

# ILUA II

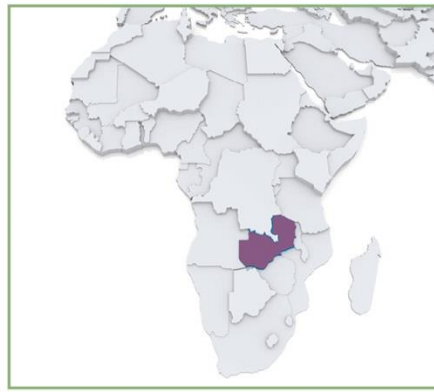


## TECHNICAL REPORT SERIES 2016

### ZFAP Preparatory Review



## Technical Report No. 6



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FORESTRY DEPARTMENT



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# Zambia Forest Action Plan Preparatory Review

**Technical Paper prepared for the Forestry Department, the Ministry of Lands, Natural Resources and Environmental Protection and the Food Agriculture Organization of the United Nations as a part of the Integrated Land Use Assessment Phase II**

**by**

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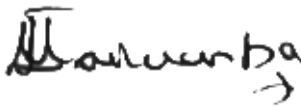
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## FOREWORD

The Zambia Forestry Action Plan (ZFAP) was launched in 1996 as a key master plan for the forestry sector in Zambia for a period of 20 years. During the years from 1996 to 1998, the ZFAP objectives were progressively developed into the Zambia National Forestry Policy of 1998 and subsequently the Forests Act No 7 of 1999. Although the Forests Act was not implemented, a number of programmes have been implemented from the ZFAP, including the Integrated Land Use Programme.

The Integrated Land Use Assessment Project Phase II is a direct outcome of the ZFAP programme, namely, planning, monitoring and evaluation which has as one of its outputs a strengthened statistical forest database at the Forestry Department. Given the number of emerging issues that have emanated in the forestry sector, including issues of climate change and REDD+ which ILUA II is expected to address, it became necessary to commission a review of the ZFAP.

The ZFAP preparatory paper is therefore expected to provide a framework for a full review. We hope that this paper will provide information about what the review should address and that it will also trigger an interest for funding of the review of ZFAP which is long overdue.



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## **ABSTRACT**

The Zambia Forest Action Plan Phase I (ZFAP, 1998-2018) was intended as an overarching framework to guide forestry development in Zambia over a twenty-year period focusing on the sustainable management, utilization and conservation of Zambia's forest resources. This study examines the relevance, effectiveness, efficiency, ultimate impact and sustainability of ZFAP. In this regard, it finds the ZFAP performance to be below par, elaborating several causes: a poor enabling environment; weak management and resource capacity in the Forest Department (FD); the lack of sustained financing to facilitate implementation by the government and cooperating partners; the lack of coordination and harmonization with other related sectors; and the inadequate participation by key stakeholders, in particular forest communities.

The study recommends a revision of ZFAP to meet today's challenges in the forest sector. In particular, the new design should address and incorporate new emerging issues, such as REDD+; sustainable forestry in the context of climate change; forest certification for value addition and promotion of sustainable forest management; as well as forest law enforcement, governance, and trade in order to improve forest governance in general. A revised ZFAP should also address issues of effective coordination mechanisms; buy-in and ownership of the plan by all key stakeholders; sustainable financing; and commitments from the government to support ZFAP's implementation over the course of its duration.



## LIST OF ACRONYMS

CBO	Community Based Organization
CEEC	Citizens Economic Empowerment Commission
CGRFA	Commission on Genetic Resources for Food and Agriculture
COP	Conference of Parties
CP	Cooperating Partner
CSO	Civil Society Organization
DMMU	Disaster Management and Mitigation Unit
ESP	Environmental Support Programme
FAO	Food and Agriculture Organization of the United Nations
FBO	Faith Based Organization
FD	Forest Department
FETD	Forestry Education and Training Development
FGR	Forest Genetic Resources
FID	Forest Industries and Non-wood Products Development
FLEGT	Forest Law Enforcement, Governance and Trade
FNDP	Fifth National Development Plan
FOSA	Forest Outlook Studies in Africa
FRED	Forest Research and Extension Development
FRMP	Forest Resources Management Programme
FSC	Forest Stewardship Council
FSP	Forest Support Programme
GDP	Gross Domestic Product
GEF	Global Environmental Facility
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
GMA	Game Management Area
GRZ	Government of the Republic of Zambia
IFAD	International Fund for Agricultural Development
IFMBC	Indigenous Forest Management and Biodiversity Conservation
ILUA	Integrated Land Use Assessment
IUCN	World Conservation Union

JFM	Joint Forest Management
MLNREP	Ministry of Lands, Natural Resources and Environmental Protection
MoU	Memorandum of Understanding
NAPA	National Adaptation Programme of Action on Climate Change
NEP	National Energy Policy
NFPF	National Forest Programme Facility
NGO	Non-Governmental Organization
NHCC	National Heritage Conservation Commission
NRSE	New and Renewable Sources of Energy
PA	Protected Area
PFAP	Provincial Forestry Action Programme
PMED	Planning, Monitoring and Evaluation Development
PP	Partnership Park
PPCR	Pilot Programme for Climate Change
PPP	Public Private Partnership
REDD	Reducing Emissions from Deforestation and Forest Degradation
REDD+	Reducing Emissions from Deforestation and Forest Degradation, Conservation, Enhancement of Carbon Stocks and Sustainable Forest Management
REMNPAS	Reclassification and Effective Management of the National Protected Area System
SFM	Sustainable Forest Management
SNDP	Sixth National Development Plan
SWOT	Strengths, Weaknesses, Opportunities and Threats
TCP	Technical Cooperation Programme
TFAP	Tropical Forest Action Plan
TFP	Farm Forestry/Agroforestry Tree and Forest Production
ToR	Terms of Reference
UNCBD	United Nations Convention on Biological Diversity
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme
VPA	Voluntary Partnership Agreement
WED	Woodfuel and Energy Development
ZAFFICO	Zambia Forest and Forest Industries Corporation
ZAWA	Zambia Wildlife Authority
ZFAP	Zambia Forest Action Plan

## 1. INTRODUCTION

### 1.1. Structure of the Paper

This paper comprises six sections. *Section 1* presents the introduction to the report and outlines the background to the Zambia Forest Action Programme, including the primary components and objectives of the programme. *Section 2* describes the objectives of the assignment and the consultant's interpretation of the Terms of Reference (ToR). *Section 3* gives a detailed description of the methodology and approaches employed in the study; including literature review, stakeholder analyses, interviews, site visits and a validation workshop to discuss the initial findings. *Section 4* presents the results of the study; including the major outputs of ZFAP since its inception, the key challenges encountered in the implementation of ZFAP, the major developments and changes in the Zambian forest and other related sectoral policies during the last decade. *Section 5* discusses the major findings of the study; including the rationale for the ZFAP review and revision, priority issues and areas to be addressed in the review and revision process, recommended activities, and a roadmap outlining recommendations for the ZFAP review and revision process. *Section 6* presents a proposal for a Technical Cooperation Programme (TCP) to facilitate a detailed review leading to the formulation of a second phase of ZFAP.

### 1.2. Background

Following the promulgation of the Tropical Forest Action Plan (TFAP), Zambia's participation in the subsequent United Nations Intergovernmental Panel on Forests, and the ratification of the United Nations Convention on Biological Diversity (UNCBD), the Zambia Forest Action Programme Phase I (ZFAP: 1998-2018) was conceived as a country-wide strategic plan to fulfil the requirements and obligations under the two instruments mentioned above. The ZFAP served as an overarching framework for guiding forestry development in the country over a twenty-year period, with a focus on the sustainable management, utilization and conservation of Zambia's forest resources. ZFAP I comprised four core or primary development programmes: Indigenous Forest Management and Biodiversity Conservation (IFMBC), Forest Industries and Non-wood Products Development (FID); Farm Forestry/Agro-forestry Tree and Forest Production (TFP), and Woodfuel Energy Development (WED); and three secondary or supportive development programmes: Forestry Education and Training Development (FETD), Forest Research and Extension Development (FRED), and Planning, Monitoring and Evaluation Development (PMED) – each with its own specific objectives (Table 1).

**Table 1: ZFAP I programme components and objectives**

<b>Programme Component</b>	<b>Objectives</b>
<b>1. Core/Primary</b>	
Indigenous Forest Management and Biodiversity Conservation Sub-Programme (IFMBC)	<ul style="list-style-type: none"> <li>• To enhance community participation in biodiversity conservation and sustainable management and utilization of the forest resources</li> <li>• Increase direct and indirect benefits from indigenous forests to the nation</li> <li>• Improve the living standard of rural communities</li> </ul>
Forestry Industries and Non-wood Products Development Sub-Programme (FIDP)	<ul style="list-style-type: none"> <li>• To meet the increased demand for forest products</li> <li>• Transform the state-controlled sawmills into the private sector</li> <li>• Provide extension training and logistic support to non-wood forest products users</li> </ul>
Farm Forestry/Agroforestry Tree and Forest Production Sub-Programme (TFPP)	<ul style="list-style-type: none"> <li>• To create a tree growing culture among rural communities in order to improve their living standards</li> <li>• Improve and maintain a stable and productive environment</li> <li>• Increase the sustainable production of wood products</li> <li>• Reduce pressure on natural forests by promoting urban plantation establishment</li> </ul>
Woodfuel Energy Development Sub-Programme (WEDP)	<ul style="list-style-type: none"> <li>• To reduce growth in the demand for firewood and charcoal as household energy sources</li> <li>• Improve charcoal production efficiency in urban areas</li> <li>• Reduce pressure on forests and woodlands</li> </ul>
<b>2. Supportive</b>	
Forestry Education and Training Development Sub-Programme (FETDP)	<ul style="list-style-type: none"> <li>• To establish a human resource planning and development system</li> <li>• To strengthen the existing forestry training institutions</li> <li>• To update the knowledge and skills of forestry staff to reflect the present needs in order to motivate and increase efficiency in the forest sector</li> </ul>
Forest Research and Extension Development Sub-Programme (FREDP)	<p><i>Forest Research</i></p> <ul style="list-style-type: none"> <li>• To generate necessary knowledge which will increase supply of forest products and improve management of forest resources</li> <li>• Undertake demand-driven research on all aspects of forestry and forest products</li> <li>• Develop effective and economic control mechanism for pathogens and pests threatening plantation forests</li> </ul> <p><i>Extension</i></p> <ul style="list-style-type: none"> <li>• Ensure a participatory and multi-disciplinary approach in the management and utilization of forest ecosystems</li> <li>• Create the balanced and holistic capability of resource utilization and increase resource productivity</li> </ul>
Planning, Monitoring and Evaluation Development Sub-Programme (PMEDP)	<ul style="list-style-type: none"> <li>• Establish a planning and assessing system for the effective utilization of resources</li> </ul>

Source: MTENR, 1997 (ZFAP Vol. I)

## 2. STUDY OBJECTIVES

### 2.1 General

To prepare and provide guidance for the review of the ZFAP. The subsequent sub-objectives are:

- i. To provide a first analysis of the scope, status and implementation of the ZFAP, and the major changes affecting the Zambian forest sector that have occurred during the last 10 years and which are emerging in the foreseeable future;
- ii. To make recommendations for the design and implementation of a ZFAP review; and
- iii. To develop a Technical Cooperation Programme (TCP) Facility proposal and a tentative work plan for a ZFAP review.

### 2.2 Specific

Specific tasks are to:

- i. Analyse the current scope, status and implementation of the ZFAP and the results achieved, and to identify the strengths, weaknesses and gaps;
- ii. Map major developments and changes in Zambian forest policy and its implementation, as well as in forest management and the utilization of forest resources during the last 10 years, that should be considered during the ZFAP review;
- iii. Map major developments and changes in other relevant policies and sectors affecting Zambian forests and their use; and
- iv. Map current and emerging national and international initiatives and trends affecting Zambian forests and their use.

Based on the information collected through literature review and semi-structured interviews, the consultant shall undertake the following tasks:

- i. Describe the key rationales for a review and revision of the ZFAP that emerge from the analysis of changed contexts and needs of stakeholders;
- ii. Identify and suggest the priority issues and areas that should be addressed in the review of the ZFAP, based on the issues and needs raised by different stakeholders;
- iii. Elaborate on the detailed recommendations for studies and other activities that would be useful in the context of the ZFAP review;
- iv. Elaborate on the recommendations for the ZFAP review and revision process, including stakeholder groups to be involved; and
- v. Develop a TCP Facility proposal and a tentative workplan (including suggested tasks and actions; estimations of inputs needed in terms of time, financial and human resources; and expected outputs).

### 2.3 Understanding the Study Terms of Reference and the Assignment

The overall goal of this assignment was to provide a clear and coherent roadmap for the review of the ZFAP, which was designed as a twenty-year programme (1998-2018) to guide forest

management implementation in the country for the purpose of achieving a sustainable forestry sector.

The purpose of this assignment is NOT to review ZFAP, but to collect relevant information from key stakeholders *to guide* the review process. In order to provide such guidance, a preliminary assessment of the performance of ZFAP is required which will provide recommendations for the proposed review.

The preliminary assessment would include a SWOT analysis, an overview of the policy and institutional landscapes over the past ten years based on stakeholder responses, as well as identifying and suggesting issues that the substantive review should consider. Out of this analytical work should emerge detailed Terms of Reference or rationales for the review of the ZFAP. Of necessity in this preliminary process is the identification of and consultation with key stakeholders, and the identification of emerging or on-going national or international initiatives that have implications for the management and use of Zambia's forest resources.

The forest sector in Zambia is under renewed threats from local, national and international pressures, which are calling for new efforts and perspectives to ensure that forest resources are sustainably managed. One of the key challenges to the Zambia forest sector is the limited institutional and leadership capacity needed to champion plausible responses to emerging issues and to steer the sector in the right direction. The Terms of Reference for the participatory phase adequately address the tasks under this assignment.

### **3. METHODOLOGY**

The study employed a combination of approaches that were participatory in nature, deliberately targeted (purposeful) and qualitative. Specific methods used included literature review, stakeholder analyses, interviews, SWOT analysis, field visits and a stakeholder validation workshop.

