



PROFOR'S FOREST GOVERNANCE DIAGNOSTIC TOOL

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WHY DO WE CARE ABOUT GOVERNANCE?

THE COSTS OF POOR FOREST GOVERNANCE



Ecological: Deforestation, depletion of resources, loss of biodiversity and ecosystem services



Economic: Evaded taxes, illegal logging and other forest crimes

Social: Human displacement, conflicts and violence



Political: Corruption contagion and erosion of public institutions

Forests: Many challenges to sustainable use

Biophysical: Multiple benefits/uses and trade-offs among these. Irreversibility. Long recovery periods. Poor accessibility to forest areas.

Social: Multiple users (from indigenous peoples, to small and medium forest owners, to multi-national corporations, to international NGOs). with competing interests.

Legal: Unclear, overlapping or unenforceable rights to ownership and access, and conflicts between customary and “formal” legal rights.

Economic: Need to balance the supply of *public* and *private* goods and services. Missing or incomplete markets. *Significant rents* and incentives for corruption. Heavy dependence of the rural poor for food, fuel and fodder. Both, monetary and non-monetary, benefits are important and need to be balanced.

Inter-sectoral competition: Land under forests come into direct competition with demand for agriculture, infrastructure (e.g., roads and highways) and energy (e.g., hydropower).

Agency: Organizations tasked to oversee forest management suffer financial and capacity constraints. Weak oversight over forest estates.

State: In many countries, forests take low priority and the state fosters “extractive political institutions” (Acemoglu and Robinson) which allow for the “looting” and ultimate extinction of the resource.

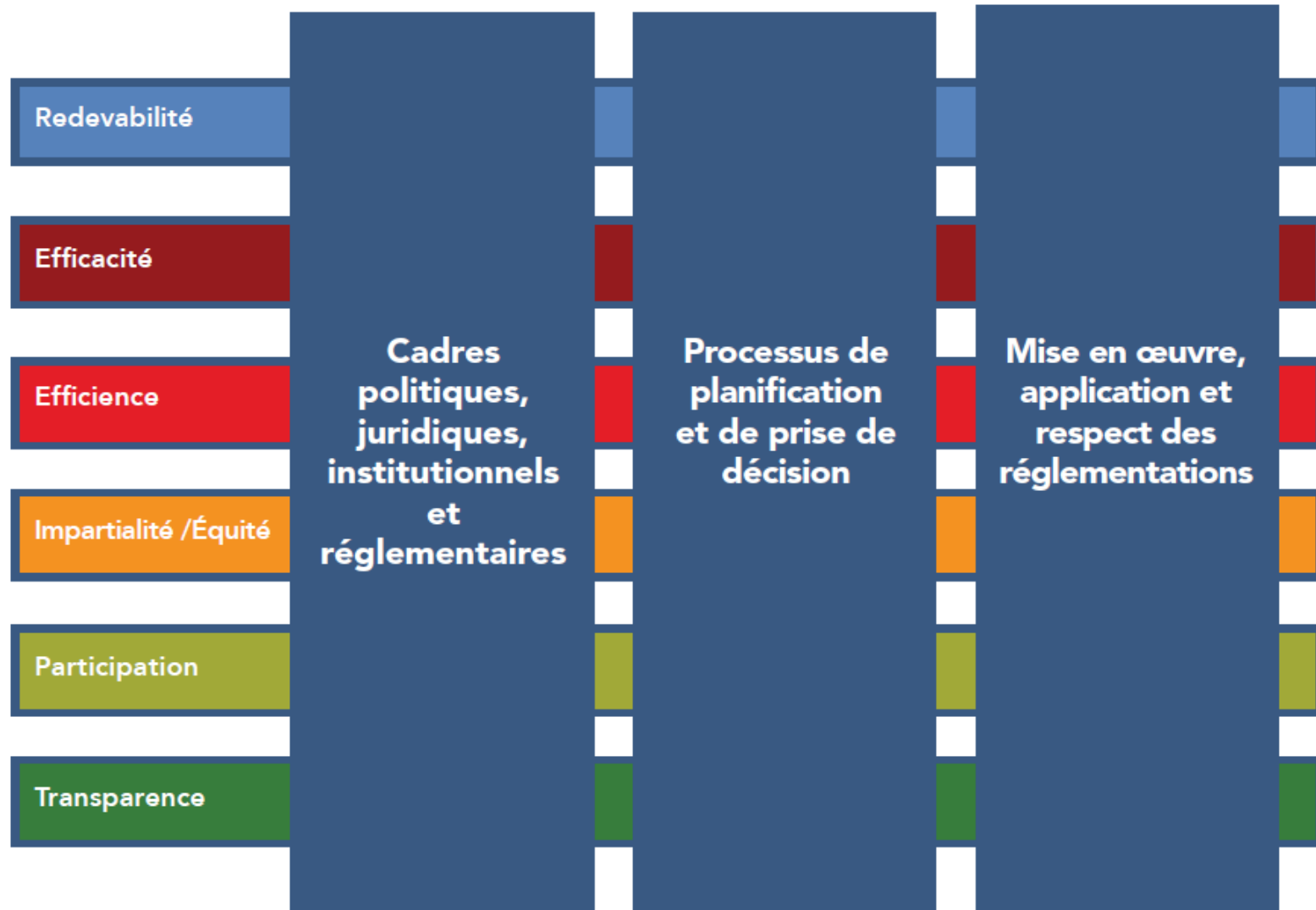
PROFOR's Approach to Measuring and Assessing the Quality of Forest Governance

