

**INTERCOOPERATION
SWISS DEVELOPMENT CORPORATION**

GOVERNMENT OF NWFP

**MID TERM REVIEW OF
PHASE II OF SWISS SUPPORT TO
THE FOREST MANAGEMENT CENTRE,
PESHAWAR, NWFP, PAKISTAN**

**REPORT OF THE MID TERM REVIEW MISSION
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**JANE GRONOW (TEAM LEADER)
FARMAN ALI
COR VEER**

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CENTRE, PESHAWAR, PAKISTAN**

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EXECUTIVE SUMMARY

1. The Mid Term Review of the Forest Management Centre Support Project was tasked to (a) review the progress to date of Swiss support to the FMC at the mid term of the 2nd Phase (7/98-6/01) (b) recommend whether a 3rd Phase is required (c) identify the key elements of a 3rd Phase and needs for Reorientation. The PC-1 for support to the establishment of the FMC covers the period 7/98 to 7/03.
2. The MTR undertook a systematic review of the 2nd Phase of Swiss support to FMC against the Project purpose, objectives and results as stated in the PC-1 and other documents. The purpose of the project is to support the FMC in contributing towards the sustainable management of RNR in NWFP. The 6 objectives encompass:
 - FMCs contribution to the forest sector reform process
 - Planning and monitoring the RNR of NWFP
 - Participatory forest management
 - Enhancing capacities in forest management
 - Developing silvicultural techniques
 - Reorientation (civil society, poverty alleviation, human rights, decentralisation)
3. The MTR concludes that to date the FMC has made satisfactory progress towards delivery of the objectives set out in the PC-1. The MTR recommends that Swiss support to the FMC should continue into a 3rd Phase.
4. The areas where least progress has been made to date are in the development of participatory forest methodologies, the building of field staff and community capacity and silvicultural techniques. The MTR accepts that to a fair extent the weaknesses are a function of the natural progression of the project over a five-year period from strategic down to operational planning and implementation and that in the case of Silva, efforts have been made to tackle the weak elements of the program. These are the areas that will be the main focus of a 3rd Phase of Swiss support.
5. There are many opportunities for SDC/IC to pursue Swiss reorientation priorities in a 3rd Phase during the development of local participation in resource management. Civil society involvement in forestry can be strengthened through information sharing on the state of the resource, strategic plans, monitoring of plans and local decision-making. Poverty alleviation activities should be re-focused onto equity during management planning, implementation and monitoring rather than on welfare.
6. The MTR also considered the external environment that the FMC operates in and the opportunities and risks therein. The MTR concludes that the ongoing forest sector reform process, despite its setbacks and weaknesses, has created better conditions for introducing participatory or collaborative NRM than have existed for many years.
7. The reform process consists of two main strands: civil society and civil service. The FMC can capitalize on and support both strands. As some observers have noted, many of the reforms exhibit reactionary tendencies and contradictions; this is simply a reflection of a sector, indeed a country that is in flux or transition between old (often politicised) ways of doing business and new ways. As one of the FMC reports advises (Khan et al, 1997), no-one should expect the old interests to go quietly, but the point is to be 'steadfast'.

8. The main justifications for a 3rd Phase of Swiss support to FMC are:
 - to build on the achievements and dedication of the FMC to date (and the Swiss investment) in order to deliver those PC-1 objectives that have not yet been achieved
 - the expectations within the sector that FMC will complement the FSPs focus on non-forest land by developing and introducing improved methods of NRM on forest land through Joint Forest Management/Participatory Forest Management/Collaborative Natural Resource Management
 - the strategic position of the FMC/P&M Unit with regards to the development and institutionalisation of JFM/PFM/CNRM approaches to forested land
 - to capitalise on and support the presence of the FSP in the sector; both its drive for reform and its huge fund of financial resources
 - the improved climate for CNRM provided by the reform process, decentralization, the new senior management of the FD, the military administration and the SDC program
 - the opportunities provided in the PC-1 to work at all levels of the management planning and monitoring hierarchy – the communities, the territorial staff and the centre
 - build on the work undertaken by the Siran project and the earlier KIDP
9. The Purpose and 6 Objectives of a 3rd Phase remain as specified in the PC-1. However, the main focus will shift from strategic level planning and monitoring in forest areas to the operational and implementation levels. The YPOs for the remaining years of the project will aim to ensure that CNRM approaches to planning and monitoring are developed, tested and introduced in selected areas. Silviculture and capacity building programs (for FD staff and communities) will support the development of CNRM.
10. The Chief Conservator of Forests advised that in a 3rd Phase ‘there should be a **breakthrough on the ground**, on a large enough scale to say that it (JFM/CNRM) is not an experimentation but it is an institutionalisation. The problem with working in pocket areas is that when the project is finished we ask for another donor.’ The MTR heartily supports this view. Future Swiss support should be sufficient to enable FMC to develop, test and introduce CNRM in selected areas right across the Province.
11. The MTR also supports the CCF’s request that a 3rd Phase of Swiss support extends for a further three years to 2004. This is a more realistic time frame.
12. Beyond 2004, the priority would be to support the efforts of the territorial staff and others to further institutionalise CNRM. This would not be a task for FMC. Expansion of FMCs work on CNRM in forested areas could be supported by FSP funds.
13. Linkages to other partners will be critical in a 3rd Phase including local NGOs and civil society Forums and FSP programs (capacity building, planning, information sharing). FMC needs to better articulate its niche in the reform process, particularly vis a vis FSP.
14. Few modifications are required to the PC-1; the purpose and objectives remain the same for a 3rd Phase. Adjustments will have to be made to the time period and funding. However if the FMC is converted to the P&M unit in the period, alterations to the PC-1 may be more substantial.
15. It needs to be recognized that participatory planning for sustained resource management will take years to complete. Interim measures for control of exploitation are also needed.

ACKNOWLEDGEMENT

The Mission wishes to thank all those who generously gave their time to brief the MTR Team. Particular mention should be made of the staff of the FMC, both professional and administrative, for the high level of support they provided the Team throughout the Mission.

ACRONYMS

ADB	Asian Development Bank
CBO	Community Based Organization
CBNRMP	Community Based Natural Resource Management Project
CCF	Chief Conservator of Forests
CF	Conservator of Forests
CNRM	Collaborative Natural Resource Management
CTA	Chief Technical Advisor
DFFW	Department of Forest, Fisheries and Wildlife
DFO	Divisional Forest Officer
FCS	Forest Cooperative Societies
FD	Forestry Department
FDC	Forest Development Corporation
FMC	Forest Management Centre
FSP	Forest Sector Project
GONWFP	Government of North West Frontier Province
GTZ	'German Technical Cooperation'
IC	Intercooperation
IRMP	Integrated Resource Management Plan
ITC	Institutional Transformation Cell
IUCN	International Union for the Conservation of Nature
JDR	Joint Donor Review
JFM	Joint Forest Management
KIDP	Kalam Integrated Development Project
MTR	Mid Term Review
MSFP	Malakand/Dir Social Forestry Project
NGO	Non Governmental Organization
NRM	Natural Resource Management
PD	Project Director
PFM	Participatory Forest Management
PFI	Pakistan Forestry Institute
PU	Planning Unit
RFO	Range Forest Officer
RMU	Resource Management Unit
RMS	Resource Management Sub Unit
RNR	Renewable Natural Resources
SDC	Swiss Agency for Development and Cooperation
SF	Social Forestry
SPCS	Sarhad Provincial Conservation Strategy
VDC	Village Development Committee
VLUP	Village Land Use Planning
VO	Village Organization
YPO	Yearly Plan of Operation

1. INTRODUCTION

1.1 Background

In June 1997, the 1st Phase of Swiss support to the establishment of a Forest Management Centre (FMC) to serve the North West Frontier Province (NWFP) of Pakistan came to a close. A joint planning mission fielded in October 1997 by the Government of NWFP, the Swiss Agency for Development and Cooperation (SDC) and Intercooperation (IC) determined that a 2nd Phase of five years was required to develop and expand the Centre's activities.

Subsequently, a PC-1 to further support the establishment of the FMC was prepared and approved for the period 1.7.98 to 30.6.2003. The PC-1 follows a five-year time frame. The Credit Agreement extended by the SDC to fund a program of support to the FMC is for a three-year period, from 1.7.98 to 30.6.2003. The revised Bilateral Agreement is for the same period.

The Planning Document prepared by SDC and IC in November 1997 as a precursor to the preparation of the PC-1 and the Credit Agreement, envisaged that a Mid Term Review (MTR) of the 2nd Phase of Swiss support to the FMC would be undertaken after 18 months (January 2000). The objective of the MTR would be to evaluate the performance of the Project and to formulate recommendations on the funding of the last two years of the five-year PC-1.

1.2 Terms of Reference

The Terms of Reference for the MTR are reproduced as Appendix 1 to this Report. The main purpose of the MTR as stated, is to

- a) review the progress to date of FMC at the mid term of the 3 year period (7/98 - 6/01),
- b) recommend whether a 3rd Phase of Swiss support is required,
- c) in case of a positive assessment of b) analyse needs for Reorientation in a 3rd Phase.

The mission comprised three members. The team leader, Jane Gronow (forester), Cor Veer (sociologist) and Farman Ali (natural resource economist).

Following discussions with Christoph Duerr of Intercooperation at the onset of the mission, it was agreed that the MTR would, due to time constraints, not be required to consider the last eight points of section 6.2 in depth.

1.3 Method of Working

The MTR undertook a systematic review of the progress of the 2nd Phase of the Project against the Project objectives and anticipated results as stated in the PC-1, the Planning Document and the FMC's Yearly Plans of Operations (YPOs). Information on which to base the review was collected through interviews, field visits and an appraisal of key documents. The preliminary findings of the Review were presented to the Project Supervisory Committee (PSC). The feedback from the PSC has been incorporated, where possible, into the Report.

In drafting recommendations for a possible 3rd Phase of Swiss support, the MTR also considered the external environment in which the FMC now operates, particularly with respect to the ongoing forest sector reform process and the SDC Country Programme for Pakistan. A brief project planning session was also held with FMC staff.

The TOR for the MTR is broad and the MTR was limited by time and the need to take many observations and comments at face value. Any mistakes or inaccuracies in the report are entirely the responsibility of the Mission.

1.4 Structure of the Report

The Report is in four parts, which together aim to address the issues raised in the TOR. The main body of the Report is contained in Section 2 where the findings of the MTR on the progress of the 2nd Phase of Swiss support to the FMC are presented.

Section 3 considers the external environment in which the FMC is now operating, in particular the implications for FMC of the reorganization of DFFW and the impact of the reduced involvement of other donors on the NWFP forestry sector.

Section 4 presents preliminary ideas on the key elements of a possible 3rd Phase of Swiss support to the FMC, considering both the FMCs 'unfinished business' and opportunities for advancing participatory forest management in NWFP.

Section 5 briefly notes other issues that are pertinent to the management of renewable natural resources (RNR) in NWFP at the present time.

2. REVIEW OF FMC AT THE MID TERM PERIOD OF SWISS SUPPORT

2.1 Agreed Objectives and Expected Results

The purpose of the FMC Support Project is to ‘**support FMC in contributing towards the conservation and the sustainable management of RNR in the upland areas of NWFP in particular and throughout the Province in general.**’ Five specific objectives have been agreed, according to the PC-1, they are:

1. **Contribution of FMC to the Forest Sector Reform Process.** FMC will acquire further capability to contribute substantially towards the formulation of the forest policy for NWFP and institutional structures of DWFF by continuous improvement of forest management techniques, human resource development and technological transfer.
2. **Planning and monitoring the RNR of NWFP.** FMC will continue to develop the capacity to play a leading role in surveying, planning and monitoring the RNR in NWFP.
3. **Participatory forest management.** FMC will develop new and participatory approaches in establishing, implementing and monitoring forest management plans that take account of the needs of all relevant stakeholders.
4. **Enhancing capacities in forest management.** FMC will contribute towards the development of human resources that enhance the conservation and sustainable use of forest resources in NWFP.
5. **Silvicultural techniques.** FMC will develop mechanisms to capitalize on existing and newly proven silvicultural techniques with the mandate of integrating them into working plans for implementation through the Forestry Department.

In 1998, a sixth objective was added, in accordance with SDC Country Programme concerns.

6. **Project reorientation.** Following the donors request in 1998, the objectives of FMC were reoriented to seek opportunities to practice interventions on Human Rights, Civil Society, Poverty Alleviation and Decentralization in forest planning and management.

For most of the Project objectives, the results that are expected at the end of Phase II (2003) have been specified in the PC-1. In addition, the Planning Document¹ contains a Monitoring Matrix for FMC Phase II. On an annual basis the Yearly Plan of Operations also identifies criteria by which to verify the progress of the Project against each of the objectives. The specific TOR for the MTR also raises a number of additional issues. The MTR has taken the expectations of each of these documents into account in its review of the Project.

As noted above, the PC-1 Results are to be achieved by June 2003; interim results are not specified. Likewise, the Indicators set out in the draft Monitoring Matrix² for Phase II are not time-bound. Internal monitoring is primarily undertaken against the detailed schedules of activities agreed with each section in the YPO and the indicators set out in the YPO annual Logical Frameworks, which have in effect replaced those set out in the draft Monitoring Matrix.

¹ Planning Document on the proposed Swiss support to the Forest Management Centre for phase II. FMC GoNWFP Pakistan, Intercooperation Berne, Swiss Development Corporation. 7.11.1997

² See the Planning Document

2.2 FMCs Contribution to the Forest Sector Reform Process

2.2.1 Expected Results

It is anticipated that during the period, senior FMC staff would (a) actively participate in meetings and workshops concerning the sector reform process (b) provide information to decision makers in order that the 1992 ban on timber harvesting in NWFP may be lifted and (c) help clarify the work distribution among donor funded projects in the NWFP forestry sector.

The current sector reform process is the culmination of a much longer effort that started in the late 1980s. The reform process now consists of the following main elements:

- **Establishment of a provincial Forestry Commission³** (FC) external to the DFFW to initiate, promote and supervise the various elements of the reform process
- **Establishment of a provincial Forest Roundtable** (representative body of forestry stakeholders to support the Forestry Commission) & local Forestry Forums
- **Promulgation of a new Forest Policy⁴ for NWFP**
- **Enactment of a revised Forest Act⁵ for NWFP**
- **Re-organization of the Department of Forestry, Fisheries & Wildlife (DFFW)⁶**
- **Reform of forestry education and training**
- **Reorientation towards collaborative natural resource management**
- **Capacity building for NGOs, CBOs and other assisting organizations**

As the recent report⁷ of the Joint Donor Review (JDR) of the Institutional Reform Process explains, there are two strands to the reform process: those relating to the greater involvement of civil society in the forestry sector and those concerning the re-organization of the civil service. The report of the JDR narrates the various twists and turns in the institutional reform process to date and describes the present state of play.

The JDR concluded that following a dormant period, the reform process has recently gathered momentum and most of the key initiatives are now underway. The JDR expressed its concern that not all elements of the reform process have turned out in the 'envisaged format or pattern.' In particular the anticipated role of civil society in 'the process of formulating policies and legislation and in guiding the re-organisation of the DFFW has proved problematic and this has affected the quality of the reform process.' It noted that 'inconsistencies and ambiguities in the draft policy and draft legislation could have been reduced through a wider consultation process.' The JDR stated unequivocally that in future the institutional reform process must be better linked to civil society expectations.

The JDR also noted that despite numerous obstacles, 'many of the key elements of the DFFW re-organisation are in place and ready for gradual introduction and refinement as planned for 2000-2002, followed by an institutionalisation phase envisaged for two years after that.'

³ Legislation to establish the Forestry Commission has been passed by the provincial assembly

⁴ Drafted and approved by the Chief Minister in August 1999 and published

⁵ Draft Act endorsed in 1999 and passed to the Law Department in October 1999 for review

⁶ Proposal on the required changes has been presented to the Steering Committee for consideration

⁷ Review of the Process of Institutional Reform of the Forest Sector in NWFP. Report of the Joint Donor Review Mission, 14th February – 5th March 2000. Forestry Donor Co-ordination Group, Islamabad, Pakistan. March 2000

2.2.2 Progress to Date

In 1998, the FMC Project Director (PD) was asked to take on the additional responsibility of PD of the Forest Sector Project (FSP). In this capacity, the PD is widely acknowledged to have revitalised the critical FSP. In addition, as a key member of the Forestry Steering Committee and the Task Force that were set up to guide the reform process, the PD helped to maintain the overall momentum for reform.

In January 1999 the Task Force was replaced with a Forestry Support Group chaired by the Secretary of Forests. The PD and the CTA continued to play pivotal roles in the Support Group. The records show that both the Chief Technical Advisor (CTA) and the PD regularly attended and contributed to major meetings concerning the reform process. The FMC was also instrumental in the setting up of the Malakand Forum and the CTA was a key member of the CTAs Roundtable. The Swiss contribution to the Institutional Transformation Cell (ITC) is also channelled through the FMC Support Project.

In September 1997, a committee was constituted to review the circumstances that led to the imposition of the ban on timber harvesting in 1992 and to develop an action plan for the lifting of the ban. The four-member committee included two FMC staff. In January 1998 the committee presented a comprehensive report recommending that the ban be lifted along with a set of practical strategies to reform forest management in NWFP.⁸ Ultimately however the lifting of the harvesting ban was an issue for the Federal rather than the Provincial government. During the MTR, the Secretary of Forests for NWFP did communicate that the lifting of the ban appeared to be imminent.

The FMC also made a major contribution to the Provincial Forest Resource Inventory. In addition, through the FMC the Swiss government is funding a Timber Market Study to look at the demand and supply of timber in the Province.

