Workshop on
Forest Governance and Decentralisation in Africa

International Convention Center
Durban, South Africa
April 8-11 2008
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Workshop Website  http://www.turnersconferences.com/conferences/forestgovernance/index.asp
History
At the closing plenary of UNFF 7, the Governments of South Africa and Switzerland announced a country-led initiative in support of the UNFF, the Workshop on Forest Governance and Decentralization in Africa. Governance issues are of fundamental importance to sustainable forest management, the core objective of UNFF. The initiative is co-sponsored by South Africa, Switzerland, the United Kingdom, Norway, the United States of America and Germany. Technical support is provided by the Center for International Forestry Research (CIFOR) and INTERCOOPERATION, a Foundation for Development and International Cooperation based in Switzerland. The Workshop also builds on the 2004 Interlaken Workshop on Forest Governance in Federal Systems and the 2006 Workshop on Forest Governance and Decentralization in Asia and the Pacific. South Africa and Switzerland hope that the Workshop on Forest Governance and Decentralization in Africa will become an early landmark in the work of the UNFF.

Objectives
The Workshop on Forest Governance and Decentralization in Africa brings together diverse stakeholders, policy makers and international experts to share experiences and explore opportunities for generating concrete gains from governance reforms and decentralized forest management. This initiative in support of the United Nations Forum on Forests provides a platform for learning lessons from diverse international and national processes, and facilitates the expression of voices of stakeholders at different levels — especially of local people in their struggle to manage locally important resources that are at the same time of global interest. As local perspectives also enrich international discussions, the workshop aims to strengthen local involvement in the regional and global dialogue on forests.

Specific objectives of the workshop are:
- To distill and share lessons learned from experiences of African countries, including from regional initiatives, in their implementation of decentralization and broader governance reforms in the forest sector;
- To facilitate broader, shared understanding of key trends and issues and sharing of lessons and workable approaches, especially as they relate to poverty reduction and sustainable forest management, including forest conservation;
- To strengthen cooperation and to enhance partnerships among countries and key stakeholders in addressing common challenges; and
- To recommend approaches for strengthening policies, institutions and practices of decentralized forest governance systems to reduce the gap between theory and practice.

Expected Outcomes
The anticipated outcomes of the workshop include:
- A common understanding of the concepts and implementation of decentralization in the general context of forest governance in Africa and their links to selected workshop themes;
- Identified opportunities for coordinated policy responses, capacity building and implementation of best practices;
- Identified instruments for improved decentralization to the local level; and
- Identified strategies for overcoming constraints to effective decentralization and sustainable management of Africa’s forests at regional, national, sub-national and local levels.

As a Country-led Initiative in support of the UNFF, the workshop is expected to also result in the following process-related outcomes, with particular reference to decentralization and forest governance reform:
- Contribute to the regionalization of UNFF in Africa; and
- Provide input (ideas) to the UNFF process and widely disseminate workshop results.

Workshop Themes
The workshop program and discussions are organized around a set of three themes, namely:
- Decentralized Forest Management and Livelihoods
- Conservation, Sustainable Forest Management and Forest Governance
- International Trade, Finance and Forest Sector Governance Reform
### Workshop Program

#### MONDAY, APRIL 7
14:00 – 18:00  
Participant arrival and Registration at ICC

#### TUESDAY, APRIL 8
07:00 – 09:00  
Registration at ICC

**OPENING SESSION: HISTORY, CONTEXT & WELCOME (ROOM 3BC)**  
Chair: Ms P Yako, Director-General: Department of Water Affairs and Forestry

09:00 – 09:45  
Opening Panel  
Welcoming Address (Mr Obed Mlaba, Mayor of eThekwini)  
Address (Mr Peter Csoka, Officer in Charge, UNFF Secretariat)  
Keynote Address (Ms CC September (MP), Chairperson of the Portfolio Committee: Water Affairs and Forestry)

09:45 – 10:15  
Tea / Coffee (Room 3A)

10:15 – 10:45  
Decentralization and the International Forest Governance Agenda  
(Christian Küchli and Wahyudi Wardojo)

10:45 – 11:00  
Overview of Workshop Objectives, Expected Outcomes & Themes (Doris Capistrano)

11:00 – 11:30  
Forestry Governance and Decentralization in South Africa: Introduction and Overview of Field Trips (Dr T Simelane, Director: Forest Policy and Strategy, DWAF)