- Measure WHAT?: Governance in the broad sense of the term.
- WHY?: As a foundation for rational reform, and as a way to track progress of reform.
- HOW?: Through a diagnostic tool which includes direct or indirect “actionable” indicators, evaluated by stakeholders (“social audit”), promoting consensus on needed action.
- For WHOM?: With the sponsorship of government, but with results that can be used by many.

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Piliers et principes de la gouvernance

Fig. 1: Piliers et principes de la gouvernance



What does the PROFOR forest governance tool do?

The PROFOR forest governance diagnostic tool measures the quality of governance by:

- Developing a set of questions keyed to the various components and sub-components of governance identified in the 3 pillars; and,
- Scoring these questions, collectively, by key stakeholders (Government + Relevant Stakeholders).

Example of a Question/Indicator

Q. _____ la loi reconnaît-elle les droits traditionnels et autochtones sur les ressources forestières ?

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- **Argumentaire :**
- Les utilisateurs de la forêt au niveau rural comptent souvent sur les droits traditionnels ou non officiels. Un régime légal et officiel qui ne tiendrait pas compte des droits traditionnels ne fera que décevoir les attentes au niveau local et débouchera sur un litige ou sur de la rancœur.
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- **REMARQUES**
- Pour répondre à cette question, tenez compte d'un large éventail de droits traditionnels potentiels. En fonction de l'histoire, de la culture locale, ou de l'exploitation de la forêt, il pourra s'agir de droits comme l'accès à un pâturage, la protection de zones sacrées, ou encore le droit de récolter du miel.

Réponses possibles :	
a) La loi reconnaît généralement les droits traditionnels et autochtones.	
b) La loi reconnaît les droits traditionnels et autochtones dans la plupart des cas.	
c) La loi reconnaît les droits traditionnels et autochtones dans moins de la moitié des cas.	
d) La loi ne reconnaît pas les droits traditionnels ou autochtones.	

Example of a Question/Indicator

Q2. la loi inclut-elle des dispositions particulières pour partager les bénéfices ou les recettes des forêts classées avec les communautés locales ?