The reduced involvement of donors in the forestry sector has meant that the distribution of work among many projects is less of an issue. Within the sector, the role of the FMC and the Support Project has become clearer. The FMC is widely regarded as the lead institution on strategic natural resource planning and the 'home' of natural forest and mature plantation management. In the development of collaborative natural resource management (CNRM) approaches, the FMC is expected to complement the FSP with its greater focus on farm forestry and rangeland management.

While there is now a commitment to a program approach to donor involvement in the sector, there is as yet no simple mechanism (such as a sectoral logical framework) to incorporate discrete donor funded projects into one country-led program to ensure full implementation of the provincial Forest Policy imperatives. The all-encompassing nature of the FSP means that there is the possibility that by default, the Asian Development Bank (ADB) funded project activities almost become synonymous with the sector itself.

The logical framework⁹ for the FSP comprises 10 outputs (Results) that indeed encompass most elements of the ongoing reform process. However, on enquiry this was found to be a logical framework solely for ADB funded activities.

⁸ Lifting Ban on Forest Harvesting and Reforming Forest Management in NWFP by Ali Akbar Khan, Ghazi Marjan, Gul Muhammed and Naseem Javed. GoNWFP. January 1998

⁹ FSP Logical Framework Matrix. Dated: 13th April 2000. Duration: July 2000-June 2004. Prepared during a reformulation workshop at Saidu Sherif.

Many activities in the FSP logical framework fall within FMC's domain; for instance a number of tasks under *Result 5: Planning, Monitoring, Implementation Methods Integrated and Institutionalised* and *Result 9: DFFW Staff Capable to Undertake Their Tasks Efficiently*. A modified version of the logical framework for ADB funded activities could be adopted by the sector as the basis of a complete country-led program, enabling those elements of the reform process that can be supported by the FMC and the Swiss funded Support Project to be clearly identified.

The establishment of additional thematic working groups to oversee some of the Results set down in the FSP logical framework or to guide the delivery of some of 17 Major Objectives set out in the DFFW Re-organization Proposal¹⁰ would also provide FMC with an avenue to clarify the areas in which it will contribute to the reform process. It can be noted that the JDR recommended the establishment of a thematic working group to oversee NRM program development.

2.2.3 Assessment

Against the indicators that have been set, the FMC can be judged to have delivered its anticipated contribution to the reform process, particularly through the role played by the PD in maintaining the momentum for reform and in the preparation of critical reports and proposals.

The reform process is moving on, particularly with respect to the proposals for the re-organization of the FD. In future, FMC's contribution to the civil service reform process will derive from its core capacity to develop, test and introduce improved methodologies for sustainable natural forest management. FMC is also in a position to contribute to the civil society element of the process by sharing information on forest management with the ITC and the new Roundtables (once they are established).

A new set of results or indicators is needed against which to measure FMC's performance against this PC-1 Objective for the remaining period of the FMC Support Project. A mechanism for clarifying FMC's contribution to the reform process, *vis a vis* that of FSP would be helpful.

2.3 Planning and Monitoring the RNR of NWFP

2.3.1 Expected Results

It is expected that (a) 16 strategic plans for management of RNR are prepared in different ecological zones and forest categories covering 22% of the forest area in the Province (b) the information flow and link between strategic and operational level is established and functioning in selected areas (c) regular monitoring reports on natural resources and implementation of working plans are available in NWFP. On a long-term perspective this includes a statement on the overall condition of the forest estate and its contribution to the economic development of the Province. Natural resource management accounting methods will be tested and applied.

¹⁰ Re-Organization Proposal of the NWFP Forestry Department. Institutional Transformation Cell Project/NWFP Forestry Sector Project, DFFW, Government of NWFP, Peshawar, June 2nd 2000. Fourth Draft.

In NWFP forests are assigned one of a number legal designations based on their tenure, these are Reserved, Protected, Resumed, Unclassed, Guzara, Communal, Chos Area Act, Section 38 Areas, Farm Forest Areas. The FMC carries out strategic planning for all categories of forest.

The FD has been preparing Working Plans to guide the management of the forests of NWFP for many years, however few plans were ever implemented. The new NRM planning process envisages three tiers of planning: strategic, operational and implementation. A Standardized Methodology¹¹ for Resource Inventory and Planning was prepared by the FMC in Phase 1 to guide the strategic planning process and to set the parameters for operational planning.

At strategic level a Resource Management Plan will be prepared for a Forest Division, a Forest Range or a main area having sufficient forest blocks to warrant major interventions. Such an area will be called a Planning Area (PA). The purpose of strategic planning is to:

- i. Identify forest units suitable for a specific function or role to deliver
- ii. Determine management strategies and systems under SFM principles
- iii. Identify priority areas for interventions
- iv. Frame guidelines for Operational Plans

The basic elements of strategic planning are land use mapping, GIS analysis, resource inventory, resource planning, socio-economic surveys, compilation and analysis of data and integration of inputs. The main difference between the new plans and the old Working Plans¹² is that the former also cover non-forest land and include socio-economic survey reports.

The inventory is based on Planning Units (PU) that are a main valley or combination of valleys or sub valleys within a Planning Area. The Planning Units may also form the basis of the Operational Plan. The purpose of operational planning is to:

- i. Have a plan of operations with a view to transferring the provision of the Resource Management Plan to the ground
- ii. Involve the local communities in planning and implementation of the activities

Strategic planning is undertaken by the FMC and involves the staff of the 6 Field Units as well as the specialists at the centre. Operational planning will be the responsibility of the territorial staff with support from the FMC.

2.3.2 Progress to Date

The FMC has selected 11 target areas in which 16 Strategic Plans will be prepared during the five year period 89/99 – 02/03 (refer Appendix 10). The criteria¹³ used for selecting these areas were 'the urgency of revising the existing management plan, the complexity of management and land-use and the critical position of ecological sustainability and local dependence on the forest'. Of these 11 areas, 7 are Protected Forests¹⁴ the remainder are Reserved and Guzara forests.

¹¹ Standardized Methodology for Resource Inventory and Planning, prepared by Gul Muhammad, Gary Archer and Ghazi Marjan. FMC, FD, IC. May 1997

¹² In most countries the understanding was that working plans would be prepared for areas that were to be 'worked' for timber, while management plans were broader plans that would also cover areas assigned to protection and other working circles.

¹³ As noted in the FMC Project Profile, a brief prepared on 3-9-99

¹⁴ Reserved Forests are state owned and are usually free from rights and concessions, all acts are prohibited unless permitted specifically by the Government through notification. Protected forests are also state owned but local rights and concessions exist and all acts are permitted. Resumed lands are also

To date, three Strategic Plans have been completed. The plans for Swat Forest Range of Swat District and Matta Forest Range of Swat District have been approved and published while the plan for Alpuri (Shangla District) is awaiting publication (the later has been delayed while a serious query on the size of the standing stock is addressed).

At present, survey work is ongoing in several areas simultaneously including Kohat/Hangu Districts, Abbottabad, Allai of Mansehra, Lower Kaghan and Lower and Central parts of Dir District. It should be noted that in the Kohat area, the standard inventory methodology was recently revised by FMC to ensure its applicability in the scrub forest of that locality. If the present work rate is sustained it appears likely that the FMC will meet its target of 16 new Strategic Plans by 2003.

While efforts have been made to include Guidelines on Operational Planning in the Resource Management Plans the information flow and link between strategic and operational level is not yet well established or functioning in selected areas. One Operational Plan has been drafted to date; for the Miandam PU, it was by any standards totally unacceptable. The FMC is now pursuing a three pronged strategy for the preparation of the first Operational Plan: contracting one plan out to an NGO, one to the regular backstopping consultants and one to a consultant with much experience of the FSP Integrated Resource Management Plan (IRMP) process. This is a reasonable approach.

A Revised Monitoring System¹⁵ for Forest Management Plans was prepared by the FMC during Phase I. This is a lively document, the sections concerning the impediments to the existing monitoring process such as 'interference of vested interests'¹⁶ and the 'existing political system' are especially frank. The MTR neglected to check whether the proposed monitoring system has been fully field-tested in a selected area as planned.

The FMC did contribute to the preparation of the recent Provincial Forest Resource Inventory. To date no work has been carried out on Natural Resource Accounting.

2.3.3 Assessment

Against the Results set out in the PC-1, the FMC is making fair progress on its core activity. The MTR was not asked to carry out a technical review of the new planning system, however some observations can be made based on the two Resource Management Plans published to date.

One objective of strategic planning is to assign functions. The Standardized Methodology makes provision for 5 functions or working circles: Conservation, Improvement cum Protection, Timber Production, Social, Non-Forest Resource. In the 2 plans prepared to date, 4 working circles have been used: Timber Production, Community Use, Conservation and Tourism.

state owned. Guzara forests are privately owned by local people either as individual property or joint property in the Hazara area.

¹⁵ Monitoring System for Forest Management Plans by Qazi M. Ashraf. FMC Peshawar. December 1997

¹⁶ 'Monitoring of management plan implementation is greatly influenced by the extraneous interventions not only at the implementation stage but also the Working Plan preparation is subject to the interference of pressure groups. The working plan officer & staff are under tremendous pressure not only from people having interests in the forests but also from the bureaucracy and administration in most of the cases.'

'The political system in vogue in the country and its mis-use by the vested interests in politicising the institutions, especially the FD has caused tremendous damage to the forests in a variety of ways. Most technical decisions are politically motivated, for example postings and transfers of technical staff, their promotions, preparation of FMPs, interference with the prescriptions of FMPs and over-all interference in the administrative affairs of the FD.'

The FMC stresses at all times that the designations do not necessarily preclude other uses; they rather denote priority functions.

The MTR considers that the early definition of working circles during strategic planning may lead to problems later on, particularly with regard to the Timber Working Circles. At this level, where the MTR accepts that full consultation is going to be difficult, the designations must be entirely scientific, objective and defensible.

One problem is that insufficient distinction is being made between temporary and permanent protection; the Conservation Working Circle is being used as a catch-all for permanent environmental protection, ill-defined biodiversity conservation and temporary protection of poorly stocked stands. A second problem is that some areas are being designated as Community Use and others nearby as Timber Production without local consultation.

Ideally, areas that are being designated as permanently protected (ie restricted use) for environmental reasons such as steep slopes should be clearly designated as Environmental or Watershed Protection Working Circles. The scientific principles behind the designation should be clearly explained to all stakeholders eg landslide control eg protection of watersources.

Areas that are being permanently protected for biodiversity conservation should be designated as Biodiversity Conservation Working Circles and the rationale also clearly explained eg protection of an economic gene pool by restricting access to seed stands of commercial species. (In principle where biodiversity protection is primarily valued by international agencies these bodies should be prepared to pay for the loss of other values that are important locally.) Areas where use is to be restricted for tourism should again be clearly explained and designated as Tourism Working Circles.

Those areas where use is to be restricted while the growing stock convalesces or is improved should be designated as Temporary Protection Working Circles. Local owners and users should have a clear grasp of the stocking levels that have to be reached before exploitation will be allowed. All remaining areas should be designated at the strategic level as Multiple Use Working Circles, with minimal use restrictions. The actual management objectives would be set and prioritised locally by the communities and the FD during operational planning.

The biodiversity elements of the Conservation Working Circles¹⁷ are poorly justified. The objectives of management are simply to 'promote biodiversity.' This is in part a reflection of the limited progress that has been made on the design of strategies for biodiversity conservation by the various NGO and other agencies working on 'biodiversity' in the Province. At the moment biodiversity conservation and general forest conservation seem to be virtual synonyms. The recent Frontier Biodiversity Forum¹⁸ organized by IUCN on 6th July 2000 will hopefully begin to address these concerns.

At a later date, specific guidelines on biodiversity conservation in forested areas will more clearly explain what is being protected and why. For example the protection of gene pools of valuable economic species or the protection of representative samples of forest types or special wildlife habitats or genetic hotspots that contain endemic or other rare species. It may well be that there are in fact few areas that justify working circle levels of protection for biodiversity and

¹⁷ Also called watershed and biodiversity conservation working circle

¹⁸ Objectives of the Frontier Biodiversity Forum were to – (i) Serve as an information platform on biodiversity related issues and activities (ii) Develop an understanding of the meaning of the concept of biological diversity (iii) Identify how biological diversity is cross cutting and relevant to different sectors by developing sector specific guiding principles and guidelines (iv) Encourage the design of case studies and project proposals in the respective sectors.

that biodiversity objectives can be better met by clear rules on methods of working in all working circles, for instance concerning regeneration to favour broad leaves as is already mentioned.

The new Resource Management Plans sensibly state that 'baseline botanical and zoological surveys shall be conducted in the forests through competent institutions to assess the starting biological diversity of the forests. Recurrent surveys shall be conducted every 5 years through the same institutions to monitor progress consistently.' The MTR recommends that the baseline work be approached as a series of **participatory biodiversity surveys**. Local people are well able to identify many of the plants and animals in their area; more importantly it is a great opportunity to explain the principles of biodiversity and to enable the professional and local resource managers to work together.

The FMC has recently hired a Range Forest Officer (RFO) with experience in wildlife to prepare a wildlife management plan for Alpuri Forest Division¹⁹. This is a good initiative (although some of the management strategies may prove difficult to implement, for instance 'eradicating lethal weapons such as Kalashnikovs and sub machine guns from the locals living inside the habitat.')

The Field Units visited were very at home with the FMC Inventory Forms; the information being collected is valuable. Seed stands could also be identified during the initial inventory or during participatory resource surveys for operational planning; it appears inefficient to have a separate program to identify seed stands.

The work of the Socio-Economic section is also impressive. However the MTR is concerned as to whether or not all the information collected during strategic planning will be used during operational planning and beyond. It may be found that less time needs to be spent collecting socio-economic data at the strategic level and that some of the work could be moved down to the operational level. As the Unit itself is well aware, local people are often concerned that the survey starts a process of debate concerning the future of the resource that is not immediately followed up. The commitment of the Socio-Economic Unit to reaching women in the communities is to be applauded. The focus on the Gap between supply and demand is however given far too much weight.

The FMC is sponsoring the translation of summaries of the 2 Resource Management Plans into Urdu. This is a good initiative; it provides an opportunity to hold meetings with local civil society groups to explain the whole process of forestry planning and to debate the state of the resource as described in the plan. The planned FSP awareness campaign could be utilized in this regard.

The GIS lab is also functioning well and its outputs are clearly contributing substantially to the planning process. No member of the MTR Team is qualified to consider the future development of GIS systems or the sustainability of the GIS lab. However the CTA has recently compiled a set of papers concerning the development of GIS in Pakistan. The conclusions of one of the well argued papers²⁰ prepared by the FMC GIS lab staff is as follows:

' For the time being the GIS Facility has reached a plateau of development and has the capacity to meet the demands of FMC for forest inventory, land use planning, socio-economic survey, plantation mapping and provision of maps and imagery for the same. It has also acquired the information from the PFRI. The information gathering exercise on Natural Resources by PFI for

¹⁹ Wildlife Management Plan for Alpuri Forest Division (NWFP) by Naeem Ud Din Tariq, Range Forest Officer (NRS), FMC, NWFP, June 2000. IC, Switzerland

²⁰ The Use of GIS as a Tool for Forest Management and Planning at the Forest Management Planning Centre in Peshawar, NWFP by Ms Shazia Noreen GIS Analyst, Mr Rashid Noor Computer Specialist and Dr R. Murtland. 2000

the Province faded without results. The FGA²¹ has not yet been replaced and a merger with the GIS facility of the FSP is proposed with effect from 1st July 2000. The structure of the merged facility of the FSP into the P&M Unit has yet to be announced. At least another 2 years is required to consolidate the present capacity and merge with the FSP GIS and to train the 2 new female GIS analysts who are due to be engaged by the FD. Thereafter the Swiss Support could be phased out but capital inputs would be required from time to time.'

'However there are also many opportunities to develop and expand the facility to include the new Environmental Set-up, Province Wide Land Use Planning and Control. It would appear short sighted to nip the development of GIS in the bud for the sake of short-term expediency when for relatively little cost the donor is in a position to extend considerable leverage in terms of planning and how it can be channelled to an audience in terms of information for civil society etc. If some semi-autonomous organization is to be set up instead then a study should begin now with a view to standardizing all the three cadres of staff with an Executive Director and Manager, with Marketing and Administrative sections etc.'

The Computer section provides solid technical back-up to all the other sections. A Local Area Network (LAN) was established in 1999 in the GIS Lab and Computer Room that is sufficient for 10 computers. The intention is that the FSP GIS lab and the FSP GIS lab be connected using a new Fast Ethernet Network in June 2000.

The FMC is now beginning to develop methodologies for operational planning. Efforts are being made through the three contracts mentioned earlier to identify and test a planning process for the PUs. The Backstopping Consultants have also made sensible recommendations on the process in recent reports²². The MTR cautions that during operational planning and beyond the political economy of local resource use and the ability to deal with local politics becomes critical.

While it is recognized that participation during operational planning is limited by the scale of the PUs and the fact that implementation may not take place immediately, the MTR believes that more can be done to reduce the still fairly top-down nature of the operational planning process. For instance **joint/participatory data collection** exercises on resource and social parameters. The Standardized Methodology notes that 'the Operational Plans have to be kept as simple as possible so that these can be prepared and understood by local common men and women.' It is hoped that this advice will be heeded.

A system for producing regular monitoring reports on the implementation of management plans has been produced by the FMC. During the remaining years of the PC-1, clear precedents must be set in the Swat and Matta areas that the implementation of the strategic plans will be monitored as prescribed. The translation of the key elements of the plans into Urdu provides an opportunity for public monitoring of the plans too. The PFRI and the FSP awareness campaign provides opportunities for increasing civil society awareness of the state of the resource.

