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MOREFORESTs

Management of Resources on Forestlands through
Enhanced Sustainable Technologies

Version 1.0

ANNEX 2: Enhanced FLUP Processes

MOREFORESTs Enhanced FLUP

Overview of Processes

Enhanced FLUP looks at the process of joint management of public lands as a continuum reaching from the national-level policies to regional and provincial levels, to municipal and city local governments and eventually to forestland occupants. It acknowledges the importance of all these levels and aims to build trust, willingness and commitment to collaborate. The FLUP does not stop in the formulation of the plan but continues to the implementation and includes, as an integral part, monitoring and evaluation, to revisit and improve strategies and measures. The Enhanced FLUP process strengthens the role of mandated government agencies and institutions to fulfill their role as service providers for tenure holders or allocation managers and eventually enable tenure holders, with the support from the government, to bring the forestlands under sustainable management.



Preparatory activities

- STEP 1** Establish Regional / Provincial MOREFORESTs Assisting Teams and linking with SIMPLE's Trainers Pool for capacity building
- STEP 2** FLUP training and orientation for local government unit-Municipal Implementing Teams
- STEP 3** Agree on Action Plan for the MOREFORESTs application



Data gathering, mapping and validation

- STEP 1** Secondary data gathering and preparation of initial thematic maps including existing tenurial instruments and corresponding management plans
- STEP 2** Updating and validation of secondary data / and gathering of primary data
- STEP 3** Prepare and finalize thematic maps and socio-economic profiles



Situational analysis

- STEP 1** Biophysical assessment including disaster, climate change and REDD+ potential
- STEP 2** Socio-economic demographic and institutional assessment
- STEP 3** Define protection and production areas, including critical areas for biodiversity conservation
- STEP 4** Propose appropriate tenurial instrument for open access areas

For the detailed description of each of the processes below, refer to **Annex 2: Enhanced FLUP Processes**.

The diagram below shows the processes of the Enhanced FLUP. It is adopted with modification from the summary of the *“Draft Guidelines in the Formulation of Forest Land Use Plan for Local Government Units in the Philippines”* and the DENR Forest Management Bureau Technical Bulletin No. 2 on Forest Land Use Planning (**Annex 3**).



Plan formulation

- STEP 1** Formulate vision, mission and goals
- STEP 2** Formulate strategies and recommendations for improving governance system, monitoring and evaluation, financing and investments
- STEP 3** Prepare detailed work and financial plans



Adoption of the Plan

- STEP 1** Endorsement of the Plan by the Sangguniang Bayan to the DENR
- STEP 2** Affirmation of the Plan by the DENR
- STEP 3** MoA for joint implementation of the FLUP between DENR-Local Government Unit
- STEP 4** Co-Management Agreement between DENR and Local Government Unit for open access areas



Implementation

- STEP 1** Integrate priority measures of the FLUP into the local development plans (Barangay Development Plans, Comprehensive Development Plan) and Annual Investment Plan, and invite other prospective financiers / investors
- STEP 2** Facilitate formulation of Resource Management Plans and issuance of corresponding tenurial instruments / sub-agreement for open access areas
- STEP 3** Support existing tenure holders to align or update their Resource Management Plans with the FLUP
- STEP 4** Ensure enforcement
- STEP 5** Formulation of ordinances in support of FLUP implementation



Monitoring and evaluation

- STEP 1** Implement FLUP monitoring plan

1

Preparatory activities

1

Establish Regional / Provincial MOREFORESTs Assistance Team and linking with SIMPLE's Trainers Pool for capacity building

Objective	DENR / Provincial government are able to provide technical assistance in Forest Land Use Plan (FLUP) preparation and implementation
Outputs	Creation of Regional Forestland Assistance Team (RFAT) / Provincial Forestland Assistance Team (PFAT) (Sangguniang Ordinance, Executive Order) and trainings

The MOREFORESTs, starts with creation of regional technical assistant teams composed of DENR staff from regional, PENRO and CENRO level (Regional Forestland Assistance Team or RFAT) solely to guide and support the local governments in forestlands governance. When applicable these teams can be supplemented with the Provincial Forestland Assistance Teams (PFAT) with participation from provincial government.

