (Table 1) and of income generating activities in a rural environment (Table 2). The criteria for evaluating the different options in this case are the amount of time involved, effectiveness of the option, labour intensity, costs involved, etc. Tables 2 and 3 below give examples of matrixes for ranking for the identification of effective soil conservation practices (Table 1) and of income generating activities in a rural environment (Table 2). The criteria for evaluating the different options in this case are the amount of time involved, effectiveness of the option, labour intensity, costs involved, etc.

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In these examples, a high number of points signifies that the chosen option will be very effective/labour intensive/expensive/time consuming, etc. This information can then be used to decide on which option is the most likely to succeed under the circumstances.

Table 2: Example of Matrix Scoring for Weighing up Different Soil Conservation Practices

	Option 1: Planting indigenous bushes and trees on slopes	**Option 2:** Planting deep-rooted, resistant grass (e.g. Vetiver grass)	**Option 3:** Supporting slopes with layers of rocks
Evaluation criteria:			
Expensive	• • •	• •	• • • • •
Effective method	• • • • •	• • • • •	• •
Labour intensive	• • • •	• • • •	• • • • •
Time intensive (takes time to become effective)	• • • •	• • •	• •

According to the information collected in this matrix:

- The first option appears effective, but more labour and time intensive than the second and third option

- The third option does not appear to be very effective and is also expensive and labour intensive

Therefore, if there is enough funding, and time is not a factor, the first option may be chosen. However, if there is not much money and it is fairly urgent, the second option may be better. If, however, the intention is to create jobs and to get a soil conservation practice in place as soon as possible, the third option may be chosen.

Table 3: Example of Matrix Scoring for Identification of the Best Income Generating Option

	Option 1: Brick making	Option 2: Selling firewood	Option 3: Working in nearby saw mill	Option 4: Selling home-grown vegetables
Evaluation criteria:				
Time consuming	• • • • •	• • • •	• • •	• • • • •
Labour intensive	• • • •	• • • •	• • •	• •
Profitable	• • •	• •	• • •	• •
Start-up finance (loan) necessary	• • •	-	-	•

Again, depending on the circumstances and the aim of the project, the information collected in the matrix can be used to make a decision on which income-generating options is the best one to initiate.

Another technique to rank/weigh-up different attributes/options is a pie diagram or chart. This method can, for example be used to determine the sources of income of community members as depicted in Figure 3.

Figure 3: Example of a Pie diagram for Ranking Sources of Income
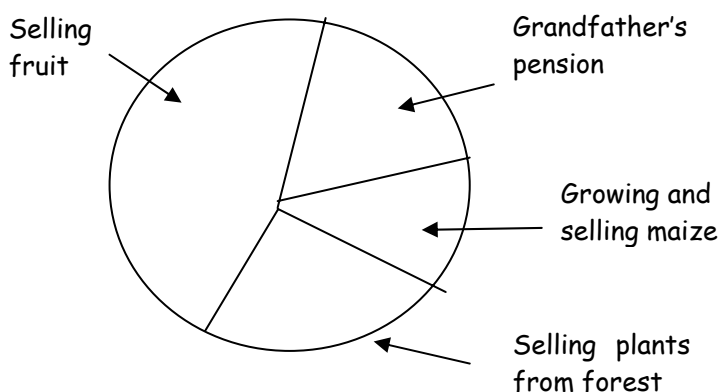
Here it is clear that the largest segment of the pie diagram and therefore the largest source of income is selling fruit with selling forest plants the second largest – this obviously has implications for sustainable forest use and management.

6.3.4   Seasonal Calendars

Seasonal calendars are well suited to reveal regular activities and processes in the course of the year. Calendars show the sequence, duration and impact of certain processes on the lives of the people. With regard to forest resources, seasonal calendars can assist in identifying in which season the surrounding communities harvest which resources from the forest.

