

# Module One

Introduction to the development and implementation of Principles, Criteria, Indicators and Standards



# Aim of the Module

“Provide an overview to PCI&S development and implementation”

- Sustainable Forest Management.
- Development of PCI&S.
- Stakeholder participation.
- Way forward.
- Implementation in DWAF and nationally.
- Benefits.
- Challenges.

The Government, through the Department of Water Affairs and Forestry is committed to the sustainable management of South Africa's Forests.

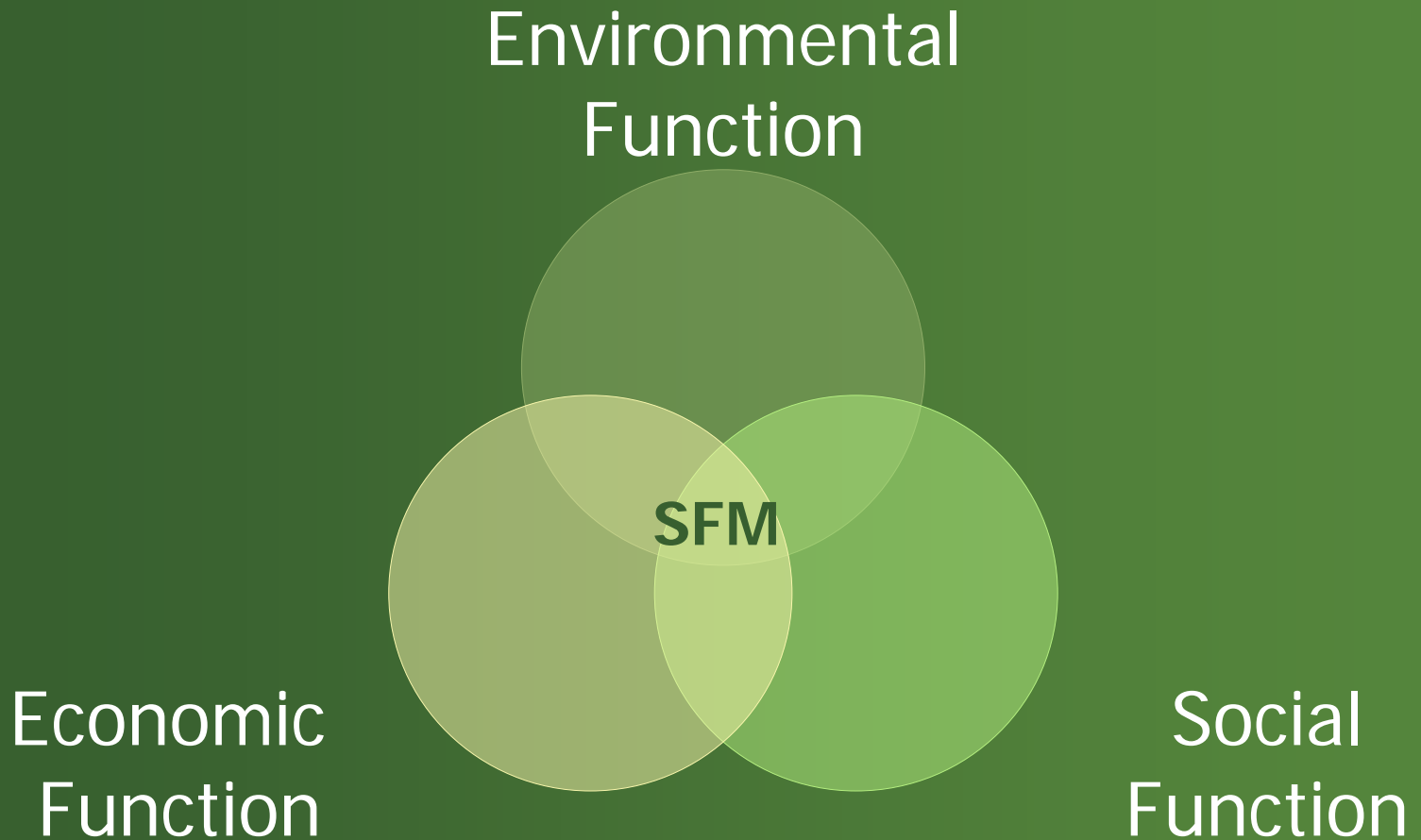


# What is Sustainable Forest Management?

Sustainable Forest Management may be defined as:

“the Stewardship and use of forests and forest land in such a way and rate, that maintains biodiversity, productivity, regeneration capacity, vitality and their potential to fulfil, now and in the future, relevant ecological, economic and social functions, and that does not impact negatively on other ecosystems.”