A Technical Audit could also be built into the monitoring system whereby the quality of forest operations such as nursery production and plantation establishment are regularly checked to ensure standards are maintained.

In the course of the remainder of the PC-1, the entire planning and monitoring system will be tested in a number of PAs. Undoubtedly this will lead to backward changes in the strategic planning process. Already the FMC staff and the Backstopping Consultants are proposing changes in the structure of the Strategic Plan based on their field experience; as long as the

²¹ Forestry and Geographical Information Advisor (FGA)

²² Socio-Economic Aspects of Strategic & Operational Planning. Backstopping Mission Nov 13–20 1999. Frans Werter, Consultant. FMC. Draft Report on a Visit to FMC, 12-28 November 1999. PD Hardcastle

objectives of the plans are maintained this should not be a source of concern. While revision may lead to a set of plans that are not uniform, it has to be accepted that the planning system is in a state of flux or transition and more modifications or rather improvements will be made.

The first Resource Management Plan (Swat) has clearly involved a lot of work and is particularly valued for its willingness to tackle difficult issues in an honest fashion. But, it is disconcerting to note how much of the first plan is 'cut and pasted' into the second plan. While the plans are for neighbouring PAs and many aspects such as geology are contiguous, this does not explain all the pasting. It may be that the workload involved in producing plans of the quality of the first one is too great, or that many of the general statements made in the first plan should be removed and put into a general Forest Management Handbook for NWFP to accompany the Standardized Methodology [with a simpler version for civil society].

Over time it is likely that the Resource Management Plan will become a slimmer, more strategic document concerned primarily with general background information, the state of the resource(s), local rights/use/controls and the priorities for sustainable forest management including principal working circles and key silvicultural options.

The remaining great chunks of information on operations eg on marking of trees for felling, should go into the Operational Plan or a general Forest Management Handbook. (Working Plans were originally prepared for areas to be worked for timber and were by definition operational rather than strategic plans, hence the inclusion of sections on 'felling programmes' and 'guiding principles for marking' neither of which are of course strategic concerns!)

Slimmer plans²³ will be quicker to prepare and implement, easier to share with civil society, less contentious and would establish the FMC/P&M Unit as the provider of an important strategic RNR management service.

2.4 Participatory Forest Management

2.4.1 **Expected Results**

It is expected that (a) guidelines are prepared and accepted for operational management plans on community level. The respective DFO will initiate and lead the preparation of these plans with support from FMC through training, maps, social survey etc (b) resource management plans prepared by FMC which are understandable and acceptable to stakeholders and resource management plans implemented.

2.4.2 **Progress to Date**

There has been little progress to date on this objective. The two Resource Management Plans that have been approved are currently being translated into Urdu to enable local stakeholders to become aware of the main provisions of the plans. As explained earlier, efforts to prepare guidelines on operational planning are underway.

FMC regards participation as gradually increasing as planning proceeds down the hierarchy from the strategic level to implementation. At the strategic level 'participation' is presently limited

²³ The proposals made by the Backstopping Consultant for 'Forest Working Plans – Alternative Presentation Option' are definitely worthy of further consideration. Draft report on a visit to FMC, Peshawar, 12th to 28th November 1999. P. D Hardcastle

to the gathering of information through the socio-economic surveys. There is no consultation on the allocation of compartments to specific working circles.

During operational planning FMC expects that participation will increase, at least to the level of wide consultation on management options and priority tasks. At implementation level, village stakeholders are expected to be quite fully involved in planning, implementation and monitoring of selected management interventions for particular areas.

During the remaining period of the PC-1, the focus of the FMCs work will increasingly shift towards the more participatory forms of planning at operational and implementation level.

2.4.3 Assessment

The MTR accepts that at the strategic level the sheer size of the PA, the number of villages involved and the nature of the task does preclude extensive local participation. However a second reason why consultation is avoided is the belief that some of the allocations to working circles will be contentious, particularly where some forest is allocated to Community Use while nearby forest is allocated to Timber Working Circles. In such cases the MTR believes that if consultation is not going to take place then the contentious elements of the process need to be removed. This is **not** to suggest that the FMC should compromise on its forestry, but as explained in section 2.3 the working circles must be seen to be objective and defensible.

Alternatively, as suggested by the Backstopping Consultant²⁴, consultation could take place during strategic planning 'through official publication and announcement of relevant parts of the draft strategic plan and requests for reactions by the local population and through the organizing of a limited number of official information and reaction hearings. Only after hearing and analysing the comments and reactions would a final strategic plan be prepared.' One great bonus of this approach is that the public hearings would provide the FMC with an opportunity to explain to people what forestry is really all about: the maps, the inventories, the principles underpinning the working circles and so forth.

Foresters the world over are notoriously bad at explaining the basic elements of their craft; once they do so they are often surprised at the degree of local respect for and interest in their profession that can be engendered. The FMC has put a great deal of effort into developing scientific methods to ensure the sustainable management of the forests of NWFP, it is time local people had the chance to appreciate this effort.

2.5 Enhancing Capacities in Forest management

2.5.1 Expected Results

It was expected that (a) key persons of all sections of FMC will have better knowledge and skills as indicated by the number of persons trained (b) field staff of the forestry sector will have a better understanding of resource planning and management through training (c) local communities will be prepared for a participatory role in planning management of resources through training, preparation of guidelines and visits to case study sites.

²⁴ Frans Werter in his report of a backstopping mission to FMC on 13-20 November 1999

2.5.2 Progress to Date

Considerable resources have been expended on increasing the knowledge and skills base of the FMC staff. To give an idea of the scale of training being provided by the Support Project; 23 training events are scheduled for the YPO 1999-2000, making a total of 60 man months of training. In total about one third of the budget is devoted to human resource development.

Training opportunities for FMC staff have included in-house, in-country, on-the-job and overseas training programmes and study tours. Subjects covered have included English language tuition, report writing and presentation skills, gender awareness, business management and accounting, GIS, decentralization of forest management, silviculture, agroforestry, computing and CNRM. Support is also provided to staff wishing to undertake MBA's or Diplomas at local institutions. The FMC staff located at the 6 Field Units also received some training in different aspects of resource management planning. A Professional Development System which records staff member's progress has also been introduced.

In addition, FMC has attempted to develop a closer working relationship with the Pakistan Forestry Institute (PFI). Alongside research collaboration, the PFI facilities have been used for training courses and the FMC has been instrumental in obtaining scholarships for females to study forestry at PFI. The FMC has led by example by employing and training women in the Project Support Unit and in the Socio-Economic and GIS sections and as social survey staff.

The resources invested in the FMC training program have borne fruit; staff members are fairly competent in their subject areas; able to undertake their work assignments and to debate and defend their programs. The Socio-Economic section has a growing capacity to unravel the complex rights and control systems that underpin forest use and abuse; they are moving beyond simplistic analyses of resource degradation due to population pressure. The GIS lab operates smoothly and is being called upon to provide some services and training. The Natural Resources section is able to undertake the field surveys set out in the Standardized Methodology. The Computer section provides essential technical back-up to the whole of FMC.

Critically, the necessary logistical support, such as hardware and software has been provided to ensure staff members can put into practice what they have learnt. Many staff members have a growing desire and confidence to review and improve the NRM methodologies.

Less progress has been made on the development of field staff capacity, although efforts were made to include territorial staff in the CNRM course (disappointingly none attended; their prior work commitments appear to have taken precedence). This is essentially a feature of the general progression of the project from strategic to operational planning and beyond. For essentially the same reason, there has been little progress in building the capacity of local communities. These are key issues for the future.

2.5.3 Assessment

The focus on capacity building at FMC has been correct and successful. The FMC staff (at the centre) are by and large motivated, competent and confident. The situation is fragile though as many of the staff are employed on contract basis or are liable to be poached by other agencies as their skills become increasingly marketable.

The MTR recognizes the heavy administrative workload incurred by the FMC Support Unit in organizing the training program. In addition, training can be a source of discontent in the

workplace if people feel they have been passed over, particularly for overseas training or MScs. The Support Unit should in future be able to call on independent professional assistance to establish a more transparent and systematic approach to staff development based on rigorous analysis of skills deficits and training needs. The opportunities provided by the FSP funded HRD programme need to be explored.

The MTR has been impressed by the growing capacity of many staff members to critique their own work: to criticise, modify and innovate. Institutions the world over, particularly those that are civil service based, have a tendency to become moribund, to simply implement the same old rules and regulations year after year even though what was once appropriate is now just another anachronism. Often the people directly involved in operations know this all too well, but their suggestions are regarded as somehow threatening or mildly subversive.

It is rare to come across an institution that can be regarded as a (fledgling) learning organization. While constant revision of methodologies may at times appear retrograde, as the FMC moves into the relatively uncharted waters of CNRM this ability will be vital. Indeed while the 20th century was the era of technology, the 21st century is the information age, where ideas and the ability to respond quickly to change will be a nation's most valuable asset.

Projects can support the growth of a learning culture by framing some of the project objectives and anticipated results in terms of learning, otherwise the achievement of numerical targets such as preparation of a certain number of Strategic Plans will understandably take precedence. An explicit learning approach is of course the optimal way of building institutional capacity, self-reliance and of ensuring participation.

For the rest of the project period, the focus of capacity building will shift to the field staff and the communities. The FSP has recently produced a draft Operational Plan²⁵ for Capacity Building of DFFW. The Plan notes that 'the reforms that are currently underway imply a number of important consequences for staff at various levels, with respect to procedures, methodologies, responsibilities, approach (social forestry) and positions. To achieve effective implementation of the reforms, staff has to be prepared to the new requirements of their future positions through training. As the reforms will affect most sections of DFFW, a vast capacity building plan needs to be developed and implemented targeting most institutional levels.'

A Human Resources Development (HRD) Specialized Unit has been proposed as part of the new structure. The HRD Unit will be located in the Regional (Peshawar) and Circle Offices and at the Sarhad Forestry School near Abbottabad. The main tasks of the HRD Unit will be:

- planning and implementation of capacity building
- staff career planning and other HRD related activities
- organization of the training to DFFW staff, communities and related NGOs/Aos
- manage all training structures of DFFW
- guidance to institutional development

No mention²⁶ is made of the potential role of the FMC Support Project in capacity building for DFFW staff or communities or information sharing (nor indeed of the role of the P & M Unit whose mantle FMC will assume). Likewise no mention is made of linkages to FMC in the two Results concerning capacity building in the FSP logical framework. This is of concern.

²⁵ Capacity Building DWFF. Operational Plan 2000-2004 by Deodatus et al. Draft 19th June 2000. Forestry Sector Project.

²⁶ Mention is made of an Inter-Faculty structure within the HRD Unit which can be used for delivery of training modules by existing training institutions

2.6 Silvicultural Techniques

2.6.1 Expected Results

The PC-1 expects that a Silvicultural Handbook will be available for NWFP. The Planning Document also expects that applied research will be conducted on key issues as indicated by the establishment of a number of trials.

2.6.2 Progress to Date

A first draft of the Silvicultural Handbook, prepared by the Acting DFO Silva Section, was printed in June 2000.²⁷ The Handbook contains comprehensive technical notes on twenty-nine important tree species compiled from existing literature²⁸.

The technical notes essentially contain the information a professional forester needs to decide which species to plant on a particular site and how best to establish, manage and protect the chosen species. At present the Handbook is in English. The first draft of the Handbook does not contain an introductory section clearly explaining its purpose or for whom it was prepared and how it is expected to be used. A set of Silvicultural Reference Notes²⁹ prepared by the Backstopping Consultant has been included at the back of the Handbook. Again, it is not made clear why these Notes have been appended to the main body of the Handbook and how they are to be used.

The Silva section has prepared a literature review on Shisham Die-Back³⁰. This is the first output of a study by the section into the identification of the causes of Shisham die-back and its control in NWFP. A great deal of information has been compiled. The Shisham report could also include a Contents Table and a section summarizing the main Conclusions of the literature review and its implications for further work in NWFP.

Since the appointment of a new Section Head on March 15th, 2000, efforts have been made to revise the Silva work program, in particular the Study Plans for Applied and Adaptive Research (in association with the Backstopping Consultant, PFI and FSP). The Section is currently supporting the following trials:

- Sowing trials of dry land species from Jordan & Eucalyptus, Pinus radiata & Tea Tree Oil
- Planting trials of arid and semi-arid tree species grown at PFI nursery
- Identification and establishment of seed stands for Chir, Kail and Deodar

²⁷ Forest Management Centre Silviculture Handbook (1st Draft). Prepared by S. Tariq Ali Shah, Acting DFO Silva. Guided by Dr Robert Murtland, CTA FMC & PD Hardcastle, Backstopping consultant. Forest Department NWFP. Pakistan. Intercooperation. Switzerland. June 2000

²⁸ The species notes cover: taxonomic position, notes on taxonomy and nomenclature, importance, botanical features, natural latitude range, vegetation types, environmental amplitude, soil and physiography, silvicultural and management, pests and diseases, variation and breeding, uses and products. For each species a simple summary of its most important characteristics is also provided.

²⁹ These notes cover: silvicultural systems, impact of users on silviculture, management options, rights and other usage related to silviculture, thinning options, basal area, site requirements for widely used tree species and products and services of some widely used tree species.

³⁰ Forest Management Centre. Review of Literature on Shisham Die-Back. Prepared by S Tariq Ali Shah, Acting DFO Silva. Guided by Dr Robert Murtland, Cta FMC. February 2000.

- Sisham (*Dalbergia sissoo*) clonal trial
- Sisham die-back research
- Farm Forestry demonstration trials
- Regeneration demonstration plots for Chir, Kail, Deodar, Fir, Oak & Scrub forest
- Survey of Quetta pine (*Pinus eldarica*)
- Utilization of *Eucalyptus camuldensis* in connection with a thinning trial

During the training course on Operational Planning for CNRM conducted in April 2000, a module on silvicultural options was also presented, covering:

1. Developing silvicultural prescriptions (need for new approaches, adaptation of classical systems, classification, development and testing of new and adapted systems)
2. Application to management plans (working circles, constraints, supply limitations, demand reduction strategies, balance calculations)
3. Extended field walk to examine silvicultural options and potential

A Memorandum of Understanding (MoU) between FMC, FSP, PFI concerning applied forestry research was drafted in May 1999. It is hoped that the MoU will be approved in August 2000.

2.6.3 Assessment

The Silva Section has been one of the weakest Sections of the FMC during the 2nd Phase (and indeed the 1st Phase). It is generally accepted that the situation is now much improved; the Silva Section is back on track and is likely to achieve its expected results. The change in fortune is linked to a change in personnel; the Section's present staff are experienced and enthusiastic.

In the past the Section has been under-resourced and the staff have not been sufficiently enthusiastic. The underlying problem has been the low status assigned to silviculture in the sector. There has been little demand for the services and outputs of the Silva Section. The weaknesses in the Section have meant that the FMC has not been able to fully exploit the Support Project's provision of a Backstopping Consultant.

In future, with the move to operational planning and the possible lifting of the harvesting ban, this will change. It is hoped that as demand for Silva increases, the program will have the resources, the focus and the linkages needed to deliver the goods. (The schedule of up-coming activities for Silva specifies modest sums of finance from the Swiss support budget for almost all its activities.) A SWOT analysis of the Section further highlights the problems and opportunities it faces (refer to Appendix 12).

To date Silva has focused on the compilation of information and applied research trials. The Silva module for the recent CNRM course focused on the development of silvicultural prescriptions for Resource Management Plans and Operational Plans³¹. This is where the future of Silva will increasingly lie. Concerning the Strategic Plans, the MTR neglected to find out the status of the prescriptions being prescribed for the various working circles. The Method of Treatment given for the Timber Working Circle for the Swat Forest Range (1989-2013) is the selection system³², this appears to be sound. It would be interesting to know if any reviews of

³¹ Reference is made to the development of silvicultural inputs into Resource Management Plans and Operational Plans in the note prepared by the Backstopping Consultant in April 2000.

³² 'The forests will be managed under the selection system involving the removal of single or small groups of trees from all over the annual coupe in any year creating small gaps to stimulate regeneration. Dead,

the selection system have been carried out? Also is this a standard prescription for timber working circles or a repeat of the prescription given in the previous working plan or a prescription based on recent field visits and advice from Silva? The MTR also notes the recommendation of the Backstopping Consultant for prescriptions at the stand and not compartment level.

The new Monitoring System for Forest Management Plans (FMC, 1997) stipulates that at the time of plan revision the CF shall evaluate the general success of the silvicultural system and that the general success of the silvicultural system shall be evaluated³³ by the DFO after every 5 years. It is important that this procedure is strictly upheld during the period of the PC-1 in order to institutionalise the new monitoring system. The Silva section should be involved in the 5 yearly review process as should local owners and users.

In addition, a series of permanent sample plots may need to be established across the Province to provide more systematic and reliable information on the impact on the resource base of each of the silvicultural systems.

The Kalam and Siran projects also worked on silviculture and it is hoped the section will be able to incorporate their efforts into its future work.

The most interesting area of future work for Silva may be the Community Use Working Circles. The Silva section and the territorial staff will be called upon to help devise silviculture for local management objectives. For instance to enable a local group to manage a degraded oak and mature chir mix for multiple use objectives such as timber, firewood, poles, fodder and grass. The opportunities are there for **participatory silviculture**; to combine local ecological knowledge with professional forestry knowledge.

In the future, there will also be a myriad of opportunities for explaining to local people what the adaptive research trials are aiming to do and to incorporate local ecological knowledge into the design of the trials and interpretation of the results; **participatory adaptive research**.