Argumentaire :

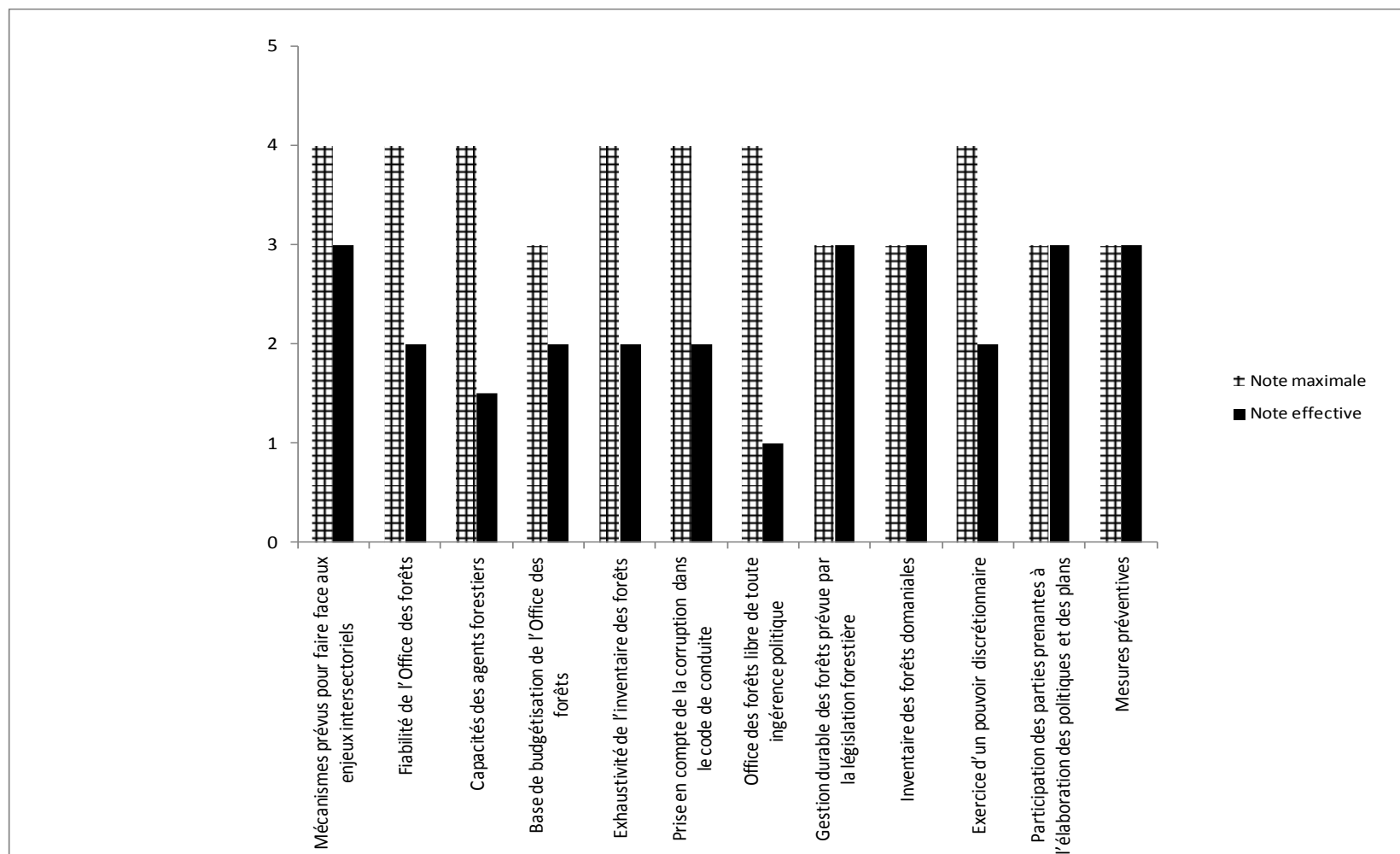
Les communautés rurales dépendent souvent des terres qui les entourent pour des ressources de base ou des perspectives économiques, qu'ils aient ou non un droit d'accès légal et officiel à la terre. Si la loi n'offre pas à ces populations quelque bénéfice tiré de l'aménagement des forêts – outre le fait que cela serait inéquitable – il est probable qu'ils ne soutiendront pas le cadre juridique, et la loi sera alors difficile à mettre en œuvre.

