



# Ministry of Green Economy & Environment

## Zambia Integrated Forest Landscape Project

### Community Forestry Monitoring and Mentoring Guide with Checklists

#### – CFM Step 7: Joint Monitoring, Evaluation and Lesson Learning

#### 1 Overall objective of monitoring and mentoring in CFM

The main objective is to monitor the status of the community forestry process in project supported communities, provide on-site support with mentoring communities as well as guidance for implementation and quality control by District Multisectoral Teams (DMTs). This is in accordance with the provisions of the Forests (Community Forest Management) Regulations, 2018, and the roll out of the ZIFLP performance payments for improved forest management, incentivising emissions reduction through community forestry.

#### 2 Specific objectives

Specific objectives of the monitoring visits to CFMGs include the following:

- To monitor the status and implementation of CF annual work plans and as well as checking compliance with the CFM Agreements, reporting and maintenance of records including at the district for FPIC purposes.
- To mentor the District Forest Teams and CFMG executive committees in planning, implementation of workplans and other control measures in community forestry under step 6
- To assess benefit sharing arrangements from Community forestry, monetary and non-monetary including any grant support to enterprises supported by ZIFLP.
- To assess roll out of the energy efficient stoves programme and status of incentive payments with CFMGs.
- To provide direct support to the roll out of the performance payments for improved forest management, incentivising emissions reduction through community forestry scheme to ensure full fund utilisation.
- To confirm status of environmental and social screening forms and updated for the specific sites of ZIFLP supported activities.
- To ensure environmental and social safeguard practices and standards are being complied with.
- To assess coordination of newly trained HFOs with the District Forest Office and participation in operations and reporting and communication.
- To collect District activity reports and status of use of ZIFLP MIS.

Reference material for the monitoring and mentoring process includes the following:

- The Forests Act, 2015
- The National Guidelines for CFM, 2018
- The Forests (Community Forest) Management Regulations, 2018, specifically Form IV CFM Agreement

***The CFM Agreement indicates:***

*(a) The CFMG shall represent and be accountable to the community of the villages specified in this Agreement and operate in accordance with the agreed constitution as submitted with application for recognition (Form I).*

*(b) Revenues and other benefits accruing from the forest resource shall be equitably utilized by the community in accordance with the benefit sharing arrangements set out in the community constitution, regulations and other annexes to this Agreement.*

*(c) Shall delineate and maintain boundaries of forest areas to be under the control of the local community represented by the CFMG in collaboration with local leaders.*

*(d) The CFMG shall ensure that the community forest area be protected from destructive late fires, pests, theft, poaching, vandalism and other such forms of hazards.*

- Draft Benefit Sharing in Community Forestry Practice Note, December 2022.
- Director's letters for each CFM Agreement signed notifying requirement to prepare and submit Boundary description as per section 31 (3) of the Forests Act.
- ZIFLP Environmental and Social Monitoring Framework.

### **3 Conduct of the monitoring and mentoring visits**

The core of the monitoring process should focus on the progress and capacity of the community forest management group to fulfil their obligations for sustainable forest management through the Agreement entered into with the Director of Forestry, consented by the Chief relating to responsibilities for communal control use and management of a designated community forest. The monitoring should assess the skills received through the training in control in Community Forestry Step 6: on controlling access to the community forest area, issuing permits, collecting and accounting for revenue and enforcing local rules. These obligations have been framed in the broad headings of the annual workplan template covering activities relating to the obligations. Therefore, performance assessments will be based on the following elements:

#### **a. Forest protection, development and management:**

- Boundary marking and maintenance;
- Forest fire management and control;
- Control of access and use of the forest;

#### **b. Management meetings of the CFMG:**

- Records of meetings and participation;
- Financial records and accounts;
- Benefit sharing mechanism and distribution;

#### **c. Forest utilization and enterprise development:**

- Promotion of income generating activities based on sustainable use;

Additional project related activities which should be monitored include:

#### **d. ZIFLP Environmental and social safeguards including**

- Existence of the environment and social screening form and checking latest update and if it covers the current activities taking place at the site of the community / community forest.
- Reporting, management and documenting grievances raised by the CFMG or any member of their community Please also refer to monitoring forms for safeguards.