The Silva section is likely to become part of the Research and Development Integrated Specialist Unit of the re-organized FD.

dying, diseased and malformed trees and trees not putting on any increment shall have priority for removal, followed by trees in descending order of dbh. Trees of desirable form and still growing vigorously shall be retained. All trees over 50cms dbh and above shall be removed when occurring over established regeneration. Groups of mature trees, without regeneration under them shall be opened out uniformly to an average spacing of about 11m for blue pine and spruce and of about 7m for fir. Subject to the above, fellings would mainly bear on trees 70cms dbh and above. Broad leaf species would not be removed and the local people educated on their management for fodder and fuelwood.'

³³ Basic criteria for the evaluation will be the health and condition of the residual crop, regeneration, plantation, sustainability of yield, impact of grazing, situation of erosion, support of communities etc. In case of serious failures or problems, working plans should be suspended under the orders of the CCF.

2.7 Project Reorientation

2.7.1 **Expected Results**

Following the nuclear tests in India and Pakistan in June 1998, the Swiss Federal Council mandated SDC to review and reorient its development programmes in the two countries. The criteria for the review, and indeed SDC's new priorities were Poverty Alleviation, Human Rights, Decentralization and strengthening of Civil Society. Since 1998 it has been expected that the FMC Support Project would also seek opportunities to practice interventions on Human Rights, Poverty Alleviation, Decentralization and Civil Society within its current structure and objectives.

2.7.2 **Progress to Date**

In December 1998 an internal FMC workshop was held to begin the process of reorientation. The FMC undertook a SWOT³⁴ analysis of its position in relation to the four parameters and identified a matrix of YPO activities through which it could support the four objectives. FMC noted at the time that it had been 'dealing with many of the relevant concerns of the donor agency and it was unfortunate that there was not a wider awareness of this throughout.'

In May 1999 a second workshop was convened at IC's request to further reorient the 1999-2000 YPO. Four working groups were constituted to identify (a) existing activities that can remain unchanged (b) existing activities that need to be reoriented (c) the potential for incorporation of the new priorities into future activities. FMC concluded³⁵ that its future activities³⁶ hold great potential for incorporating the new priorities, in particular the development of operational plans in consultation with local communities and silvicultural prescriptions sensitive to local needs.

An allocation of Rs.1.5 million was set aside to support a series of interventions identified in the 1999-2000 YPO. Due to FMCs own resources being over-stretched, it was decided to outsource some of the interventions to suitable Community Based Organizations (CBOs). The Poverty Alleviations activities were regarded as pilot activities to be integrated, where feasible, into operational planning in the target areas.

Poverty Alleviation activities in the Miandam Operational Plan Area included: (a) market survey of the origins of handicrafts sold (b) family welfare through water supply, hygiene, medicinal plants (c) introduction of improved walnut varieties (d) women's tree nurseries and planting (e) detailed survey of household fuel consumption and use of improved stoves.

Decentralization interventions focused on the creation of awareness target groups in (a) Swat through the Malakand Round Table and local NGOs (b) Hazara through the Forestry Commission Round Table and local NGOs and (c) Kohat through local NGOs.

Human Rights focused on the identification of local representatives to explain what is happening in forest management and planning in Buner and Dir.

³⁴ Strengths, Weaknesses, Opportunities, Threats

³⁵ Forest Management Centre Re-Orientation Workshop Held on 05-05-1999 at Forest Management Centre, Peshawar. May 1999. FMC, NWFP FD, IC.

³⁶ Refer to Appendix 7

Civil Society was targeted by including 5 NGOs in the Collaborative Natural Resource Management Training. In addition, summaries of the Resource Management Plans for Alpuri, Swat and Matta were to be translated into Urdu/Pashtoo for distribution to local stakeholders.

The reports on Poverty Alleviation activities have been completed. The translation of management plan summaries into local languages is ongoing. The local NGOs were present at the CNRM training.

2.7.3 Assessment

As judged by the results of the two Reorientation Workshops, FMC has made the effort to understand and implement the four pillars of reorientation. The MTR concurs with the FMC's observation that many of their core activities are inherently in line with SDCs new priorities. As FMC moves down the track from strategic to operational planning and implementation, the opportunities for showing real commitment to these objectives will increase significantly. In particular, greater efforts can be made to inform the civil society groups of the possibilities and limitations of forestry technologies and systems and of their rights with respect to forest management services.

The weakest activities to date have been the contracted-out studies in support of Poverty Alleviation, which were poor. Poverty Alleviation is a complex issue that goes beyond income generation and technical inputs. A commitment to Poverty Alleviation necessitates a real appreciation of the stark choices facing local people; choices that are bounded by their ability to access the goods and services upon solid livelihoods can be built. With respect to natural resources, these are issues that to some extent are analysed by the FMC in its social surveys.

Rather than look for new and somewhat inappropriate interventions in this area (eg family welfare), the MTR recommends that FMC concentrates on its core planning activities and in particular issues of equity with respect to access rights and forest management partnerships. Ultimately, Poverty Alleviation means a commitment to moving beyond social surveys (and social organization) to supporting local demands for social action along with all the upheavals and repercussions this may precipitate.

The MTR notes that following the May 1999 workshop there have been no further events linked to the reorientation objective. There is scope for providing a greater degree of follow-up support on these issues in a 3rd Phase of Swiss support, for instance seminars on sustainable rural livelihoods or **participatory poverty assessment** (to use the current jargon).

2.8 Effectiveness of the FMC Support Project

The PC-1 set out three approaches to be used by the Support Project to achieve its objectives: (a) institutional development and HRD development (b) provision of necessary facilities and equipment (c) development and testing of new methodologies at selected field sites.

The MTR believes this three-pronged approach is proving effective, to some extent this is borne out by the results of the SWOT analysis undertaken by the FMC staff during the Mission. The generally harmonious atmosphere and sense of teamwork at the FMC is also in part an indication of the effective manner in which the Support Project is currently operating.

2.9 SWOT Analysis of the FMC

During the MTR, the staff of the Centre briefly assessed the FMC's strengths, weaknesses, opportunities and threats. The results were compared with a similar SWOT analysis undertaken in 1997 (refer Appendix 5). A number of observations can be made from this comparison.

Firstly, gender was no longer mentioned as an issue, this may tally with the MTRs observation that women working at the FMC may now be seen as the norm. The quality of staff and the facilities are seen as a clear strength of the FMC as are the modern methods of NRM planning. The conducive work environment is also appreciated. Operational planning, participatory approaches and plantation management are seen as future opportunities.

The terms and conditions of employment, in particular those of the contract staff are still seen as a weakness and a threat to the sustainability of the FMC. Government financial support particularly for capital-intensive activities is also a concern. Increasingly, coordination is seen as a problem. Integration with FSP is seen as both a threat and an opportunity.

The Planning Document for the 2nd Phase of Swiss support to the FMC includes a series of critical assumptions concerning the sustainability of the FMC (refer Appendix 11). Some of the assumptions should give less cause for concern now than they did two years (due to the presence of the well resourced FSP and the FD re-organization proposals); for instance the risk that the reform process would collapse, that funds would not be available to implement working plans and that the harvesting ban would not be lifted. Other concerns remain, including the lack of women working at territorial level, the loss of staff to competing organizations and the lack of procedures to re-invest revenue from the forests.

2.10 Conclusion

Overall, the MTR concludes that to date the FMC has made satisfactory progress towards the achievement of the objectives set out in the PC-1 and elsewhere. The MTR recommends that Swiss support to the FMC should continue into a 3rd Phase.

The areas where least progress has been made are in the development of participatory forest management methodologies, the building of field staff and community capacity for forest management and Silva. The MTR accepts that to a fair extent the weaknesses are a function of the natural progression of the project over the 5-year period from strategic down to operational planning and implementation, and that in the case of Silva, efforts have been made to tackle the weak elements of the program. These areas will be the focus of the project in future.

While the work of the FMC is undoubtedly contributing to the project purpose (conservation and sustainable management of RNR in the upland areas of NWFP in particular and throughout the Province in general) the project will not significantly impact on sustainable RNR management in the Province until the FMC moves into the realm of management plan implementation.

The PC-1 requires the FMC to develop, test and introduce (in selected areas) participatory methods of forest management; this mandate provides the FMC with a number of exciting strategic opportunities. The territory carries risks too, some of which are internal to the project, many of which are external; these risks are considered in the next two sections of the Report.

3. REVIEW OF THE EXTERNAL ENVIRONMENT

The Mission is required to consider the external environment in which the FMC operates. Section 3 reviews the external risks and opportunities presently facing the project.

3.1 The Forest Sector Reform Process (in Relation to Forest Management)

As explained, the ongoing forest sector reforms have two main strands: the civil society element and the civil service element. The civil society element comprises: the new Forest Policy (notified), the revised Forest Act (drafted), the Forestry Commission Act (approved), the Forestry Roundtable (notified) and the Forestry Development Fund (in process). While the central planks of reform are now undoubtedly being put in place, the JDR, NGOs and others have voiced their concern at the pace of reform and the quality of some of the outputs. In particular, the drafting of the new Policy and the Act in advance of the creation of avenues for civil society to join the debate has been heavily criticized. The character of the reforms, particularly with regard to Joint Forest Management (JFM) has led some actors to question the underlying commitment of the DFFW to JFM. The GTZ in particular judged that unless the necessary reforms were put in place the SFDP could not achieve its objective.

To date the progress or otherwise of the reform process has not significantly impacted on the FMC's ability to deliver on its core objectives. However this is about to change; as the FMC moves on to develop CNRM approaches for natural forests, the direction the reform process takes will increasingly affect the FMCs work.³⁷

It is clear that the new Forest Policy provides an adequate basis for CNRM. Taking a positive view, the MTR also notes that the Forest Act does indeed provide for JFM³⁸ and it could be argued that that is all a Parent Act is required to do. The details of how JFM would operate would be dealt with in Rules³⁹ or a Legislative Instrument and these are also provided for.

On a less positive note, many people have argued that the new Act is riddled with contradictions and reactionary tendencies, particularly concerning the relative roles and rights of the Government⁴⁰ and local people vis a vis the forests. Clearly, if the concerns of civil society can be addressed before the Act goes much further that will be of benefit. While people are right to be concerned, the MTR counsels that the Spirit in which a law is enacted is as important as the Letter and it is only with precedence will we see how the Act actually operates in practice.

The MTR assumes that the GoNWFP's Legal Department will identify any contradictions in the Act that could at a later date be challenged or render it difficult to enforce. In addition, the MTR suggests the GoNWFP consider using the services of specialists in forestry law to improve the links between the Policy and the Act and to clarify what should be in the Rules and what should be in the Act. The Legal Unit of the FAO in Rome is highly regarded in this field and its lawyers are experienced at working to government briefs in concert with national legal draughtsmen.

³⁷ For the purpose of this report, and in line with recent work at the FMC, CNRM will be taken as a term with similar meaning to JFM and PFM

³⁸ Section 53 of the NWFP draft Forestry Act 1998

³⁹ Section 73 of the NWFP draft Forestry Act 1998

⁴⁰ The JDR noted that in its present draft the new Forest Act can more or less be seen as a consolidation of DFFW responsibilities and authorities which is incoherent with the substance and the spirit of the reform. A clear definition of the vision, mission and role of the DFFW is required to guide the re-organization process.

The ambiguity with regard to FD's and other stakeholders' legal mandate is also apparent from the initial experiences with the Roundtable. Clearly some DFFW staff and private forest owners are finding it difficult to accept the implications of CNRM. Pressure is continuing to ensure these bodies are established and operate as envisaged.

The harvesting ban has also been a constraint to the full introduction of CNRM in timber production working circles. The MTR was informed that in principle the ban would be lifted soon, which would (in principle) be a boon to CNRM initiatives. The lifting of the ban may in itself be a spur to the reform process in order to ensure checks and balances are in place prior to the resumption of logging.

In summary, the 'civil society element' of the reform process clearly presents a number of opportunities that can be harnessed to advance the introduction of CNRM; indeed that is their purpose. Although they have weaknesses, the Policy and Act provide great opportunities. The critical issues for the future are the JFM Rules and the Spirit in which the Act is interpreted, both of which can be influenced by up and coming fieldwork, the information drives, the Roundtables and so forth.

The FMC can both support the involvement of civil society (by providing information on forest resources and forest management to the Roundtables and local owners and users) and benefit from the growing role these bodies will play in forest management.

The MTR cautions that the involvement of civil society and local owners and users brings with it its own contradictions. Some representative bodies, NGOs and local elites will undoubtedly be looking to exploit and manipulate the new opportunities, while conflicts between owners/right holders and non-owners/non-right holders will be acute in some areas. The local political economy of resource use can at times be just as tricky as the bigger picture. If CNRM is to succeed it will be critical to ensure that new institutional arrangements for forest management in NWFP are fundamentally based on rules (agreements etc) and not organizations or committees, which are always somewhat susceptible to being hi-jacked, manipulated or co-opted.

The recent JDR concluded that many of the key elements of the re-organization process are also in place and ready for a gradual introduction and refinement as planned for 2000-2002, followed by an institutionalisation phase envisaged after that. There are 17 well thought-out objectives guiding the DFFW re-organization process:

1. Management responsibility for larger areas in future
2. Rationalization of boundaries and size of Management Units
3. Functional integration of the work of various disciplines in the forestry profession
4. Team based management and increased coordination and cooperation
5. Decentralization of planning and authority
6. Redefinition and reorientation of the departmental role
7. Institutionalisation of the social forestry approach
8. Improving communication with the communities and other agencies in the public sector
9. Increasing standards of management
10. Balancing the expertise mix within the department
11. Improve the training and education system within the department
12. Improving job descriptions, service rules and other systems of the department
13. Develop a systematic personnel management policy
14. Enhancing monitoring mechanisms in the department
15. Synchronizing area, planning and staffing hierarchies
16. Addressing gender concerns in NRM
17. Improving financial management within the organization

The 17 re-organization objectives are to be achieved through:

1. The creation of a line and staff organization of area managers and Integrated Specialist Units (ISUs), operating in a matrix structure
2. The division of the Province into 2 forest regions, 4 forest circles, 39 RMUs, 159 RMS, 636 forest blocks and 2544 forest beats
3. New procedures and participatory processes for strategic and operational planning and implementation of activities at the different levels
4. Capacity building through training and extension
5. Improvements in administrative rules and financial management

The five principal ISUs are:

1. **Research and Development Unit⁴¹ (R&D)**, including range management, watershed management, silviculture, protection.
2. **Resources Planning and Monitoring Unit (P&M)**, including budgeting, GIS, MIS etc
3. **Community Organization, Extension and Gender Development Unit (Co/Ext & GAD)**
4. **Institutional Development and Human Resource Development Unit (ID/HRD)**
5. **Non Timber Forest Products Unit (NTFP)** inc. sericulture, medicinal plants, mushroom culture

The re-organization proposals are to be introduced in 3 phases:

1. July 1999-June 2000. Proposal development and approval phase
2. July 2000-June 2002. Conversion phase, involving changes in job descriptions, service rules, re-location of staff, induction of specialist staff, pilot implementation in 3 RMUs in each of the 4 forest circles and planning and implementation of the supporting capacity building programme
3. July 2002-June 2004. Consolidation, scaling up and institutionalisation. Large-scale implementation of the reorganisation plan, capacity building, full implementation of planning and management in the FD.

The present status of the re-organisation process is that:

1. Capacity building has been initiated with overseas and in-country training activities.
2. Terms of partnership with NGOs finalised and trainings conducted for VDCs
3. Manuals for Integrated Resource Management Planning and Village Land Use Planning being field tested, Natural Resource Management intervention package compiled, 6 IRMPs completed, 5 IRMPs under revision and 48 VLUPs prepared and under revision.

Through its sheer scale and ambition, the re-organization program represents both a marvellous opportunity and a potential threat to the FMCs work. If the reorganization program's initiatives and resources can be harnessed, they are of course the arteries through which the FMCs own programs can advance, complementing those of the FSP. If not, aspects of the FMC's work run the risk of being squeezed by elements of the bigger program.

Considering first of all the proposed new matrix structure of the re-organized FD. It is envisaged that the FMC Natural Resource section, Socio-Economic survey and GIS section will become the core of the new P & M unit. (Indeed on July 1st 2000, the PD of the FMC became the PD of the P&M unit.) The FMC's Silva section may become the core of the R & D unit.

The re-organization process has entered its conversion phase; during which a phased approach to the conversion of the FMC into the new units will be undertaken. The PD FMC also explained that this conversion could be delayed until the end of the period of Swiss support. The question to ask is through which structure(s) can the process of CNRM development be best supported?

⁴¹ Refer Appendix 9 for TOR for ISUs

There may be clear advantages to early conversion in terms of addressing some of the longstanding weaknesses of the FMC with respect to terms and conditions of employment. (The PD has also stated that all contract staff would be taken on in the new structure). There are also gains to be made through closer integration of planning hierarchies and closer links to field staff through the matrix structure.

The FMC Support Project will clearly be better placed to influence the direction of the reforms if it has a real stake in the re-organization program through its support to a number of the ISUs (P&M, R&D, CD/Ext and ID/HRD functions impinge on FMCs objectives as defined in the PC-1).

There are also a number of risks with early conversion. Firstly, the TOR for the new ISUs extends beyond the present functions of the FMC; the FMC staff and the Support Project would need to ensure that FMC staff could continue to focus on the agreed PC-1 tasks and would not be diverted onto other activities.

Secondly, supporting the FMC is relatively simple but it may be more complicated to channel Swiss support to the partial activities of two or more ISUs. In addition, would the Swiss support extend to general capacity building for these ISUs including some of their other functions? Finally to what extent would the break up of the present set-up affect the conducive working environment that now exists? These are critical issues for the Planning Platform of a 3rd Phase of Swiss support.

A second key aspect of DFFW re-organization is the 'integration and institutionalisation of 'planning/monitoring/implementation methods'. The FSP logical framework notes that the major activities are to (i) link strategic and operational plans (ii) integrate operational plans and IRMP (iii) integrate VLUPs, Lumps, JFM (iv) develop MIS/GIS (v) develop and continuously improve intervention packages.