This technique can also help to identify appropriate times for initiating activities with community members, as the calendars will reflect the busy and the quiet times during the year with respect to various duties/tasks.

Developing a Seasonal Calendar with Stakeholders

1. Explain the aim of the calendar. For example, to identify the months of most pressure on forest resources, or to identify when the stakeholders have sufficient time to assist in replanting a section of the forest.

2. Ask stakeholders when the year starts and hence with which month/or season the calendar should star – for example in spring when plants start growing again, or when the rains come?

3. Let the stakeholders decide how the calendar should be laid-out. In months, rainy/dry seasons? And which design should be used: a circle for the year with four quarters for the seasons, or as a line with the twelve months? On the ground with natural material or in poster format?

4. Decide on the content of the calendar, such as the type of resources extracted during the year, the activities in the forest, how long the activities last and when they are conducted.

5. Pay attention to the remarks and discussions of the stakeholders.

Table 4 below provides an example of a seasonal calendar.

Table 4: Example of a Seasonal Calendar

	January	February	March	April	…
Seasonal activities/conditions:					
Collecting wood in forest	• •	• •	• •	• • •	
Harvesting bark					
Growing vegetables	• • • •	• • •	• •	• •	
Selling crafts to tourists	• • • • •	• • •	• •	-	
Employment (women)	• • • • •	• • • •	• •	• •	
Employment (men)	• • • •	• • •	• •	• • • •	
Rainfall	• • • • •	• • • • •	• • • •	• •	

From the information provided by this calendar, it is clear that most people are very busy during January and initiating participatory forest projects would not be appropriate during this month. It may be more appropriate in April, for example, when activities in the forest (wood collection) are highest.

A variation of the seasonal calendar is the daily calendar showing daily chores of stakeholders and the use of time for different activities.

Daily calendars will usually vary significantly during the year (e.g. longer working hours during harvest) and depend on whether a female or a male community member develops the calendar.

Besides those mentioned above, a number of other participatory tools exist. The following list gives an indication of other such tools:

- *Wealth ranking* – dividing of households into different classes defined by local indices of wealth or well-being.

- *Time-lines* – verbal or visual chronologies of important trends or events.

- *Problem trees* – visual presentation of cause-and-effect relationships, e.g. used to understand the causes of resource degradation, unemployment, migration, etc.

- *Storytelling and theatre* – stories, tales and local plays on local events and resources.

- *Joint analysis of aerial photographs* – to analyse land use patterns, environmental degradation, deforestation, urban spread.

- *Venn diagrams* – show relations and significance of organisations, institutions, governmental bodies to the group by comparing different sizes and overlaps of circles drawn on/cut out of paper.

Annex 1: Stakeholder Analysis

As indicated in Chapter 5 stakeholder analysis is essential to understanding who the primary stakeholders are and how they could influence and contribute towards forest management. Stakeholder analysis is also necessary to identify who has an interest in the project's operation, and how best they can be included in the participation process. The analysis also helps to assess potential conflict areas between stakeholders so that preventative measures can be undertaken prior to meetings. On the other hand synergy and positive relationships that exist between stakeholders can be maximised and used to the benefit of the participation process.

The following steps will provide assistance in undertaking a stakeholder analysis:[15]

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[15] From DWAF/Danida PFM Guideline: Logical Framework Approach Project Planning (2005). Also study DWAF/Danida PFM Guideline: Formation of PFM Forums and Committees (2005)

How to Undertake a Stakeholder Analysis

1. Brainstorm and list all possible participants and stakeholders who are likely to be affected by forest activities or forest projects in the area, either positively, negatively, directly or indirectly. Do this in as participatory manner as possible. Don't forget marginalized and minority groups.