#### **e. Improved utilisation of wood-fuel – energy efficient cookstoves**

- Roll out of cookstoves programme in the selected CFMG. This should use the (cookstove) monitoring form, identify the target number of stoves agreed for the site, the number constructed, functional, status of claims, payments and distribution to the builder of the \$5 incentive scheme.

#### **Other issues to cover:**

**Honorary Forest Officers:** Since the monitoring form was developed, the Province has conducted training of community HFOs. It is therefore timely to assess how the approach of community HFOs is operating at community level and level of coordination with the District Office. Topics to explore with the CFMG and its members could be:

- Awareness of role and functions;
- Frequency of patrols, reporting and documentation offences;
- Frequency of communication / contact with the District Officers.

**Forest based enterprise:** A best practice guide for forest based enterprise development is being prepared by the Training Support Partner and should be referred to as applicable to the site being monitored (see separate key questions checklist).

**Assessing quality of participation and wider awareness:** - In accordance with the Forests (Community Forest) Management Regulations, 2018, community forestry refers to inclusion of rightsholders to a designated area of forest. The CFMG executive committee is elected to manage the forest on behalf of the wider community indicated in Forms I and IV. Sustainable forest management requires community awareness, understanding, consensus and collective action. General levels of awareness of community forestry and the Agreement specifically rights and obligations should be checked.

These broad areas of assessment can be recorded on the Community Forestry Performance Monitoring & Mentoring Form – see copy attached. This should be completed by the team, both in hard copy and the digital copy in the tablets for uploading to the ZIFLP MIS. It is important that the form is completed on site and signed by the CFMG representative, the representative of the DMT and the monitoring team leader. This is for transparency, for confirmation of issues discussed and agreed actions to be taken and importantly means that the form can be shared on the same day of the monitoring and not wait until the end of the monitoring programme. This will allow cross learning between monitoring teams, the Provincial Office and the PIU.

#### **4 Preparation and Conduct of the monitoring and mentoring sessions**

The approach will be to support the DMTs in each respective district with meetings of the CFMGs checking status against the community forestry steps in relation to the National Guidelines for Community Forestry in Zambia.

##### **Preparation for the monitoring visits**

Districts should be briefed in advance and ensure that the relevant documentation is available from the district (CFMG folder), that the CFMG is informed in advance of the meeting, the objective of the meeting and requested to ensure that the key members of the executive are present, that relevant documentation is brought to the meeting:

Community forestry documentation, specifically:

1. Letter of interest
2. Application for recognition (Form I) including map and constitution
3. Community Forest Management Agreement (Form IV) with 5 year management plan and resource rules and map.
4. Annual workplan
5. Forest permit matrix including fees and other charges
6. Site diary
7. Meeting record book
8. Offences and penalties book
9. CFM Performance incentive payment Agreement with ZIFLP
10. Sub grant Agreement & reports
11. Cashbook and financial statement & reports
12. Technical progress report
13. Cookstove consent forms, incentive payment records
14. Environmental and social screening form
15. Any other documentation, flipcharts, participatory maps

The monitoring team should prepare themselves through the following.

- Ensuring understanding of the CFM monitoring process, documents and checklists
- Reviewing information contained on file or record at Provincial Office
- Reviewing reports and records from previous monitoring visits to understand previous issues and recording progress with issues and agreed actions
- Agreeing team roles and responsibilities in the conduct of the monitoring visit and documentation and reporting the visit.

##### **Conduct of the monitoring visit.**

Entry and exit meetings should be held with key district officials to ensure wider awareness and understanding of the project support to community forestry.