There is agreement across the sector that vertical and horizontal integration⁴² of the various planning methods is needed. As suggested earlier, integration may in part be an exercise that highlights the reasons for differences between the various methods. For instance the FSP focus on the village as a planning unit makes sense for non-forest areas but less so for forested areas where FMC would argue that other units are more appropriate. Similarly in forested and non-forested areas, information may have to be gathered and analysed differently.

Thus, some of the differences in the two planning hierarchies have arisen because of the focus on forest and non-forest land respectively; others appear to have arisen because of differing views on the value of 'traditional forestry.' The FMC believes it is the inheritor of 120 years of forestry heritage, while elements of the Social Forestry approach are inherently anti-traditional forestry. Again, greater collaboration may lead to a better understanding of the different approaches and hopefully less talk of 'traditional versus social forestry.'

The emerging P&M Unit may be better placed to work on integration than the FMC and FSP (who may be seen to be pushing their respective approaches). The ongoing initiatives in field collaboration, such as in Kohat will also help to clarify differences in the FMC/FSP systems.

It is also recognized that there are many similarities between the 2 systems, such as the move to integrated watershed planning. Previously, planning in the Province was done on the basis of 22 Forest Divisions. Recently there has been a move to integrated watershed management planning. The watershed units are called Resource Management Units (RMU) by the FSP and Planning Areas (PA) by the FMC.

⁴² As noted earlier the Backstopping Consultants have already provided recommendations on integration

Because the boundaries are based on natural features, the RMUs and PAs generally match. The few instances where the two do not match can easily be corrected. The FSP does not undertake planning at this level and accepts that Strategic Planning will be done by the FMC. No integration is therefore required at this level.

Each of the watershed units (RMUs/PAs) is subdivided into four sub units (on average). The subunits are called Resource Management SubUnits (RMS) by FSP and Planning Units by FMC. Again, the subunits demarcated by FMC and FSP are often the same, or can easily be adjusted to match up. FSP has a mandate to plan for better NRM on the private land at this level, the plans are called Integrated Resource Management Plans (IRMPs) by FSP.

To date a number of IRMPs have been prepared by FSP and are being implemented. FMC also has a mandate to plan at operational level to ensure its strategic plans are implemented, these plans are called Operational Plans and focus more closely on forested lands, particularly government lands. To date only one Operational Plan, for Miandam PU has been prepared. Integration at this level is desirable but not possible until the FMCs Operational Plans are ready later this year.

The unit of planning and the time frame are roughly the same for IRMPs/Op Plans. In both cases the focus of the plan also seems to be the same: to identify specific NRM operations/interventions/locations, to direct the work of the territorial staff (through spreadsheets for instance) and to secure funds.

The focus of FMC planning on forested areas and FSP on non forested areas respectively will make it easier to integrate the two planning systems; each will contribute from the area in which it has a comparative strength. The elements of the IRMP/Op Plan concerned with non forested areas will probably still be seen as (ADB) investment plans while the forested elements of the plan will be more concerned with technical issues.

In the FSP system the Resource Management SubUnits are seen as being built up of many villages. On average there are 20-25 villages in each SubUnit in the hilly areas and 30-45 in the plains areas. The FSP carries out Village Land Use Planning (VLUP) in cooperative and desiring villages. VLUPs are prepared in line with the advice and priorities provided in the IRMP. VLUPs consider private non-forest land and support interventions such as afforestation, controlled grazing, farm forestry and community infrastructure development. To date, FMC has not reached the implementation level and it is not clear how applicable the village-centred VLUP approach would be in forested areas. This is particularly the case where ownership and use 'rights' are not village based and/or forests cut across village boundaries.

The operational level is clearly the critical level for integration. At the implementation level there are likely to be a range of different agreements and plans depending on local circumstances, particularly tenure. A method needs to be found to keep track of all the agreements and plans that fall under one IRMP/Operational Plan. At a later date it may be seen that all forms of CNRM can be linked to Village Organizations and integrated into VLUPs but this is not the priority right now. The priority is to learn how to create viable collaborative resource management institutions for forested land.

However, until the FMC prepares its Operational Plans and Implementation Plans, the FSP will set the pace. The Planning and Field Implementation Manual⁴³ produced by FSP describes the planning hierarchy to be used by DFFW: the Strategic Plan (FMC), the IRMP and the VLUP.

⁴³ DFFW Planning and Field Implementation Manual. Draft Version 2. Excerpts. FSP. March 2000.

No mention is made of FMC work except for a passing reference to the FMC Strategic Plan that seems to imply that the format of the Strategic Plan should be radically revised to ensure a better fit with the IRMPs. The Standardized Methodology is not mentioned.

Elements of both the planning hierarchies often appear to be relentlessly top-down. The approach of both at times seems to be to organize a community to implement our prescriptions based on data we have collected. At what point does planning become from the bottom-up? One wonders if there is not too much detailed planning and too much organizing in this sector? The strongest institutions are often those that come together to solve one small but critical problem in their own way; they build on their success and learn to tackle more problems (and to write simple plans in their own hand). This may be a better approach to building CNRM institutions in forested lands than to produce extremely detailed plans that aim to tackle a large number of NRM problems in one go. The FMC does not have to meet the ambitious resource improvement targets set for the FSP and may therefore be able to focus initially on institution building rather than on interventions and investments.

A review of the literature on NRM planning in NWFP is also interesting as the reports written by the FD staff constantly refer to political impediments to resource management, whereas politics is absent from project reports. Particularly in the forested areas, the territorial staff are right to point out that the politics surrounding resource use and how it is dealt with will have a critical influence on management planning and implementation.

A third aspect of re-organization is capacity building, training and information sharing. The staff training programs are largely focused on the adoption of Social Forestry attitudes, methods and skills. The overall objectives of the program and its substantial resources should be welcomed.

3.2 Relationship with the Forest Sector Project (FSP)

There was a period during 1998 when the FSP and the FMC were managed by the same PD. Along with other factors, this period of dual management albeit temporary, has helped ensure a fair degree of collaboration and interchange between the two institutions, for instance over the development of GIS facilities. As explained there is also an acknowledgement of the differences in resource management focus and planning approach and the need to resolve the divergence. The new initiative in Kohat where FMC and FSP are working on NRM planning side-by-side will help clarify the differences in approach and speed up integration. Consultants have been shared and FSP has pledged funds to support implementation of Operational Plans prepared by FMC.

NRM planning is however only one element of this huge and ambitious project. The sheer size of the project makes it something of a juggernaut; while it is accepted that only a vehicle of this size could travel the distance, without a seat in the drivers cab the FMC could at times find itself squashed by the FSP as it thunders past. For instance, the FSP proposals for DFFW capacity building do not mention the FMC, although capacity building of FD staff is an explicit PC-1 Objective. The FSP presents marvellous opportunities but also a number of threats to the FMC.

The ideal relationship is one in which the FMC with its focus on natural forest and mature plantation management (and different approaches to some aspects of NRM) complements, supports and capitalizes on the efforts of the larger project. The Planning Platform for a 3rd Phase of Swiss support needs to better articulate the FMC's work domains so as to ensure the reforms that FMC can support are acknowledged, preferably in a sectoral program framework; one sheet of paper that narrates the shared responsibilities and linkages of FMC and FSP.

3.3 Impact of Reduced Involvement of Other Donors on the Sector

The key issue here is the termination of the Siran Kaghan Forest Development Project (SFDP). While the Netherlands funded MDSFP and the ERP project have also come to an end, they have to a large extent been merged with the FSP. (The two other donor funded initiatives in the sector are the Institutional Transformation Cell and the IUCN, both of which receive some funds from the Swiss government.)

The valedictory letter⁴⁴ of the outgoing SFDP CTA expresses the CTAs disappointment that the Siran Project was not also integrated into the FSP⁴⁵. (Although it can be noted that while in Abbottabad it was explained to the MTR that the PD of the SFDP was preparing a PC-1 to continue and extend the work of the SFDP, categorically without donor funding.)

In terms of resources, the FSP is so huge and all encompassing that it is unlikely that the reduced involvement of other donors will significantly impact on the overall level of funding to the sector. Indeed, if reduced donor involvement presages a move away from discrete donor efforts to a program approach that may be a good thing. Of more concern are the issues of focus and approach and the implications in this regard of the dominance of the FSP.

The FMC has a mandate to develop participatory forest management methodologies for natural forest areas and to build the capacity of field staff and communities to do the same. There is clear support from the PSC for FMC to press on with this work as laid out in the PC-1. The MTR also found the territorial staff, particularly in the Swat Circle supportive of the FMCs focus and of the view that the FSP is still primarily concerned with the non forest land, leaving only the FMC with a determined focus on forests and mature plantations⁴⁶.

There is much to learn from the JFM work of the SFDP and the earlier KIDP. However the work on JFM in the SFDP area is still in its early stages and field examples are confined to two sites. The efforts of the SFDP to introduce JFM were to some degree 'stillborn'. Based on his experience, the outgoing CTA questioned the 'genuine willingness' of the DFFW to embrace community participation due to 'paternalism and vested interests.' The question that has been put to the MTR is whether the FMC can fare any better than the SFDP?

We believe the FMC is well placed to move CNRM/JFM forward, for the following reasons:

- It is strategically sited at the centre. This is very different from the position of a field project working in one location and then trying at a later date to persuade another project or the centre to scale up or institutionalise its work. The FMCs job is to devise and institutionalise new methods across the Province as with the Standardized Methodology
- The FMC has a mandate to work on CNRM/JFM
- Its central location provides the FMC with a choice of field sites, if the FD staff or the local politics in one area is particularly intransigent, it can move

⁴⁴ Letter to the members of the FDCG from Gerhard Payr concerning JDR,FDCG,PFRI, forest sector reforms and farewell. SKFDP, 5th June 2000

⁴⁵ It should be noted that the Aide Memoire of the MTR of the FSP in April 2000 agreed that joint forest management activities may be included in FSP

⁴⁶ In Swat, concerns were also expressed by the FD staff that the social forestry approach through the IRMPs and VLUPs is primarily designed for channelling investments into villages and may not be suitable for natural forest units where the planning issues are less concerned with investment and more concerned with resolving contested and competing rights, for which the CNRM system being led by FMC may prove more applicable.

- The FMC is not a project, it is part of the government and regarded as such, it has added legitimacy and longevity and is less likely to provoke intransigence
- The FMC has the support of the PSC for another four years
- The FMC is committed to strategic and operational planning and local implementation
- The bigger picture is changing – there is a new military administration in place of the old politicians and a move to decentralization
- The pressure on the reform process may lead to the setting up of the Roundtables and the needed involvement of civil society in monitoring the reforms
- Many of the senior most staff of the DFFW have worked at the FMC in the past
- FMCs staff are young and keen and open to new ideas, they are used to a multi disciplinary approach, to bridging the old and new forestry and to learning processes

Finally, the MTR suggests there are two additional flaws in the SFDPs valedictory stance. Firstly, Pakistan is no different from any other country in facing difficulties with JFM. Whichever hemisphere of the world you are in the problems of interests and intransigence are the same; what matters is grabbing the opportunities that arise to deal with them. It was no easier to introduce shared forest management in Nepal where the ruling elites (both in the village and in the centre) have long had an interest in feudal forestry, resin tapping and timber or in Ghana where the timber economy is ultimately driven by a ruthless German/Danish logging company or indeed in the contested old growth forests of north west America.

Secondly, the assumption is made that the NWFP Forestry Department is a monolith; it is not. All institutions, including Forestry Departments contain interests and factions, the relative fortunes of which ebb and flow. But there are always people within the system that are as determined as those outside to change it (the primary difference being that for those within the system, pushing for change involves far greater risks than for those outside). It is worth noting a statement made by A.A Khan et al (1998) in their report on Lifting the Ban on Forest Harvesting and Reforming Forest Management in NWFP:

*‘ While recommending the lifting of ban on timber harvesting and the new system of forest management, the committee has recognized that there is **an expected resistance from the interested parties which is but natural, but will have to be tackled with patience and steadfastness.**’*

3.4 General External Environment

Forestry does not operate in a political vacuum; talk to any forester and he or she will tell you that ‘political pressure’ and ‘political interference’ are facts of everyday life.

Historically, British colonial forestry originated in the 1870s as a direct response to calls from imperial botanists at Kew to conserve tropical forests in order to maintain the climatic and other conditions necessary for imperial (agricultural) cash crop production. The foresters response was to create systems of forest reserves, usually carefully selected to protect slopes and watersheds. Hence the designation of senior foresters as Conservators.

The shift in colonial forest management priorities towards sustained yield timber production occurred relatively recently, often occasioned by the upheavals of the Second World War. Post-war, many independent nations witnessed growing State control of forest resources by Socialist governments and growing collusion between politicians and industrialists (both local and European), with the eventual co-opting of some foresters into the deal-making. The role of these

foresters has shifted from responsible, if at times authoritarian resource stewards to timber agents. The roots of the problem lie deep in a nation's past and present political economy.

During the Mission, we had the opportunity to talk with people from many walks of life. We found a general and weary acknowledgement that (political) mismanagement of Pakistan's resources has become the norm in recent years. We also found a growing sense of hope that the new military administration has the wherewithal to get to grips with the problem and stop the rot.

3.5 Role of Women in Forestry

As seen in the SWOT analysis, FMC has done remarkably well to integrate women into the work of the organization and to ensure women's views are taken note of in the field work. The women working at FMC are confident and believe they have much to contribute to the sector.

But it would not be fair to infer that women's professional role in forestry would just be a matter of 'scaling up' that experience. As in most countries in South Asia there are no women in senior positions in forestry. There are great cultural barriers to women working in certain areas or certain types of jobs. Affirmative action to promote this can easily backfire as sex rather than competence may be seen as the criterion for upward mobility. Also, there is a reluctance to train women in view of the tendency to stop working after marriage.

The JDR also noted that much effort would need to be made to ensure representation on Roundtables of non-owner women, women's rights and so forth. These and any other issues are to be tackled by the new HRD unit. It may be particularly hard pressed to come up with ideas if the proposed 20 % quota for women in government service would be applied to the Forest Department. Pioneering work and experiences from projects in sponsoring and employing women rangers may yield valuable lessons in that regard.

Conclusion

The ongoing reforms, despite their setbacks and weaknesses, have created better conditions for introducing CNRM in NWFP than have existed for many years. The MTR believes a 3rd Phase of Swiss support to the FMC could both capitalise on and strengthen the reforms.

As many observers have noted, there are contradictions in many key sectoral institutions at the moment: in the legislation and the Resource Management Plans for instance. This is simply a reflection of the fact that the sector, indeed the whole country is in a state of flux and transition between the old (often politicised) ways of doing business and the new. As A.A Khan et al pointed out no one should expect the old guard to go quietly, but the point is to be 'steadfast'.

As planning progresses from the strategic to the implementation level the contradictions will become ever more apparent. The areas of legislation and planning that are truly anachronistic will become glaringly obvious as will some of the new ideas that look fine on paper but will not work in practice. The issue is to ensure that sensible and disciplined debate and learning is encouraged at all levels, both within civil society and the civil service. Paternalistic or rigid project approaches and didactic training may just produce a defensive, intransigent or non-committal response.

4. ELEMENTS OF A THIRD PHASE OF SWISS SUPPORT

Section 4 presents the MTRs views on elements of a 3rd Phase of Swiss support to FMC. The MTR is a review mission, not a design mission; the ideas presented are preliminary.

4.1 Justification for a Third Phase of the FMC Support Project

To summarize, the main justifications for a 3rd Phase of Swiss support to FMC are:

- to build on the achievements and dedication of the FMC to date (and the Swiss investment) in order to deliver those PC-1 objectives that have not yet been achieved
- the expectations within the sector that FMC will complement the FSPs focus on non-forest land by developing and introducing improved methods of NRM on forest land through JFM/PFM/CNRM
- the strategic position of the FMC/P&M Unit with regards to the development and institutionalisation of CNRM/JFM/PFM approaches to forested land
- to capitalise on and support the presence of the FSP in the sector; both its drive for reform and its huge fund of financial resources
- the improved climate for CNRM provided by the reform process, decentralization⁴⁷, the new senior management of the FD, the military administration and the SDC program
- the opportunities provided in the PC-1 to work at all levels of the management planning and monitoring hierarchy – the communities, the territorial staff and the centre
- build on the work undertaken by the Siran project and the earlier KIDP

The MTR is mindful that a PC-1 exists for the entire period under discussion. The MTR is also aware of the aims of the SDC Pakistan Country Program⁴⁸ and its portfolio of aid projects.

The Purpose and 6 Objectives of a 3rd Phase remains as specified in the PC-1. However, the main focus will shift from strategic level planning and monitoring in forest areas to the operational and implementation levels. The YPOs for the remaining years of the project will aim to ensure that Collaborative Natural Resource Management (CNRM) approaches are developed, tested and introduced in selected areas for operational and implementation levels. Silviculture and capacity building programs (for FD staff and communities) will support the development of CNRM.

⁴⁷ Decentralization provides opportunities for a greater role for civil society. There is a risk that FD would be merged with Agriculture but the Secretary DFFW has argued strongly against this in his letter of 15/6/00 to the Secretary for Local Government and Rural Development

⁴⁸ The SDC Green Sector Program for Pakistan supports resource management initiatives that are socially just, ecologically sound, economically and institutionally viable. The projects are generally modest in scale but aim to be significant in impact, particular emphasis is placed on the development of a learning culture and sharing of project experiences.)