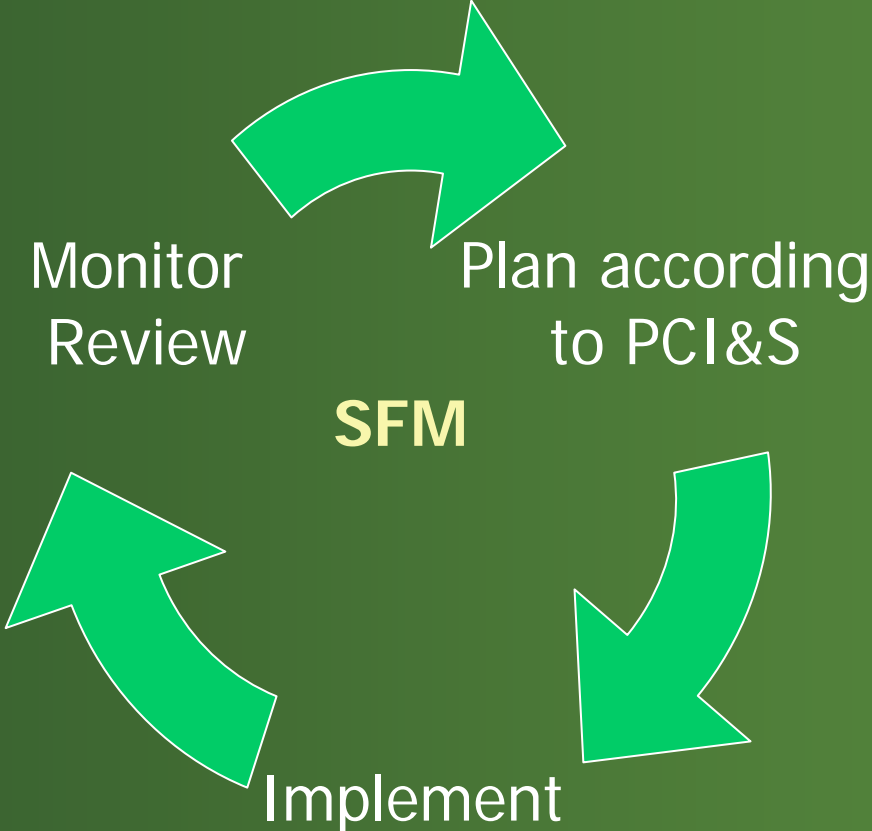
# Sustainable Forest Management



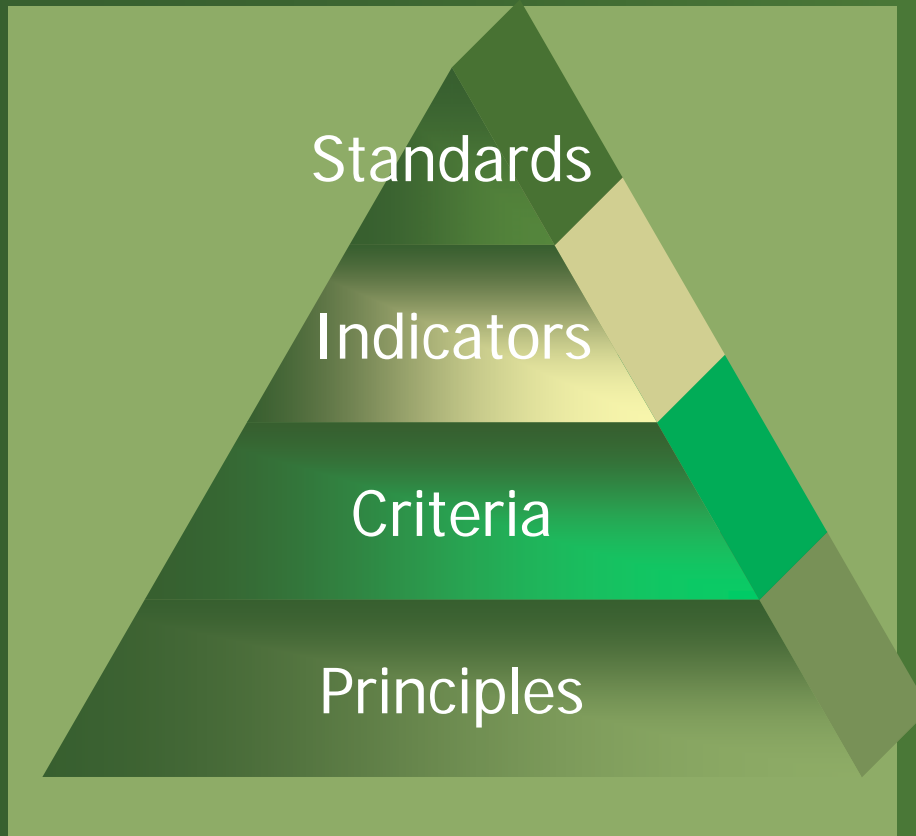
# What does our South African Forestry law say?