Meetings with district accountants as required to check progress with financial support to the CFMG incentive performance payments and sub-grant retirements.

Sessions shall be delivered in form of meetings in open areas where possible with members of the CFMG executive committees and Community members as well as key representatives from the DMTs.

After opening formalities, the CFMG executive should be invited to report on their current and recent activities. Based on this a question and answer session can be conducted by the team based on the key areas outlined earlier. This should then be followed by a verification process through splitting into 3 teams as appropriate, one to check the condition of the forest, the second to go through the relevant paperwork of the CFMG executive including accounts, the third to interview individuals and households not at the meeting to assess the levels of awareness and participation in CFM activities.

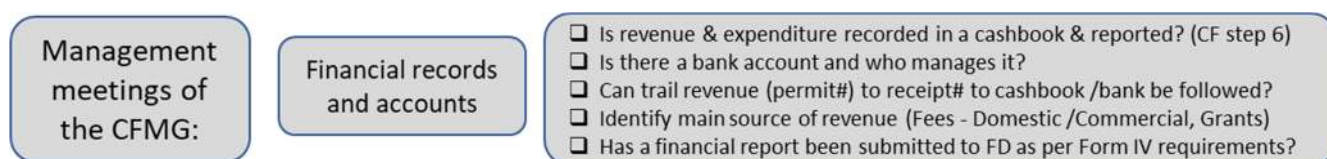
A suggested agenda could be as follows:

<b>Community Forestry Monitoring and Mentoring Meeting</b>	
<b>Tentative Agenda</b>	
1.	Opening formalities and protocols including prayer & self introductions
2.	Explanation of purpose of the visit and CF monitoring process by the team leader
3.	Committee report on implementation of their annual workplan /management plan covering the thematic areas from their Annual workplan: <ul style="list-style-type: none"> <li>• <b>Forest protection development and management</b> <ul style="list-style-type: none"> <li>o Boundary marking, fire management, controlling access and use</li> <li>o Can include utilisation of the CFM performance payment</li> </ul> </li> <li>• <b>Management meetings of the CFMG</b> <ul style="list-style-type: none"> <li>o Meetings and records (from the secretary)</li> <li>o Financial records and report (from the treasurer)</li> <li>o Benefit sharing</li> <li>o Review of the site diary</li> </ul> </li> <li>• <b>Forest utilisation and enterprise development</b> <ul style="list-style-type: none"> <li>o Can include implementation of sub grants, business plan</li> <li>o Can include update on construction and use of improved cookstoves</li> </ul> </li> </ul>
4.	Question and answer session on the above
5.	Three sub groups formed to conduct the following: <ul style="list-style-type: none"> <li>a. <b>Assessing CFM area resource condition</b> through transect walk with community/ user group representatives;</li> <li>b. <b>Reviewing the documentation and record keeping</b> from the CFM Agreement, Management Plan, Annual workplans, financial management system and records of meetings, enforcement of local rules with the CFMG Executive Committee members;</li> <li>c. <b>Interview of selected local households</b> (non committee members) to assess the wider awareness, quality of participation and benefit sharing;</li> </ul>
6.	Plenary meeting where each sub group reports on their initial findings;
7.	General discussion on findings;
8.	Action plan developed;
9.	Next steps and wrap up.
10.	Vote of thanks
11.	Close of meeting

## 5 Use of checklists

A set of key questions for regulatory monitoring in community forestry has been prepared to guide the monitoring team through each of the areas of interest. These can be used in a semi-structured interview format and topics raised according to the reporting, answers, responses and other observations through the monitoring process.

This covers the 5 areas of: forest protection and management; functioning of the CFMG; status of forest based enterprises; environmental and social safeguards; and use of wood energy efficient cookstoves in the community. Each has sub topics and a list of guiding questions for the monitoring team members. These can be ticked off once the sub topic is covered.