**THEMATIC SESSION I: DECENTRALIZED FOREST MANAGEMENT AND LIVELIHOODS (ROOM 3BC)**

Theme Description:
- Decentralization, land reform, tenure and customary institutions
- Impact of decentralization on livelihoods
- Institutional design, equity and transfers of power for economically-important resources

Chair: Dr M P Rampedi, Deputy Director-General: Forestry, DWAF

11:30 – 12:00  
Thematic Keynote – “Building Institutions for Democratic and Decentralized Forest Management in Sub-Saharan Africa” (Jesse Ribot)

12:00 – 12:15  
Announcements

12:15 – 01:50  
Lunch with poster viewing (Room 3A)

01:50 – 03:40  
Theme 1 Parallel Sessions  
(15 minute presentation + 5 minutes clarification per presenter, 30 minutes session wrap-up)

**Parallel Session IA:**  
(Room MR 12)

Moderator: Charles Rakotondrainibe  
Rapporteur: Jean-Marie Samyn

01:50 – 02:05  
“Towards Community-based Forest Management in Southern Africa: Do Reforms Lead to Improved Livelihoods for the Poor?” (F. Matose)

02:10 – 02:25  
“Governments are Devolving Responsibility for Forest Management in Africa, but Are Rural People Able to Take on Their Rights?” (E. Barrow, J. Kamugisha-Ruhombe, I. Nhantumbo, R. Oyono and S. Moumini)

02:30 – 02:45  
“Governance of Forest Revenues in Central Africa: Policy and Practice” (J. Tsana Enama and A. Minsouma)

02:50 – 03:05  
“Transfer of Forest Management Responsibilities: The Case of Merikan-jaka and Arivonimamo in the Highlands of Madagascar” (A. Randrianarisoa, E. Raharinaivosoa and A. Kolpff)

03:10 – 03:40  
Parallel Session Discussions
### Parallel Session IB: (Room MR 22)

**Moderator:** James Gasana  
**Rapporteur:** Carol Colfer

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<tr>
<td>01:50</td>
<td>“Local Governments and Forest Resources Governance in Mali” (B. Kassibo)</td>
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<td>02:10</td>
<td>“Community Forests in Central Africa and the Entrepreneurial Model: Context, Challenges and Options for Viability” (P. Bigombe Logo)</td>
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<td>02:30</td>
<td>“Decentralization, Territoriality and Devolution of Powers over Natural Resources in Morocco” (M. Moufaddal)</td>
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<td>02:50</td>
<td>“Resource, Recourse and Decisions: Incentive Structures in Forest Decentralization and Governance in East Africa” (A. Banana, P. Ongugo, J. Bahati, E. Mwangi and K. Andersson)</td>
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<td>03:05</td>
<td>Parallel session discussions</td>
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03:40 – 04:00 **Tea / Coffee Break (Room 3A)**

04:00 – 05:00 **Theme 1 Synthesis (Room 3BC)**  
(10 minute presentations from each parallel session & discussion)

### THEMATIC SESSION II: CONSERVATION, SUSTAINABLE FOREST MANAGEMENT AND FOREST GOVERNANCE (ROOM 3BC)

**Theme Description:**

- Reconciling biodiversity conservation and environmental service protection with decentralized decision-making  
- Means of implementing sustainable forest management  
- Strengthening the linkage between livelihoods and sustainable forest management

**Chair:** Ms T Carroll, Director: Strategic Support (Forestry), DWAF

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<tr>
<td>05:00</td>
<td>Thematic Keynote: “Elusive meanings: Decentralization, Conservation, and Local Democracy?” (C. Diaw, T. Blomley and G. Lescuyer)</td>
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| 06:00  | COCKTAIL RECEPTION & CULTURAL PERFORMANCE  
Hosted by South Africa |

### WEDNESDAY, APRIL 9

**Chair:** Mr. Jürgen Blaser, Head of Forest-Invironment Team and Vice Director Intercooperation  
**Chair:** Mr. Renny Madula, Deputy Director: Forestry Policy and Strategy (DWAF)

<table>
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<tr>
<th>Time</th>
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<tr>
<td>08:30</td>
<td>Overview of Day 2 (Room 3BC)</td>
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| 08:40  | Theme 2 Parallel Session  
(15 minute presentation + 5 minutes clarification per presenter, 30 minutes session wrap-up) |