REMARQUES

Les bénéfices peuvent prendre de nombreuses formes, comme de l'argent, du crédit, des biens, de l'infrastructure, une formation, des droits d'exploitation, le transfert du pouvoir de gestion, un emploi, et ainsi de suite. Les bénéfices peuvent également toucher différents niveaux, comme l'administration locale, les organisations locales, les ménages, ou encore des particuliers.

Réponses possibles :	Organisme n° 1	n° 2	n° 3	n° 4
a) La loi comprend des dispositions claires pour le partage des paiements et autres bénéfices avec les communautés locales. Ces dispositions couvrent le partage de bénéfices tirés de toutes sortes d'exploitations de la forêt.				
b) La loi comprend des dispositions claires pour le partage des bénéfices issus de certaines formes d'exploitation de la forêt, mais pas de toutes les sortes d'exploitation.				
c) La loi aborde le partage des bénéfices, mais pas de manière claire.				
d) La loi ne dit rien en la matière.				

Baseline results in Burkina Faso: An illustration



Where has the tool been used?

Country (date completed)	Context	Supported by	Status
Uganda (May 2010)	Forestry seen as engine of growth in country's 5 year plan; thus a need to improve forest governance.	PROFOR, WB	Uganda Forest Authority has failed to act on the findings. However, findings being used by CSOs and international donors.
Kenya (mid 2011)	To resolve governance related bottlenecks seen as obstructing the ongoing forest sector reforms	Finland	Policy brief submitted to government. A forest governance advisor appointed. Findings considered for baseline inclusion in REDD+ strategy.
Burkina Faso (early 2012)	To design forest governance components in its FIP investment plan	PROFOR, WB	Findings disseminated widely. Top priorities for action identified and being considered for inclusion in FIP projects.
Russia (mid 2012)	To incorporate stakeholder inputs into the ongoing revision of its forest sector policy framework; to focus on solutions to cross-border illegal logging.	DFID, PROFOR, WB	Findings being incorporated in policy revision; next round of diagnostics under consideration; results discussed at international conference on illegal logging in 20102.
Madagascar (late 2012)	The Malagasy Nature Alliance seeks to provide the government with a vision for better forest governance.	GIZ	Dissemination of report and discussions with the government.
Congo, DRC (late 2012)	Because of the importance of good governance in achieving the objectives of REDD+	CARPE-USAID, IUCN	Dissemination of report and discussion on 12 action steps
Liberia (April 2013)	As input into the development of its REDD+ preparation plan and identify indicators to monitor improvements in governance.	WB, PROFOR	Report and elements of an action plan completed. Governance indicators for inclusion in Liberia's REDD+ M&E framework under finalization.

The Forest Governance Reform Challenge

“And one should bear in mind that there is nothing more difficult to execute, more dubious of success, nor more dangerous to administer than to introduce a new order of things; for he who introduces it has all those who profit from the old order as his enemies, and he has only lukewarm allies in all those who might profit from the new. This lukewarmness partly stems from fear of their adversaries ... and partly from the scepticism of men, who do not truly believe in new things unless they have actually had personal experience of them.”

(From Chapter VI of Niccoló Machiavelli, *The Prince*. Peter Bondanella and Mark Musa, translators. (Oxford U. Press revised edition, 1984, p.21).

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QUESTIONS?