4.2 Main Elements of a Concept

During the MTR briefing to the PSC, the CCF said with regard to a 3rd Phase *‘there should also be a **breakthrough on the ground**, on a large enough scale to say that it (JFM) is not an experimentation but it is an institutionalisation. The problem with working in pocket areas is that when the project is finished we ask for another donor.’* The MTR heartily supports this view.

The Swiss support to the FMC in the next four years should be sufficient to enable it to test and introduce CNRM in selected areas right across the Province (and to input into the major DFFW capacity building programs and awareness creation exercises).

The CCF also stated that *‘in the PC-1 three years were set down from the Swiss side, that is their cycle. We prepared a PC-1 of 5 years. We would like another Phase of Swiss support that lasts for three years from 2001.’* The MTR supports this request. A further three years (to 2004) provides a more realistic time-frame for developing and testing CNRM.

Beyond 2004, the priority would be to support the efforts of the territorial staff and others to further institutionalise CNRM. This would not be a task for FMC. Once the FSP and the FMC planning systems are integrated, expansion of FMCs work on CNRM in forested areas could be supported by FSP funds through its IRMP, capacity building and information sharing programs.

The MTR suggests that SDC/IC develop the main elements for a 3rd Phase with local partners over time, rather than another rushed mission. Preliminary ideas on elements of future Swiss support to the PC-1 have already been mentioned in many earlier sections and include:

Objective 1: Contribution to Reform Process

- To meet the expectations within the sector that FMC will advance CNRM on forest land, the **FMC needs to better articulate its work domains and establish a clear niche** in the reform process, particularly vis a vis FSP
- FMCs niche on the civil service aspect of reform is to support the DFFW re-organization process with respect to forest lands, including development of CNRM, capacity building of ISUs, field staff training, community awareness, planning and monitoring, silva etc and integration of planning systems
- FMC can support the civil society elements of reform through provision of information on the state of the forest resource, key elements of strategic plans, annual public reports on monitoring of strategic plans, new silva techniques etc.
- Requires additional FMC capacity in desk top publishing and links to FSP awareness creation program. Possibility of funding a Communications Support Unit

Objective 2: Planning and Monitoring

- Priority for FMC will be operational and implementation levels rather than strategic
- Continue to work on the remaining strategic plans and establish the link between strategic plans and Operational Plans and IRMPs
- Modify the strategic planning system as necessary based on results of testing the whole systems - strategic and operational and implementation plans in the field
- As a priority, ensure the FMC Monitoring System for Management Plans is fully operationalised
- Learn how to build transparency and accountability into the strategic plan monitoring process. Where possible FD reports should be public documents. Independent assessments of management plan progress to also be encouraged

- Build the capacity of Regional Rural Development Forums⁴⁹ to monitor implementation of strategic forest management plans
- Learn how to undertake operational planning for CNRM that can reconcile the strategic plans and local community reality – particularly in privately owned forests !
- 'Integrate' the two planning hierarchies (FSP/FMS)
- Prepare materials and strategies to build the capacity of field staff to undertake operational planning
- Explore possibilities for building on the PFRI as a baseline for the Province
- Improve strategies for biodiversity conservation, establish links with the IUCN Biodiversity Forum
- Learn how to involve local people in biodiversity strategy development – participatory biodiversity surveys etc
- Equity issues – learn how to build participatory monitoring of the impact of CNRM on women and the poorer sections of society into the monitoring system

Objective 3: Participatory Forest Management (CNRM)

- Development and introduction of CNRM at operational and implementation levels is the main challenge for the FMC for the remaining period of the project
- Institutional arrangements for CNRM are the priority, based on inclusive negotiations and agreements that can marry the foresters concerns and the those of local people
- **Technical assistance is critical. The support of high calibre, open-minded individuals who are comfortable with open-ended learning processes or participatory action research⁵⁰ and have the wisdom to deal with local politics and the courage to deal with equity is essential. The individuals should have amazing facilitation skills and be comfortable working with foresters and local people. Such people are very rare.**
- Capacity building of field staff, particularly the ability to facilitate inclusive and equitable agreements will be ongoing throughout this process.
- Full complement of staff will be needed, at present FMC is short of 8 RFOs, also DFO Planning has been vacant since June 1997

Objective 4: Capacity Building for Field Staff and Communities

- Capacity building for field staff for CNRM will be a critical element of the 3rd Phase. To date, other work commitments of the field staff have precluded their active involvement in operational planning training etc, this needs to be resolved
- Training is one element of capacity building, there are other issues too such as post-training field support, job descriptions and involvement of the field staff in the participatory action research teams for CNRM right from the beginning
- Substantial resources will be needed, some of which could be found in the FSP capacity building program
- Development of community capacity will also be a significant activity, starting from involvement in the participatory action research teams, training, demonstrations, awareness raising campaigns etc

⁴⁹ The cost of supporting the Forums (Malakand, Central-South and Hazara may be shared with FSP

⁵⁰ The Backstopping Consultant (PDH) made a strong point in his report of the CNRM Operational Planning Course for FMC and NGO staff that the participants were not used to problem solving and analysis and were more at home with pre-ordained steps and systems. The consultant is right to highlight this issue, it is a major constraint throughout the whole forestry sector

The nature of training for field staff for PFM should not be misconceived or underestimated. Some field staff will be excited by the new policies and methods, others will take a fiercely reactionary standpoint, many will be apprehensive. FD reorientation to PFM cannot be tackled through conventional/didactic training to inculcate in the field staff the skills, knowledge and attitudes⁵¹ the trainer considers desirable. **Participatory capacity building** strategies are needed to enable/challenge the territorial staff to determine for themselves the implications for their work of a new set of clients, a new Forest Policy and new NRM objectives, particularly in the forested areas. Training needs its bottom-up elements too.

The 3-week course in Operational Planning for CNRM encouraged the participants to consider in a seminar setting the rationale for the new approaches. While participatory events are more difficult to conduct, both for trainer and participants (the Backstopping Consultants noted that the participants were not initially at ease with the seminar style) this course is along the right lines. The skills (such as facilitation) needed to run such programs are considerable and financial provision will have to be provided to acquire them.

Objective 5: Silvicultural Techniques

- Silva will be increasingly focused on developing appropriate silviculture for CNRM. As far as possible Silva work should link into the field work on operational and implementation level CNRM planning for natural forests and mature plantations
- Development of participatory silviculture – not just menus of options, but local understanding of silva principles and involvement in planning and management of silva systems/methods of working
- Resources for silva that match the scale of the program
- Continue with Silvicultural Handbook. Consider gradual production of Handbook on Silvics for CNRM for Communities
- Continue to generate new information for managers through compilations and ongoing adaptive trials – Shisham die-back, regeneration trials, research nursery, thinning trials
- Build capacity of the R&D ISU
- Ensure long term monitoring of strategic plan silvicultural recommendations and their effect on the resource base
- Inputs into training and capacity building for field staff and communities

Objective 6: Reorientation of FMC staff

- As noted, there are many future opportunities to pursue the ‘reorientation’ objectives, especially through support to civil society
- The poverty alleviation aspects can be re-focused on **equity** during planning and monitoring of CNRM rather than on welfare
- Extra resources can be provided to enable FMC staff to become familiar with new ideas and approaches to poverty such as strategies for sustainable livelihoods
- Also ensure that the work of the socio-economic unit surveys is really built into the operational plans

⁵¹ In attempting to build the capacity of the territorial forestry staff for CNRM it will be helpful to jettison some of the assumptions that have led to the ‘traditional’ and ‘social’ forester dichotomy. For instance, few people in rural areas have a problem with the ‘policing’ and ‘technical’ role of foresters; it is bad policing and the dearth of responsive technical services that people abhor. There are no inherently ‘social’ or ‘classical’ forestry technologies only appropriate or inappropriate ones depending on the management objectives. Most territorial foresters are all too aware of local social realities and how the political economy of forest resource use operates. The essence of a true forester’s job stays the same; to help the client set forest management objectives in the context of the national Forest Policy and to ensure those objectives, as set down in management plans are achieved.

4.3 Long Term Vision of FMCs Role in the Sector

This issue has been covered in earlier sections. As noted, the PD of the FMC is now also the PD of the P&M Unit and the FMC has entered a conversion phase. So, technically FMC has been semi-expired since July 1st 2000. The pace at which the conversion will take place is not yet clear and will be a matter for the Planning Platform to discuss with the DFFW.

If the FMC is converted to the P&M and other ISUs within the next 4 years, which seems likely and advantageous this obviously has implications for the focus and nature of Swiss support.

4.4 Partners and Linkages

Partners and linkages are needed to enhance the civil society elements of the reform process and to strengthen the areas of the FMC that are weak. Linkages will be easier to establish if there is (i) a program framework that clarifies FMCs work (ii) better publicity of FMCs work eg publications, seminars, start-up workshops (iii) more thematic working groups (iv) joint field teams/operations (v) linkages into the FSP Information Strategy⁵². There are many potential partners and they include:

- Institutional Transformation Cell and the Forestry Commission
- Community Based Natural Resource Management Project, especially for local institutional arrangements and learning process approaches
- IUCN, especially for biodiversity and capacity building of NGOs and JFM Rules
- Forestry Department, the new ISUs and the territorial staff
- Forestry Sector Project
- NGOs such as SUNGI and Lasoona for work on operational planning etc
- Backstopping consultants
- VDCs, owners groups, womens groups, RMS Roundtable, Circle Roundtable
- Malakand Forum
- Regional Rural Development Forums⁵³

The proposed FSP Information Strategy aims to provide information to civil society on the reform process. The elements of the reforms that will be publicized include:

- (1) The Forest Policy
- (2) Legal Reforms
- (3) Forestry Commission and Roundtable
- (4) Reorganization of DFFW
- (5) Forestry Development Fund
- (6) FSP Planning and Implementation Mechanism (IRMP and VLUP)

The public awareness and information campaigns will include workshops, newsletters, print and electronic media, face-to-face meetings, demonstrations and excursions and will be targeted to the following groups:

⁵² Capacity Building DFFW. Operational Plan 2000-2004 by Deodatus et al. Draft 19th June 2000. FSP

⁵³ The purpose of the Regional Rural Development Forums is to achieve effective coordination and cooperation on the working of projects, concerned line agencies, NGOs and Community Based Organizations and Joint Forest Management Committees active in a particular geographic region

- DFFW staff technicians and support staff
- Other government structures
- Donors, consultants
- NGOs involved in forestry and NRM
- VDCs, WDCs and CBOs
- Owners and users of forests in areas where DFFW intervenes

This is very useful programme and is something that FMC should link into.

4.5 Project Reorientation

As noted earlier, there are increasing opportunities for the FMC Support Project to focus on the Reorientation priorities of the Swiss Government as the focus of the FMC moves onto operational planning and implementation (refer Appendix 7).

In particular, the FMC envisages that the role of CBOs can be strengthened through training and that information can be disseminated by FMC to enable stakeholders to become more aware of their rights. These are all laudable aims and should be pursued. As explained above, the FSP is planning to conduct a massive capacity building program and an awareness raising campaign. The FMC should aim to link into the larger FSP funded programs to put across its messages concerning CNRM in forest areas. In addition, the FMC should also have sufficient resources to implement its own reorientation strategies in the selected field areas.

The Poverty Alleviation elements should be re-focused away from a welfare type approach onto the basic issues of equity and access to forest resources for marginalized groups, particularly non-owners and non-right holders. These will be critical issues during the development of methodologies for operational planning and implementation.

A 3rd Phase of Swiss support could assist in this regard, for instance by ensuring these issues are adequately covered in 3rd Phase (learning) objectives and results. One critical element would be the development of strategies to monitor the impact of new resource management plans on the most marginalized resource users, for instance to ensure no users are just being used as unpaid forest labourers. It can never be automatically assumed that the new NRM programs will improve their position.

It is also recommended that in the 3rd Phase of Swiss Support the term 'reorientation' be dropped as it has served its purpose. A clear set of objectives and results relating to these concerns will suffice.

4.6 Synergy with SDC Green Sector Programme in NWFP

The MTR believes that continued Swiss support to the FMC along the lines mentioned above fits well with the aspirations of SDCs Green Sector programme for Pakistan and with the other projects in the portfolio.

In particular, useful linkages can be established with the Community Based Natural Resource Management Project (CBNRM) and the Farm Forestry Project and the Micro and Small Enterprise Promotion project. In the case of the CBNRM the synergy should work in two directions; the FMC should be able to utilise the projects expertise in learning approaches and

focus on CBOs while the CBNRM should be able to feed some of its results into the larger arena provided by the FMC. Links with the ITC and the IUCN, both of which are Swiss supported will also be important.

4.7 Broad Funding Requirements

In the PC-1 a total sum of Rs. 71.910 million is given as the Swiss aid contribution to the project. Of this sum, Rs. 61.66 million is earmarked for the three years to 2001 and 21.66 million for the 4th and 5th years of the project (to be confirmed after the MTR).

The annual budget breakdown on the YPOs was originally expected to be as follows:

1998/99 - Rs 17.34 million	2001/02 - Rs 11.25 million
1999/00 - Rs 19.71 million	2002/03 - Rs 9.06 million
2000/01 - Rs 14.55 million	Total - Rs 71.91 million

The actual expenditure from Phase II funds has been less than expected. In 1998/99, expenditure was 76% and in 1999/00 it is expected to be 81%. Slippages are due to depreciation of the Rupee, local training, cheaper capital equipment and the MSc scholarships. It is hoped to increase expenditure in 2000/01 to 24.61 million to provide more funds for operational planning, management plan implementation and more MSc courses. The projected actual uptake of funds over the course of the first three years is 69%.

It is not possible at this stage to calculate the cost of the YPOs for the 4th and 5th years of Swiss support. The critical issue is the cost of supporting the development of CNRM at operational and implementation levels; this cannot be calculated by the MTR.

However, it should be noted that the earmarked PC-1 expenditure for both the 4th and 5th years is significantly less than is being earmarked for the 3rd year; the level of funding set aside for years 4 and 5 will therefore probably prove to be inadequate.

It may just be possible that if funds are leftover at the end of the 3rd year (up to 31%) then sufficient funds will be available under the current dispensation to adequately resource a 4th and 5th year, particularly if use is made of the opportunities provided by the FSP funded programs for awareness creation and capacity building. However, if as the CCF has requested, a 3rd Phase of Swiss support is extended to 3 years, then obviously the earmarked figure will prove woefully inadequate and the level of funding must be increased.

4.8 Necessary Modifications to the PC-1

The Project Supervisory Committee (PSC) has advised that as the PC-1 is already approved until 2003 it would be unwise to disturb it; the Support Project should capitalise on the mandate already provided rather than enter into a lengthy process of modification.

The PC-1 does provide the FMC with a mandate to develop and test participatory methods of NRM in forested areas and to institutionalise the same through capacity building programs. It would be helpful if the Results could be updated to better reflect the FMCs future work. Alternatively more attention can be paid to the YPO process, in particular the annual FMC logical frameworks and their links to each sections work program.

Presumably the new Planning Document to be prepared to support a 3rd Phase of Swiss support could be annexed to the PC-1.

If as the CCF requested, Swiss support is extended to a 6th year, then the PC-1 would have to be modified to provide for this. Likewise, if the 3rd Phase of Swiss support was not wholly directed at the FMC but at one or more ISUs then some kind of adjustment would be needed.

4.9 Conclusion

Good Luck !

5. OTHER ISSUES PERTINENT TO RNR MANAGEMENT IN NWFP

5.1 Programme Approach

As mentioned in section 2, the MTR would like to see a straightforward sectoral framework for a program approach to (donor funded) project inputs devised. A logical framework based on the re-organization proposals or the FSP log frame could be taken as a starting point from which to incorporate all PC-1s into one framework and to clarify which elements of the reform process are to be supported by which projects. This would also engender a gradual move from donor coordination of inputs to country-led coordination.

5.2 Interim Measures for NRM

Even the most optimistic prediction of the time needed to bring all the RNR resources of the NWFP under sound participatory management is one that will see most of us long since retired, if not resting six feet under the ground. This is a job that will take many years to complete.

In the meantime, there is growing concern, particularly in the wake of the recent (contested) Provincial Forest Resource Inventory over the amount of forest that will actually be left standing once resource planning is complete. The question that needs to be put is whether more can be done in the interim to bring the exploitation of timber and other resources under greater control?

The possible lifting of the harvesting ban provides a sterling opportunity to consider measures that can be taken now to slow down the (presumed) rate of forest loss. The recommendations made in the report on Lifting Ban on Forest Harvesting and Reforming Forest Management in NWFP (and SUNGI's comments on the former) coupled with the extremely frank 1997 FMC report on Monitoring System for Forest Management Plans⁵⁴ and FDCs standing Memorandum of Instructions for Harvesting of Trees provide an excellent starting point.

A working group could be established to ensure the recommendations in these reports are carried through: to carefully review the harvesting system from yield allocation onwards, in order to plug any loopholes. In particular to ensure that only logs that are part of an approved yield and that are clearly marked (using white paint) with their exact felling location are issued with Transport Permits for conveyance from the stump.

Any system of timber/fuelwood conveyance should be widely publicized, ensuring that logs can be checked against the approved yield by any member of the public or security forces at any point of the journey from stump to depot to mill and that the individuals who approve the yield, mark the trees and allow the conveyance can be held to full account.

⁵⁴ Section 4.6.4 of this report explains the correct system for monitoring progress on harvesting

APPENDIX 1

TERMS OF REFERENCE FOR THE MID TERM REVIEW (MTR)

PAK SWISS FOREST MANAGEMENT CENTRE SUPPORT PROJECT (FMC)

A. General Background

The FMC Support Program Phase I commenced in April 1994 and lasted until June 1997 with the general objective of enhancing the sustainability of forest management in NWFP. This exploratory Phase was extended to the 30.6.98 by virtue of an assessment in Feb 96 that modest progress had been made but further consolidation and achievements were required before consideration of Swiss support for a second phase. In 1996/97 further progress was made. Phase I support was for CHF 3.178 million and a considerable local contribution.