Findings and observations should be detailed in the Community Forestry Performance Monitoring & Mentoring Form against the appropriate topic. The form provides for comments to elaborate the finding/issue with a follow up/action by whom/ when column. This form should be completed with a few to identify areas of concern with recommendations to strengthen community forestry practise and guide the CFMG members and form a record for future monitoring visits by the district team or further regulatory monitoring visits.

Criteria	Findings / observations	Comments	Follow up /actions / by whom /when?
<b>a. Forest protection, development and management</b>			
• Boundary marking and maintenance			

This can be used to guide the CFMG and DMT at the plenary meeting on findings and guide the development of an action plan for the site.

The form should be completed on site and preferably signed by a representative of the CFMG and also from the District team. Copies should be shared with each group to assist follow up actions. This form should also be completed on the tablet for the ZIFLP MIS and uploaded to the server.

Attendance sheets should be completed to record the number of people met Male/ Female (see ZIFLP attendance sheet):

Any further comments/ recommendations should be included in the monitoring report for the Provincial Office and the ZIFLP PIU.

## 6 Community Forestry Progress Report Form

In view that the CFMGs should be preparing a report on activities conducted, a template that supports reporting progress against their annual workplan has been prepared. This should be provided to the CFMGs visited and explained in relation to their workplan. This will assist future monitoring as it will be prepared by the CFMG themselves.

Criteria	Planned in Period	Achievements	Comment/follow up / by whom /when?
<b>a. Forest protection, development and management</b>			
• Boundary marking and maintenance Signs/beacons			
• Forest fire management and control			
• Control of access and use – Patrols Incidents			
<b>b. Management meetings of the CFMG</b>			
• Records of meetings and participation	Planned meetings:		
• Financial records and accounts	Budget:	Revenue: Expenditure:	Financial Report & Cashbook
• Benefit sharing distribution			

<b>c. Forest utilization and enterprise development</b>			
	Activities Planned in Period	Achievements	Comment/follow up/ by whom /when?
• Promotion of income generating activities based on sustainable use		Production: Sales: Revenue for sharing	
<b>d. Environmental and social safeguards</b> • Grievances reported & documented			
<b>e. Improved utilisation of woodfuel – energy efficient cookstoves</b>			
Roll out of cookstoves using the monitoring form, Nos, functional etc	Target:	Constructed/ in use	

Note: this form is used to report implementation of the CFMG Annual Workplan. Any safeguards issues should be noted and reported to the ESIO, ZIFLP

Any grievance reported? Action?

Any other comment / information (including recommendation if monitoring relates to CFMG Performance Incentive Scheme Payments):

Signed by - CFMG Chair: \_\_\_\_\_ Treasurer: \_\_\_\_\_ DFO: \_\_\_\_\_

**The Zambia Integrated Forest Landscape Project is a Government initiative within the Ministry of Green Economy and Environment which provides support to rural communities in the Eastern Province to allow them to better manage the resources of their landscapes so as to reduce deforestation and unsustainable agricultural expansion; enhance benefits they receive from forestry, agriculture, and wildlife; and reduce their vulnerability to climate change.**

**Simultaneously the project is creating the enabling environment for emission reduction purchases to be done through the subsequent phase - the Zambia Eastern Province Jurisdictional Sustainable Landscape Programme (EP-JSLP).**

**The ZIFL- Project is a cooperation between the Government of Zambia, the World Bank & partners.**





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## ZIFLP - Strengthening CFM: Key Questions for Regulatory Monitoring