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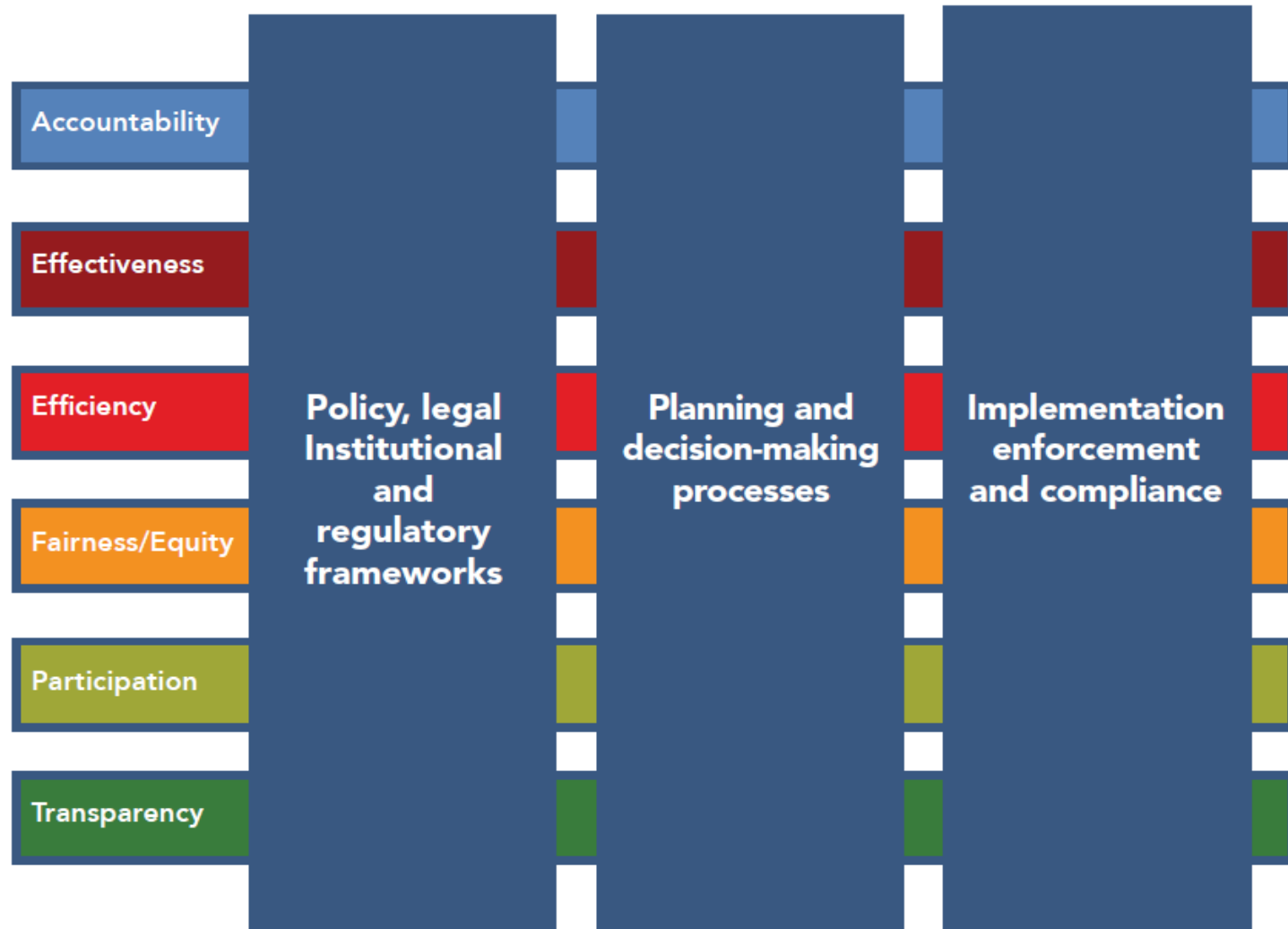