### Parallel Session IIA: (Room MR 12)

**Moderator:** Anne-Marie Tiani  
**Rapporteur:** Ed Barrow

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<tr>
<td>08:40</td>
<td>“Governance and Gender Equity in Forest Resource Management: A Comparative Analysis of Case Studies from Senegal and Cameroon” (S. Bandiaky and A.M. Tiani)</td>
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<td>09:00</td>
<td>“Can Decentralization Achieve Both Favorable Livelihood and Sustainability Outcomes? Searching for Win-win Policy Outcomes after Uganda’s Forest Sector Reform” (P. Jagger)</td>
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<td>09:40</td>
<td>“Hidden Harvest: Unlocking the Economic Potential of Community Based Forest Management in Tanzania” (T. Blomley, H. Ramadhani, Y. Mkwizu and A. Böhringer)</td>
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<td>10:00</td>
<td>Parallel Session Discussions</td>
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03:40 – 04:00 **Tea / Coffee Break (Room 3A)**

04:00 – 05:00 **Theme 1 Synthesis (Room 3BC)**  
(10 minute presentations from each parallel session & discussion)
Parallel Session IIB:  (Room MR 22)
Moderator: Andre Jules Madingou
Rapporteur: Johan Bester
08:40 – 08:55  “Decentralization Outcomes in the Context of Political Uncertainty in Zimbabwe: A Comparative Assessment from Co-management and CAMPFIRE and Implications for Policy” (E. Mapedza)
09:00 – 09:15  “Madagascar’s Biodiversity Conservation Challenge: Connecting Local and National-level Dynamics” (N. Rabesahala Horning)
09:35 – 10:30 Parallel session discussions

10:30 – 10:50 Tea / Coffee Break (Room 3A)

10:50 – 11:50 Theme 2 Synthesis (Room 3BC)
(10 minute presentations from each parallel session & discussion)

THEMATIC SESSION III: INTERNATIONAL TRADE, FINANCE AND FOREST SECTOR GOVERNANCE REFORM (ROOM 3BC)
Theme Description:
- Forest sector governance reform
- International trade, investment and forest governance
- International transfer payments and compensation schemes
Chair: Mr C Küchli, Federal Office for the Environment (FOEN), Switzerland

11:50 – 12:20 Keynote – “The New Economic “Grand Game” in Africa and the Fate of Forest Sector Governance Reform” (Alain Karsenty)

12:20 – 01:20 Lunch (Room 3A)

01:20 – 03:10 Theme 3 Parallel Session
(15 minute presentation + 5 minutes clarification per presenter, 30 minutes session wrap-up)

Parallel Session IIIA:  (Room MR 12)
Moderator: Steven Ngubane
Rapporteur: Laura German
01:20 – 01:35  “Fiscal Decentralization and Natural Resources Benefits Sharing in the Democratic Republic of Congo” (S. Malele Mbala)
01:40 – 01:55  “The AFLEG and FLEGT Processes and the Challenges of Forest Governance in African Tropical Timber Exporting Countries” (J. Gasana)
02:40 – 03:10 Parallel Session Discussions

Parallel Session IIIB:  (Room MR 22)
Moderator: Michael Peter
Rapporteur: Doris Capistrano
01:20 – 01:35  “Forestry Governance and Trade Transformations: Experience from Tanzania and Implications to Sustainable Development” (S.A.H. Milledge)
01:40 – 01:55  “New Trends in Ghana’s Domestic and International Timber Trade: Some Implications for Local Livelihoods and Sustainable Forest Management” (J.H. Owusu)
02:00 – 02:15  “Inter-Firm Networks and Industrial Strategies in Tropical Forests of Africa” (J.M. Roda)
02:20 – 02:35  “Climate Change: What are its Implications for Forest Governance?” (J. Blaser, C. Robledo and S. Byrne)
02:40 – 03:10 Parallel Session Discussions

03:10 – 03:30 Tea / Coffee with poster viewing (Room 3A)
03:30 – 04:30  Theme 3 Synthesis (Room 3BC)
(10 minute presentations from each parallel session & discussion)

04:30 – 05:45  Group Discussions
Group I: Decentralized Forest Management and Livelihoods (Room MR12)
Group II: Forest Governance, Conservation and Sustainable Forest Management (Room MR22)
Group III: International Trade, Finance and Forest Sector Governance Reform (Room 3BC)
(Group task: to distill main challenges and draft recommendations for UNFF on how these can be best addressed; print and reflect on recommendations during field trips.)