	Boundary marking and maintenance;	<ul style="list-style-type: none"> <li><input type="checkbox"/> Has an annual workplan been developed? Is it known and being followed?</li> <li><input type="checkbox"/> Have the boundaries been marked and maintained?</li> <li><input type="checkbox"/> Have boundary beacons been erected?</li> <li><input type="checkbox"/> Have GPS coordinates been collected and shared?</li> <li><input type="checkbox"/> Has a Boundary description been prepared as per Director's letter?</li> </ul>
Forest Protection & Management	Forest fire management and control	<ul style="list-style-type: none"> <li><input type="checkbox"/> Has a Fire management plan been prepared? Are fire risks identified?</li> <li><input type="checkbox"/> Is early burning practised? Is there equipment and PPE?</li> <li><input type="checkbox"/> Overall observations of forest condition and regeneration?</li> </ul>
	Control of access and use of the forest (incl HFOs)	<ul style="list-style-type: none"> <li><input type="checkbox"/> Is access to the forest controlled? Is there a Permit system with conditions and local rules with sanctions/penalties in place? (CF step 6)</li> <li><input type="checkbox"/> What are the key products harvested?</li> <li><input type="checkbox"/> Are harvesting rules followed (as evidenced in the forest)?</li> <li><input type="checkbox"/> Law enforcement: <ul style="list-style-type: none"> <li><input type="checkbox"/> Is there a Patrol plan – is it being followed?</li> <li><input type="checkbox"/> Is there evidence of illegal activities? Are they documented?</li> </ul> </li> <li><input type="checkbox"/> HFOs: numbers, status of Authorisation, equipment, IDs?</li> <li><input type="checkbox"/> Is there awareness of HFO role and functions?</li> <li><input type="checkbox"/> What is frequency of communication / contact with the District Officers?</li> </ul>
Management meetings of the CFMG:	Records of meetings and participation	<ul style="list-style-type: none"> <li><input type="checkbox"/> How frequently do the CFMG meet, are there minutes and records of decisions kept and attendance?</li> <li><input type="checkbox"/> When was last AGM and election of office bearers as per constitution?</li> <li><input type="checkbox"/> Is the site diary maintained &amp; what is frequency of visits by DFO team?</li> <li><input type="checkbox"/> Are reports prepared and submitted to the FD?</li> </ul>
	Financial records and accounts	<ul style="list-style-type: none"> <li><input type="checkbox"/> Is revenue &amp; expenditure recorded in a cashbook &amp; reported? (CF step 6)</li> <li><input type="checkbox"/> Is there a bank account and who manages it?</li> <li><input type="checkbox"/> Can trail revenue (permit#) to receipt# to cashbook /bank be followed?</li> <li><input type="checkbox"/> Identify main source of revenue (Fees - Domestic /Commercial, Grants)</li> <li><input type="checkbox"/> Has a financial report been submitted to FD as per Form IV requirements?</li> </ul>
	Benefit sharing mechanism and distribution	<ul style="list-style-type: none"> <li><input type="checkbox"/> Is there a benefit sharing plan and agreed allocations for revenue?</li> <li><input type="checkbox"/> Are beneficiary groups identified?</li> <li><input type="checkbox"/> Is surplus revenue shared and to whom? How is it used?</li> <li><input type="checkbox"/> What is community share used for?</li> <li><input type="checkbox"/> What is the decision process, is it transparent and how is it communicated?</li> </ul>
Forest utilization & enterprise development:	Promotion of income generating activities based on sustainable use;	<ul style="list-style-type: none"> <li><input type="checkbox"/> What forest based enterprises are operating from the CFA? Are they sustainable?</li> <li><input type="checkbox"/> Is the CFMG a recipient of enterprise grant support? (Check progress)</li> <li><input type="checkbox"/> See also checklist for CBFE Rapid key questions covering: Assessment of a) technical practice (beekeeping, fish farming etc, b) Functioning of the enterprise –</li> <li><input type="checkbox"/> Is the CFBE and the CFMG the same or a sub group of the CFMG? Who are the beneficiaries? What is the incentive and reward for effort?</li> </ul>
Environmental and social safeguards	Status of the environment and social screening form	<ul style="list-style-type: none"> <li><input type="checkbox"/> Is the site covered by an environmental and social screening form?</li> <li><input type="checkbox"/> Is there community awareness &amp; understanding of the CF process and CFM Agreement (outside of the CFMG executive)?</li> <li><input type="checkbox"/> Did they vote in the last elections?</li> <li><input type="checkbox"/> Are vulnerable groups included and gender issues addressed in activities &amp; benefits?</li> </ul>
	Reporting, management and documenting grievances	<ul style="list-style-type: none"> <li><input type="checkbox"/> Are there any conflicts relating to the forest or functioning of the CFMG?</li> <li><input type="checkbox"/> Have any grievances been reported and how have they been dealt with?</li> <li><input type="checkbox"/> Has the Grievance Redress Mechanism been followed?</li> <li><input type="checkbox"/> Is the Grievance number known? <b>0767756129</b></li> </ul>
Utilisation of wood energy efficient cookstoves	Roll out of cookstoves programme	<ul style="list-style-type: none"> <li><input type="checkbox"/> Are improved cookstoves being used by the community? Were CFMG members trained in construction? What is the target? #constructed, #functional? Are details recorded? Have incentive payments been claimed? How is this disbursed by the CFMG to the builders?</li> </ul>