#### **3.1. Literature Review**

This was a key component used to understand the scope of the ZFAP and to establish its performance against set objectives, the results of which would inform the rest of the assignment. The task involved the scrutiny of project documents, relevant reports including studies, minutes of meetings, relevant sector and national environment related programmes and policy documents. The main reference texts were the ZFAP project documents (Vols. I-III) and the Provincial Forest Action Programme (PFAP) documents. Various other GRZ and FAO progress reports and consultants' reports were also reviewed as shown in the Bibliography.

#### **3.2 Stakeholder Analyses**

The main stakeholder groups identified were the Forest Department on behalf of the government, the cooperating partners (FAO, UNDP, Embassy of Finland), the private sector (Zambia Forestry and Forest Industries Corporation – ZAFFICO and the Timber Producers' Association of Zambia – TPAZ), as well as NGOs, local forest communities (Katanino, Choma and Namwala) and individual professionals. A total of 51 individuals were interviewed (Annex 1).

### **3.3. Interviews**

Three types of interviews were administered among the key stakeholder groups identified above (using a guiding questionnaire, see Annex 2):

#### **3.3.1. *Semi-structured interviews***

Semi-structured interviews provided a framework for focused, conversational, two-way communication to obtain information from individuals or groups. This involved the development of a basic set of guiding questions presented in the form of a questionnaire and administered to stakeholders to identify relevant factors and possible relationships between the same. From these conversations emerged key issues that were further probed to provide new insights. This allowed both the interviewer and interviewee the flexibility to openly discuss issues relevant to the ZFAP. Representative samples of respondents from the Forest Department, local communities and educational institutions participated in the semi-structured interviews (Annex 1).

#### **3.3.2. *Open-ended interviews***

These were mainly directed at key informants who had significant knowledge about the programme or who played a key role in the programme. The interviews allowed for open discussions. The key informants interviewed included representatives from the private sector, cooperating partners and consultants, and a few select individuals from the Forest Department who were directly involved in the programme's design and implementation (Annex 1).

#### **3.3.3. *Focus group discussions***

These involved meetings with ZFAP beneficiaries to identify problems and solutions, to gain consensus on issues of relevance and to formulate recommendations on the key aspects to focus on during the proposed review. The discussions captured the different perspectives provided by the target beneficiaries.

A combination of semi-structured and open-ended interviews were held with Forest Department officials in six different districts, namely Choma, Masaiti, Ndola, Kitwe, Namwala and Lusaka; representatives of the Zambia Forestry and Forest Industries Corporation (ZAFFICO) and the Timber Producers' Association of Zambia; and representatives from the Forest Research Division, the Copperbelt University and the Zambia Forest College. Focus group discussions were also held with community representatives in three Joint Forest Management (JFM) pilot sites at Katanino Local Forest (Masaiti District), Ndongi Local Forest (Choma District) and Namwala National Forest (Namwala District) (Annex 1).

#### **3.3.4. *SWOT analysis***

This exercise constituted an analysis of the ZFAP, at both individual and institutional levels, by critically analyzing and evaluating programme elements that had worked (strengths), those that had not worked well (weaknesses), ideas for how weaknesses could be overcome and strengths could be built upon (opportunities), and constraints that existed and diminished the range of opportunities (threats). The individual and institutional SWOT analyses were consolidated into one analysis and further subjected to validation by the stakeholders. The SWOT analysis was essential to discerning the critical areas of attention for the proposed review.

### **3.3.5 Site visits**

Two field visits were conducted to Joint Forest Management sites in Katanino Local Forest (Masaiti District) from 18–20 June 2012 and Ndoni Local Forest (Choma District) from 21–22 June 2012. The objective was to observe the results on the ground and to meet with key stakeholders, such as local district government authorities, district forest authorities, community participants, traditional authorities and other key stakeholders, so as to obtain insights into their understanding of the rationale and performance of the programme (see Annex 3 for the detailed site visit programme). The observations, insights and recommendations of field beneficiaries and key stakeholders were deemed important in guiding the detailed ZFAP review process.

### **3.3.6 Validation workshop**

All the findings were subjected to a validation process through a workshop held on 9 August 2012 at Ibis Gardens in Chisamba (Lusaka) to ensure that there was adequate consensus on the findings and recommendations of the study. The validation workshop was attended by representatives from all the provincial offices of the Forest Department, the Forest Department Headquarters, the Forest Extension Division and the Forest Research Division, the University of Zambia, the Copperbelt University, the Zambia Climate Change Network, the Zambia Land Alliance, the World Wide Fund for Nature (WWF), the private sector, the cooperating partners and the Ministry of Chiefs and Traditional Affairs (Annex 4). It should be noted that in addition to presenting the results of the literature review and stakeholder interviews, the author also presented his own expert observations, which are reflected in this paper and which were presented to the validation workshop. The validation workshop approved this paper as representative of the current situation regarding the ZFAP, as well as of the forestry sector in general.

## **4. RESULTS**

### **4.1 Analysis of the current scope, status and implementation of the ZFAP<sup>2</sup>**

#### **4.1.1 Current scope and status**

The Zambia Forestry Action Plan was an ambitious twenty-year programme of the Government of the Republic of Zambia, launched in 1998 with the technical support of the FAO. All the stakeholders interviewed are unequivocal about the continued relevance of the ZFAP. It is still relevant today if one considers the Sixth National Development Plan (SNDP) and Vision 2030, which offer medium- and long-term national planning frameworks, respectively, for achieving sustainable and equitable economic development based on the prudent management and utilization of Zambia's natural resources. The ZFAP's overall intention was to realize sustainable forest management and biodiversity conservation in Zambia based on the full appreciation of the sector's contribution to the economy and its critical role in the economic recovery programme (ERP) of the 1990s. The ERP emphasized the liberalization of prices, a market economy, and a conducive environment for private sector participation. The National Forest Policy of 1998 and the Forest Act No.7 of 1999 are some of the major outcomes of the ZFAP. Also, the Provincial Forestry Action Programmes (PFAP) in the Copperbelt, Luapula and Southern Provinces were implemented from 1995 to 2007 to support participatory forest management as promulgated in the National Forest Policy of 1998.

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<sup>2</sup> Zambia Forestry Action Plan documents Vols. 1-3



The ZFAP was based on five key principles; namely, sustainable resource management, capacity development, a participatory approach, gender participation and sectoral intergration. Considering the important role played by forests, and recognizing the the forest sector's contribution to the national economy, the ZFAP was developed with four main programme areas, namely:

- i. Indigenous forest management and biodiversity conservation
- ii. Tree and forest development
- iii. Forest industry and non-wood forest products development
- iv. Woodfuel energy development

Three support programmes were added with the intention of addressing forest sector policy and institutional issues:.

- i. Forestry education and training
- ii. Forest research and extension
- iii. Policy, planning, monitoring and evaluation

These programme components were designed to contribute to the creation of an enabling environment. A key aspect of this was the promotion of stakeholder participation, particularly the private sector and communities, and the encouragement of investment in sustainable forest resource management. A total investment of almost US\$300 million was projected to be spent in forest production, institutional strengthening, infrastructure development and feasibility studies over the course of twenty years. It was also projected that US\$8 million per year would be requested from external sources for the procurement of facilities for industry development, resource management and land use planning.

According to the project documents, the investment programme assumed that there would be a decentralization of public roles and responsibilities to the provinces and districts, the enhancement of the role of civil society, and the development of innovative sources of conservation financing.

The programme also rightly assumed a clear relationship with other sectors of the economy that directly impact on forestry resources, namely, energy and agriculture. These two sectors are also considered among the drivers of deforestation, particularly if they are not well developed spatially and technologically.

All the stakeholders interviewed observed that the objectives and proposed programmes of ZFAP outlined above are still relevant to the Zambian forestry sector today, but perhaps require new ways of justification to address emerging issues as well as the elaboration of innovative mechanisms for implementation. Representatives of the Forest Department lamented the fact that, although the ZFAP design was relevant to national priorities, it was not adequately funded by neither the Central Treasury nor the cooperating partners. This resulted in its weak implementation.

### ***Relevance of the ZFAP Programme Today***

According to the literature review and the stakeholder interviews, the ZFAP and its objectives are still relevant, though it is no longer being implemented, as there have been no direct funds for this purpose. The provincial forestry action plans, the piloting of joint forest management, the institutional and legislative reforms, and the forestry credit fund, have all failed in some way.

Forest Department stakeholders are of the opinion that there was not enough funding to continue implementing the ZFAP. The private sector and NGO stakeholders point to the lack of capacity in the Forest Department to articulate and communicate a vision for the forestry development in Zambia. All the stakeholders agreed on a lack of political will to support the forestry sector in particular and the environment sector in general. This is demonstrated by the low annual national budgetary allocations to the environment sector; generally less than 1% over the years.

#### ***4.1.2 Implementation of the ZFAP***

This section analyzes the implementation of the ZFAP against the set objectives and actual activities undertaken. According to the ZFAP project documents (Vol. 1-3), a Programme Management Unit (PMU) was supposed to be established to spearhead the implementation, to mobilise resources through semi-annual donor roundtable meetings, and to develop concepts contained in the plan into full project proposals. The PMU was also supposed to facilitate five-year reviews of the ZFAP in order to inform forest planning so that it could be adjusted to include emerging political, environmental, social and economic issues. Based on interviews with key informants, and also confirmed by literature review findings, it was revealed that the PMU was never established. Hence, this resulted in the uncoordinated implementation of activities and the limited long-term view. It was also noted by the key informants that the poor financial situation of the Forestry Department had negatively affected both its institutional capacity and institutional memory, which further resulted in loss of donor and stakeholder confidence<sup>3</sup>.

The findings from the focus group discussions showed that the implementation of the ZFAP against its stated objectives was poor. The four main programme areas have had no concerted activities for over a decade and most of what was funded, although relevant to ZFAP, cannot be directly attributed to the programme. This is elaborated further under the following *Section 4.1.3 ZFAP Outputs*.

The implementation of the twenty-year ZFAP programme (1998-2018) was negatively affected by several factors, most of them related to the inadequate enabling environment over the past decade. The most serious concern is that the poor enabling environment is well known, but has largely remained unsolved, leaving the sector in a deadlock with its major cooperating partners as a result

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<sup>3</sup> Davy Nkhata (personal communication)

of complex governance issues at local and national levels (Lusaka Times, 2009)<sup>4</sup>. Table 2 summarizes the implementation status of the ZFAP.

**Table 2: Implementation status of the ZFAP**

ZFAP Programme	Objectives	Activities Undertaken
<b>Main programmes</b>		
Indigenous Forest Management and Biodiversity Conservation	<ul style="list-style-type: none"> <li>To enhance community participation in biodiversity conservation and sustainable management and utilization of the forest resources</li> <li>Increase direct and indirect benefits from indigenous forests to the nation</li> <li>Improve the living standard of rural communities.</li> </ul>	<ul style="list-style-type: none"> <li>Initiation of JFM pilots under PFAP I but never completed</li> <li>Initiated activities to reform Policy and Forest Act in 1997</li> <li>None – no deliberate actions undertaken to reform the national forest concession system</li> <li>Activities initiated through the Forest Resource Management Project (FRMP) in Luapula and Northwestern Provinces but this project was not directly related to ZFAP (see Section 4.1.3)</li> </ul>
Forestry Industries and Non-wood Forest Products Development	<ul style="list-style-type: none"> <li>To meet the increased demand for forest products</li> <li>Transform the state controlled sawmills into the private sector</li> <li>Provide extension training and logistic support to non-wood forest products users.</li> </ul>	<ul style="list-style-type: none"> <li>No apparent activities undertaken evidenced by disinvestment in forest plantations and indigenous forest management</li> <li>Privatization of sawmills at Chati, Kafubu and Ndola Hill</li> <li>No apparent activities undertaken</li> </ul>
Farm Forestry/Agroforestry Tree and Forest Production Sub-Programme	<ul style="list-style-type: none"> <li>To create a tree growing culture among rural communities in order to improve their living standards</li> <li>Improve and maintain a stable and productive environment</li> <li>Increase the sustainable production of wood products</li> <li>Reduce pressure on natural forests by promoting urban plantation establishment.</li> </ul>	<ul style="list-style-type: none"> <li>No apparent activities undertaken</li> <li>No apparent activities undertaken</li> <li>No apparent activities undertaken</li> <li>No apparent activities undertaken</li> </ul>

<sup>4</sup> The Government of Finland suspended support to the sector in 2009 citing lack of progress in legislative review and institutional reform. Lusaka Times <http://www.lusakatimes.com/2009/01/26/finland-withholds-forestry-commission-funds-because-of-bad-laws>

ZFAP Programme	Objectives	Activities Undertaken
Woodfuel Energy Development	<ul style="list-style-type: none"> <li>To reduce growth in the demand for firewood and charcoal as household Energy sources</li> <li>Improve charcoal production efficiency in urban areas</li> <li>Reduce pressure on forests and woodlands.</li> </ul>	<ul style="list-style-type: none"> <li>No apparent activities undertaken;</li> <li>No apparent activities undertaken</li> <li>No apparent activities undertaken</li> </ul>
<i>Support programmes</i>		
Forestry Education and Training	<ul style="list-style-type: none"> <li>To establish human resource planning and development system</li> <li>To strengthen the existing forestry training institutions</li> <li>To update the knowledge and skills of forestry staff to reflect the present needs in order to motivate and increase efficiency in the forest sector.</li> </ul>	<ul style="list-style-type: none"> <li>No apparent activities undertaken</li> <li>No apparent activities undertaken</li> <li>No apparent activities undertaken</li> </ul>
Forest Research and Extension	<p><i>Forest Research</i></p> <ul style="list-style-type: none"> <li>To generate necessary knowledge which increases supply of forest products and improve management of forest resources</li> <li>Undertake demand-driven research on all aspects of forestry and forest products</li> <li>Develop effective and economic control mechanism for pathogens and pests threatening plantation forests.</li> </ul> <p><i>Extension</i></p> <ul style="list-style-type: none"> <li>Ensure a participatory and multi-disciplinary approach in the management and utilization of forest ecosystems</li> <li>Create balanced and holistic capability of resource utilization and increase resource productivity</li> </ul>	<ul style="list-style-type: none"> <li>Some research activities undertaken under PFAP II Research Grants (e.g., beekeeping, non-timber forest products, forest revenues)</li> <li>No apparent activities undertaken</li> <li>No apparent activities undertaken</li> <li>No apparent activities undertaken</li> <li>No apparent activities undertaken</li> </ul>
Planning, Monitoring and Evaluation	<ul style="list-style-type: none"> <li>Establish planning and assessing system for effective utilization of resources</li> </ul>	<ul style="list-style-type: none"> <li>Initiated Integrated Land Use Assessment (ILUA ) Project</li> </ul>

Several factors contributed to the poor implementation status of the ZFAP: the weak policy and legislative environment, the inadequate budgetary allocations by the government to the sector over the years coupled with the loss of confidence among cooperating partners, the inadequate human resource capacity within the Forest Department, the poor engagement of the private sector and the unclear benefits accruing to local communities engaged in JFM. However, the validation workshop noted that despite the poor implementation status of the ZFAP, there is now renewed interest from various cooperating partners; the new Patriotic Front government, the business sector, and civil society, to resuscitate the forestry sector towards achieving effective implementation and meaningful results.