05:45 – 06:15  Groups Presentations in Plenary (Room 3BC)

06:15 – 06:30  Announcements (Field Trip)

THURSDAY, APRIL 10

Note: Please book your seat on the field trip of your choice at the Registration Desk. Limited seats are available. All field trips depart from the ICC Main Ramp.

08:30 – 05:00  Field Trips – Refer to Field Trip Guide

GROUP I – “Ndelu Trust”
The main focus of this trip will be on the history of land conflict and forest tenure reforms, and their effect on rural livelihoods. The group will visit a plantation that was handed back to the community in 2004. The land is managed by Community Property Associations and a Trust elected by the larger community. The South African Pulp and Paper Industry Company (SAPPI) have assisted the Trust in managing the plantation. These communities however face challenges in leveraging land tenure for economic benefit. (Primary focus: Theme I)

Questions to be explored:
1. What have been the key historical events that have shaped conflict over land and forest tenure in this site, and in South Africa in general?
2. What have been the governance responses, and how effective have these been in supporting fair and effective resolution to the conflict?
3. Did the local government play any role in the restitution process? And if yes, what role did it play?
4. What challenges have smallholder timber growers faced when their tenure is secured? What support services are required to enable them to utilize their tenure for socio-economic benefit, and what is actual and potential role of the private sector and government actors in service provision?
5. What comparative lessons may be drawn from other African countries on the relationship between forest tenure, and forest management?
6. What has been the impact on local livelihoods, if any, since tenure has been secured?

GROUP II – “Seven Oaks”
The main focus of Group II will be on the governance of water for use by forestry and other sectors. The group will explore the relationship between water and trees; the role of research in setting policy targets for water regulation and allocation; instruments for cross-sectoral governance of a limited environmental service; a government program for payments for environmental services; and the appropriate degree of decentralization of forest and catchment management and governance. (Primary focus: Theme II)

Questions to be explored:
1. What are the environmental properties of trees, as viewed from the water sector?
2. What was main impetus behind governance reforms in the water sector?
3. What are the main governance instruments used to allocate water among key sectors and stakeholders, and what are their implications for equity? Sustainability?
4. What has been the role of research in setting clear policy targets for water management and allocation (in supporting “evidence-based policy making”) in South Africa?
5. How should the principle of subsidiarity be applied in the context of water management? What functions should be decentralized and what functions need to be coordinated at higher levels for the sustainable management of forest ecosystem services?
Group III – “Greenhill Estate”

The focus of Group III will be on international trade, impacts of international governance instruments (certification) on land use practice, and the social and ecological effects of these practices. The group will visit a port where pulp is processed and exported to identify the main patterns in international trade, and visit producers to see how these patterns influence land use and related impacts. Participants will then visit communities living adjacent to a Mondi plantation to observe how certification of private sector plantations has influenced community livelihoods. (Primary focus: Theme III)

Questions to be explored:
1. What are the key trends in regional and global trade over the past two decades, and what are the main drivers behind these trends?
2. To what extent can “caring markets” serve as governance instruments for improved corporate social and environmental practice?
3. What are the main challenges in certification? How do these challenges differ (in type, scale) between small-scale and community forests on the one hand, and large private-sector plantations on the other?
4. How effective has certification been in ensuring sustainable management of forests and forest ecosystem services? In bringing benefits for adjacent communities or fostering improved relations between plantation owners and neighboring communities?
5. Who has benefited most from sector governance reforms, and why? Who has benefited least? What types of challenges (technical, legal, procedural, financial) are faced by small-scale growers and the poor in benefiting from governance reforms? What could be done to enhance the gains to black economic empowerment from these reforms?