**Document findings, develop action plan with CFMG to improve the value of the forest to the community**



Criteria	Findings / observations	Comments	Follow up /actions / by whom /when?
<b>a. Forest protection, development and management</b>			
• Boundary marking and maintenance			
• Forest fire management and control			
• Control of access and use			
<b>b. Management meetings of the CFMG</b>			
• Records of meetings and participation			
• Financial records and accounts			
• Benefit sharing			

c. Forest utilization and enterprise development			
• Promotion of income generating activities based on sustainable use			
<b>d. Other best practice</b>			
e. Improved utilisation of woodfuel – energy efficient cookstoves			
<b>Roll out of cookstoves using the monitoring form, Nos, functional etc</b>			

Note: this form is used to monitoring implementation of the CFMG Annual Workplan. Any safeguards issues should be noted and reported to the ESIO, ZIFLP

Any grievance reported? Action?

Any other comment / information (including recommendation if monitoring relates to CFMG Performance Incentive Scheme Payments):

Signed by - CFMG Rep: \_\_\_\_\_ DMT representative: \_\_\_\_\_ Monitoring Team Leader: \_\_\_\_\_

Criteria	Planned in Period	Achievements	Comment/follow up / by whom /when?
<b>a. Forest protection, development and management</b>			
<ul style="list-style-type: none"> <li>• Boundary marking and maintenance</li> <li>Signs/beacons</li> </ul>			
<ul style="list-style-type: none"> <li>• Forest fire management and control</li> </ul>			
<ul style="list-style-type: none"> <li>• Control of access and use – Patrols</li> <li>Incidents</li> </ul>			
<b>b. Management meetings of the CFMG</b>			
<ul style="list-style-type: none"> <li>• Records of meetings and participation</li> </ul>	Planned meetings:		
<ul style="list-style-type: none"> <li>• Financial records and accounts</li> </ul>	Budget:	Revenue: Expenditure:	Financial Report & Cashbook
<ul style="list-style-type: none"> <li>• Benefit sharing distribution</li> </ul>			

<b>c. Forest utilization and enterprise development</b>			
	<b>Activities Planned in Period</b>	<b>Achievements</b>	<b>Comment/follow up/ by whom /when?</b>
	<ul style="list-style-type: none"> <li>Promotion of income generating activities based on sustainable use</li> </ul>	Production: Sales: Revenue for sharing	
	<b>d. Environmental and social safeguards</b> <ul style="list-style-type: none"> <li>Grievances reported &amp; documented</li> </ul>		
<b>e. Improved utilisation of woodfuel – energy efficient cookstoves</b>			
	<b>Roll out of cookstoves using the monitoring form, Nos, functional etc</b>	<b>Target:</b>	<b>Constructed/ in use</b>

Note: this form is used to report implementation of the CFMG Annual Workplan. Any safeguards issues should be noted and reported to the ESIO, ZIFLP

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