RFAT is composed of representatives from the Forest Management Service and the Protected Areas Wildlife and Coastal Zone Management Service two representatives each from the Provincial Environment and Natural Resources and one representative from each Community Environment and Natural Resources Office (CENRO). DILG personnel may also be invited to be members of the RFAT.

Members of the RFAT will undergo intensive training on facilitation, planning, management, implementation, mapping, and monitoring and evaluation. They will also be trained on enhanced Sustainable Forest Management Technologies such as low-impact timber harvesting, agroforestry, etc. The teams are linked with the SIMPLE Trainer's Pools, as applicable.

The role of the technical assistance team is to assist municipalities in the FLUP preparation and implementation. This team is well-fledged with the enhanced FLUP processes and based on their needs, be further capacitated in technical, management and planning skills to be able to effectively guide local governments in the enhanced FLUP preparation, CMA, RMP, sustainable forest management technologies and monitoring and evaluation.

2
STEP

**Forest Land Use Plan (FLUP) training and orientation for local government unit-
Municipal Implementing Teams**

Objective The Local Government is ready to start FLUP preparation process
Outputs Creation of Municipal Implementing Teams (MIT)/ technical working groups (EO), Orientation of LGU and trainings of MIT by RFAT

To be able to start the enhanced FLUP process the local governments form Municipal Implementing Teams (MIT)/ (referred as technical working groups in FLUP guidelines). These teams are named as “implementing teams” while they are not formed only to prepare the FLUP document but also to later support the implementation of these plans. The Municipal Planning and Development Coordinator together with the municipal Environment and Natural Resource Office (ENRO) are the core members of the MIT.

The RFAT / PFAT strengthen the MIT in acquiring the necessary skills to start the enhanced FLUP process. The members of the MIT are capacitated by RFAT / PFAT who initially guides them in the FLUP preparation but, based on the needs of the local governments, will continue technical assistance also during the implementation of their FLUPs.



3
STEP

Agree on Action Plan for the MOREFORESTs application

Objective The Local Government has a clear plan and resources for FLUP preparation
Outputs MoA between DENR and the Local Government, work and financial plan for FLUP

The Municipal Implementing Team (MIT) creates an action plan for the FLUP preparation. Prior to starting the preparation, this plan is supported with adequate budget secured by the local government for all steps of the enhanced FLUP preparation.

2

Data gathering, mapping and validation

STEP 1

Secondary data gathering and initial thematic maps preparation including existing tenure instruments and corresponding management plans

Objective	Secondary data required in the FLUP gathered
Outputs	13-16 initial thematic maps, initial socio-economic profiles, copies of existing plans and policies

The FLUP preparation starts with the gathering of secondary data. The local government creates initial thematic maps based on existing local government maps and use of other available secondary sources such as Google Earth or other satellite images. Some information such as tenure status is gathered from the DENR. The secondary data for the socio-economic profile is usually compiled from the existing local government plans or information systems, if applicable, and complemented with the data from National Statistics Office and other government agencies.

In this step, the local government will also secure all relevant plans and policies covering the public lands within the territorial jurisdiction of the local government. These include agreements and management plans of existing tenure arrangements.

STEP 2

Updating and validation of secondary data and gathering primary data to finalize thematic maps and socio-economic profiles

Objective	The initial thematic maps and socio-economic profiles are updated based on primary data gathering
Outputs	Socio-economic data in tables and / or graphic format, final thematic maps in Geographic Information System with data tables

Based on data gaps identified during the collection of secondary data the MIT conducts primary data gathering and validation from secondary sources in the ground. The socio-economic profiles are updated and enhanced through Participatory Resource Assessment methods such as focus group discussions conducted at the barangay level, interviews of key stakeholders including tenure holders, as well as observations in the field. The initial thematic maps are validated in the ground to: 1) add information in the draft thematic maps that are needed but are not available from other sources; 2) validate the existing information as to their exact or best approximated geographic location; 3) to take a first-hand understanding of the actual field situation which is important in planning; and 4) eliminate doubt on the accuracy of information.