## **4.2. Major outputs of the ZFAP process**

This section describes the major outputs directly related to the ZFAP. The direct outputs of the ZFAP are those that were implemented through the Provincial Forestry Action Programme (PFAP) Phase I (1995-2000) and Phase II (2001-2004) with a non-cost extension from 2004-2006; the Forest Policy of 1998; the Forest Act No. 7 of 1999, the Forest Development Credit Fund (FDCF); and the Integrated Land Use Assessment (ILUA) Project (Phases I and II). The PFAP and ILUA were implemented with support from the Government of Finland.

### **4.2.1. Forest Policy of 1998, Forest Act of 1999 and the Provincial Forest Action Plan**

The ZFAP identified key issues affecting the management of natural resources, which included **deforestation**, a lack of updated **management plans**, a lack of **participation by stakeholders** in the management of forest resources, **inadequate financial resources** and **weak institutions** mandated to manage forest resources. Three key outputs of the ZFAP process were the formulation of the Forest Policy of 1998; the drafting of the Forest Act No: 7 of 1999 (FD, 1999); and the piloting of the Provincial Forestry Action Plan (PFAP) (FD, 2006). The Statutory Instrument No. 51 provided a legal framework for piloting Joint Forest Management (JFM) in four provinces; namely Luapula, Central, Copperbelt and Southern Provinces.

The significance of the three instruments mentioned above (policy, legislation and PFAP) is that they were designed to improve the enabling environment for sustainable forest management in Zambia. Policy, legislation and institutional reform are key aspects because they represent the existence of political will, a regulatory framework for controlling resource exploitation, and the appropriate institutional arrangements, which include strategic partners, general stakeholders and the public, as well as an opening up of opportunities for investment.

Following the revision of the Forest Policy in 1998, a Forest Bill was drafted which sought to introduce two major changes in forest management in Zambia. The first change was to provide the enabling environment for participatory forest management which would include the devolution of management authority to legally constituted, representative local structures. This was meant to be the basis for Joint Forest Management (JFM) following the successful piloting of the approach under the Provincial Forestry Action Plan (PFAP).

The second anticipated change was to provide institutional reform in the forestry sector. This implied the creation of a new semi-autonomous institution, the Forestry Commission, along the same line as the Zambia Wildlife Authority. This approach was collectively intended to mobilize

additional capacity and investment into the sector to enhance a business approach and partnerships with the private sector. While the 1998 Forest Policy was approved, the 1999 Forest Act was never implemented, even though it received presidential assent. The continued piloting and up-scaling of Joint Forest Management was left in limbo.

In the absence of the new legal framework and abandoned institutional reform to transform it into a semi-autonomous institution, the Forest Department is very weak as an institution and even weaker in fulfilling its mandate. It is unable to police the vast estate under its jurisdiction which has left the forest sector vulnerable to encroachment and abuse. The capacity for research, forest management and supervision of concessions has automatically suffered from this lack of capacity and investment.

The proposed restructuring of the sector towards a more business and participatory orientation is one of the major developments in the sector over the past years. The lack of progress in achieving its intended objectives, which was largely attributed to a lack of financing is, to all intents and purposes symptomatic of poor political will and internal resistance to change, and a clear case of bad governance. The key stakeholders in the forestry sector, the true partners in forest management who co-exist with the resource (local communities), remain generally excluded and officially without any management authority. In the meantime, the forests remain unregulated and over-exploited.

Stakeholders are unequivocal about the below-par performance of the Forest Department, both at local and national levels, internally and externally, as affirmed by the validation workshop. The financial support to the forestry sector, which was anticipated from the Government of Finland, was unfortunately withheld as neither the legal nor the proposed institutional reforms were completed.

#### **4.2.2. Forest Development Credit Fund (FDCF)**

The Forest Development Credit Fund (FDCF) was a ZFAP-based initiative which started in 2005. It was a government revolving fund that provided small loans with a low interest to both individual forest users and groups to start new forestry projects or improve on existing ones. Under this programme, more than 115 projects were funded by the Zambian government with up to K6.5 billion (FD, 2006). While the FDCF was an important empowerment tool for the development of forest related enterprises, by 2007, only 10% of the funds had been recovered, which officially worried the government—that had funded the projects exclusively from its own resources—and which compromised the initiative's success. Subsequently, with the creation of the Citizen's Economic Empowerment Commission (CEEC) by an Act of Parliament in 2006, the FDCF was taken over by the CEEC, where its intended focus on forestry appears to have been lost. It is recommended that the detailed review will investigate this matter further.

#### **4.2.3. Integrated Land Use Assessment (ILUA)**

The Integrated Land Use Assessment (ILUA) Project, implemented in two phases, carries out inventories of the forest resources and the social-economic condition of forest users. This government-led initiative is supported by the Food and Agriculture Organization (FAO) and the Government of Finland. During the first phase, ILUA I, the assessment was carried out in 250

sample plots across the nation, where forest resource data and socio-economic data was collected, processed and presented in reports of different types (Kalinda, *et al.* 2009; Siampale, 2008). The second phase, ILUA II, involves a vastly increased sample size that should facilitate representative provincial level data on Zambian forest resources. Through field assessments and remote sensing, ILUA maps pressures on the forest resource from shifting and slash and burn agriculture, biomass-based energy supply, charcoal and firewood, forest fires and general unsustainable utilisation of forest resources. The 2005-2008 ILUA Project has therefore gathered extensive data on all land use types and extents as well as management regimes.

Apart from the Forest Department, other relevant departments and ministries, such as agriculture, wildlife, the universities and Forestry College, the Central Statistical Office and the local authorities, were also involved in order to promote a holistic approach and collection of comprehensive data about the pressures being put on the forests. After all, forest resources and their pressures are cross-sectoral in origin. ILUA therefore did enhance cross-sectoral coordination and collaboration among land use management institutions as envisaged by the ZFAP.<sup>5</sup>

### **4.3. ZFAP outcomes**

The outcomes of the key expected outputs of the ZFAP are as follows (see Table 3 for a summary):

#### *Indigenous Forest Management and Biodiversity Conservation*

The key outcomes under the *Indigenous Forest Management and Biodiversity Conservation* Programme included the forest and biodiversity inventories under ILUA, the community forest management plans developed for the PFAP-JFM pilot sites, and the development of the Forest Policy (1998). Incentivised community management of watershed protection forests and open areas, the elaboration of benefit sharing mechanisms from forest management, and the proposed legislation of 1999, all failed to materialise largely due to the weak capacity of the FD, the lack of coordination across sectors implementing forest-related projects and an inadequate investment in the sector. According to community respondents, JFM failed largely due to the unclear benefit streams to community levels. While a consolidated Protected Area System was developed for the country, this was not done under the ZFAP, but rather through a UNDP-funded REMNPAS project implemented by the Zambia Wildlife Authority (ZAWA). However, the proposed Protected Area (PA) system has not been implemented to date (Table 3) partly because the recently revised Forestry Bill of 2012 (successor to the 1999 Forest Act) is yet to be presented to Parliament.

#### *Forestry Industries and Non-wood Forest Products Development*

Under this programme, the anticipated increase in supply of sawn timber on the market has not been forthcoming despite the privatization of the state-owned sawmills. This is largely due to the disinvestment in plantation forestry establishments for over 30 years. The stakeholders estimate that only about 40% of the privatized sawmills are functional, and they are largely based on indigenous rather than plantation sawlogs. The growing of rattan was promoted under the Forest Resource Management Programme (FRMP) which aimed at multi-sectoral planning and the implementation of activities that engendered SFM, this being among the issues identified in the

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<sup>5</sup> See <http://www.fao.org/forestry/17847/en/zmb/>

ZFAP (Kalinda *et al.* 2008). This programme was funded by the International Fund for Agriculture Development (IFAD) with up to US\$15.99 million and was implemented in the Luapula and North-Western Provinces, which were identified as economically poor but forest resource-rich areas.

IFAD provided 79% of the required programme funds, while the German Development Service (now part of GIZ), the Republic of Ireland, the Government of Zambia and the project beneficiaries covered the rest. A case study of beekeeping, undertaken to establish its potential in the economy of rural Zambia, found honey production to be very useful in this respect (Mickels-Kokwe, G. 2006). It was on the basis of such references and approaches that the FRMP engaged nearly 600 families to adopt beekeeping and honey production as an entry point for SFM in the two provinces (FRMP, 2007). However, the impact of the programme was negatively affected by poor market linkages and a complex policy and legislative environment which made it difficult to create robust community structures for forest management (Perch and Wood, 2011).

#### *Farm Forestry/ Agroforestry Tree and Forest Production*

The main output under the “Farm Forestry/Agroforestry Tree and Forest Production” programme was the creation of the Forest Development Credit Facility (FDCF). Although well intended, key stakeholders noted that the fund experienced serious problems. Due to poor loan recovery rates – only 10% of the disbursed loans were repaid – the fund could not be continued. According to the Forestry Department respondents, the final outcomes for other outputs on community tree planting campaigns, agroforestry, land and tree tenure, urban forestry, and private sector investment in industrial plantation establishment, all performed poorly due to the combination of a lack of conducive policy and legislative environment, as well as a lack of financing.

#### *Woodfuel Energy Development*

According to the FD key informants, the anticipated outputs under the “Woodfuel and Energy Development” Programme never materialized, largely due to the weakened capacity of the FD to engage effectively at the field-level restructuring of the Department. Civil society respondents also noted the lack of cross-sectoral coordination, especially among the FD, the Department of Energy and the private sector, as another major contributing factor.

#### *Forestry Education and Training*

According to key respondents, the outputs under the “Forestry Education and Training” support programme were not realized due to the lack of financial allocations made to the institutions under the ZFAP. There was also a poor level of collaboration between the FD and academic institutions, especially following the restructuring which saw the Zambia Forestry College (ZFC), which used to be a division of the FD, becoming autonomous. Other divisions that used to be part of the FD before the restructuring included Industrial Plantations, Forest Products, Forest Research, Forest Management, Forest Extension and Beekeeping.

#### *Forestry Research and Extension*

Following the restructuring of the FD, Forest Research and Forest Extension were the only two divisions retained, yet, according to respondents, these were the least financially supported under



the ZFAP, to the extent that the planned outputs remained largely undelivered. All things pointed to internal management failure as the major cause of this situation.

### *Planning, Monitoring and Evaluation*

As highlighted earlier, the major outcome under the “Planning, Monitoring and Evaluation” support programme has been the ILUA (I and II), which will generate useful data for planning and information management. However, it is important to further investigate why, up until now, the ZFAP Secretariat and Donor Round Table were never established as planned.

Generally speaking, a combination of limited internal capacity within the Forestry Department and the stalled institutional and legal reforms all conspired to negatively affect the achievement of the ZFAP outputs and outcomes (Table 3).

**Table 3: Expected outputs of ZFAP and outcomes**

ZFAP Programme	Objectives	Key Expected Outputs <sup>6</sup>	Outcome Status
<b>Main programmes</b>			
Indigenous Forest Management and Biodiversity Conservation	<ul style="list-style-type: none"> <li>• To enhance community participation in biodiversity conservation and sustainable management and the utilization of forest resources</li> <li>• Increase direct and indirect benefits from indigenous forests to the nation</li> <li>• Improve the living standard of rural communities</li> </ul>	<ul style="list-style-type: none"> <li>• Forest and biodiversity inventories</li> <li>• Incentivised community management of watershed protection forests</li> <li>• Community forest management plans for indigenous forests in open areas</li> <li>• Mechanisms for sharing benefits from forest management</li> <li>• Forest policy and legislation supportive of participatory forest management</li> <li>• Increased environmental awareness, knowledge and skills among rural communities</li> <li>• Consolidated Protected Area (PA) network</li> <li>• Sustainable forest harvest measures</li> </ul>	<ul style="list-style-type: none"> <li>• Inventories under ILUA I and II</li> <li>• <i>No known initiatives undertaken</i></li> <li>• Community Forest Management Plans under PFAP only (JFM)</li> <li>• <i>Mechanisms not defined</i></li> <li>• 1998 Forest Policy; <i>2012 Forest Bill not yet presented to Parliament</i></li> <li>• <i>No concerted activities/efforts undertaken</i></li> <li>• <i>Not directly under the ZFAP but PA System elaborated under REMNPAS, though recommended PA System not implemented</i></li> <li>• <i>Sustainable Harvest Yield (SHY) measures</i></li> </ul>

<sup>6</sup> There were no clearly defined outputs for ZFAP. Rather, the outputs specified in this table have been inferred from the stated strategies to achieve the programmes under ZFAP.