During mid 1997 planning for a second Phase commenced and a Forest Planning Mission was mobilised in Nov 97 and reported on the feasibility of a Second Phase of 3 or 5 years commencing July 1998. This report was approved by both Governments and on the basis of this the DFFW NWFP produced a draft PC1 which after scrutiny by PE&D was approved in July 1998. The PC1 is for a five year period 1.7.98 to 30.6.2003. Costing PKR 91.266 million in total, with a local contribution of PKR 13.926 million and a Swiss grant of PKR 91.266 excluding offshore costs. The Credit Agreement for CHF 3.65 million is for a 3 years period and will expire on the 30.6.2001. The revised Bilateral Agreement is for the same period and was signed in July 1999.

B. Purpose of the Mid-term Review

The main purpose of the Mission will be to

- a) review the progress to date of FMC at the mid term of the 3 years period (7/1998-6/2001)
- b) to recommend whether a Third Phase of Swiss Support is required
- c) in case of a positive assessment of b), to analyse possible needs for reorientation in a third Phase

C. Objectives of the support programme Phase II

The prime objectives of the Phase-II of the Support Project are.

- i) *Contribution of forestry sector reform process*
FMC will acquire further capability to contribute substantially towards the implementation of the forest policy for NWFP and institutional structures of DFFW by continuous improvement of forest management techniques, human resource development and technological transfer.
- ii) *Planning and Monitoring the renewable natural resources in NWFP*
FMC will continue to develop the capacity to play a leading role in surveying, planning and monitoring the renewable natural resources in NWFP.
- iii) *Participatory forest management*
FMC will develop new and participatory approaches in establishing, implementing and monitoring forest management plans that take into account the needs of all relevant stake-holders.
- iv) *Enhancing capacities in forest management*
FMC will continue towards the development of human resources that enhance the conservation and sustainable use of forest resources in NWFP.
- v) *Silvicultural techniques*
FMC will develop mechanisms to capitalise on existing and newly proven silvicultural techniques with the mandate of incorporating them into working plans for implementation through the DFFW.
- vi) *Project Reorientation*

Following the donors request in 1998 the objectives of FMC were reoriented to seek opportunities to practice interventions on Human Rights, Civil Society, Poverty Alleviation, and Decentralisation in Forest Planning and Management.

D. Project Details

Project documents

The detailed description of the requirements for the Project are contained in the following documents.

The Credit Agreement No 139/98
The Bilateral Agreement Letter Exchanges of 9.7.99
The Phase-II Approved PC1 of the 27.7.98
The Project Planning Report of Nov 1997

Copies of these documents and others will be made available to the Mission by the FMC(SU).

Means Of Implementation

The project assists the DFFW of the North West Frontier Province to plan, develop and extend improved methods of forest renewable natural resource management throughout the region, but mainly the upland coniferous forests. The project staff also contribute to the forestry sector reform process.

The FMC (Support unit) provides the technical assistance and finance as per requirements of the PC1 to the Forest Management Centre, and hence support to operations in the field based in Peshawar, Mingora, Abbottabad and Mansera.

This support is implemented through the Yearly Plan of Operations which is approved by the Project Supervisory Committee.

E. Review Of The Project

Objectives of the Review

The Mission will carryout a Mid Term Review of the Project with the following objectives.

- i) To review the Govt of NWFP reform process in the sector as relevant to Forest Management, with due consideration of the ADB MTRII and the Forestry Donor Co-ordination Group, which commissioned the JDR for the NWFP DFFW activities on the same.
- ii) To review the FMC support project achievements in phase II concerning the effectiveness of their support to the Centre
- iii) To review the process of reorientation within FMC since 1998 concerning Human Rights, Civil Society, Poverty Alleviation and Decentralisation in Forest Planning and Management
- iv) To examine the opportunity for a third Phase (2001-2003) of the FMC Support Project in line with the donor's present policy for Pakistan and provide main elements for a concept
- v) To assess the efforts and experiences of the Project in collaboration with other projects working in management of natural resources, mainly the Forestry Sector Project FSP?
- vi) To assess the impact of the future reduced involvement of other donors on the Forest Sector in NWFP and specifically on the Forestry Management Centre
- vii) To propose how the FMC Project can assist and further integrate its activities to achieve the overall goal of the sector and sustainable land use in NWFP

Appraisal of Documents

The Mission will study and appraise the following documents.

a) *External Documents*

- Asian Development bank MTRI of July 1999
- Sarhad Conservation Strategy
- Profiles of important projects and NGOs in Malakand Division
- The SLUP Programme SDC/IC
- The SDC's Country programme Of Pakistan
- Review of the Progress of the institutional Reform of the Forest Sector in NWFP (Report of the Joint Donor Review Mission March 2000)

b) *Internal Documents*

- Project Planning Documents.
- Project Yearly Plans of Operation, including the annual/halfyearly reports
- Six Monthly Audit Reports.
- TORs for Technical Assistance including Back Stopping Consultants.
- Various Project Publications consisting of Renewable Natural Resource Management Plans, socio-economic Survey Reports, Technical Documents and Reports.
- Documentation on the projects reorientation

Review of Projects' Achievements

To examine the progress and impact of the Project in meeting its specific objectives and operational targets concerning the prime objectives of Phase II (see chapter 3).

The mission may further analyse the Project in term of its Strengths, Weaknesses, Opportunities and Threats with due consideration of the External Environment in which it operates. Identification of important issues for continuation of the support

The mission will identify important issues concerning the continuation of the support of FMC. They may include:

- What is the long-term vision of FMC's sustainability as institution (human and financial local capacity, political framework in forestry, reorganisation of the DFFW)
- What is the role of FMC, what is the role of its support programme
- What are the consequences for FMC's future functioning in the light of the DFFW reorganisation, in terms of organisational and operational strategies and optimising synergies
- What is the role of the different stakeholders and their participation in the management of the natural resources, including the preparation of plans
- How does this relate to the VLUP and INRM planning procedures which have been recently adopted by the DFFW
- other important issues identified during the mission through the analysis

Summary of the Projects Results and Recommendations for future support

The Mission will summarise the analysis of the achievements and impacts of the Project and will identify the constraints, opportunities and risks.

Make any other recommendations pertinent to the furtherance of Renewable Natural Resource Management in NWFP Pakistan.

F. Further support of a Third Phase

Background

The existing project document approved by the Pakistani partners PC1 has a five-year period out of which 3 years are approved from SDC for financial support till 30.6.2001 (phase II).

The decision on a phase III shall be based on the results of the Review mission report, the findings of the overall sector situation, issues and future strategies. The consultants of the Review mission will make recommendations on the broad outlines for a Phase III and the necessary modifications to the PC1 1998 – 2003. These recommendations will be discussed in a participatory workshop organised at the time of the presentation of the draft report with the TAs, the Project Management team, representatives of the partner and the Deputy Coordinator SDC/IC .

The workshop may define the overall purpose, goals, impacts and results of a third Phase taking into consideration the available funds including the Govt of NWFP capability to contribute to the same and to sustainable support the FMC at the end of the Phase.

Formulation of Phase III

For the formulation of Phase III the Mission shall pay particular attention to the following issues and make provision for them accordingly:

How FMC fits with the proposed reorganisation of the Forestry Department

How to organically integrate the DFFW strategic and participatory planning methodologies including funding and implementation

What can be the role of women in forestry

The role of FMC in poverty alleviation, civil society and decentralisation with emphasis on how to secure maximum benefits for target groups and a sustainable use of the forest resource

Continued HRD and training for territorial staff, increased emphasis on HID

Long Term RNR Planning and Sustained Management and Monitoring.

Green Accounting of forest Benefits

Forestry Sector Reform including Silviculture and improved Plantation Management.

Biodiversity Conservation including Medicinal Herbs.

Development of continued MIS GIS systems and sustainability of the GIS lab

Forestry Extension, Participation and through public-private interface

Broad financial requirements for a third phase for the local and foreign contribution

Requirements of technical assistance and profile of consultants

G. Reporting

The mission will present the following reports.

- i) Preliminary findings in the middle of the mission presented to and discussed with the project management and representatives of SDC and the local partners.
- ii) A draft final report including an executive summary has to be officially presented to the Supervisory Committee in a debriefing meeting before the end of the mission containing 2 parts.
 - a) The project Review
 - b) Strategic elements for a possible phase III
- iii) A final report addressing the recommendations and observations of the debriefing meeting 2 weeks after the mission

H. Composition and Duration of the Mission

The mission shall be composed of 4 persons:

- a) forest management, natural resource planning, economist (1 international 1 local consultant)
- b) sociologist with a forestry background (1 international 1 local consultant)

The duration of the mission is suggested for 17 days.

MTR Schedule		
S.No	Day/date	Activity
1	Tuesday June 20, 2000	<ul style="list-style-type: none"> • Mission's arrival in Peshawar • Briefing by Project Director FMC • Visited various sections of FMC (GIS, Planning, Silva, Socio-economic, etc.)
2	Wednesday June 21, 2000	<ul style="list-style-type: none"> • Visited SDC office at Defence Colony Peshawar where briefing was given by John Crijnin • Briefing by Mr. Ghazi Marjan, CCF at FMC Office • Visited FSP where Mr. Berry Van Guilder gave briefing on reforms • Visited CBRM office at University town Peshawar where briefing was given by Tariq Durrani CTA
3	Thursday June 22, 2000	<ul style="list-style-type: none"> • Presentations by FMC senior staff at FMC Peshawar. • Departed for Swat at 1500 Hours
4	Friday June 23, 2000	<ul style="list-style-type: none"> • Visited FMC Sub-station VI at Kanju Swat • Visited ERP Office at Saidu Sharif where presentations were made by CCF Malakand Circle and PD ERP
5	Saturday June 24, 2000	<ul style="list-style-type: none"> • Visited a village in lower Dir where data collection by the FMC field team was observed and discussion made with the villagers • Departed for Miandam Swat • Met village elders and discussed various issues related to management of their resources
6	Sunday June 25, 2000	<ul style="list-style-type: none"> • Left for Abbottabad early morning • Stayed shortly in rout at DFO's office Alpuri • Reached Abbottabad at evening
7	Monday June 26, 2000	<ul style="list-style-type: none"> • Called on CTA of SKFDP who briefed the mission on the project past • Called on PD of SKFDP who briefed the mission on the project future • Called on CCF Abbottabad Circle • Called on DFOs responsible for FMC's substations • Left for Mouza Fateh Bandi to met JFMC and the villagers • Discussed issues concerning JFMC with a local NGO (Hashar) coordinator at the village
8	Tuesday June 27, 2000	<ul style="list-style-type: none"> • Left abbottabad for Peshawar • Arrived FMC office at the mid day • Team discussed field assessment
9	Wednesday June 28, 2000	<ul style="list-style-type: none"> • Visited FSP for discussions on reform process • Met FMC's sectional heads for discussions and clarification on selected points
10	Thursday June 29, 2000	<ul style="list-style-type: none"> • Preparations for Mid-term presentation at FMC • Discussions among team members on points for presentation
11	Friday June 30, 2000	<ul style="list-style-type: none"> • Presented mid term report to FMC staff • Carried out SWOT analysis
12	Saturday July 01, 2000	<ul style="list-style-type: none"> • Drafting reports in line with feedback from FMC staff during presentation
13	Sunday July 02, 2000	<ul style="list-style-type: none"> • Visited Hangu where FMC and FSP staff was busy in planning for the area
14	Monday July 03, 2000	<ul style="list-style-type: none"> • Report writing and discussions among mission members

15	Tuesday July 04, 2000	<ul style="list-style-type: none"> • Report writing and discussions among mission members
16	Wednesday July 05, 2000	<ul style="list-style-type: none"> • Report presented before the supervisory committee
17	Thursday July 06, 2000	<ul style="list-style-type: none"> • Worked out Logical framework with FMC staff to get input for the 3rd phase of the support project
18	Friday July 07, 2000	<ul style="list-style-type: none"> • Revised report in line with the output from the logical framework analysis • Mission disbursed at the afternoon

PE&D Department Peshawar

Col. (Rtd) Alam Zeb Khan Secretary DFFW
Mr Shaukat Khan, MD FDC
Mr. Nazeer Khan, Additional Secretary Finance
Mr. Mohammad Bashir Khan, Chief of Section Environment

Forestry, Fisheries and Wildlife Department

Mr. Ghazi Marjan Khan, Chief Conservator of Forests
Mr. Alamgir Khan Gandapur, Team leader, ITC

SDC/IC Peshawar

Mr. John Krijnen, Deputy Coordinator SDC

IUCN Peshawar

Mr. Saleemullah NGOs Coordinator
Mr. Inamullah Forestry Coordinator

FMC Peshawar

Dr. Robert Murtland, CTA
Mr. Abdullah Khan Khattak, PD
Dr. Ayaz Khattak Incharge Silva
Mr. Rashid Noor Consultant
Mr. Mushtaq Ahmad Wazir Incharge planning
Mr. Abdulmanan DFO
Mr. Shakirullah Rural sociologist
Ms. Farzana Shaheen Sociologist
Ms. Humaira Marwat Rural sociologist
Ms. Sarwat Naz Specialist and Incharge GIS lab
Ms. Shazia Nooreen GIS analyst
Ms. Maimoona GIS analyst
Mr. Hanif-ur-Rahman GIS analyst
Mr. Ijaz Technician
Mr. Qadir Forest technician
Mr. Naeem Range officer

FMC Sub-unit VI Swat

Mr. Habib-ur-Rahman RFO
Mohammad Shuaib Khan DFO (Rtd)

DFFW/ERP Swat

Mr. Iqbal Swati CF Malakand Circle
Mr. Sana-ullah Khan CTA ERP
Mr. Haider Ali Khan PD ERP
Mr. Bakht Zamin Khan DFO ERP

Hafiz-ul-Islam DFO ERP

FMC Sub-units Abbottabad

Mr. Qazi Masud-ur-Rahman DFO
Mr. Mohammad Aslam Khan Khattak

CF Office Abbottabad

Mr. Jalal-ud-Din Khan CF

FSP Peshawar

Dr. Jan Willem Nibbering CTA
Mr. Berry Van Guilder Consultant
Dr. Shamsad Khan Khattak Consultant
Mr. Samiullah Khan Consultant GIS
Mr. Muhammad Hanif Khan PD
Mr. Shabir Ahmad PMO

CBRM Peshawar

Mr. Tariq Durrani CTA
Mr. Zarak Saleem Jan P&M officer
Mr. Iftikhar Hussain Coordinating Officer
Mr. Waqar Gilani Senior Social Organizer

Siran-Kaghan Forest Development Project Mansehra

Dr. Gerhard Payer CTA
Dr. Shaukat Ali PD
Mr. Taj-ud-din Khan administrator

Hujra Village Support Organization

Mr. Mughal Baz Khan Chairperson

Villages

Attended a gathering at Asban village, Swat
Attended a gathering at Miandam village, Swat
Attended a gathering at mauza Fateh Bandi, Mansehra

APPENDIX 4 DOCUMENTS REVIEWED BY THE MTR

Review of the Process of Institutional Reform of the Forestry Sector in NWFP. Report of the Joint Donor Review Mission. 14th February – 5 March 2000. Forestry Donor Co-ordination Group, Islamabad, Pakistan

Re-organization Proposal of the NWFP Forest Department. Institutional Transformation Cell Project. NWFP FSP. DWFF. GoNWFP. June 2nd 2000-07-17

Establishment of Forest Management Centre (FMC) for NWFP PC-1. (Phase II). Forest Department NWFP. SDC/IC. Approved draft. July 1998

Draft Report on a Visit to FMC, Peshawar NWFP. 12 to 28 November 1999. PD Hardcastle.

FMCSU Progress Report Jan-June 1999. Forest Management Centre Support Unit

Capacity Building DFFW Operational Plan 2000-2004. FSP June 2000

DFFW Planning and Field Implementation Manual. Draft Version 2 Excerpts. March 2000. FSP

Agreement Between the Swiss Confederation and the Islamic Republic of Pakistan on Forest Management Centre in NWFP

Standardized Methodology for Resource Inventory and Planning. Forest Management Centre, May 1997.

Lifting Ban on Forest Harvesting and Reforming Forest Management in NWFP. GoNWFP. 4th draft, January 15th 1998

Planning Document on the Proposed Swiss Support to the FMC for Phase II. FMC GoNWFP, Pakistan. Intercooperation, SDC

Forest Management Centre. Yearly Plan of Operations. 1999-2000.

Country Programme SDC – Pakistan. 1999-2005. Swiss Agency for Development and Cooperation. June 1999.

Forest Management Centre Re-Orientation Workshop Held on 05-05-1999. FMC Peshawar. NWFP Forestry Department, Intercooperation

Monitoring System for Forest Management Plans. Forest Management Centre. FD and IC, December 1997

The North West Frontier Province, Forestry Act 1998.

Socio-Economic Aspects of Strategic and Operational Planning. Backstopping Mission November 13-20 1999. FMC, Peshawar

Market Survey of Origins of Handicrafts Sold in Miandam Planning Unit. Naz, S. 2000

Swat Forest Range. Socio-Economic Survey Report. Shaheen, F et al. FMC 2000

Matta Forest Range. Socio-Economic Survey Report. Shaheen, F et al. FMC 2000

Wildlife Management Plan for Alpuri Forest Division. Forest Management Centre. June 2000

Resource Management Plan for the Swat Forest Range of Swat Forest Division. 1998-99 to 2013-14. Forest Management Centre. SDC-IC.

Silvicultural Handbook. Forest Management Centre. 2000-07-17

The Use of GIS as a Tool for Forest Management Planning. FMC 2000.