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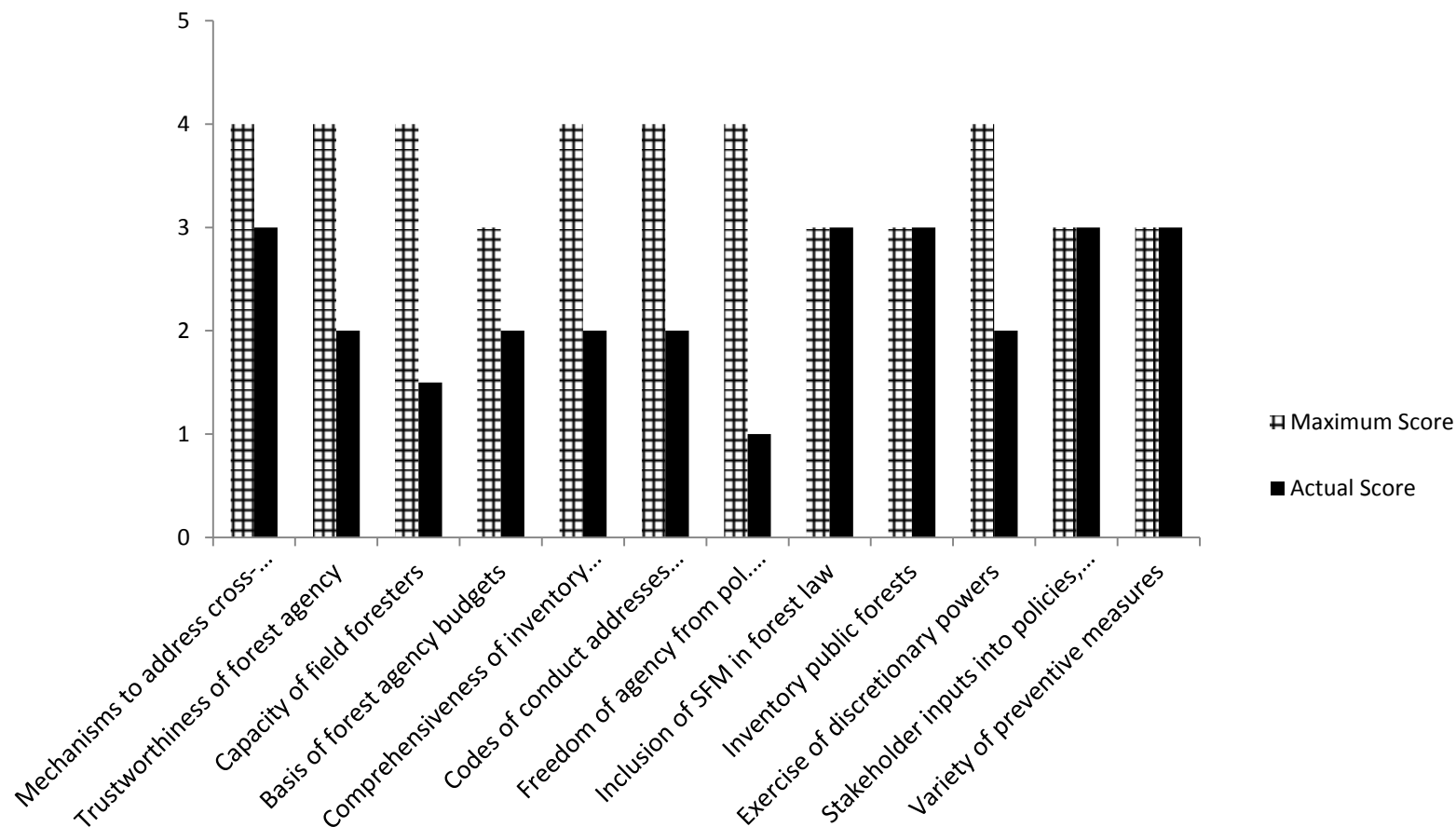
Agriculture and Environmental Services