2. Prioritise the list and select those stakeholders who are most important and/ or primary stakeholders – this should be as participative as possible. Use the questions below to assess the interests, problems, potentials and linkages of your selected stakeholders:

    a. How will these stakeholders be affected/impacted by the forest project(s)?

    b. What could be the main needs, interests and motives of the stakeholder for being involved in a PFM Forum/Committee?

    c. What is the potential contribution and capacity of the stakeholder towards the effective functioning of the Forum/Committee?

    d. What consequences will their participation have on the Forum/ Committee?

    e. What is the relationship between the different stakeholders, including the existing or potential conflicts of interest?

3. Draw a stakeholder table, as described on the next page, by summarising the information that has been gathered about the stakeholders. Further investigation may need to be done in order to answer some of the questions above. Also include the contact details of each stakeholder.

4. Over time – particularly at the initial stages of implementation of the participatory project – new stakeholders may become involved and others fall out. This should be done on a controlled and managed basis with analysis being done on new members.

The following table presents a method of summarizing a stakeholder analysis:

Participant/ Stakeholder	Impacts How will PFM activities/ projects impact them?	Interests Why would they be interested in being involved?	Potential How might they contribute?	Linkages Are there any points of conflict/ Co-operation ?	Contact details

Once completed, the stakeholder analysis should give a clear idea about who should be involved in the stakeholder participation process. This may change over time with more or different stakeholders being included, but it will provide a good base to start with. The chances of the project's success and sustainability will increase if these stakeholders are involved in all further planning and implementation. Also, since an efficient feedback structure is essential for successful participation, establish a contact list of all involved stakeholders and group them according to how information should be distributed (post, telephone, e-mail, etc).

Annex 2: Glossary

Collaborating

To work as a partner with the stakeholder(s) on each aspect of the decision, including the development of alternatives and the identification of the preferred solution.

Consulting

To obtain stakeholder feedback on analysis, alternatives and/or decisions. It involves acknowledging concerns and providing feedback on how stakeholder input has influenced the decision.

Continuum

A continuous range or scale often increasing or improving from the beginning to the end.

Criteria

Standards, conditions or measures by which something can be decided or judged.

Empowering

A process of capacitating the stakeholder(s) through involvement and collaboration so that they are able to make informed decisions and to take responsibility for final decision-making.

Facilitate

Make progress and implementation of projects/activities easier.

Informing

To provide the public with balanced and objective information to enable people to understand the problem, alternatives and/or solution.

Initiative

Any project, programme, activity or process.

Interdependency relationship
The relationship between groups or individuals (in this case, stakeholders) that is generally one of close association with some form of dependency existing between them.

Marginalized people
A group of people, usually a minority group, who are often impoverished community members and do not have the means to participate in decision-making processes. In the PFM context, they are usually the youth, women and elderly people who lack regular information flow due to inadequate communication and transport facilities.

Matrix
A table or form with rows and columns used to organise data, which facilitates decision-making and the finding of solutions.

Mobilisation
The initial process of getting stakeholders interested and aware of the concept of participation and being involved in participatory processes and projects.

Monitoring
The ongoing assessment of the performance of a project, which seeks to provide management and other stakeholders with indications of progress or lack thereof. It involves the systematic collection or feedback of information and adaptation of activities/procedures if necessary.

Participation
A process through which stakeholders influence and share control over initiatives and the decisions and resources that affect them.

Participatory Forest Management (PFM)
The management policy of DWAF which seeks to ensure a sustainable flow of benefits to stakeholders and that there is shared responsibility between participants and the state.

Plenary
A session of a meeting attended by all members or participants.

Ranking
Placing in order of priority or importance.

Role-player

All parties involved in a public participation process. Role-players involved in public participation include the public, government departments(s), participation facilitators, technical specialists and the project team.

Stakeholder

An individual group, institution, organisation (government or non-government) or business, amongst others, that could affect, or be affected by the outcome of a particular activity, process or project.

Visualisation

To form a mental image or drawing of something.