FRIDAY, APRIL 11

THEME SYNTHESIS AND RECOMMENDATIONS (Room 3BC)

Chair: Mr C Mtoba, Regional Director for Forestry, DWAF

09:00 – 09:15 Overview of the Day & Expected Outputs
09:15 – 11:00 Group Reflections from Field Trip & Refinement of Theme-based Recommendations
   Group I: Decentralized Forest Management and Livelihoods (Room MR 12)
   Group II: Forest Governance, Conservation and Sustainable Forest Management (Room MR 22)
   Group III: International Trade, Finance and Forest Sector Governance Reform (Room 3BC)
   (Group task: Re-visit discussions from the end of Day 2 and update group outputs based on what was learnt in field trips; identify thematic gaps.)
11:00 – 11:20 Tea / Coffee (Room 3A)

HOSTED INFORMATION SESSIONS

11:20 – 01:00

SESSION I: (Room MR 12)
Chair: Mr. Motsamai Nkosi
11:20 – 11:45 United Nations Forum on Forests
11:45 – 12:10 Food and Agriculture Organization of the United Nations (FAO)
12:10 – 12:35 Department of Water Affairs and Forestry
12:35 – 01:00 Congo Basin Forest Partnership
SESSION II: Room MR 22
Chair: Prof. Godwin Kowero

11:20–11:45 African Forest Forum
11:45–12:10 Forest Law Enforcement & Governance (IUCN, World Bank)
12:10–12:35 Forest Governance Learning Group (Forestry South Africa, IIED)

(Session Organization: Information sessions hosted by regional initiatives consisting of presentations on what they are doing and discussions. Draft workshop recommendations will be distributed to participants by 12:30)

01:00 – 02:00 Lunch (Room 3A)
02:00 – 04:00 Finalization and Approval of Workshop Recommendations in Plenary (Room 3BC)
04:00 – 04:30 Closing Session (Room 3BC)
  Dr Boen Purnama, Secretary General of the Ministry of Forestry, Indonesia and Chair of the UNFF 8 Bureau.
  Dr Moshibudi Rampedi, Deputy Director-General: Forestry, DWAF

04:30 – 05:00 Coffee / Tea (Room 3A)
WORKING GROUP SESSIONS

Group Organization

Three theme-based working groups will be formed. Participants will divide into groups based on interest. To enable incremental progress toward a final set of recommendations by theme, working group composition will be constant throughout the workshop. The following groups will help to ensure the group discussions are well-facilitated and documented, and help carry the group’s recommendations forward for consideration.

- **Decentralized Forest Management and Livelihoods**
  Abwoli Banana, Carol Colfer, Aimee Randrianarisoa, Jesse Ribot, Jean-Marie Samyn

- **Conservation, Sustainable Forest Management and Forest Governance**
  Chimere Diaw, Renny Madula, Robert Nasi, Enos Shumba, Anne-Marie Tiani

- **International Trade, Finance and Forest Sector Governance Reform**
  James Gasana, Alain Karsenty, Simon Milledge, Steven Ngubane, Jürgen Blaser

**Wednesday, April 9 (04:30 – 05:45 pm)**

Group task: Distil the main forest governance challenges related to your Theme across the African continent; develop draft recommendations for UNFF on how these can be best addressed. Specific tasks by Theme include:

- **Decentralized Forest Management and Livelihoods**
  Reflect on the main challenges faced in different countries in translating the potential from decentralized forest management into reality, with a focus on concrete improvements to rural livelihoods. What are the main bottlenecks faced? Discuss the lessons learnt from practice on how these challenges can be best overcome to realize positive livelihood outcomes. Use these lessons to draft a set of recommendations for UNFF related to Theme I.

- **Conservation, Sustainable Forest Management and Forest Governance**
  Reflect on the main challenges faced in different countries in reconciling biodiversity conservation and/or environmental service protection with decentralized decision-making. Reflect on the key conditions that must be met in order for decentralization to contribute to positive outcomes for both livelihoods and forests. Identify the key lessons that can be derived from practice on how key challenges may be overcome and multiple objectives achieved. Use these lessons to draft a set of recommendations for UNFF related to Theme II.

- **International Trade, Finance and Forest Sector Governance Reform**
  Reflect on the main challenges faced in managing increased and/or shifting demand for forest products and services in particular sub-regions and internationally. Identify the main challenges faced by public institutions in addressing emerging challenges in the sector. Reflect on the implications of increased financial flows from forest mitigation options (CDM A/R and REDD), and on barriers to entry in the international market (for carbon and other forest products and services). Discuss lessons that may be derived from Theme presentations or your own experience on how these challenges may be best overcome. Use these lessons to draft a set of recommendations for UNFF related to Theme III.