Within South African Forest Policy or law there is currently no definition of sustainable forest management, but rather the commitment to develop, according to agreed principles, the criteria, indicators and standards that will allow us not only to evaluate sustainability, but also to improve our performance as society's requirements become more exacting.

# Sustainable Forest Management



# Initiation of PCI&S





# Principles

- Principles = Broad Goal statements for achieving Sustainable Forest Management.
- From the National Forest Act as well as the principles from the South African Constitution and the National Environmental Management Act are considered the overarching goals for sustainable forest management.

# Timeline to the development of CI&S

## ■ 1998

- National Forest Act (Act 84 of 1998).
- Publication of Principles of SFM.
- Recommended the development of a set of Criteria, Indicators & Standards.

## ■ 2000 – 2002

- Technical development process.
- Stakeholder consultation at all levels.

## ■ 2002 – 2005

- Field Verification of draft C,I & S.
- Amendment and approval of C,I & S.

# 2005

- Development of a roll-out process.
- Implementation on state managed forestry areas.
- Development of complimentary operating procedures.
- Development of a PCI&S Framework Manual.
- Development of a reporting, monitoring and auditing system.
- Development of a State of the Forests reporting system.

## 2005 On...

- Implementation in State forests (DWAF & leased).
- Initial voluntary implementation by private landowners (but must meet legal requirements).
- Likely to be followed by a revision of process and documentation after use on State managed forestry areas.

# Development of PCI&S



- The focus has been on developing criteria and indicators that are:
  - Practical.
  - Understandable.
  - Relatively easy.
  - Inexpensive to apply.

- The Criteria and Indicators were also designed to provide key information about the condition of forests and management at:
  - The national,
  - Provincial,
  - Landscape and
  - The Forest Management Unit scale.

# Literature Review and selection of Criteria and Indicators

- Five sources of information and knowledge were used:
  - Theory and literature of PCI&S.
  - Policy, legislation and regulations.
  - The specialist knowledge and experience of the Project Team.
  - Stakeholder input.
  - Reviewed by the Project Team and approved by the Committee for Sustainable Forestry Management (committee of the NFAC).



# Stakeholder Identification

- The following sectors and groups were seen as critical to the development of C, I & S.
  - Government, including DWAF, DEAT, Conservation Authorities and relevant Provincial and local government departments.
  - Tribal authorities.
  - Commercial Forestry sector.
  - NGO's.
  - Private timber companies, including small scale growers.
  - Academics.
  - Labour.

# Stakeholder Consultation Process – Key Steps

- Engagement of identified stakeholders.
- Determining CI&S through case studies by obtaining CI&S wishes of specific stakeholders.
- Convening national, provincial and local workshops.
- Conducting key informant meetings for testing of the draft CI&S.
- E-mailing the draft CI&S to stakeholders for comment.

The fact that the design and development of CI&S has been heavily focused on stakeholder consultation has meant that to a large extent the resultant CI&S represent stakeholder ambitions and goals for forest management in South Africa, and also reflects their understanding of Sustainable Forest Management.



# Case Studies

- Specific information for the development of CI&S was also obtained through obtaining information through Case Studies:
  - One national case study was conducted by interviewing a range of representatives from national stakeholder groups.
  - Two provincial case studies were each held in Kwa-Zulu Natal, Western Cape and Eastern Cape.
  - Eight local level case study sites were also selected and a range of stakeholders engaged at local level.

# Outcomes of Case Studies

- The outcomes of each Case study was a set of issues expressed by stakeholders as desired outcomes for sustainable forest management in South Africa.



# Drafting of C,I&S from stakeholder input

- The stakeholder inputs were compared with the core draft indicators to identify:
  - Overlaps between stakeholder desires and core draft indicators.
  - Highlight issues covered by the core draft indicators but omitted by stakeholders.
  - Highlight new issues raised by stakeholders but not covered by core draft indicators.
- This information was used to develop a revised set of PCI & S.

# Field Testing of revised PCI&S

- Following the Committee for SFM's approval of the set of PCI&S, a process of field testing was initiated at seven locations throughout South Africa.