STEP 3

Prepare and finalize thematic maps and socio-economic profiles

3 Situational analysis

1 STEP Biophysical assessment including disaster, climate change, biodiversity and REDD+

Objective	Biophysical condition and emerging challenges and opportunities for FLUP implementation analyzed
Outputs	Derived maps, derived tables on biophysical condition

During the situational analysis, the data collected in previous steps is used in creating a picture on the current biophysical condition of the forestland within the territorial jurisdiction of the local government. The map overlays are used to analyze the data and derive information. Issues, threats and opportunities for further development of forestlands are assessed through map overlays and consideration of trends. Assessment of the new emerging issues on disaster risks, climate change adaptation, biodiversity conservation and REDD+ are included in the analysis. The analysis may also define the need for more detailed studies, e.g. or biodiversity assessments, that may be scheduled in parallel or after the actual FLUP process, if required.



3 Situational analysis

STEP 2 Socio-economic demographic and institutional assessment

Objective	Socio-economic condition, capability of mandated institutions and emerging challenges and opportunities for FLUP implementation analyzed
Outputs	Analysis of stakeholders, institutional assessment

The biophysical assessment is complemented with socio-economic and institutional assessment where socio-economic and institutional data are used to explain trends and emerging issues. The institutional analysis will further contribute to the strategic planning phase and help in identifying appropriate strategies for implementation of the FLUP and strengthening of institutions.

STEP 3 Define protection and production areas

Objective	Development controls (“non-negotiables”) are defined and protection / production areas are established in maps
Outputs	Derived maps on protection / production, definition of development controls



The establishment of the non-negotiables or development controls is one of the key results of the FLUP. These controls are based on existing national and local policies and current biophysical condition. The overlays of other themes to defined protection / production areas will further help to analyze the emerging issues and opportunities in the future management of these areas. Later the identified protection / production categories will guide all tenure holders in preparation of appropriate on-site management plans and help the local government and DENR to monitor the implementation of the FLUP.

STEP 4 Propose appropriate tenure instruments for open access areas

Objective	Based on the situational analysis appropriate tenure instruments are identified for open access areas
Outputs	Proposed tenure map (allocation)

The available options for tenure are reviewed. The results of the situational analysis including protection and production areas and information on population are considered in proposing appropriate tenure / allocation instruments to close open access areas within the territorial jurisdiction of the local government.

4 Plan formulation



1 STEP Formulate vision, mission, and goals

- Objective** Vision and goals for FLUP implementation agreed by the local government and DENR
- Outputs** Vision and mission statement, goals / objectives and targets for the next planning period

The FLUP vision and mission is formulated based on the existing CLUP vision and mission. Aligned with the vision, local government and DENR then formulate shared goals and objectives and agree on targets for the next medium term planning period.

2 STEP Formulate strategies and recommendations for improving the governance system, monitoring and evaluation, financing and investments

- Objective** Strategies and recommendations are formulated to effectively implement the FLUP
- Outputs** Technical strategies, institutional mechanisms for FLUP implementation, financing, monitoring and evaluation plan

Based on the situational analysis, strategies and recommendations are created for the FLUP implementation. These strategies can include: support to existing tenure holders, closing of open access, resource management planning, the formulation of local policies in support of FLUP implementation, enforcement, financing and investment.

3 STEP Prepare detailed work and financial plans

- Objective** Work and financial plan prepared and aligned with the Comprehensive Land Use Plan (CLUP) planning cycle
- Outputs** Medium term plan, detailed work and financial plan for the first year of implementation

To realize the priority strategies and recommendations formulated in the previous step, a medium term plan work and financial plan based on the CLUP planning cycle is prepared. The detailed annual work and financial plan for the first year of implementation should already encompass the readiness of the local government, DENR and possible other financiers to commit funds for implementation. The targets, fund sources and responsibilities are clearly indicated in the plan.

5 Adoption of the Plan

1 STEP Adoption of the Plan by the Local Government

Objective	The Municipal Government adopts the FLUP
Outputs	Municipal Development Council endorsement, Sangguniang Bayan resolution, DENR affirmation

The FLUP is presented to the Municipal Development Council who with resolution endorses the FLUP for review to the Sangguniang Bayan. After review the Sangguniang Bayan enacts an ordinance or signs a resolution adopting the FLUP as local government plan guiding the implementation of all activities in the forestland. The adoption means that all of the strategies and recommendations are accepted and the local government has committed to support the implementation of the plan including the provision of the regular budgetary allocation and its integration to the CLUP.