ZFAP Programme	Objectives	Key Expected Outputs <sup>6</sup>	Outcome Status
			<i>not developed</i>
Forestry Industries and Non-wood Forest Products Development	<ul style="list-style-type: none"> <li>• To meet the increased demand for forest products</li> <li>• Transform the state controlled sawmills into the private sector</li> <li>• Provide extension training and logistic support to non-wood forest products users</li> </ul>	<ul style="list-style-type: none"> <li>• Increased private Sector investment in the wood industry</li> <li>• Codes and standards for major forest products</li> <li>• Increased production of bamboo and rattan to satisfy the demand of the industry</li> </ul>	<ul style="list-style-type: none"> <li>• Some 11 state-owned sawmills privatized countrywide and those belonging to ZAFFICO (2002)</li> <li>• <i>Not developed</i></li> <li>• Growing of rattan was promoted through the FRM programme in North-Western Province (Perch and Wood 2011)</li> </ul>
Farm Forestry/ Agroforestry Tree and Forest Production	<ul style="list-style-type: none"> <li>• To create a tree-growing culture among rural communities in order to improve their living standards</li> <li>• To improve and maintain a stable and productive environment</li> <li>• To increase the sustainable production of wood products</li> <li>• To reduce pressure on Natural Forests by promoting urban plantation establishments</li> </ul>	<ul style="list-style-type: none"> <li>• Community awareness campaigns for tree planting and growing</li> <li>• Strengthened forest research and extension to ensure integration of agroforestry practices with land management and farming systems</li> <li>• Secure community land and tree tenure rights and ownership</li> <li>• Incentives for private sector development of industrial plantations and farmer and community investments in farm forestry, woodlots and peri-urban woodfuel plantations</li> <li>• Availability of improved tree planting stock through expanded capacity of state nurseries</li> <li>• Community and private sector forest nurseries</li> <li>• Improved management of peri-urban forest resources and development of urban forestry</li> </ul>	<ul style="list-style-type: none"> <li>• <i>No concerted activities/ efforts undertaken</i></li> <li>• <i>Tree breeding programme abandoned and agroforestry technologies not disseminated</i></li> <li>• <i>No activities undertaken</i></li> <li>• Forest Development Credit Fund (FDCF) initiated by government in 2005, funded 115 projects to a total of ZMK 6.5 billion in loans but with only 10% success rate in loan repayments</li> <li>• <i>No evidence of investment in expanded capacity of state nurseries, rather the capacity of state nurseries across the country diminished</i></li> <li>• Some community and private sector nurseries funded through FDCF</li> </ul>

ZFAP Programme	Objectives	Key Expected Outputs <sup>6</sup>	Outcome Status
		<ul style="list-style-type: none"> <li>Increased private sector investment in industrial plantation establishment</li> </ul>	<ul style="list-style-type: none"> <li><i>No evidence of peri-urban and urban forestry initiatives</i></li> <li><i>No evidence of increased private sector investment in industrial plantation establishment</i></li> </ul>
Woodfuel Energy Development	<ul style="list-style-type: none"> <li>To reduce growth in the demand for firewood and charcoal as household energy sources</li> <li>To improve charcoal production efficiency in urban areas</li> <li>To reduce pressure on forests and woodlands</li> </ul>	<ul style="list-style-type: none"> <li>Translated charcoal earth kiln manual by the Department of Energy into local languages</li> <li>Programme for improved charcoal and firewood stoves</li> <li>Rural Electrification Programme (REP) implementation</li> <li>Charcoal Producers Association's participation in forest resource management and utilisation</li> <li>Improved woodfuel revenue collection and reallocation to intervention measures</li> </ul>	<ul style="list-style-type: none"> <li><i>No activities undertaken to translate the manual</i></li> <li><i>No evidence of the programme being initiated</i></li> <li><i>REP largely failed due to lack of investment by the Government</i></li> <li><i>Not realized largely due to weak FD capacity to engage at field level</i></li> <li><i>Not realized largely due to weak FD capacity at field level</i></li> </ul>
<b>Support Programmes</b>			
Forestry Education and Training	<ul style="list-style-type: none"> <li>To establish Human Resources planning development system</li> <li>To strengthen the existing forestry training institutions</li> <li>To update the knowledge and skills of forestry staff to reflect the present needs in order to motivate and increase efficiency in the Forestry Sector</li> </ul>	<ul style="list-style-type: none"> <li>Strengthened capacity of the teaching staff at the School of Forestry at Copperbelt University (CBU)</li> <li>Curriculum review of Zambia Forestry College (ZFC) for diploma and certificate courses to include wildlife, fisheries and environmental sciences</li> <li>CBU and ZFC teaching staff exposed to new fields of forestry</li> </ul>	<ul style="list-style-type: none"> <li><i>No evidence of support to the School of Forestry at CBU</i></li> <li><i>No evidence of support to ZFC towards review of curricula but support from WWF assisted ZFC with review of CBNRM curricula for diploma, certificate and professional courses in 2010</i></li> <li><i>No evidence of support towards this expected output</i></li> </ul>
Forestry Research and Extension	Forestry Research <ul style="list-style-type: none"> <li>To generate necessary</li> </ul>	<ul style="list-style-type: none"> <li>Strengthened research</li> </ul>	<ul style="list-style-type: none"> <li><i>Institutional capacity</i></li> </ul>

ZFAP Programme	Objectives	Key Expected Outputs <sup>6</sup>	Outcome Status
	<p>knowledge which will increase supply of forest products and improve management of forest resources</p> <ul style="list-style-type: none"> <li>• Undertake demand driven research on all aspects of forestry and forest products</li> <li>• Develop effective and economic control mechanism for pathogens and pests threatening plantation forests.</li> </ul>	<p>institutional capacity</p> <ul style="list-style-type: none"> <li>• Research on species of high economic potential value and fruit production</li> <li>• Research on second year rotation in areas of land preparation, weeding, etc.</li> <li>• Partnerships and cooperation among scientists</li> </ul>	<p><i>of Forest Research Division not strengthened; rather weakened capacity for research on tree development, pathology and agroforestry</i></p> <ul style="list-style-type: none"> <li>• <i>No evidence of support for specific relevant research undertaken</i></li> <li>• <i>No evidence of support for specific relevant research undertaken</i></li> <li>• <i>Not known</i></li> </ul>
	<p>Extension</p> <ul style="list-style-type: none"> <li>• Ensure a participatory and multi-disciplinary approach in the management and utilisation of forest ecosystem</li> <li>• Create balanced and holistic capability of resource utilisation and increase resource productivity</li> </ul>	<ul style="list-style-type: none"> <li>• Participation of local communities, CBOs, and NGOs with clear roles</li> <li>• Trained extension workers for GRZ, NGOs, CBOs, etc.</li> <li>• Ensure gender involvement in extension programmes</li> <li>• Collaboration between GRZ and NGOs in the management of forest resources</li> </ul>	<ul style="list-style-type: none"> <li>• <i>No evidence</i></li> <li>• <i>No evidence</i></li> <li>• <i>No evidence</i></li> <li>• <i>No evidence</i></li> </ul>
Planning, Monitoring and Evaluation	<ul style="list-style-type: none"> <li>• Establish planning and assessing system for effective utilisation of resources</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthened Natural Resource Planning Unit</li> <li>• Establishment of Management Information System in the Planning and Information Department (PID)</li> <li>• Strengthened statistical forest data base at Forestry Department</li> <li>• Strengthened ZFAP Secretariat in PID</li> <li>• Ensure Donor Round Table meeting is held</li> </ul>	<ul style="list-style-type: none"> <li>• <i>No evidence</i></li> <li>• <i>No evidence</i></li> <li>• <i>Currently being undertaken under ILUA II</i></li> <li>• <i>Secretariat not established</i></li> <li>• <i>Donor Round Table not implemented or established</i></li> </ul>

Sources: Literature review and stakeholder interviews

#### 4.4. Challenges

It is clear from the above sections that many programmes in the forestry sector which are related to ZFAP, and which contribute to the achievement of its objectives directly or indirectly, have made some achievements, albeit, minimal ones. However, it is also clear that the ZFAP has faced, and continues to face, major challenges which hinder its successful implementation.

According to stakeholder interviews and feedback from the validation workshop, the major challenges facing the ZFAP include the following:

- i. ZFAP was to provide plans, programmes and projects in specific areas of the forestry sector which were to be funded, implemented, monitored and evaluated on their success in ensuring Sustainable Forestry Management. This has not happened according to plan. Many Cooperating Partners (CPs) lost confidence in the process, resulting in inadequate funding resources to realize the programme as planned. The Forestry Department candidly stated that the ZFAP was not adequately supported and did not fully build local ownership, and that they (FD) have not enjoyed adequate political will as a sub-sector.
- ii. Projects that have been formulated and implemented often did not fit into ZFAP's operational framework. Forestry functionaries and other stakeholders often did not realize that projects which were new or on-going in the sector were linked to the ZFAP process. Many FD staff members were aware of the ZFAP, but did not know its scope nor implementation modalities. As a consequence of item (i) above, there was limited motivation among the staff and little reason to refer to an unfunded plan.
- iii. Synergies were not formed among the projects occurring within the realm of the ZFAP, both within and outside of the forest sector, thus failing to take advantage of gains from a holistic viewpoint. For instance, the Environmental Support Programme (ESP), Forest Resource Management Programme (FRMP), Provincial Forest Action Programme (PFAP) and Forest Support Programme (FSP) were all initiated while the ZFAP was valid, but they were not coordinated nor adequately linked to each other.
- iv. There was/is limited institutional capacity for implementing the ZFAP. This is a generally held view by ALL stakeholders, including the Forestry Department.
- v. Poor forest governance has excluded key stakeholders from the decision-making processes, e.g. the private sector, civil society and local communities. Community, NGO and some private sector informants observed that the mechanisms for controlling resource exploitation, the supervision of concession holders and the participation of stakeholders in forest management have remained ineffective. This is largely due to outdated legislation and the poor capacity of the Forestry Department which systematically failed to create institutional space for key stakeholders to engage with each other. It is on the basis of these views that the situation is collectively described as bad governance.

- vi. Non-implementation of the 1999 Forest Legislation, which is also popularly known as the JFM Act, has hindered the roll-out of participatory forest management in Zambia. This is in spite of the fact that collaborative forest management is needed now more than ever, given the limited internal capacity of the Forestry Department and its poor financial position to fulfil its large mandate. Bwalya (2004 and 2007) demonstrates the challenges and opportunities of joint forestry management, and the links between rural livelihoods and joint forestry in Katanino Joint Forest Management Area.
- vii. The institutional sector reform, which intended to introduce a business approach; to improve efficiency and effectiveness through granting semi-autonomous status to the proposed Forestry Commission; and to introduce incentives for partnerships with the private sector and communities, stalled. This left the Forest Department poorly funded, shunned by its traditional funders, and with a very demotivated cadre of staff. The Forestry Department, and other stakeholders, lament the institutional and legislative stagnation in the sector as one of the main contributing factors to its generally poor performance as the statutory forest regulator. Historically speaking, poor political will and bad natural resource governance have prevailed.
- viii. There is a leadership crisis in the sector which, combined with a lack of political will, is part of the reason that many of the bottlenecks that have been identified over the years have remained unresolved. This environment is not supportive of sustainable forest management (SFM) nor of delivering on the commitments of the Sixth National Development Plan and Vision 2030, let alone the commitments under the ZFAP itself. Resolving the leadership issue will require transparent and informed decision making by all the parties involved. The Forestry Department has lamented its lack of resources and facilities at national and district levels, which has hampered its ability to take a leadership role in forest management and afforestation. The situation is tantamount to a crisis.

#### 4.5. Strengths, Weaknesses, Opportunities, Threats

The results of a SWOT analysis based on stakeholder discussions, and a literature review, are given below. All the stakeholders acknowledged that the main **strength** of the forest sector in Zambia is its vast estate and the deployment of Forestry Department staff in every district. The main **weakness** is the FD's almost total lack of capacity to manage Zambia's vast forest estate, with under-resourced district Forest Officers unable to reach the estates they are supposed to be managing. Community representatives also emphasised the lack of support and involvement from the Forestry Department, while the FD emphasised the lack of a comprehensive legal framework and their inadequate capacity for strengthening partnerships, particularly with communities.

The main **opportunity** is the new level of awareness of the value of the forest and its various products, including ecosystem services, particularly as a carbon sink. The economic contribution of forests to local livelihoods and the national economy is better recognized than before, albeit informally. All the stakeholders stated that the main **threat** is the high level of deforestation. A poor enabling environment for sustainable forest management in Zambia, a lack of forest champions at

all levels, and low levels of political will are implied from the general overview of all the responses validated by the stakeholders.

The results of the SWOT analysis, as detailed below, are pulled together from the stakeholders' inputs, combined with the author's expert opinion and pattern matching.

#### *STRENGTHS*

- Vast forest estate in Zambia with Forest Department staff present in nearly every district
- Legislation to set up and support collaborative forest management (Joint Forest Management)
- Establishment of registered community trusts for JFM committees and user groups for enterprise development/income generation
- Community mobilisation in forest management
- Education and awareness programmes for communities on forest management

#### *WEAKNESSES*

- Forest officers are based only at district level (i.e. not at sub-district or forest level)
- Inadequate legislation supporting JFM
- Lack of implementation of JFM after the pilots
- Limited capacity to support forest management and conservation in Zambia
- Limited capacity to control illegal exploitation of forest resources
- Limited knowledge and information about sustainable forest management
- Limited investment and capitalisation of the sector
- Lack of formal recognition of communities as partners in forest management
- Poor devolution of forest resource management and authority to communities
- Poor design and management of forest concessions
- Lack of forest conservation management and champions at different levels
- Forestry is a low priority for the government in terms of financial investment
- Lack of dedicated staff to drive and coordinate the ZFAP
- Low donor and stakeholder confidence in the forest department as an institution
- Limited human resources

#### *OPPORTUNITIES*

- Forests recognised as contributors to the local and national economy
- Forests recognised as major carbon sinks and therefore a key component of any climate change response strategy at local and global levels
- Prevalence of national and international goodwill towards the forestry sector in recognition of its vast potential
- Vast forest estate in Zambia with Forest Department staff present in every district
- Relatively low population density in Zambia
- External markets demanding sustainably managed timber resources (FLEGT, Certification)

*THREATS*

- Increasing rates of deforestation
- High levels of poverty in rural areas
- Bad forest governance
- Low financial resources allocated to the environment sector in general

As a consequence of the results of the SWOT analysis given above, the following specific gaps have been identified:

- No community and private sector involvement in forest management
- No incentives for community and private sector participation in forest management
- No organised or regular forest management activities in most of the forest estate (*de-facto* open access)
- No investment in active forest management
- No comprehensive data on forestry resources, their value and potentials
- No current forest research

#### **4.6. Major Developments and Changes in Zambian Forest Policy during the Last 10 Years**

##### **4.6.1. Joint Forest Management (JFM)**

One of the major developments in natural resource management, not only in Zambia, is the beneficial participation of communities in natural resource management, including forestry. Providing the right incentives and mechanisms for community participation is now not only part of national and regional legislation, as implied in the national policy on environmental and the relevant SADC protocols, it is also part of international conventions (e.g. CBD, UNCCD, RAMSAR, UNFCCC).