**Friday, April 11 (09:15 – 11:00)**

Group task: Discuss any relevant lessons learnt from the field trip related to your Theme (45 minutes). Review draft recommendations for UNFF, and update or revise them based on new observations from the field. Specific questions include:

1. What additional challenges were observed in the field trips related to your Theme?
2. What were some of the more effective governance instruments applied to address those challenges? What were some of the shortcomings of formal governance responses?
3. What additional lessons may be derived for your particular Theme, and how does this influence the draft recommendations from Wednesday’s discussion?
## INFORMATION SESSIONS

**Friday, April 11 (11:20 – 01:00 pm)**

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<tr>
<td>11:20 – 11:45</td>
<td>United Nations Forum on Forests (Chair: Mr. Motsamai Nkosi)</td>
<td>African Forest Forum (Chair: Prof Godwin Kowero)</td>
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<tr>
<td>11:45 – 12:10</td>
<td>Food and Agriculture Organization of the United Nations</td>
<td>IUCN and World Bank (Forest Law Enforcement and Governance)</td>
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<td>12:10 – 12:35</td>
<td>Department of Water Affairs and Forestry</td>
<td>Forestry South Africa and IIED (Forest Governance Learning Group)</td>
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<td>12:35 – 01:00</td>
<td>Congo Basin Forest Partnership</td>
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## POSTER EXHIBITIONS

**April 8 – 9, 2008**

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## BOOK EXHIBITIONS

**April 8 – 9, 2008**

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ABSTRACTS

THEME I: Political Economy and Management of Decentralization

Abstract 1.0 (KEYNOTE)

Title: Building institutions for democratic and decentralized forest management in Sub-Saharan Africa

Author: Jesse Ribot

How can forestry interventions support the emergence of local democracy? How can local democracy foster sustainable and just forest management and use? Several theories (public choice, new institutionalism, neoclassical economics, collective action, common property, and democracy theory) indicate that democratic decentralization can increase equity and efficiency in natural resource management and service delivery. These theories tell us improvements will follow from reduced transaction costs and the integration of local needs and aspirations into local decisions. But, because democratic decentralization reforms rarely take place—in forestry or any other sector—we do not fully understand the conditions under which democratic decentralization improves equity and efficiency or reduce poverty in forestry or any other sectors. There has been enough experimentation in small-scale projects to indicate that decentralization theories have some merit. Now we need to understand why and when decentralization reforms take place and then to follow the outcomes of those reforms over time—when they finally happen.

This article explores the history of decentralization reforms in Africa and in the forestry sector. It examines how decentralization reforms have been fettered or promoted within the forestry sector and outlines obstacles and opportunities for legislating and implementing democratic decentralization reforms. The article then outlines a new approach to the monitoring and promotion of democratic environmental governance. It recommends that environmentalists and democracy advocates collaborate to execute ‘environmental governance infrastructure assessments’ across Africa. The assessments are a tool to evaluate the basic infrastructure of local representation—that is the responsiveness and accountability—of local government and forestry institutions. What would such an assessment involve? What questions need be asked? How much would such assessments cost? How would their findings be channeled into ongoing policy processes? The article will explore how such a tool can promote democratic forestry governance and democratic governance writ large by setting standards for local democratization and yardsticks for measuring its implementation.

Abstract 1.1

Title: Resource, recourse and decisions: Incentive structures in forest decentralization and governance in East Africa

Authors: Abwoli Banana, Paul Ongugo, Joseph Bahati, Esther Mwangi, Krister Andersson

The dispersion of decision making away from the centralized state is a recent feature of forest governance in many developing countries. However the institutional structures and arrangements that can deliver the anticipated benefits of decentralization reforms to local communities require better understanding. This article analyzes the character and content of interactions between multiple actors in the forestry sector in Kenya and Uganda, in both pre and post reform settings. In particular it explores the range and nature of decisions that laws and policies allow the different actors to take and those decisions that these actors actually take in practice. It also assesses to what extent the structures and processes around these decisions provide for positive incentives and accountability to both policy objectives and forest users’ needs and preferences. We discuss alternative institutional designs that hold promise for aligning the incentives of multiple actors, in order to improve benefits and minimize shortcomings of decentralization reforms.
Abstract 1.2

Title: Governments are devolving responsibility for forest management in Africa, but are rural people able to take on their rights?

Authors: Barrow, E., Kamugisha-Ruhombe, J., Nhantumbo, I., Oyono, R. and Moumini S.