2 STEP Affirmation of the plan by DENR

Objective	DENR affirms the FLUP
Outputs	DENR Technical Review and affirmation

The DENR conducts a technical review of the FLUP to ensure established standards affirm its implementation.

3 STEP MoA for joint implementation of the FLUP between DENR and the Municipal Government

Objective	The FLUP implementation starts with signing of the Memorandum of Agreement (MoA)
Outputs	Signed FLUP MoA

The local chief executive together with the DENR Regional Executive Director signs a MoA, starting the implementation of the agreed plan. The MoA affirms partnership between DENR and Municipal Government. In the MoA, both commit to the implementation of the enhanced FLUP.





Co-Management Agreement between DENR and Local Government for open access areas

Objective	Co-Management Agreement is signed for open access areas identified in the FLUP
Outputs	Signed Co-Management Agreement

A Co-Management Agreement (CMA) is signed for specific open access areas identified in the FLUP situational analysis. The enhanced FLUP process aims at defining clear tenure / allocation arrangement in all public lands. The CMA is a viable option to bring attention to the areas without formal tenure and make the municipal government together with the DENR, responsible to facilitate allocation of these areas and eventually bring them under responsible management. The CMA is signed by the local chief executive and the DENR Regional Executive Director.

Sub-agreements and specific tenure arrangements will be subsequently forged for open access areas covered by the Co-Management Agreement. (*Refer to Implementation Process*)

6 Implementation

STEP 1

Integrate priority measures of the FLUP into the local development plans (Barangay Development Plans, Comprehensive Development Plan) and Annual Investment Plans and invite prospective financiers / investors

Objective	FLUP measures are integrated into regular plans of the local government and funds are secured for implementation
Outputs	FLUP measures integrated in the Barangay Development Plans, Municipal Development Plan and Annual Investment Plan, partnerships with prospective financiers and investors created

After adoption of the FLUP, the first task of the Municipal ENRO is to facilitate integration of FLUP measures into regular plans of the local government. The local government can attract and be the broker for further investments to support FLUP implementation, but core funding should be first secured by the local government. The objectives of the enhanced FLUP encompassing the whole cycle of activities from planning to management, implementation, and monitoring and evaluation of the agreed plans cannot usually be met without a permanent Environment and Natural Resources Office (ENRO) equipped with regular budget and sufficient human resources.

In addition, the role of the barangays in supporting the FLUP implementation becomes very important after adoption of the FLUP. The ENRO can facilitate the engagement of the Barangay Development Councils to integrate the FLUP in the Barangay Development Plans and strengthen capacities of the Barangay Development Councils and other barangay level institutions to tie the FLUP implementation into the regular activities of the barangay.

STEP 2

Facilitate formulation of Resource Management Plans and issuance of corresponding tenure instruments for open access areas

Objective	The Resource Management Plans are formulated for the areas under Co-Management Agreement and open access areas are covered with tenure
Outputs	Co-Management Agreement Resource Management Plan, sub-agreements / tenure under Co-Management Agreement areas

The local government together with the DENR, facilitates preparation of the sitespecific resource management plans for the open access areas under the Co-Management Agreement (CMA).

The Resource Management Plan (RMP) is the implementation plan of the FLUP and defines proposed land use and corresponding management prescriptions to facilitate protection and sustainable management in line with the FLUP. To gain ownership and acceptance involvement of the barangays through Barangay Development Councils and other institutions at the local level is important in the drafting of the RMPs.



In the areas with forestland occupants, the local government together with DENR can issue sub-management agreements under the CMA to recognize individual property rights and facilitate security of tenure.

Sub-management agreements must follow proposed land use and management prescriptions agreed in the RMP and therefore RMP should always be prepared before issuance of such agreements.

The conditions for the issuance of sub-management agreements are further stipulated in the local ordinance. The sub-management agreements endorsed by the DENR could be used as a proof to process the utilization permits for small-scale sustainable harvesting. Eventually, the sub-agreement holders can also apply permanent tenure from the DENR.