The development and piloting of joint forest management (JFM) was part of this response, which was meant to create additional capacity and incentives for local level forestry management. Where this has been implemented effectively, it has reduced uncontrolled exploitation, improved relations among stakeholders and created conditions for sustainable forest management to take place through improved communication and stakeholder mobilization. In the JFM pilot sites that were visited, important community structures were established and registered as legal entities. In addition, honorary forest officers were appointed from within the communities and MoUs were signed between the registered community-based organization and the Forest Department. More importantly, forest management plans were developed and specific activities in support of forest management (patrols, boundary clearing and early burning) and community livelihood activities (beekeeping, carpentry, gardening etc.) were commenced.

Unfortunately, these important initiatives have not been adequately backed due to the limited capacity of the Forestry Department to continue this kind of support. One initiative in which an Italian NGO (CeLIM) has mobilized communities to conserve a local forest in western Zambia, along



the lines described above, demonstrates that the opportunity is there and much can be achieved by further developing this collaborative approach with the right incentives in place.

#### **4.6.2. *Civil society engagement***

The capacity of civil society to play an active role in forest management is one of the main constraints in the forest sector. While this problem is generally acknowledged by all stakeholders, it warrants further investigation. The voice of the civil society has grown and become better organized. Civil society participates and makes contributions to policy discussions and is positioning itself more and more as a credible partner to the government when it comes to the environmental sector. Key NGOs established in the last 10 years include the Natural Resources Consultative Forum (NRCF), the Zambia Climate Change Network (ZCCN), the Zambia CBNRM Forum, and the Participatory Ecological Land Use Management (PELUM) Network.

#### **4.6.3. *Integrated land use assessments***

The Integrated Land Use Assessment (ILUA I), 2005 to 2007, undertaken by the Forestry Department with support from the FAO, sought to address one of the most serious weaknesses in the forest sector – the apparent lack of updated data on the state of forestry resources in Zambia. Data about Zambia’s forestry resources have been based on assessments from the early 1960s. The Forestry Department no longer carries out systematic resource assessments which are meant to inform decision making about management and exploitation.

ILUA I therefore attempted and managed to fill a major gap, but it also highlighted how the choice of methodology strongly affects the estimates of carbon stocks. The second phase, ILUA II, is partly intended to overcome the limitations of ILUA I, particularly in increasing the sampling design and intensity to produce data that is more comprehensive and suitable to Zambia’s requirements, and to increase the capacity for interpreting remotely sensed data for estimating carbon stocks. The capacity and data being facilitated under ILUA II are key foundations for the preparedness for the implementation of UNREDD, which is also a major development in the last 10 years.

#### **4.6.4. *UNREDD and REDD+***

Zambia is one of the three countries in Africa to pilot the UNREDD programme, jointly supported and facilitated by UNEP, UNDP and the FAO. The goal of the UNREDD National Joint Programme for Zambia is to prepare institutions and stakeholders for the effective implementation of the REDD+ mechanism. Its objectives include capacity building; the creation of an enabling environment; and the development of benefit sharing models and monitoring, reporting and verification systems. Under REDD+, developing nations are supposed to be compensated for their efforts in conserving forests and enhancing the environment’s capacity for carbon sequestration.

The activities undertaken so far include awareness raising, studies and consultations with different types of stakeholders regarding the implementation arrangements. The process of legislation review for the forestry sector has also commenced to include, among other things, the climate change agenda; strengthening participatory forest management; a review of the protected area system; and environmental mainstreaming. In response to the need for the determination of

current stocks of carbon, the Integrated Land Use Assessment Phase II (ILUA II) is meant to test and establish appropriate methodologies for assessing, reporting and verifying carbon stocks.

While it is appreciated that the funds made available are for REDD+ preparedness, some stakeholders have observed that REDD+ preparedness seems to concentrate much more on the technical issues of monitoring and verification and not adequately enough on the institutional and governance issues which are very seriously affecting the forestry sector in Zambia.

#### ***4.6.5. The Pilot Program for Climate Resilience (PPCR)***

The Pilot Program for Climate Resilience (PPCR) is intended to demonstrate how to integrate climate risk and resilience into development policies, plans and programmes. It is funded under the global Climate Investment Funds (CIFs) through the World Bank. Once established, the PPCR is expected to be financed through the government's budget and other development funds, as well as to leverage additional funds for on-going activities from cooperating partners, the private sector and civil society.

The programme is concerned with strengthening the national level capacity to integrate climate resilience into development planning, and to scale up investment in climate resilience by building on on-going programmes. As a pilot programme, it is also expected to facilitate lesson learning and sharing. The focal institution is the Ministry of Finance and National Planning, in close collaboration with the Ministry of Lands, Natural Resources and Environmental Protection (MLNREP) and the Disaster Management and Mitigation Unit (DMMU) in the office of the Vice President.

The first phase will concentrate on developing a strategic programme for climate resilience, and a second phase on implementation through investment in the priority sectors. As such, the PPCR is seen as contributing to the realization of the NAPA process and principles in responding to the threat of climate change, as well as the fulfilment of the 6<sup>th</sup> National Development Plan and Vision 2030. To enhance stakeholder and public support, the PPCR promotes a multimedia approach to awareness and capacity building. There are also deliberate efforts to involve the private sector and civil society, in addition to forming an inter-ministerial committee.

#### ***4.6.6. Reclassification and Effective Management of the National Protected Area System (REMNPAS)***

The Reclassification and Effective Management of the National Protected Area System (REMNPAS) project reviewed Zambia's protected area system and proposed a new protected area system plan which is more integrated in its approach to natural resources, and which also maximizes opportunities for sustainable utilization while at the same time overcoming the previous sectoral approach.

Executed by the Zambian Government through the then Ministry of Tourism, Environment and Natural Resources and the Zambia Wildlife Authority (ZAWA), and co-financed by the Global Environment Facility (GEF), the United Nations Development Programme (UNDP) and the Government of the Republic of Zambia, the project had three main areas of intervention, namely:

- i. Appropriate policy, regulatory and governance frameworks are in place providing new tools for public/community/private/civil society PA partnerships;
- ii. Institutional capacities for PA system management are strengthened including enhanced capacities for PA representation, monitoring and evaluation, business and investment planning and PA system planning; and
- iii. PA management options are expanded through development and field-testing of new Protected Area categories based on innovative public community-private management partnerships.

Currently, the following categories of protected areas are used in Zambia:

- National Forests
- Local Forests
- Botanical Reserves
- Joint Forest Management Areas
- National Parks
- Game Management Areas
- Wildlife Sanctuaries
- Private Wildlife Estates
- Community Conservancies
- Natural Heritage Sites
- Prescribed Fishery Areas
- Commercial Fishing Areas
- Fisheries Management Areas

The above categories include protected areas on public, customary and private lands. A Conservation and Protected Areas System Plan, supported by a conducive policy and legislative environment, developed by reviewing and adapting current policy and legislation, is the main vehicle for achieving effective protected area management.

The new categories developed under REMNPAS are aligned with the IUCN classification and are intended to promote an integrated approach to resource or ecosystem management, introducing diversity in the economic opportunities within the different categories and promoting community conserved areas and private conserved areas as part of the national protected area system. The proposed system also introduces diversity in management approaches and governance systems in line with regional and international best practices, where protected area governance is diverse and more stakeholder-driven.

The following categorization of protected areas in Zambia has been agreed with the stakeholders and proposed for adoption under REMNPAS:

- *Natural Resource Sanctuary: (IUCN category Ib: Wilderness Area)*

- *Nature Park: (IUCN category II: National Parks)*
- *National Reserves: (IUCN category II: National Parks)*
- *Partnership Parks (Community and Private) (IUCN category II: National Parks)*
- *Game Reserves (Community and Private) (IUCN category V: Protected Landscape)*
- *Sacred Areas (IUCN category Ib: Wilderness Area)*

#### **4.7. Major Developments and Changes in other Relevant Policies and Sectors Affecting Zambian Forests and their Use**

The developments in other relevant policies and sectors affecting forestry, because of their direct or indirect impact on sustainable forest management in Zambia, are discussed below. They include current, on-going and past developments in sectors such as agriculture, energy, trade, mining, land, decentralization, national parks and wildlife, and structural adjustment. The relevance of these policies is discussed individually in the context in which they affect forestry in Zambia, as is the justification for making a deliberate plan to engage with the other sectors.

It is noted however, that this section, by identifying the changes in the relevant policies in recent history, makes the case for the harmonization of the different policies that relate to the environment in general and forestry in particular. In addition to the specific policy developments mentioned, a number of cross-cutting developments that relate to forestry are also discussed.

It is also important to note that in the past 10 years, Zambia has developed stronger environmental protection legislation through the Environmental Management Act, No 12 of 2011. The Act, among other things, is superior to any other legislation on environmental protection issues, except the Constitution, and provides for stiffer penalties for environmental offences, creates the Zambia Environmental Management Agency, provides strategic environmental assessments and the declaration of environmentally protected areas on the basis of flora and fauna and environmental services. The Act also provides for various orders, among them protection orders and restoration orders which may be issued by the Minister of Lands, Natural Resources and Environmental Protection (MLNREP) to protect environmentally sensitive areas. Under this Act, anybody may seek legal redress for environmental offences even though one is not directly affected. As forests have suffered inadequate protection in spite of their valuable environmental products and services, this Act, if implemented, provides an additional mechanism for sustainable forest management.

##### **4.7.1. Agriculture (expanded agriculture, farm blocks, subsidies)**

Agriculture has been identified as one of the growth sectors to drive economic growth. It is in fact considered as a key sector for economic development and poverty reduction in the Sixth National Development Plan (SNDP). With 80% poverty levels in rural areas and over 70% of the population dependent on agriculture, it is clearly an important economic activity which is promoted and subsidized by the government, with approximately 10% of the national budget going to this sector. Even though most of this goes towards the purchase of maize under the Input Support Programme (ISP), about 60% of Zambian small-scale farmers have no access to fertilizer, while over 60% do not use hybrid maize seed. To meet the challenges of decreased soil fertility, many small-scale farmers

resort to clearing new forested lands, thus exacerbating deforestation. With a high level of dependence on seasonal rain-fed agriculture, Zambian crop yields are below global averages<sup>7</sup>.

This picture shows the importance of agriculture for subsistence as well as a high level of dependence on it for survival. Limited access to inputs leads to inefficient agricultural methods, such as slash and burn, which also tend to be expansionist in light of a growing human population and more people to feed.

During the SWOT analysis, the stakeholders cited agriculture as one of the major drivers of deforestation. Policies that support agricultural expansion, including subsidies and the promotion of farm blocks, have vast implications on forestry. A number of forest reserves have been de-gazetted to pave way for settlements. While initiatives to improve agricultural technologies for small scale agriculture have been scaled up, such as conservation farming which includes tree planting in agriculture, adoption rates are not high enough to contribute to a reduction in the rate of deforestation estimated to be among the highest in the world, at approximately 250,000 to 300,000 hectares per year (ILUA, 2008).

#### **4.7.2. Energy**

Another driver of deforestation is the demand for energy. This is not surprising, as approximately 78% of Zambia's energy is from biomass in the form of charcoal and firewood. Hydro energy accounts for 11%, while renewable energy sources such as solar, despite their potential, are negligible as a source of energy. Only 16% of households in Zambia have access to electricity.

In 1994, the Zambian Government formulated a National Energy Policy (NEP) to promote the optimum supply and utilization of energy, especially indigenous forms, to facilitate the socio-economic development of the country and to maintain a safe and healthy environment.

The policy environment in the energy subsector has identified the following targets:

- i. *Electricity*: Increase accessibility in its use as well as develop the most cost-effective generating sites for domestic and export markets.
- ii. *Petroleum*: Supply and utilize petroleum in the most efficient and cost-effective manner.
- iii. *Coal*: Promote its use with due regard to environmental protection.
- iv. *Wood fuel*: Promote efficient production and utilization of wood fuel.
- v. *New and Renewable Sources of Energy (NRSE)*: Promote wider application of proven NRSE technologies in meeting the energy needs particularly for remote areas.

Stakeholders note that while programmes in the energy sector have in the past 10 years sought to increase access to electricity in order to reduce charcoal production and provide alternatives to charcoal, these objectives remain largely unmet. While current government policy recognizes the importance of renewable energy sources, and the need for speeding up the rate of implementation

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<sup>7</sup> Pers. Comm., Michael Isimwaa, Chief Agricultural Statistics and Data Analyst, Ministry of Agriculture and Livestock.

of solar energy options and the rural electrification programme, the country is still heavily reliant on forest biomass as a source of energy.

#### **4.7.3. Trade**

Several studies have shown that forests contribute significantly to livelihoods and the national economy (Jumbe *et. al.* 2000; Bwalya, 2004; France-Lanord *et.al.* 2007; Banda *et. al.* 2008; Ng'andwe *et. al.* 2008). It has also been observed that in times of economic hardships, as evidenced by austerity measures leading to job losses, the population turns to the forests for livelihood sustenance. The bulk of the forest products supporting livelihoods are probably non-timber forest products for subsistence purposes. In recent years, there has been an increase in the demand for timber to support the local construction industry and to feed the Chinese and other foreign markets. Unfortunately, trade in forest products is poorly controlled and regulated leading to sub-optimal pricing for local timber producers, who cut more in order to realize a reasonable income.

According to TPAZ, the inadequate capacity of the Forest Department to regulate timber trade, manage forests and effectively supervise timber concessions has exacerbated the problem. Valuable timber is illegally exploited for the international markets. The indiscriminate exploitation of any renewable resource has negative impacts on the sustainability of that resource. For as long as markets are liberal and the capacity to regulate the forestry industry and enforce critical measures, such as the ban on the export of raw timber, is lacking, trade will exert adverse pressures on the forests in Zambia.

#### **4.7.4. Mining**

Mining, especially of copper, is the economic mainstay of Zambia and it is likely to remain so for a long time to come. The rapid growth in the extractive industry, including the opening up of new mines and the exploration work for minerals and oil, has had negative impacts on the forest sector. A number of forest reserves have been de-gazetted to pave the way for new mining operations. The Forest Department (2011) estimates that in the last 10 years, some 200,834 hectares of forest reserves have either been excised or completely de-gazetted for purposes of development, including the establishment of new mines, infrastructural development, agricultural expansion and the expansion of human settlements. It is anticipated that such incidences will grow given the unprecedented pressure on the government, by the mining sector, for it to open up new mining concessions in protected forest areas.