Annex 3: List of References

BORRINI-FEYERABEND, G. (1997): *Beyond Fences: Seeking Social Sustainability in Conservation*. IUCN Gland, Switzerland

> This publication is the result of a collaborative exercise and incorporates contributions from more than 100 people from over 20 countries. It gives a good overview of the participatory tools and processes. Each tool is illustrated by hands-on experiences and examples from the field.

CHAMBERS, R. (2003): *Notes for Participants in PRA-PLA Familiarization Workshops in 2003*. Brighton, England

> The notes list a series of participatory methodologies/approaches such as RRA, PRA and PLA, and explains their origin, progress over time, uses and limitations. The document further outlines common principles of participatory approaches, behavioural preconditions of the facilitators and application of the techniques in the field.

DEPARTMENT OF WATER AFFAIRS AND FORESTRY (2002): *Draft Principles, Criteria, Indicators and Standards for Sustainable Forest Management of Natural Forests and Plantations in South Africa*. Pretoria

> This document provides a draft set of Criteria, Indicators and Standards (C, I & S's) that comply with the principles of sustainable forest management as outlined in the NFA. Measures for each indicator are also included. The document provides definitions and describes the methods used in the process of developing the C, I & S's.

DEPARTMENT OF WATER AFFAIRS AND FORESTRY (2001): *Generic Public Participation Guidelines*. Pretoria

> The guidelines provide a generic approach to public participation in the context of DWAF initiatives. The objectives, motivation and a generic process to public participation are discussed and the most suitable tools presented.

DEPARTMENT OF WATER AFFAIRS AND FORESTRY/Danida (2001): *Guidelines for Stakeholder Participation in Water Management Areas in South Africa (3rd Draft)*. Pretoria.

> The guide describes the process of interacting with stakeholders of water catchment areas in order to ensure the equitable, beneficial and sustainable use of the water resource. A series of tools, principles and themed workshops is presented.

DEPARTMENT OF WATER AFFAIRS AND FORESTRY/Danida (2005): *PFM Guideline: Formation of PFM Forums and Committees*. Pretoria

> The document deals with the establishment of PFM structures, namely PFM Forums and PFM Committees, in order to ensure shared responsibilities between communities and the state and to ensure a sustainable flow of benefits to stakeholders. The document clarifies the characteristics and functions of the PFM structures and describes how to form such structures.

DEPARTMENT OF WATER AFFAIRS AND FORESTRY/Danida (2005): *PFM Guideline: Fund Raising for Projects*. Pretoria

> The Guideline details the sources of possible finding for projects. It also provides a format for a funding proposal and details the development of a business plan. This document also provides a useful list of contact details of relevant funding agents.

DEPARTMENT OF WATER AFFAIRS AND FORESTRY/Danida (2005): *PFM Guideline: Legal Options for Community Partnerships with DWAF Forestry*. Pretoria

> The document guides the process of forming the most appropriate legal entity. It discusses the various legal options and details the procedure to be followed when forming a legal entity. It also explains aspects of the Community Forest Agreement (CFA) and provides various relevant examples of partnerships and agreement.

DEPARTMENT OF WATER AFFAIRS AND FORESTRY/Danida (2005): *PFM Guideline: Logical Framework Approach Project Planning*. Pretoria

> The manual guides the process of preparing and documenting a project. It provides valuable information on the Logical Framework Approach (LFA) and guides the reader to prepare, plan, budget, implement, monitor and document a project. Included are also a Project Planning Matrix and tools for internal monitoring and evaluation.

DEPARTMENT OF WATER AFFAIRS AND FORESTRY/Danida (2005): *PFM Guideline: Sustainable Resource Use.* Pretoria

> The document deals with aspects of forest use and developing systems to achieve sustainability of forest products. It includes doing resource assessments and provides guidance on yield regulation as well as looking at regulatory approaches and alternative forest use.

DEPARTMENT OF WATER AFFAIRS AND FORESTRY (2004): *Policy and Strategic Framework for Participatory Forest Management.* Pretoria

> This document provides the policy objectives, principles for PFM and the legislative and policy mandate. It also outlines the strategic framework for implementation, including conditions for success and mechanisms and institutional arrangements for the implementation of the PFM approach.