Midterm Review Mission (Phase 2). Forestry Sector Project. Aide Memoire. 26th March-17th April 2000. ADB

Learning from the Kalam Integrated Development Project. KIDP 1981-1998. Towards Sustainable Land Use and Livelihoods in NWFP. Technical Report. Intercooperation

Draft Operational Plan for Miandam Planning Unit of Swat Forest Range. FMC

Natural Resources Survey Report of Alpuri Forest Division. Khattak, A.K et al. 1997

Silvicultural Research Plan, 1997-2001. Javed, N. 1997. FMC

Development of village development committees by SFPMD

Proceedings of the Expert Consultation on Village Land Use Planning. SFPMD 1994

Forest Development Project Siran Valley Pakistan. Project Preparation Report. Executive Summary. GTZ 1990.

Integrated Resource Management Plan. 2000/01-2006/07. RMS Naranji. RMU Mardan

Role of Civil Society in Forestry Reforms in NWFP. Role and Experience of SUNGI Development Foundation

IUCN. Biological Diversity in Pakistan.

The FMC staff assessed the FMC's strengths, weaknesses, opportunities and threats during the MTR. The results of this exercise were then compared with the FMC SWOT analysis undertaken during the 2nd Phase Planning Workshop in October 1997.

RESULTS FROM SWOT 1997	RESULTS FROM SWOT 2000
<p><i>Strengths:</i> Staff quality/Composition Trained Core Team Gender Balance Inclined Human resources training Commitment to quality and improvement Facilities Taken the lead in GIS & Facility available Physical assets Access to the resources of the Forest Department Computer teaching facilities Methodology development Change in attitude/approach Use of land use plans/maps-Alpuri & Swat Efforts towards efficient planning Introduction of new vision/technology</p>	<p><i>Strengths:</i> Staff quality Multi professional (multi disciplinary) GIS personnel Good technical/professional capacity established Young people willing to learn Availability of experts (staff) –SES, NRs, GIS, PC Qualified, skilled personnel working with new technology Experience of several generations of forest planning 'heritage') Quality of facilities GIS/RS laboratory, software and equipment Advance computer technology and hi tech GIS lab Functioning computers and GIS lab Computer training facility Methodology development Planning for natural resource development Looking for improvements of methodology Modern methodology of natural resource systems and planning developed Other Good working environment Flexible management culture in FMC We include new areas such as Kohat Swiss donor receptive to the wider needs of society – role of change agent through FMC</p>
<p><i>Weaknesses</i> Employment conditions and sustainability issues Lack of working conditions for contract staff Lack of career paths for specialist services Lack of incentives and facilities to working plan staff Lack of interest of foresters in planning Forest opening in planning is lacking Long term sustainability Coordination Lack of communication with pressure group Lack of clarity of FMC in dealing with the management of various natural resources other than forests Planning process development Excessive time for working plans preparation Biodiversity not provided under present working plans Other Lack of training in various fields for lower staff of FD Lack of pool of young graduates in forest department</p>	<p><i>Weaknesses</i> Terms and conditions of employment and sustainability issues Contract staff represent much of the capacity No regular employee For those on contract basis what will be the sustainability of the project if donors no longer support Government support is financially inadequate Sustainability of modern technologies such as GIS, and satellite images Coordination Coordination in various sections of FMC is not adequate Proper coordination No proper internal monitoring system Lack of coordination in DM (at office level) There should be close coordination between/with other institutions/organizations Less cooperation with other GIS organizations Planning process development The plans can't be implemented and tested due to ban on timber harvesting Planning is multi-stage and complicated Other Lack of internal transfer of skills Weak professional expertise in GIS; Poor forestry background.</p>
<p><i>Opportunities:</i> Professional Development To impart training to and upgrade the skills of FD staff More demand for services Opportunity to expand improved technology to field</p>	<p><i>Opportunities:</i> Professional development Skill enhancement (for newcomers) Professional development training More demand for services:</p>

<p>stations Opportunities and capacities to sell GIS products and GIS training Integrated sustainable management of natural resources Monitoring of forestry situations Develop management information system Opportunity to develop coordination with PFI and other related organizations Opportunities for participatory planning involving stakeholders and executing agencies Increasing market for forest products Reforms Initiation of institutional reforms in the sector Other Higher economic benefits Opportunities to involve women in forestry Wider support of policy makers Greater donor support on green issues The opportunity to generate more revenue</p>	<p>Involvement of FMC staff in operational planning and its implementation Other needs/markets in environment, forestry and land use planning Develop participatory, collaborative approaches, long term, for natural forests Plantation management Can provide training to other organizations; can be used as a central institution for NWFP Reforms Integration of with FSP/P&M Reorganization of local government</p>
<p><i>Threats:</i> Terms and conditions of employment Brain drain Frequent transfers of staff in Forest Department Time and sustainability Uncertainty of budget provision for phase II Rapid change in technology and high replacement costs Forest Policy Continued timber ban Lack of flexible procedures for investing in natural resource Lack of gender concerns/capacity in Forest Department Lack of funds for implementing forest management plans Reforms Downsizing policy of Government Other Competing organizations/NGOs/Private Companies</p>	<p><i>Threats:</i> Terms and conditions of employment Mostly contract staff Placement of social staff from government side Low salary package and no incentives Frequent staff transfers Contract staff leave Pay of govt. staff (FMC) is very low Time and sustainability 3 years not enough to consolidate - short time Unsustainability of project ; obstacles in training delivery Forest Policy Harvesting ban lifted/maintain Reforms Integration with FSP or directorate of P&M Local government reorganization Lack of funding</p>

The salient points of the comments received from the PSC following the MTR presentation of findings in Peshawar on 5th July are summarized below.

Chief Conservator of Forests - Mr Ghazi Marjan Khan

We wish to make a project that is wholesome enough to attract the Government and the donors. There should also be a **breakthrough on the ground**, on a large enough scale to say that it is not an experimentation but it is an institutionalisation. The problem with working in pocket areas is that when the project is finished we ask for another donor.

Phase 3 of Swiss support would be a logical sequence of Phase 2. In the PC-1 three years were set down from the Swiss side, that is their cycle. We prepared a PC-1 of 5 years. We would like another Phase of Swiss support that lasts for three years from 2001.

The PC-1 is an approved document and we should not like to discard it or disturb it. We should like the assistance level being indicated by the Swiss to be increased to cover all the work being proposed for the 3rd Phase of Swiss support.

Deputy Coordinator SDC - Dr John Krijnen

The MTR is hopeful and positive that the FMC would be the appropriate home to look at Joint Forest Management (JFM) but the MTR also says that little progress has been made to date by the FMC on the development of participatory forest management and on building the capacity of local communities. Also we have to ask how serious the Government is to consider JFM in natural forests. There is a lot of optimism but it is not clear on what it is based.

The socio-economic work done at FMC is good, but JFM goes beyond just consultation with communities as far as co-management of the resource with the involvement of communities.

The PC-1 is for 5 years, not for 6, how would this be organized ?

Secretary of Forests – Mr Alam Zeb Khan

Concerning the capacity building for FD and communities, the FSP is preparing a complete training plan.

The Government is preparing a strategy on poverty alleviation. It needs a concept not just academic ideas, it has to take into account the ground reality. The Government is now giving much importance to poverty alleviation through the new Forest Policy.

It is agreed that Social Forestry should cover the natural forests too. Recommendations on JFM committees and the ways they can participate have been made for all kinds of forest, both state and private and a summary has been sent to the Government for approval.

APPENDIX 7 FUTURE OPPORTUNITIES FOR FMC TO CONTRIBUTE TO REORIENTATION

The May 1999 Reorientation Workshop Report foresees that important new initiatives in FMC work will contribute substantially to an effective reorientation of FMC activities in line with new Swiss aid priorities. Specifically there are:

Civil Society. As FMC moves further into operational planning, the role of CBOs will be strengthened through training and implementation of Operational Plans to promote further effective community involvement.

Decentralisation. The further dissemination of information collected by FMC and made available in publicly accessible documents will empower stakeholders.

Human Rights. The core activities of FMC are already directed towards protection of the natural environment in which stakeholders live and subsist, and towards sustainable management of the nation's natural resources. The consultation process will be used to make a wider section of the community aware of their basic rights to natural resources and a cleaner environment.

Poverty Orientation. Full implementation of Operational Plans will provide direct employment for local communities in forest management activities. A sustainable supply of forest products will provide opportunities for further income from value added activities and an improved quality of life.

APPENDIX 8 APPLIED SILVICULTURAL RESEARCH

Section 11.7.3 of the PC-1 states that the project will 'verify the scientific basis of management of RNR in NWFP, the Centre will continue to work on a comprehensive silvicultural research programme. The main guidelines for such a programme are:

Elaboration of a concept of applied silvicultural research and monitoring

Detailed review of relevant past research on the silviculture of upland forest species and stands in the Indian sub continent

Initiation of new research into species temperament, stand dynamics and forest ecology in collaboration with the PFI and environmental agencies

Development of modified silvicultural strategies and systems relevant to the requirements and constraints of watershed management, multiple forest use and modern harvesting technology

Long and short term monitoring of both formal trials and production forest areas to assess the impact and appropriateness of both new and existing silvicultural systems

Based on the above, a Research Plan for 5 years (1997-2001) has been drawn up which will be brought into action during Phase II. More studies as will be required will be added to the Plan. The Plan emphasizes collaboration with other projects and PFI.

Summary publications and reports will be prepared on the ecology of upland forests and the application of silvicultural systems. In the light of the findings from this component of the project a long term programme of silvicultural research will be proposed for future work.'

Functions of Research and Development Unit

Preparation of provincial research agenda and supporting research master plan
Implementation of research programs and projects
Focal point for and establishing linkages with other research institutions eg PFI
Silvicultural research, genetic research and research on various other aspects of NRM
Watershed management research
Range management research
Farm forestry research
Urban forestry research
Biodiversity conservation research
Protected areas management research
Other resources related research
Managerial, organizational and institutional development research

Functions of Planning and Monitoring Unit

Resource survey inventory, analysis and statistical function
GIS/MIS functions
Base line surveys, database and economic think function
Feasibility studies, investment promotion and sectoral assessments
Projects preparation and development planning
Integrated land use planning
Assistance in preparation of forest policy, sector level master plans, priorities setting, strategic management plans, IRMPs, VLUPs
Developing M and E system
Implementing M and E system
Budgeting
Legal services
Consolidating physical and finance progress reports
Focal point between FD and PE&DD for planning, reporting and budgeting related to development

Functions of Community Development, Extension and GAD

Communities liaison and development
Communities and women and natural resources related needs assessment
Social organization of communities and women
Participatory planning, implementation, monitoring and evaluation of community and women development activities
Extension and publicity information development and dissemination
Communication, public relations and awareness raising

Functions of Institutional Development and Organizational Strengthening

Capacity building and training needs assessment
Capacity building and training planning
Training material production
Capacity building and training management
Training evaluation
Workload assessment

Developing job descriptions and job specification
Personnel planning and management/human resource management
Developing and managing personnel information system
Job performance appraisal
Curriculum development
Teaching and training methods
Employment procedures/service rules
Promotion and career development
Pensioning

Non Timber Forest Products

Sericulture development
Mazri development
Medicinal plants development
Environmental protection
Environmental education
Urban forestry and parks management
Protected areas management
Biodiversity management
Eco-tourism development
Apiculture development

APPENDIX 10 TARGET STRATEGIC PLAN AREAS FOR FMC FOR 98/99 – 02/03

1. Alpuri Division – Shangla Forest – Protected Status – 44,407 ha forest, 88,617 ha non-forest. Total area 133,024 ha
2. Mingora Range – Protected Status – 36,091 ha forest, 77,174 ha non-forest. Total area 113,805 ha
3. Matta Range – Protected Status – 29,779 ha forest, 126,773 ha non-forest. Total area 156,552 ha
4. Buner District – Protected Status – 40,985 ha forest, 110,741 ha non-forest. Total area 151,726 ha
5. Ranolia/Dubair/Kohistan District – Protected Status – 14,159 ha forest, 42,054 ha non-forest. Total area 65,213 ha
6. Allai Forest, Batagram District – Guzara Status – 14,387 ha forest, 39,248 ha non-forest. Total area 53,635 ha
7. Abbottabad District – Reserved Status – 15,558 ha forest, Guzara Status – 8,225 ha. Non-forest 393,267 ha. Total area 393,267 ha
8. Kohat and Hangu Districts – Reserved Status – 33,692 ha, Guzara/Resumed Status – 13,738 ha. Non-forest area 654,925 ha. Total area 702,355 ha
9. Upper Tanawal – Protected Status – 7,859 ha forest, 57,695 ha non-forest. Total area 65,554 ha
10. Giddapur Forests, Hazara Division – Guzara/Resumed Status – 3,021 ha forest, 558 ha non-forest. Total area 3,579 ha
11. Dir District, excluding Dir Kohistan – Protected Status – 66,741 ha forest, 294,404 ha non-forest. Total area 361,145 ha

- The continuing harvesting ban is a threat for the forest: trees are cut without any planning due to high demand for timber and no revenue to the Government and to the local shareholders is collected.
- The process to develop and introduce far-reaching changes in the forest policy, legal framework and institutional structure does not continue. That would not be conducive to participatory, decentralised, transparent and effective planning, management and monitoring of forest resources.
- Lack of GoP funds to maintain FMC at a high technical standard, with rapid changes of technology and replacement costs.
- Lack of GoP funds for implementing working plans for the sustainable management of the natural resources.
- Lack of flexible procedures to re-invest revenue from the forests (Royalty share) in the development of natural resources, at least to secure regeneration and expansion of the forests. Royalty from timber sales has been the biggest income source for GoNWFP treasury.
- Competing organizations, NGOs and private companies attract staff from FMC with higher salaries.
- Lack of women working at territorial FD level to implement plans.
- High transfer rate of FD staff.
- GoNWFP has not integrated young PFI graduates at DFO level into the DFFW for 12 years.
- Global and national tendency to downsize and privatise Government institutions.
- Legal clearance for using digitised maps, aerial photos, topo sheets in FMC.

APPENDIX 12 SWOT ANALYSIS OF SILVA SECTION, FMC

During the MTR, the Silva Section prepared a SWOT analysis of their own section.

Strengths

Qualified and experienced Officers available
Problems identified and Research Program developed
FMC nursery established in PFI Research Garden
Farm Forestry trials in Southern Districts are being established
Work on Shisham dieback started
Collaboration developed with PFI, FSP, Farm Forestry Project and other Government and Private organisations
Support from backstopping consultant in developing Silva program

Weaknesses

Lack of field staff
Lack of silviculture lab
Shortage of funds
The Officers of the Silva Section are overloaded with other jobs of FMC and are not free to concentrate on Silviculture activities
Difficult to protect the experiments laid out in the field

Opportunities

Well established PFI and other Forest and Agriculture Research Institutes in NWFP
A lot of research done on dry land/farm forestry by PFI
Integration with FSP funding
Abroad/In country training in Silviculture under FMC
Introduction of new clonal material (PFI)
Community participation in Farm Forestry and Joint Forest Management

Threats

The Forest Department does not give due importance to Silviculture
Frequent staff transfers
Lack of co-operation of Territorial staff
Silviculture Research is a long term process, but the FD expects results in a very short time.

During the MTR field visit to Miandam PU, a discussion was held with some members of local communities concerning the preparation of the recent Operational Plan. Although the visit was brief a few observations can be made about the designation of Working Circles in the area.

The whole of Miandam Planning Unit can be divided into two parts: the Private Land and the Government Land. The division is roughly 50-50. The Government forest land is divided into 43 compartments (9 each in Pia and Shin sub valley and 25 in the main Miandam valley). The compartments were assessed by FMC during strategic planning for the preparation of the Swat Forest Range Resource Management Plan. As a result, compartments were designated either as Timber Production, Community Use, Tourism or Conservation. It is noted that the designation denotes the primary function and does not exclude other uses.

There are many settlements inside the compartments inhabited by local people. The compartments are divided among (not clans or khels) but individual households. The division of compartments is as old as Pakistan itself. The division is not just verbal but exact demarcations exist. If a tree standing on the line of demarcation between two individuals is harvested it is divided among the individuals concerned. Thus, even if GoP holds title to the land, in practice it is local people who control it.

The perception locally is that the timber in the compartments in the Timber Working Circle will be harvested and the people residing there (A) will have to go to the Community Use compartments to fulfil their daily needs. The residents living in settlements in the Timber Working Circle are happy because they perceive the trees in their compartments will be harvested and (only) they will receive the proceeds. The people in settlements in the Community Use Working Circle (B) are not happy as they perceive that they will not receive the benefits from timber harvesting and in addition they will have to share their non timber resources with residents of (A). No one residing in the Community Use area wants to share their non timber products with (A) unless they receive a share of the money from (As) timber. Everyone wants to be in the Timber WC as the perception locally is that mature trees, while few in number are scattered over the entire area.

There are also some compartments in a Conservation Working Circle, the residents in this area © perceive that they will have to walk all the way across the valley to fulfil their community needs in area (B). This they are not willing to do due to the distances involved.

What conclusions can be drawn? Firstly, much explaining needs to be done of the purpose of the Working Circles and their implications. Secondly, it may not be practical to assign functions according to compartments. Thirdly, Working Circles may have to be modified during Operational Planning based on ground reality. Fourthly, except where permanent protection can be strongly justified (ie restrictions on timber harvesting) and temporary protection is imperative, it may be best to designate remaining areas as Multiple Use and sort out the actual objectives and Rules on protection on a much smaller scale during CNRM planning. Greater use of Rules on minimum girths for felling, protection of micro watersheds and biodiversity may achieve the same forestry objectives but work better than Working Circles in heavily populated areas.