There is need therefore for engagement and reflection on this matter, so that international good practice is adhered to and areas of environmental importance are recognized as no-go areas for mining, especially where foreign international investors stand to benefit more, while local communities face displacement, disruption of livelihood sources and inadequate compensation.

#### **4.7.5. Land**

Customary land under the administration of traditional authorities is an official category of land tenure in Zambia (under the Land Policy of 1995). It accounts for the bigger portion of the country, but is poorly managed, has insecure tenure rights and is not recognized as being valuable until it is converted and put on title. A title has many advantages, as it is considered to confer *de jure* rights,

value and secure tenure, while at the same time being acceptable as collateral by financial institutions. However, it also has many disadvantages, especially for the original land owners.

Once an investor is given title, they are no longer concerned with the local administrators nor the local people. More often than not, people are displaced or denied access to the land such that in the long term, people become squatters on their own lands. The artificial lack of value and security of tenure of customary land is a disincentive for sustainable land management, as it implies that local land owners cannot capture the full value of their land unless they give it away.

Without adequate land and resource rights for customary land, the sustainability of critical life-support systems and environmental services are compromised in favour of short-term benefits.

This is in fact a constitutional issue. In order to support deliberate efforts to empower citizens in rural areas; to promote natural resource-based rural development, and to provide incentives for sustainable land management, which includes adequate security of tenure to use the land for business without needing to convert it to title, both stakeholders assert that the Constitution (which is currently under review) must contain three critical provisions:

- i. Provide mechanisms to confer security of land and resource tenure on customary land without converting it to title for collective proprietorship;
- ii. Provide mechanisms to transfer resource rights to organized and legally constituted representative local structures that want to manage and benefit from the resources on their land, provided that they meet given conditions including adherence to national policies and regulations; and
- iii. Provide a mechanism for declaring certain areas as environmentally sensitive and therefore protected and too important as life support systems or providers of ecological services to be put to any other use.

#### **4.7.6. Decentralization**

The Decentralisation Policy of 2002 (launched in 2004) has the following vision:

*“Achieve a fully decentralised and democratically elected system of governance characterised by open, predictable and transparent policy making and implementation processes, effective community participation in decision-making, development and administration of their local affairs while maintaining sufficient linkages between the centre and the periphery.”*

It has the following objectives:

- i. Empower local communities by devolving decision-making authority, functions and resources from the centre to the lowest level with matching financial resources in order to improve efficiency and effectiveness in the delivery of services;
- ii. Design and implement mechanisms to ensure a “bottom-up” flow of integrated development planning and budgeting from the district to the central government;

- iii. Enhance political and administrative authority in order to effectively and efficiently deliver services to the lowest level;
- iv. Promote accountability and transparency in the management and utilization of resources;
- v. Develop the capacity of councils and communities in development planning, financing, coordinating and managing the delivery of services in their areas;
- vi. Build capacity for development and maintenance of infrastructure at local levels;
- vii. Introduce an integrated budget for district development and management; and
- viii. Provide a legal and institutional framework to promote autonomy in decision-making at local levels.

The policy notes that, included among the functions to be decentralized from the centre to local governments, are community development; disaster management; primary and basic education; mobilization of local resources; management and conservation of natural resources; and environmental services etc.

It is clear from the foregoing vision, objectives and delegated functions that this policy is a powerful tool for promoting rural development and enhancing the capacity of local governments and communities to manage natural resources. However, the policy is mute on traditional authorities as part of the local governance structures as it only talks about councils as representative structures at that level. The natural resources and environmental services are among the functions earmarked for decentralisation and yet, as is widely recognized, most of these resources are found on customary lands administered by traditional authorities. Therefore, there is clear discordance between the Land Policy and the Decentralization Policy, a matter that should be clarified and dealt with in the on-going constitutional review process. Harmonizing these two policies would incentivise community involvement in natural resources management and render true meaning to decentralized and integrated natural resource management.

#### ***4.7.7. National parks and wildlife***

This policy does not concern itself with forest management per se but, by virtue of creating protected areas for wildlife, it also provides protection and management of a vital and significant forest estate. By the same token, a well-protected system of forest reserves provides for ecological networks, wildlife habitats and corridors. Unfortunately, the implementation of forest policies and wildlife policies has created glaring disparities between these two equally important sister policies, where the forest policy is severely neglected when compared to the wildlife policy. The forestry sector can learn important lessons from the wildlife sector in terms of managing partnerships with the private sector and communities, especially in the supervision, design and management of concessions as well as in the sharing of benefits between the government and local communities.

Increased harmonization between these two environmental sub-sectors would create important synergies, diversify opportunities and increase the capacity for sustainable natural resource management. This recommendation has already been made by the REMNPAS project in the proposed new categories of protected areas.



The National Heritage Conservation Policy and the National Environmental Policy should also be viewed in the same light. In addition to the two, the Environmental Management Act No. 12 of 2011 is important in so far as it provides stiffer penalties for environmental crimes, provides for citizen participation in environmental management, including the right to sue environmental offenders, and introduces the polluter-pays-principle. Even more important is the introduction of additional environmental management measures in the form of protection, restoration and restriction orders as well as a provision for the declaration of environmentally protected areas.

#### **4.7.8. Structural adjustment**

The structural adjustment policies of the 1980s provide an example of how economic policies can have unintended negative socio-economic consequences. The privatization programme resulted in massive job losses, which consequently reduced the civil service and the government's capacity for sustainable natural resource management. In the case of the Forestry Department, a critical field cadre of forest guards was abolished which has resulted in forests remaining without the fundamental policy implementers. Since then, and as a consequence of the poor financing of the forest sector, the forest estate has remained a *de facto* open access resource across the country!

Another consequence of the structural adjustment programme was the offloading of hundreds of people from salaried jobs, thereby sending them into the informal sector with most of them turning to charcoal burning and other forest exploitation activities, such as unsustainable agricultural practices, e.g. shifting cultivation.

Austerity measures, though necessary under given conditions, are totally ineffective if implemented without mitigation measures and, as was widely reported in the media, without a human face. It is important to note that the years immediately following the structural adjustment programme coincided with a major onslaught on natural resources other than forests and soils. These included fish and wildlife.

#### **4.7.9. National Policy on Environment (2005)**

The National Policy on Environment (NPE) provides an umbrella policy for the welfare of Zambia's environment, so that socio-economic development will be achieved effectively without damaging the integrity of the environment or its resources. It is intended to be a framework document for sustainable development in Zambia. The policy advocates for a holistic approach to environmental management and aims to mobilise stakeholder participation in reversing environmental degradation through a coordinated and well-funded approach. Given the weaknesses of funding and the limited capacity for implementation identified in relation to ZFAP, a comprehensive framework to ensure a well-funded and holistic approach to natural resource management provides an important opportunity for sustainable forest management.

#### **4.7.10. Sixth National Development Plan (2011-2015) and Vision 2030**

The Sixth National Development Plan is a five-year, medium-term planning framework for national development coordinated by the Ministry of Finance and National Planning. It is the second medium-term plan which is meant to contribute to the transformation of Zambia as a prosperous middle income country by 2030. It has reintroduced central planning, which will inform national level priorities for budgeting and resource allocation. The theme of the SNDP is "*Sustained economic*

*growth and poverty reduction*”, which focuses on infrastructure and human development, enhanced economic growth and diversification, and the promotion of rural development. It is a sector by sector list of priorities with estimated costs, justifications and mechanisms for implementation.

As far as forestry is concerned, the SNDP identifies training, forest protected area reclassification, research, plantations, afforestation and the establishment of nurseries as priorities. The SNDP specifically aims to reverse deforestation. A total of approximately US\$11.4 million is estimated as a government commitment to the forestry sector during the five-year SNDP.

As indicated above, the five-year national development plans are designed to contribute to Vision 2030, which is Zambia’s first long-term development plan articulating the development aspirations of the people of Zambia on a sector by sector basis.

#### **4.7.11. National Climate Change Response Strategy**

Zambia has developed a National Climate Change Response Strategy (NCCRS, 2010) to promote a robust climate change resilient economy by mainstreaming climate change in the most sensitive areas of the economy. Forestry is one of those areas identified. The following programmes are proposed as part of the Zambia climate change response strategy in the forestry sector:

- i. Intensified and sustained afforestation and reforestation programmes to build on existing similar programmes including the rehabilitation of degraded forests;
- ii. Promotion of agroforestry as a way of meeting both food/subsistence and fuel-wood needs;
- iii. Promotion of alternative/non-timber livelihood systems such as apiculture (beekeeping) to take pressure off forest resources;
- iv. Promotion of sustainable harvesting of caterpillars as well as research into domestication of caterpillar and mushroom farming;
- v. Research in and promotion of alternative energy sources, energy conservation initiatives, and efficient charcoal production and utilization technologies to reduce biomass (wood) fuel consumption;
- vi. Involvement of forest-dependent rural communities in forest management through an institutional framework that recognizes and defines their role, while making full use of REDD+ mechanisms;
- vii. Enhanced technical and financial support to extension services;
- viii. Application of improved and time-tested forest management practices that can enhance the resilience of forests and forest products, e.g. planting mixtures of species, maintaining several age classes, reducing tree density, and pruning trees at strategic intervals.
- ix. Enhanced support for disease and pest surveillance and control.

#### **4.8. Current and Emerging National and International Initiatives and Trends Affecting Zambian Forests**

Included among some of the current and emerging national and international trends affecting Zambian forests are REDD+ and REDD+ Forest Certification; and Forest Law Enforcement, Governance and Trade (FLEGT).

#### **4.8.1. UNREDD and REDD+**

The REDD+ mechanisms are intended to reward developing countries for implementing measures that reduce deforestation and forest degradation. As a pilot country, Zambia should take advantage of the REDD+ facility to identify bottlenecks in forest management which might compromise the country's compliance with the strict and complicated requirements for REDD+.

While the REDD+ readiness process is currently on-going, contentious issues about benefit sharing mechanisms, carbon ownership as well as forest governance should be tackled decisively to enable the REDD+ mechanism to provide the necessary incentives to the legitimate owners of the carbon in different land ownership categories. For example, with improved land and resource rights on customary land, communities should be considered the owners of the carbon on customary land while the government should have carbon ownership in state-run protected areas. Similarly, private land owners who have invested in sustainable land management and who meet the necessary criteria should benefit from this incentive scheme. If the contentious issues are not resolved during the REDD+ preparedness phase, the effectiveness of this international reward scheme for good behaviour will be compromised.

#### **4.8.2. Forest Certification**

This is a market-based incentive scheme which provides a premium price for forest products that are produced in an environmentally sustainable way. The process of certification provides proof of the desirable practices under which the management and use of the forest are regulated. Despite a very successful pilot – the Muzama Community Certified Forest in northwestern Zambia – which ended unexpectedly in the early 1990s due to unresolved institutional questions in an inadequate enabling environment, forest certification is not practiced in Zambia.

While there are still institutional and procedural issues that need to be overcome, continuing to ignore this important international instrument deprives the country and its communities of an opportunity to add value to forest produce and to access a lucrative market. Successful resolution of the issues of land and resource rights is required for certification to succeed.

#### **4.8.3. Forest Law Enforcement, Governance and Trade (FLEGT)**

FLEGT is an international instrument that uses voluntary partnership agreements (VPAs) between timber supplying countries and their markets to regulate timber trading and to support good forest governance (transparency and accountability) in the partner countries. It also seeks to increase the supply of legal timber on the market and to increase the demand for sustainably managed and harvested wood forest timber products.

Illegal logging in Zambia is rampant, as can be witnessed by large stacks of timber along major highways in the country, ready to be sold by local folk (at prices below market value) to prospective timber merchants who transport the timber (often in the night to avoid detection by competent authorities) to major cities or even across the Zambian borders. This is mainly due to poor forest governance manifested as weak law enforcement and sheer corruption. Illegal logging often involves unsustainable forest practices which cause serious damage to local forests and negatively impact on the forests' regeneration capacities, increase forest management costs, and accentuate

market distortions. Due to the clandestine nature of illegal timber trade, it is difficult to estimate its true value and scale. However, this is costing the national economy billions of kwacha annually and is exacerbating forest degradation.

Although Zambia has been involved in FLEGT discussions since 2009, as at April 2012, Zambia was not a VPA country, as it is yet to complete the process of becoming a member. If all the timber currently leaving Zambia is fully accounted for and the value captured locally, it would unleash a new regime of sustainable forest exploitation that is based on well-managed forests, unlike the current situation where the bulk of the timber leaving Zambia is illegally obtained and unaccounted for in national accounts, thus costing the national economy billions of kwacha annually.

## 5. DISCUSSION

ZFAP was designed as a long-term capacity building programme for the forestry sector in Zambia. While a detailed and ambitious plan was approved and even kick-started, a programme management unit dedicated to the implementation of the plan and resource mobilization was not established. Without dedicated human resources to drive the process, facilitate the coordination of initiatives, formally review the progress, and inform and respond to sector needs, effective implementation could not be achieved. There was no sense of full ownership of the programme in neither the Forestry Department nor the Zambian Government in general. This was confirmed at the validation workshop.

There were too many weaknesses at an institutional and enabling environment level, which directly impacted the implementation of ZFAP. Stakeholders agree on the relevance of the programme, but poor and uncoordinated implementation has been the overall result.

The design and content of ZFAP does not meet the main concerns of the forestry sector today. ZFAP needs revision, mainly to update it and make it more responsive to emerging issues and challenges, which was intended but never achieved. The poor performance under ZFAP is mainly attributed to institutional failure, inadequate internal ownership, and the lack of human and financial capacity for implementation.

Institutional arrangements involve not only administrative structures but also the decision-making rules (policies), mandates (legal powers), finances, and operations (regulations) that affect forest management. In its current form, the forest administrative structure fails to decentralize decision-making authority and to confer meaningful benefits to the local level. Rather, these are concentrated at the centre. The failure to enact the 1999 Forest Act (now 2012 Forest Bill) has created a 13-year vacuum in the contemporary legal mandate of the Forest Department, thus forcing the Department to rely on the outdated 1973 Forest Act. Indirectly, this has made it difficult to fulfil the provisions of the 1998 Forest Policy described by many as a progressive and comprehensive policy. The above failures have resulted in a loss of confidence by many cooperating partners to invest in the ZFAP. On the other hand, government budgetary allocations to the forest and environment sectors have continued to dwindle. The institutional failures cited above, coupled

with prolonged disinvestment in the forest sector, have thwarted the Department's capacity to regulate forest management and utilization effectively. By implication, therefore, the enabling environment for sustainable forest management is far below ideal.