## The full range of forests (size, ownership, type) were covered in testing

- Natural Forests.
- Plantations.
- Corporate forestry operations.
- Medium Scale operations.
- Smaller and micro operations.
- Private and State forestry.
- Certified and non-certified.



- The testing and pilot roll-out of the FMU level PCI&S caused substantial changes to the original set to be implemented and has resulted in the final set of PCI&S which have been approved by the Committee for Sustainable Forest Management.
- Final PCI&S are practical, easy to understand and easy to implement.

# Where to now?

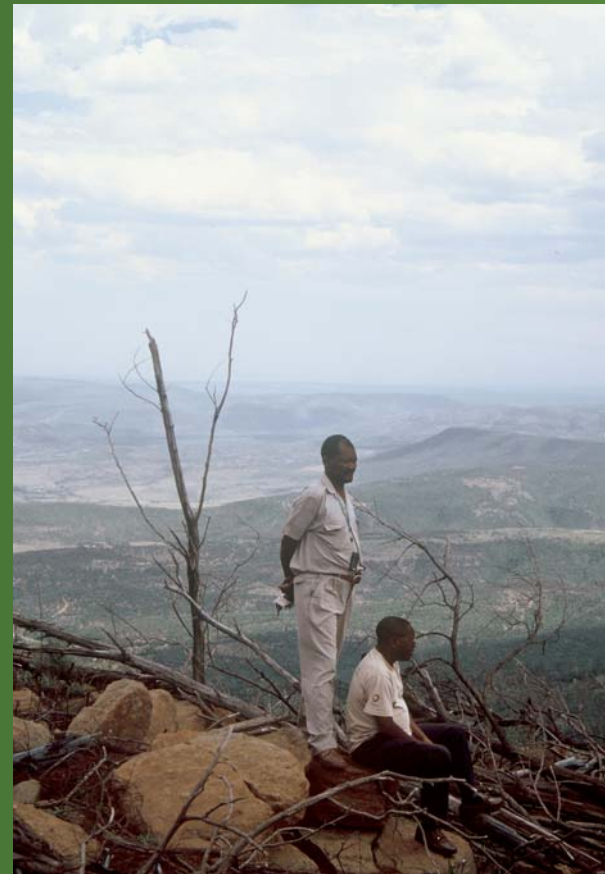


# Who will use PCI&S?

- Government on State forests.
- Natural and plantation forest managers and owners.
- NGO's.
- People neighbouring on plantation and natural forests.
- Forest company employees and shareholders.
- The general public.

# STAGE 1: Implementation in DWAF

- The PCI&S Framework Manual
  - Introduction.
  - Guidance for Forest Managers.
  - Standard Operating Procedures.
  - Auditing Guidance and Template.



# Manual: Introduction

- Brief background
- Definitions
- Explains relationship between current management and PCI&S.

# Ecological

## Criterion 1: Natural forests are protected

### 1.1 Indicator 1.1: Implementation of forest protection plans.

Applies to:  Natural forest    Plantation forest    State    Corporate    Medium    Small

**Measure 1.1.1:** Percentage of forest protection posts on staff establishment plan that have been filled.

*Management goal:* Numbers of protection personnel match the required number estimated by the forest manager to effectively manage the threats to the forest.

**Measure 1.1.2:** Budget allocated to natural forest protection.

*Management goal:* Budget allocation is sufficient to fill staff establishment and equip staff appropriately.

Key steps	References
1. Quantify threat by recording all transgressions, and monitor on a regular basis.	Procedure for the Protection of Forests (01 01).
2. Calculate and fill posts for forest protection and record costs per hectare	Proforma: Transgression Reporting Sheet
3. Implement a permit system to regulate authorised licenced activities.	Proforma: Permit; Draft License. Guidelines; License. Business Process; License. Database
4. Develop and implement tactical guard deployment plan	Law Enforcement Strategy; Forest Guard Tactical Deployment Plan
5. Monitor effectiveness of tactical guard deployment plan.	Procedure for Quarterly (1001) and Annual PCIS Reporting (1002)
6. Ensure current management plans reflect the results of monitoring and/or reporting (refer to Procedure 1001 & 1002).	

# Ecological

## Criterion I: Natural forests are protected

### 1.1 Indicator 1.1: Implementation of forest protection plans.

Applies to:  Natural forest     Plantation forest     State     Corporate     Medium     Small

**Measure 1.1.1:** Percentage of forest protection posts on staff establishment plan that have been filled.

**Management goal:** Numbers of protection personnel match the required number estimated by the forest manager to effectively manage the threats to the forest.