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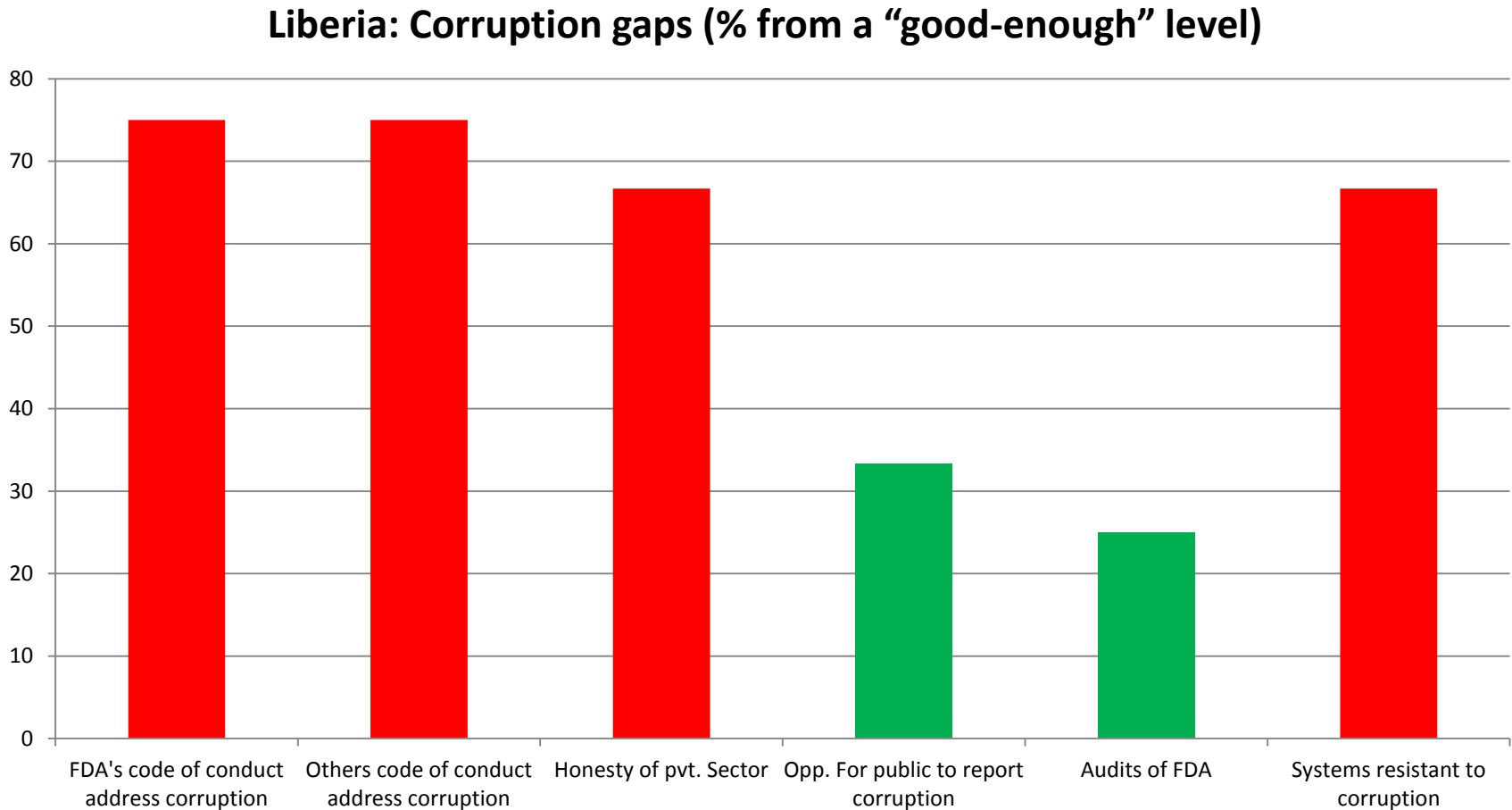
Forest Governance Framework



Baseline results in Burkina Faso: An illustration



Liberia: Corruption gaps (% from a "good-enough" level)



Costs of Poor Forest Governance

- **Ecological:** Unplanned and inappropriate deforestation, depletion of resources important to rural livelihoods and loss of biodiversity and ecosystem services
- **Economic:** Loss of billions of dollars annually in evaded taxes, illegal logging and other forest crimes
- **Social:** Human displacement, conflicts and violence and compromising the traditional rights and beliefs of forest dependent communities
- **Political:** Corruption contagion, erosion of public institutions and loss of credibility of governments

Ostrom's Eight Design Principles

1. Group boundaries are clearly defined.
2. Rules governing the use of collective goods are well matched to local needs and conditions.
3. Most individuals affected by these rules can participate in modifying the rules.
4. Rights of community members to devise their own rules is respected by external authorities.
5. System for monitoring a member's behavior exists; community members themselves undertake this monitoring.
6. A graduated system of sanctions is used.
7. Community members have access to low-cost conflict resolution mechanisms.
8. For CPRs that are parts of larger systems: appropriation, provision, monitoring, enforcement, conflict resolution, and governance activities are organized in multiple layers of nested enterprises.