3
STEP

Support existing tenure / rights holders to align or update their Resource Management Plans with the FLUP

Objective	The resource management plans of all tenure holders are updated and follow protection and production areas identified and agreed in the FLUP
Outputs	Updated Community Resource Management Framework of the Community-Based Forest Management Agreement holder, Farm Plan of the Certificate of Stewardship Contract holder, Comprehensive Development and Management Plan of the Integrated Forest Management Agreement holder, Ancestral Domain Sustainable Development Protection Plan of the Certificate of Ancestral Domain Claim / Title holder.

All tenure instruments have corresponding resource management plans to define site-specific allowable land use and practices to guide proper management of the tenured area. However, often these plans are currently not followed, are out-dated or do not provide clear guidance for tenure holders to effectively support the protection and enhancing of the productive capacity of the area. Within the enhanced FLUP framework, local governments together with DENR or NCIP as the case may be, have the responsibility to support tenure holders / allocation managers to review and update these plans when needed. The plans are aligned with the approved FLUP and follow protection / production areas identified within the FLUP. The resource management plans once approved can be used in monitoring and evaluation to follow up that agreed measures are in place.

In addition, the resource planning process itself can create an avenue for establishing partnerships for financing and technical assistance to support tenure holders to realize the development goals and targets identified in the respective RMPs.

6 Implementation



STEP 4

Ensure enforcement

Objective The protection measures agreed in the FLUP are enforced in the ground

Outputs Deputized forest guards

In this step, the rules for forest protection are outlined and the structures for enhancement of agreed FLUP regulations are being built. Teams of deputized forest guards (Bantay Gubat) are formed at the field level. Monitoring of FLUP implementation in the ground with clear protocols and reporting lines is the best way to support enforcement of the agreed development controls / non-negotiable and fulfil goals for protection. If forest guards are employed by the local government, these should first receive training and be duly deputized by the DENR to have necessary skills and mandate to act as enforcers. Funding for enforcement needs to be ensured under the local government budget at the ENRO or from the DENR’s budget for local enforcement.

STEP 5

Formulation of ordinances in support of FLUP implementation

Objective The implementation of the FLUP is supported by local ordinances that ensure transparency and sustainability

Outputs Local ordinances

After formulation of the FLUP the local government can enact, in line with national policies, local policies and guidelines, to specify procedures as well as define rights and responsibilities of the partners supporting the implementation of agreed measures. Institutionalizing FLUP implementation through local policies creates continuity and supports transparency. Moreover, aligning of the national policies to the local context can raise awareness and make the local government more engaged and committed in supporting the realization of the enhanced FLUP.

These local policies can include, but are not limited to, ordinance for the issuance of sub management agreements under CMA, agreements of the joint enforcement of the protection measures, ordinance on beneficial user fees providing incentives and disincentives to direct land use and practices towards sustainable management, agreements on benefit-sharing schemes to support further investments etc.

7

Monitoring and evaluation

1 STEP Implement FLUP Monitoring Plan

Objective	Plans are effectively and efficiently implemented and results are achieved
Outputs	Enforcement of development and protection measures, periodical evaluation



Monitoring responsibilities should already be identified in detail and agreed upon in the monitoring and evaluation plan of the FLUP. It is ideal that all those involved in the FLUP plan implementation are aware of their respective roles in monitoring results. However, the entire monitoring responsibility should be supervised by a trained monitoring coordinator, who is clear about his/her tasks. The coordinator, usually ENRO or Municipal Planning and Development Coordinator, oversees the monitoring and evaluation initially based on plan agreed in the FLUP.

Since monitoring basically is done to improve steering and decision-making, various reporting templates and guidelines should therefore be made available for everyone with monitoring responsibility.

Important part of the monitoring is regular checking the enforcement of agreed development and protection measures, this together with monitoring of other agreed medium term targets, creates basis to evaluate the progress of FLUP implementation.

Periodical evaluation is organised to assess the result of FLUP implementation and support planning. Revision of strategies based on evaluation results transforms FLUP from static strategic plan to strategic approach. The FLUP is no more a planning document kept on the shelf but a living plan that evolves based on lessons learned and experiences gathered in its implementation.