The wave of devolution and decentralization is spreading across Africa and through all sectors. Yet how do we separate the rhetoric from the reality? This paper presents an analysis from eastern, southern, central and west Africa from a series of regional reviews on “Who Owns Africa’s Forests”, as part of a larger global synthesis and a follow-up to the highly successful and influential publication “Who Owns the Worlds Forests”. While governments have often been willing to devolve rights and responsibilities – even ownership – of low value and often degraded forests and woodlands, the situation with high value forests is often different. This paper will explore how and why rights and responsibilities have been devolved, the extent to which rural people are able to exercise those rights and the impact on their livelihoods. Evidence will be presented on who owns what sorts of forests, and the areas under different forms of ownership. It analyzes the incentives (and the still remaining perverse incentives) in policy and practice that either enable (or inhibit) community management and real community benefit. While great progress has been made in many countries, there is often a reluctance to really enable security of tenure including community ownership, management and market engagement for many and diverse reasons — many of which are external to the forest sector. This has impacts on the perceptions of ownership and the ability of rural people to exploit the forests on a sustainable basis for livelihood improvement and wealth creation. Lessons, opportunities and concerns from practice in Africa will be presented. Evidence based suggestions and recommendations will be made to improve the situation and ensure that forests actively contribute to poverty reduction, the attainment of the MDGs, and are seen as an important component for wealth creation.

Abstract 1.3

Title: Governance of forest revenues in Central Africa: Policy and practice

Author: Patrice Bigombe Logo

Recent forestry policies and legislations in Central Africa have made provisions for the sharing of income generated by forest resources exploitation, between the State, local governments and local communities. Decentralizing forestry taxation has become one of the most significant outcome of the forestry reforms. In Cameroon, for example, the 1994 reform puts into practice the principles of sharing the profits of logging between the State, the rural councils, and the neighboring village communities with two components: a regular tax and an irregular tax. The regular tax comprises annual forestry fees, of which 50 percent are paid to the State, 40 percent to the rural councils in the forest zones being logged and 10 percent to the neighboring village communities. The irregular forestry tax, known as the parafiscal or village tax, is a tax of CFA 1000 per cubic meter levied on the quantity of timber logged in small forest concessions of up to 2500 hectares in the non-permanent forest zone. The reform has been extended to the wildlife management, whose financial revenues are shared in the same framework. Other countries as the Republic of Congo, Democratic Republic of Congo and the Central African Republic have adopted the similar provisions even if the implementation remains a challenge. The main objective of this was to improve local and indigenous people livelihoods, to solve local development concerns (water supply, electrification, construction and maintenance of roads and bridges, construction, maintenance and equipment of schools and health units, acquisition of drugs, etc.). If some of this is done in some areas, the main problem of the reform remain the lack of governance schemes to guarantee the use of these revenues in local development. Basically because of the reproduction of the central State management paradigm at the local level and the weaknesses of the accountability mechanisms, the poor local environmental representational system and the predatory local elites.

Abstract 1.4

Title: Local governments and forest resources governance in Mali

Author: Dr Béhima Kassibo

Institutional changes associated with liberal democracy and decentralization took place in Mali in 1991 in a context of globalization characterized by the strength of market and the reinforcement of the role of civil society in natural resource management. In forest management, the institutional change was oriented towards the delegation of powers over ‘village forests’ and rural markets to village communities and community user groups (rural management bodies, cooperatives and economic interest groups, among others). This reform, called “decentralized and participatory management,” aimed at achieving fiscal decentralization, based on the regulation of firewood and charcoal commercial exploitation. This was operationalized through differential taxes on tree cutting (depending on the value of tree species). The goal of this change was to have local communities participate in collecting and distributing taxes derived from forest exploitation. Initiated prior to decentralization, this reform later failed to assign to these groups the role they deserved in forest management – falling short of real democratic decentralization. The institutional analysis we intend to use in this study will be based above all on an empirical ‘interactional’ approach, drawn from the Anthropology of Development (Sardan, 1995), itself part of the Chicago School. It consists of identifying different types of institutional arrangements and key actors in each, then asking them the following questions: which powers do you have? From whom do they come? And which purposes do they serve? It further explores which responsibilities they have been granted with, the impacts of these reforms on the formation of a real local democracy, and the necessary conditions for the institutionalization of sustainable management and equitable sharing of forest resources.