**References:** Procedure for the Protection of Forests (01 01); Proforma: Transgression Reporting Sheet; Proforma: Permit; Draft License. Guidelines; License. Business Process; License. Database; Law Enforcement Strategy; Forest Guard Tactical Deployment Plan; Procedure for Quarterly (1001) and Annual PCIS Reporting (1002)

Key steps	Observation:	CAR:
<ol style="list-style-type: none"> <li>1. Quantify threat by recording all transgressions, and monitor on a regular basis.</li> <li>2. Calculate and fill posts for forest protection and record costs per hectare</li> <li>3. Implement a permit system to regulate authorised licenced activities.</li> <li>4. Develop and implement tactical guard deployment plan</li> <li>5. Monitor effectiveness of tactical guard deployment plan.</li> <li>6. Ensure current management plans reflect the results of monitoring and/ or reporting (refer to Procedure 1001 &amp; 1002).</li> </ol>	<p><i>Auditors guideline: Check that the manager has calculated his staff needs against his staff establishment and that he has planned his staff deployment routine. Check that the Transgression reporting sheet and the Permit/Licence system are being used.</i></p>	

# Implementation of audits

- Levels of Auditing:
  - First Party audits.
  - Second Party audits.
  - Third party audits.





# First Party audits in DWAF

- First Party audits:

- Estate Manager audit his/her own activities and amend management activities on the FMU accordingly.

- Auditor? Estate Manager.

- What will be audited? The Steps.

Use the manual to constantly check if management is compliant with the requirements of PCI&S and SFM.

= SELF AUDITS.

# Second Party audits in DWAF

- Second Party audits:
    - District Forest Manager conducts an audit on a neighbouring District (peer review) or another officer is appointed by the Regional Forestry Managers to conduct this audit.
  - Auditor? District Manager of another District or Area Managers for another Area.
  - What will be audited? The Steps.
- = PEER REVIEW AUDITS.

# Third Party audits in the DWAF

- Third party audits:
  - Audits are performed by independent auditors from outside the FMU and company. The DDG Regional Coordination & Support is responsible for organising this audit. These auditors are not associated with the management of the FMU and no conflict of interest should exist.
- Auditor? (could also be outside consultants).
- What will be audited? Any Estate or District.

= INDEPENDENT REVIEW AUDITS.

# Training

- August 2005:
  - Regional Training
  - Auditor Training
- Follow up assistance:
  - Cluster Champions
  - FTIS
  - Forestry Support



# DWAF Roll out dates

- Quarterly Reporting – September 2005.
- Annual Reporting – March 2006.
- Auditing (2<sup>nd</sup> Party and 3<sup>rd</sup> Party)
  - scheduled March 2006.
- Procedures implemented immediately.
- Forestry Statistics Questionnaire – January 2006.
- PCIS system fully implemented by March 2006.

# Benefits of PCI&S in DWAF

- A standardised management system.
- Clear procedures regarding management actions.
- Defined monitoring and reporting processes.
- Auditing system.
- Objective evaluation of sustainable forest management.
- Efficient system to ensure continual improvement.

# Future challenges – for DWAF

- Need a commitment from all levels of management.
- Assistance for forest Managers to understand and effectively implement the requirements of PCI&S (Champions).
- Clear monitoring, reporting and auditing lines.
- Ownership of the new system.

# Stage 2: Implementation Nationally

- Voluntary until Gazetted requirements.
- Roll out to various forestry sectors.
- Reporting in the Forestry Statistics questionnaire (Green mamba)





# Benefits of PCI&S for South Africa

- A common understanding as well as a practical interpretation of what constitutes sustainable forest management.
- A tool for assessing changes and trends in forest conditions and management systems at a national and sub-national level.
- An instrument to evaluate the degree to which the forest sector contributes to the nation's economic, environmental and social aspirations.
- A guide to the development and revision of policies and legislation.

## Benefits cont.

- A set of objective goals and measures for the management of forests that are credible, precise and measurable.
- A tool for assessing and improving forest management practices in forest management units.
- A means to broadening the base of information and understanding about the quality and quantity of South African forests.
- A basis for the Minister's periodic State of the Forests reporting to the national and international community.

# Future challenges for National implementation

- General acceptance and buy-in.
- Priority for monitoring and evaluating SFM (little or no resources allocated to such a process).
- Continual improvement and review of PCI&S.
- Strengthening of extension services.

Through the efficient implementation of a standardised system of PCI&S, and the monitoring of that implementation, the management and use of our nation's forests in a sustainable way will be encouraged.



End of Module One.