DEUTSCHER ENTWICKLUNGSDIENST, DED (2001): *Principles of Cooperation – Participatory Methods in the Work of the German Development Service. (Prinzipien der Zusammenarbeit - Partizipative Methoden in der Arbeit des DEDO.)* Bonn, Germany

> The document presents the evolution and application of participatory approaches in German personnel cooperation. A number of participatory techniques are explained in detail and their application in the field visually described with charts, diagrammes and pictures.

UNITED STATES ENVIRONMENT PROTECTION AGENCY (1996): *RCRA Public Participation Manual.* Washington D.C.

> The document is a user's manual for public participation in the RCRA (Resource Conservation and Recovery Act) permitting process. It provides an overview of the generic public participation process, its principles and a wide range of public participation tools. A lot of information provided in the manual also applies to stakeholder participation and mobilisation.

Available on the Internet:

IIED: *PLA Notes*. London (http://www.iied.org)

> PLA notes are a series on participatory learning and action approaches and methods. The International Institute for Environment and Development publishes the series regularly. It provides a forum for all those engaged in participatory work - community workers, activists and researchers - to share their experiences, conceptual reflections and methodological innovations with others.

Annex 4: The PFM Guidelines

The eight PFM Guidelines were prepared as part of the DWAF/ Danida PFM Project (2001-2005). The PFM Guidelines aim to empower DWAF staff, the new custodians of the state forests and partners at local level to implement the new DWAF Forestry Vision. The PFM Guidelines are meant to operationalize community upliftment in accordance with the DWAF Criteria, Indicators and Standards for Sustainable Forest Management.

Some Guidelines target local groupings, where limited capacity prevails.

The Guidelines are available from the Directorate: Participative Forestry in DWAF, Pretoria.

Description, Justification and Main Target Groups

Guideline	Description/ Justification	Main Target Groups
Stakeholder Participation	How to mobilise stakeholders at local level and form partnerships and agreements with local user groups/communities	DWAF and the new custodians of state forests as well as other departments/ organisations pursuing participation in natural resource management
Legal Options for Community Partnerships with DWAF Forestry	Legal mechanisms/entities available for local groups to co-operate and form Community Forest Agreements (CFAs) with DWAF and thus obtain licences to use forests and their products	DWAF and the new custodians of state forests as well as local groupings (PFM Committees, CBOs, NGOs, clubs, small enterprises etc)
Logical Framework Approach Project Planning	Planning and documenting a project and explaining what a project is, including the major projects funded by donors	DWAF and the new custodians of state forests and local groupings (NGOs, CBOs, Forest User Groups, etc)

Sustainable Resource Use	Multiple stakeholder use of indigenous forests through the development of sustainable resource use systems	DWAF and the new custodians of state forests and local groupings (NGOs, CBOs, PFM Committees, Forest User Groups, etc)
Project Monitoring and Evaluation	A tool for monitoring and evaluating projects in line with DWAF's new monitoring and regulatory role	DWAF and the new custodians of state forests
Fund Raising for Projects	How to compile a funding proposal and where community structures and other local groupings can apply for funding for forest related and natural recourse management projects – complements the LFA Project Planning Guideline	Local groupings (NGOs, CBOs, Forest User Groups, etc)
Formation of PFM Forums and Committees	Aspects and procedures of developing local PFM structures and compiling a constitution in order that DWAF can liase and form partnerships with communities through local structures – supplements Stakeholder Participation Guideline	DWAF and the new custodians of state forests and local groupings (NGOs, CBOs, Forest User Groups, etc)
Financial Management of Projects	Simple aspects and processes of sound financial management of projects – many local groupings have limited capacity in this regard and can thus not apply for project funding	Local groupings (NGOs, CBOs, Forest User Groups, etc)