The ZFAP comprised priority programmes that would guide sustainable forest management over a twenty-year period (1998-2018). Some interventions were implemented, including the Forest Resource Management (FRM) Programme in Luapula and North-western Provinces; the Joint Forest Management (JFM) Programmes in Central, Copperbelt, Luapula, Southern and Eastern Provinces; several studies under the National Forest Programme (NFP) Facility; and other interventions under the Forest Support Programme (e.g. study to establish the Forestry Commission, development of the 1998 Forest Policy and 1999 Forest Act, etc.). Although there were several other initiatives implemented at small scale, e.g. beekeeping, there was often no clear link to ZFAP programmes and/or they were not presented as ZFAP initiatives. Both the staff and stakeholders interviewed did not easily associate on-going programmes with ZFAP. They also noted that the final ZFAP document was not widely communicated nor disseminated to them.

It is only in recent years that it has been officially admitted and demonstrated with facts and figures how significant the sector's contribution is to the local and national economies. This can largely be attributed to the results of various studies undertaken under ZFAP, where factual data were derived and communicated (e.g. ILUA 1, NFP, FRMP, PFAP, etc.). The fact that the Forestry Department has staff in all the districts but has no capacity to maintain a presence at forest estate level, while its natural partners in communities around the forest estate remain disempowered, is evidence of institutional failure and poor natural resource governance at a national level.

The Government of the Republic of Zambia is aware of this situation. It has now been over 13 years since a modern piece of legislation was proposed and accepted by all the stakeholders, along with the accompanying proposals for institutional reforms to take the giant step forward, and yet, to date, nothing has been done. The Government of Finland hit the nail on the head when it withheld financial support for the proposed Forestry Commission until the legislation and institutional reforms were completed. Seventeen years after ZFAP's inception, we are still in the same position.

Following the interviews, literature review, validation workshop and the author's observations, three priorities were discerned in order for the forest sector to move forward.

**Firstly, there is need to update the ZFAP** so that it incorporates and addresses emerging issues in order to articulate an improved and contemporary vision of the forest sector. **Secondly, there is need to develop an enabling environment for sustainable forest management with the right incentives.** This includes, among other issues, completing the review of policy and legislation; the implementation of the reviewed policy and legislation as well as related regulations; a clear time table for institutional reform and strengthening; improved stakeholder participation (private sector, civil society and local communities) through meaningful decentralization and equitable distribution of costs and benefits among the players; and improved human resource capacities for Sustainable Forest Management (SFM), extension and education. **Thirdly, there is need to clearly**

**articulate sustainable financing mechanisms for ZFAP implementation.** This will require the improved design and implementation of forest revenue collection systems to capture the full value of forest resources and to increase revenues beyond the current levels, assessing how much of the revenues from Appropriation-in-Aid ought to be retained at district and Forestry Department Headquarter levels, with a significant portion retained at district level. Sustainable financing may also require long-term commitments from cooperating partners, with clear exit strategies and increased budgetary allocations to the forest and environment sectors by the Government of Zambia. Currently, the Government is not capturing the full value of the forest sector and current investments in the sector are too low to yield any meaningful economic returns.

### **5.1. Rationale for the ZFAP Review/Revision**

Based on the initial reactions from stakeholders to the Inception Report of this study in April 2012, it was apparent that the Terms of Reference for this study were not clear on whether the study was intended as an actual review of the ZFAP or a preliminary assessment to guide its detailed review. By virtue of the way the Terms of Reference were cast, and based on the consultant's understanding of the forestry sector in Zambia, the consultant chose to take the middle ground – by undertaking a robust (but less detailed) assessment of the ZFAP, focusing on the key successes, bottlenecks and gaps to ZFAP implementation.

The findings presented in the draft paper were discussed and wholly adopted by the participants of the Validation Workshop held in August 2012. The participants (Annex 4) were unequivocal and unanimous in their feelings that a detailed review of the ZFAP was not necessary as the current preview, intended to provide a roadmap to a detailed review of the ZFAP, had sufficiently highlighted the key findings and pertinent issues. Rather, the workshop participants felt that as the next step, the Technical Cooperation Programme (TCP) should be framed simply to re-design or revise the current ZFAP.

Generally, ZFAP implementation has been unsatisfactory due to the limited capacity of the Forestry Department, the lack of sustained funding (from both the government and cooperating partners) and poor forest governance. Most of the programme areas earlier identified in the ZFAP to address major gaps and challenges in knowledge and capacity remain as valid today as before, while the gaps and challenges have even increased.

### **5.2. Priority issues and areas to be addressed in the ZFAP review/revision**

In general, a future review/revision should focus on effective and efficient institutional arrangements and coordination for ZFAP implementation in Zambia. ZFAP has been hampered much more by institutional challenges rather than the content or relevance of the plan. On the basis of the above, it is further proposed that in terms of scope, the review should examine the existing programmes in the sector, some of which are direct outputs of ZFAP, while others could be considered as outcomes or complimentary programmes. It should also bring them under one programme management unit and then develop linkages with the major developments in the sector and at a macro-level.

The fact that forestry is recognized in the Fifth and Sixth National Development Plans, Vision 2030 and in the National Climate Change Response Strategy (NCCRS) whose policy is currently being developed, could benefit more from a better coordinated and supported forestry portfolio.

Emerging issues that ought to be incorporated include policy harmonization, appropriate legislation development, key stakeholder commitments, data and knowledge management, sustainable financing mechanisms, revaluation of forest resources, revenue collection and redistribution, capacity building and institutional reforms, education and research, communications, civil society empowerment and private sector engagement. They all need to be considered. Equally important is obtaining the requisite buy-in and commitment from the key stakeholders, such as the government, cooperating partners, business sector, civil society, traditional authorities and local communities. Most stakeholders are disillusioned with the level of exclusion that they have experienced in the past and thus, their interest and willingness to engage in meaningful ways need to be rekindled. A strong commitment to action including a clear time table from Government should be obtained. The most important question to be resolved is that of “governance.” The Forestry Department needs to be wholly accountable to the Zambian citizens.

How can so much go so wrong for such a long time without mitigating action?

It is the author’s recommendation that rather than concentrating on a detailed review of ZFAP, a re-design of the plan and articulation of sound implementation mechanisms might be more cost effective and a better use of time and resources. This is notwithstanding the fact that this paper was intended to inform the review and not to carry out the actual review. This recommendation is based on the response from the validation workshop to this paper, which seemed to take this preliminary study as an adequate review and expressed the desire for a new plan. In other words, the stakeholders at the validation workshop felt that the causes for the failure of ZFAP implementation are generally acknowledged and known, and that what would be important is to reformulate the plan with a clear focus on addressing the causes of the initial failures.

### **5.3. Recommended activities/studies that would be useful for the ZFAP review/revision**

The proposed objectives for the ZFAP review/revision, outlined below, draw from the results of the SWOT analysis and stakeholder interviews as well as from the inputs of the validation workshop. The review/revision should focus on the relevance, effectiveness, efficiency, impact and sustainability of the ZFAP.

#### **5.3.1. General objectives of the review/revision**

- i. To support the Republic of Zambia to undertake a thorough technical review and revision of the Zambia Forestry Action Plan;
- ii. To assist the Government of the Republic of Zambia to undertake a participatory national self-assessment of its capacity for and commitment to sustainable forest management; and

- iii. To assist the Government of the Republic of Zambia to design a new participatory sustainable forest management and utilisation programme on the basis of improved institutional arrangements, revised legislative and policy framework and good forest governance.

### ***5.3.2 Specific objectives of the review/revision and key questions***

- i. To identify and elaborate on the critical factors needed to create the enabling environment for sustainable forest management in Zambia;
- ii. To undertake a thorough needs assessment for participatory forest management in Zambia;
- iii. To identify and share lessons learned from implementing the current Zambia Forest Action Plan, including regional and international good practices; and
- iv. To design a new 20-year Zambia Forest Action Plan.

### ***Programme relevance***

- i. Are the programme components and objectives of ZFAP still relevant? Do stakeholders agree?
- ii. What other emerging issues ought to be incorporated in the new ZFAP design?
- iii. Is the original organisational design of ZFAP, including the establishment of a Programme Management Unit (PMU) and Donor Roundtable still relevant?
- iv. Do stakeholders care about the ZFAP and believe such an approach makes sense in relation to their own priorities? If not, what alternative approaches would they propose?
- v. What is the level of sense of ownership over the ZFAP by key stakeholders?
- vi. In what ways does stakeholder involvement give added value – the degree to which ZFAP results contribute to the government’s overall goals of sustainable forest management and improved rural livelihoods?
- vii. Are there any major risks or “killer assumptions” that are currently not being taken into account by ZFAP?

### ***Programme effectiveness***

- i. Overall, has ZFAP made progress towards widespread adoption of its recommended best practices in future (e.g., experiences from JFM, FDCF, etc.)?
- ii. Assess what key results have been achieved by ZFAP, the likelihood of future achievements if the plan is reformulated for another 20 years, the significance/strategic importance of the achievements, and whether these achievements would justify the continued investment.
- iii. What have been the key successes and failures of ZFAP over the past 17 years and why?
- iv. What are the factors that have contributed to the non-implementation of the Forest Act No. 7 of 1999 and Statutory Instrument No. 47 of 2006 on JFM? Is it institutional or policy failure, or it is more complicated than that?
- v. Why has the synergy between government organs responsible for forests, wildlife, water, energy, agriculture and mining failed to cooperate to reduce pressures on indigenous forests?
- vi. What constitutes a good enabling environment for sustainable forest management in Zambia?
- vii. Why is the Forestry Department such a weak and ineffective institution?
- viii. What type of leadership and conditions are needed to turn the Forestry Department around?
- ix. What is the strength, level and type of human resources that the Forestry Department needs in order to operate more effectively?
- x. What type of support mechanisms and institutional reforms does the Forestry Department need in order to improve its effectiveness?



***Programme efficiency***

- i. How can forest governance be improved in Zambia?
- ii. What change mechanisms ought to be advocated and implemented by donors to stimulate meaningful changes in the forest sector?
- iii. Can PPPs in forest management in Zambia be employed to improve capacity and efficiency for forest management and reduce the big and under-funded mandate of the Forestry Department?
- iv. How can the management of timber concessions be improved to facilitate the twin objectives of generating income for the landowner and contribute to the effective management of the forest estate while remaining economically viable for the concession holder?
- v. How can forest management be decentralized effectively in Zambia given the prevailing land and resource tenure regimes and how would this link to new projects, e.g. the “Decentralised Innovative Programme on Integrated Forest and other Natural Resources Management in Zambia”?
- vi. What kinds of incentives are needed to enhance effective private sector and community participation in sustainable forest management?
- vii. Why is forestry not a priority in government expenditure?
- viii. What are the existing revenue streams for the Forestry Department and are they optimal and being fully exploited?
- ix. How has *Appropriation-in-Aid*, where 50% of revenues generated from forestry are retained by the Forestry Department, improved financing at provincial and district levels for forest management?
- x. Assess whether ZFAP is delivering value for money for its present scope/scale of impact? Are costs reasonable compared to results and is this likely if the programme is renewed for another 20 years?
- xi. Assess Forestry Department staff’s working relationships with partners and other key stakeholders.
- xii. What key support would the ZFAP programme require from the FAO to improve its efficiency during the next 20 years?

***Programme impact***

- i. Assess the positive and negative long-term effects produced by the ZFAP programme – either directly or indirectly, intended or unintended. Effects can be ecological, economic or social by character.
- ii. Has ZFAP contributed to lasting benefits? Do target groups indicate that they have benefited from an improvement in their ecological, economic or social conditions thanks to the ZFAP?
- iii. Assess impact reached by the ZFAP beyond the immediate project areas (e.g. JFM sites, FDCF sites, etc.).
- iv. Identify which key activities in the JFM sites need to be continued in the new 20-year phase.
- v. Are the local structures created under ZFAP still functional in the JFM sites?

***Sustainability of the programme’s achievements***

- i. Assess whether the potential of sustainability of the programme is assured if it is renewed for another 20 years:

- Assess the degree of acceptance of programme strategies, and whether there is a sufficient enabling environment to facilitate uptake by local entities who will continue the programme activities even when the cooperating partners' involvement would be diminished. Does the programme have a clear exit strategy?
- To what degree have the ZFAP's strategies been internalized by the partners and beneficiaries?
- Are the local institutions created under the ZFAP likely to continue beyond the life of the programme?
- Is the Government of Zambia committed to funding the ZFAP over the next 20 years?
- Are organizations (strategic partners) in place that could/will ensure continuity of the ZFAP activities in the selected project areas?
- Clearly articulate an exit strategy.

#### **5.4. Key considerations for the ZFAP review/revision – recommendations**

This section describes the key factors to be taken into account in the final review and revision of the ZFAP, given that the poor performance of ZFAP has largely been attributed to a poor enabling environment and institutional arrangements, poor coordination of similar initiatives undertaken within the sector, inadequate capacity within the Forestry Department, poor stakeholder participation, inadequate financing arising from cooperating partner disillusionment, and low budgetary allocations by the government to the forest sector. The section also highlights aspects to be considered in the new ZFAP design to ensure relevance, effectiveness, efficiency and sustainability in the longer term.

##### ***5.4.1. Policy and legislative terrain***

The 1998 Forest Policy is in place and is popularly known for promoting participatory forest management. A draft Forest Policy was also prepared in 2013. However, the policy is not supported by any piece of relevant legislation. The legislation currently in force is the outdated 1973 Forest Act, which does not recognize actors in the management of forests other than the Forestry Department. The Forest Act of 1999, which was supposed to support the 1998 Forest Policy, was never implemented. This Act has since been revised. The 2012 Forest Bill has yet to be presented to Parliament.

- i. How harmonized are the 1998 Forest Policy and the proposed 2012 Forest Bill?
- ii. Are there any provisions to harmonize the Forest Policy with other policies from other sectors with an impact on the forest sector, e.g., wildlife, agriculture, energy, climate change (currently under development), mining and decentralization?

##### ***5.4.2. Capacity of the Forest Department***

During the restructuring of the Forestry Department in the 1990s, the Department lost, among others, a key division – the Forest Management Division – which was responsible for forest planning, allocation and regulation. This has significantly affected the Forestry Department's capacity to regulate forest management in Zambia today. The Forestry Department now only has two divisions: the Forest Extension and Forest Research Divisions. Both are extremely under-resourced. During the process of restructuring, the Forestry Department lost many frontline staff including forest guards, extension officers and planners.

- i. Given Zambia's current forest estate, what would be the optimal staffing levels to ensure sustainable forest management in the country?
- ii. How should the Forestry Department be restructured to ensure effective and efficient delivery of its mandate?
- iii. What are the capacity needs of the Forestry Department today and in the future?

#### **5.4.3. Multi-stakeholder participation**

The level of stakeholder participation in forest management decision-making has been low. The private sector, civil society, local communities and other relevant public agencies have largely been side-lined or not engaged. It will be important to identify stakeholder groups in forest management decision-making with clear roles and responsibilities. Key stakeholders include the Office of the Vice President (responsible for disaster risk reduction and climate change mitigation); line agencies responsible for wildlife, water, land, energy, economic planning, resource mobilization and local government; traditional authorities; local communities (especially target beneficiaries under JFM); and the national statistics office. Others are bilateral and multilateral cooperating partners; timber concession holders; saw millers; mining companies; Zambia Forest and Forest Industries Corporation; Zambia Revenue Authority; construction companies; timber merchants and Timber Producers' Association of Zambia; environmental interest and action groups; Community Based Organisations and Faith Based Organisations, etc.

- i. What roles and responsibilities should these stakeholders have and what rights should they exercise in forest governance?
- ii. Identify innovative implementation mechanisms based on a multiple stakeholder analysis with different roles approach without concentrating too much responsibility on one weak stakeholder.
- iii. Identify and review the capacities of potential partners in the implementation of the revised ZFAP.
- iv. What critical role should the Forestry Department play in forest governance in Zambia?

#### **5.4.4. Coordination and linkages to on-going and new initiatives**

This study has found a number of initiatives implemented in the forest sector but that were not deliberately planned under ZFAP, which made it difficult to coordinate and assess ZFAP's impact at a country level. Although ILUA is a direct output under ZFAP, there will be need to coordinate the project's implementation so that it addresses key aspects of forest management, including forest inventories, mapping of endemic forests and protected forests as well as their stock assessment. There will also be need to link ZFAP to the on-going REDD+ initiative for Zambia, the World-Bank funded Pilot Programme for Climate Resilience (PPCR) and the new Government of Finland funded initiative on Decentralised Innovative Programme on Integrated Forest and other Natural Resources Management in Zambia.

- i. What other initiatives are planned or on-going in other relevant sectors?
- ii. Establish the number and type of ZFAP complimentary programmes and the extent to which they contributed or can contribute to ZFAP goals.
- iii. What would be the best mechanisms to ensure coordination with such initiatives?

#### **5.4.5. Sustainable financing**

Many donors withdrew from financing the ZFAP due to the perceived poor forest governance in the country. Low budgetary allocations from the government to the forest sector also compromised the effective implementation of the ZFAP. Ensuring the sustainable financing of the forest sector and achieving sustainable forest management will require a number of interventions:

- i. Reevaluate both timber and non-timber forest products to capture their real market values which would increase forest revenues (stumpage, collection, concession and conveyance fees charged);
- ii. Design mechanisms for improved and effective forest revenue collection, accounting and disbursement system;
- iii. Identify and match innovative market-based incentive mechanisms for sustainable land management by different players/stakeholders as per the recommendations of the Global Mechanism (GM)-UNCCD study for Zambia undertaken in 2011;
- iv. Seek the government's commitment to increased and sustained budgetary allocations to the forestry sector; and
- v. Design mechanisms for equitable redistribution of forest revenues between the Forestry Department Headquarters and the provinces/districts where forest concessions are implemented

#### **5.4.6. New ZFAP Design**

As earlier highlighted in this paper, key stakeholders found nothing wrong with the *design*, rather, the problem lay in the *implementation* of the ZFAP as designed. For instance, the Programme Management Unit (PMU) and the Donor Roundtable were never established. According to the stakeholders, these bodies will still be relevant in the new design of ZFAP. However, there are also new emerging issues that will need to be incorporated in the new ZFAP, such as climate change, forest certification and Forest Law Enforcement, Governance and Trade (FLEGT)—all aimed at or premised upon sustainable forest management.

- i. Are there any other emerging and important issues to the sector that ought to be considered and incorporated in the new ZFAP design?

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## ANNEXES

### *Annex 1 Key Stakeholders Consulted*

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38. Abel Siampale	abel.m.siampale@gmail.com
39. Marja Ojanen	Embassy of Finland –



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50. Guni Mickels-Kokwe	gmickelskokwe@gmail.com

**Annex 2 Questionnaire for the Preparation of the Review of the Zambia Forest Action Plan**

**DATE**.....

*Details of the respondent (for distribution of findings and possible invitation to future consultative and validation meetings)*

**NAME OF RESPONDENT**.....

**POSITION**.....

**CONTACT DETAILS**.....

**SECTOR: (tick as appropriate)**

**Government ( ) NGO ( ) PRIVATE SECTOR ( ) COMMUNITY ( )**

*Participation in the forestry sector in Zambia:*

**What Government Forestry support programmes do you know of in the last 10 years?**

.....  
.....

**What Government Forestry support programmes have you participated in within the last 10 years?**

.....  
.....

**Have you heard about the Zambia Forest Action Plan (ZFAP)?**

**YES ( ) NO ( )**

**What is it?**

.....  
.....

*Community participation in forest management in Zambia:*

**In what ways are communities participating in forest management in your area? Explain in detail. If there is no community participation indicate "NOT APPLICABLE"**

.....  
.....

**Why should communities participate in forest management?**

.....  
.....  
.....

**How can this participation be improved?**

.....  
.....  
.....

*Performance of the forestry sector in Zambia*

**What support have you received OR know of, for participatory forest management in your area?**

.....  
.....  
.....

**Where did the support come from?**

.....  
.....

**In your opinion, has participatory forest management in Zambia succeeded or failed? Explain.**

.....  
.....  
.....

**What are the key factors affecting forest management and utilisation in Zambia?**

.....  
.....  
.....

*Enabling conditions for forest management and utilisation*

**What changes have been made to the forest policy in the last 10 years in Zambia?**

.....  
.....  
.....

**What other sector policies affect forest management and utilisation in Zambia and how?**

.....  
.....  
.....

**What are the emerging issues, trends and initiatives at national and international level that have implications for forest management and utilisation in Zambia?**

.....  
.....  
.....

*Review of the Zambia Forest Action Plan*

**What areas need urgent attention in reviewing the performance of the Zambia Forestry Action Plan?**

.....  
.....  
.....

**What kinds of studies or activities are needed to improve our understanding of the forest sector in Zambia that could inform the review of the Zambia Forestry Action Plan?**

.....  
.....  
.....

**What key questions would you like the reviewers of the Zambia Forestry Action Plan to ask?**

.....

.....  
**Who are the major stakeholders in forest management and utilisation in Zambia?**

.....  
*SWOT Analysis*

**What are the STRENGTHS of community participation in forest management in your area?**

.....  
**What are the WEAKNESSES of community participation in forest management in your area?**

.....  
**What are the OPPORTUNITIES for community participation in forest management in your area?**

.....  
**What are the THREATS of community participation in forest management in your area?**

.....  
**If there is a new programme for supporting community participation in forest management in your area, what would be your recommendations for effective design and implementation?**

.....  
**General comments**

**Annex 3 Field visits itinerary – ZFAP Review Preparations (18<sup>th</sup> – 22<sup>nd</sup> June, 2012)**

<b>Name of Site/Stakeholder</b>	<b>Dates</b>	<b>Programme</b>	<b>Remarks</b>
<b>Field Sites</b>			
Katanino Local Forest – Masaiti District	18 June 2012	(pm) Travel to Ndola, spend night in Ndola	Field Assistant
	19 June 2012	(am) Meeting with district authorities (DC, DFO, DAO) and other stakeholders	Field Assistant
		(pm) Travel to Katanino and re-confirm meeting with the community and commodity group members for 20 June 2012	
20 June 2012	(am) Meeting with the community and commodity group members	Field Assistant	
	(pm) Travel back to Lusaka		
Ndondi Local Forest – Choma District	21 June 2012	(am) Travel to Choma and meeting with DC, Provincial Forestry Office, DFO and DAO and other stakeholders	Field Assistant
		(pm) Travel to Ndondi and re-confirm meeting with the community and commodity group members for 22 June 2012	
	22 June 2012	(am) Meeting with the community and commodity group members	Field Assistant
		(pm) Travel back to Lusaka	
<b>Industry and Other Stakeholders</b>			
Kitwe	19 June 2012	(am) Travel and meeting with Chief Forest Research Officer, Principal Silviculture Officer, Principal Forest Products Officer	Consultant
		(pm) Meeting with Copperbelt University, School of Forestry staff	
Kitwe	20 June 2012	(am) Meeting with Zambia Forest College staff	Consultant
Ndola		(pm) Travel to Ndola and meeting with ZAFFICO	
Ndola	21 June 2012	(am) Meeting with Provincial Forestry Office	Consultant
Kabwe		(pm) Travel to Kabwe and meeting with the Principal Extension Officer + staff and proceed to Lusaka	
Lusaka	22 June 2012	(am) Meeting with FD HQ staff	Consultant
		(am) Meeting with Principal Extension Officer	
		(pm) Meeting with Officer-In-Charge Lusaka Forestry Nursery	

**Annex 4:** List of participants at the Validation Workshop held on 9 August 2012 at Ibis Gardens in Chisamba (Lusaka)

#	Name	Title	Organisation	E-mail Address
1.	Wiseman L. Sangulube	Chief Extension Officer	FDHQ	wisemansangulube@gmail.com
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46.	Charles Musonda	Driver	Forestry - Ndola	
47.	Donald Mwaba	Driver	FDHQ	
48.	Stephen Mweemba	Driver	Forestry - Choma	
49.	Peter Chileshe	Driver	FDHQ	
50.	Malambo Masinja	Driver	FDHQ	
51.	Katongo Stephen	Driver	Forestry - Mansa	
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## About Integrated Land Use Assessment (ILUA) Phase II

In 2005, the Government of the Republic of Zambia, through the former Ministry of Tourism, Environment and Natural Resources (now Ministry of Lands, Natural Resources and Environmental Protection; MLNRP) and in an effort to reduce poverty, promote economic growth, fill existing human capacity gaps and fulfil its international commitments, requested technical and financial assistance from the Food and Agricultural Organization of the United Nations (FAO) to design and implement an Integrated Land Use Assessment (ILUA). The aim of the project was to establish a permanent forest and tree monitoring system and to obtain baseline national-level data on forest and other related land use resources. This was in order to address the urgent need for knowledge on the state and trends of Zambian forestry resources, given the lack of existing national level surveys and the need to strengthen institutional and financial capacity. In this way, the ILUA served as a pilot to provide data on the national status of land cover, management and use. The ILUA results were seen as vital to supporting national policy processes and planning, but because ILUA was intended as a national-level inventory, the results had limited utility for informing provincial and district level land use planning and decision making due to limited available funds and therefore applied low sampling intensity.

Therefore, based on discussions held with project stakeholders, the continuation of ILUA through an extension was proposed, in March 2009, to the Government of Finland for financing. Since the Environment and Natural Resources Management and Mainstreaming Programme (ENRMMP) has been launched to bring improved coordination and implementation capacity to the environment and natural resource management sector in Zambia, the project is designed to be implemented during 2011-2014 under this programme, with technical assistance from the FAO.

While ILUA I generated baseline data, ILUA II, to be carried out from 2011 to 2016, aimed to enhance the use and development of data and information systems for forest resource monitoring and Sustainable Forest Management, particularly for provincial level land use planning as well as for selected districts. ILUA II aims to provide information on trends in forest change through refined methodologies, re-assessed field plots and a four-fold intensification of sampling density in order to report at the sub-national level. It also aims to cover socio-economic related information needs via the Forest Livelihoods and Economic Survey in order to better understand the drivers of deforestation and to inform policy interventions which support Sustainable Forest Management. Establishing a monitoring system that captures livelihood needs beyond the forests is critical to designing well-targeted and innovative policy solutions that can support and promote sustainable natural resource management. The principal objectives of the ILUA II project are to strengthen forest and land use inventories at the national and sub-national level, and to support the implementation of Sustainable Forest Management and initiatives to Reduce Emissions from Deforestation and forest Degradation (REDD) through better information, capacity building, dissemination of information, and improved multi-sectoral dialogue.

The main stakeholders of the project are: MLNREP and different departments and institutions with which it collaborates, Ministry of Finance and National Planning, Ministry of Agriculture and Livestock, Central Statistical Office, National Remote Sensing Centre (Ministry of Science and Industrial Research), University of Zambia, Copperbelt University, Centre for International Forestry Research, National Institute for Scientific Research, Zambian Agricultural Research Institute, other national and international education and research institutes, smallholder farmers, NGOs and civil society, UN-REDD and other projects, the FAO and other cooperation partners.

The intended beneficiaries of the project can be summarized as follows: policy and decision makers at all levels, forest industries with an interest in timber and non-timber forest products from forest areas, the international community and international organizations requiring reliable information on the natural environment, NGOs, academia and grassroots organizations with interests in forest resource management, environmental protection, timber trade and extension.

In line with the overall policy of the Government of the Republic of Zambia, the impacts of this project are that benefits of Sustainable Forest Management are increased and mainstreamed in the national economy and policies, thereby supporting sustainable development of environment and rural livelihoods and meeting the Millennium Development Goals in a changing climate.

The project's main outcome is ***“strengthened capacity in planning and implementation of Sustainable Forest Management and REDD through better information capacity building, dissemination of information and improved multi-sectoral dialogue”***. The three main outputs of the project are:

Output 1: Effective means of dissemination and utilization of the information for multi-sector dialogue

Output 2: Improved methodological and human capacity in collecting and analyzing forest resource information for Sustainable Forest Management, REDD monitoring and carbon inventory.

Output 3: Implementation of ILUA II Mapping and Field Survey



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