Several recommendations emerge from this analysis. First, decentralized bodies in forest resource management being a prerequisite to decentralized participatory management, the State must quickly transfer to them all the necessary powers (decision-making power and power to resources) to fulfill this goal. Secondly, the sharing of taxes derived from forest exploitation must be equitable. Hence, the need to review current legislation (decree 98-402/P-RM of 17 December 1998 in particular) which gives the State and its derived structures the most important part to the detriment of other partners (decentralized bodies, rural communities, Chambres de Commerce). For decentralized bodies and rural communities to benefit from the transfer of forest management, local management bodies will need to be entrusted with management tasks, while keeping a watchful eye on the application of statutory and legislative texts.
Abstract 1.5

Title: Towards community-based forest management in southern Africa: Do reforms lead to improved livelihoods for the poor?

Author: Frank Matose

In this paper, various reforms in forest management across the countries of Mozambique, South Africa and Zimbabwe are analysed. Management reforms are assessed in relation to devolution of authority and control over forest resources to communities. Management reforms are also assessed in relation to their impact on livelihoods for the poor. There are differences to be discerned across the three countries with respect to reforms towards community management. In Mozambique and South Africa, there is disjunction between policy that is supportive for community ownership and participatory management at the national level, respectively for both countries, and realities on the ground. Where in Mozambique, bureaucratic practices frustrate community management and in South Africa, the lack of capacity at lower levels leaves communities without as much look-in into inclusive forest policy coupled with the failure to implement national policy. In Zimbabwe on the other hand, formal forest policy has not been changed, but within existing instruments, management authority has been devolved to selected communities around few case study sites. Devolution across all the three countries is examined with reference to the authority and control that communities enjoy over the management of forest resources. In all the selected case studies across the three countries, there is minimum impact of governance reforms on livelihoods for the poor. The reforms are still in their relative infancy such that the impact on poverty and livelihoods is rather low for the communities involved. The paper will be based on a synthesis of three papers that were reviewing these issues in each of the three countries separately. In each of the countries, case studies were analysed in terms of the impact of devolution on rural people's livelihoods. Livelihoods were assessed in relation to incomes and other benefits accruing to communities across the different case studies for each different country. On the basis of each country's review process recommendations were made of matching policy with practice in order to meet the needs of communities in managing forests to improve their livelihoods.

Abstract 1.6

Title: Decentralization, territoriality and devolution of powers over natural resources in Morocco

Author: Dr. M. Moufaddal

In the Moroccan context, the present situation of forest ecosystems — as characterized in 2005 by the National Forestry Program — shows that the rate of forest cover in Morocco, already weak (9% of the nation's 710,000 km2), decreases annually by almost 30,000 ha, due to high human pressure, deforestation and weak resource governance. In order to remain within theoretical and empirical limits of the theme of this workshop, the assessment derived from our research and analysis puts forward a number of inadequacies. The most relevant one is the inadequacy or incompatibility between the political system, the social system and the ecological system. This inadequacy leads to deep imbalances in the exploitation of natural resources. In turn, these imbalances are having lasting impacts on the society and on the whole governance system.

This statement makes us interrogate the natural resource governance regime in Morocco. What are the policy and operational orientations of natural resources? What are the legal and administrative instruments into force? Where is the niche of decision-making situated? What are the nature and the structure of decentralization (territorial reconfiguration, reinforcement of elected councils and regional bodies, local reforms, etc.) in connection with issues of power over resources and local democracy? What are the relationships between the ‘center’ and the ‘periphery’? The present contribution aims to answer these questions and to measure the effects of policies on rural well-being, local development strategies and environmental sustainability in general, and forestry in particular. Our contribution is a policy and historical analysis of decentralization in Morocco. Its ultimate contribution to decentralization policy and practices lies on the recommendations it formulates for: (i) sustainable forest management - particularly the agriculture/forest interface; and (ii) policy innovation in governance and improvement of power transfer practices.
Title: Community forests in Central Africa and the entrepreneurial model: Context, challenges and options for viability

Author: Joseph Tsana Enama and Anicet Minsouma

The evolution of forest legal and statutory frameworks in Central Africa in general, and Cameroon in particular, is supportive of poverty reduction efforts, by increasing community revenues. Case studies carried out in Cameroon show that rural small-scale enterprises built around community forests could be an alternative source of important revenues for rural people. Small-scale forest enterprises must be viewed here as community-based organizations managing community forests. They employ mainly local people at a casual basis. For example, in the Lomié area (East Cameroon), the organization AVILSO employs casual 65 workers and GICCFB5 25 casual workers. These organizations are equipping themselves with sawmills despite their limited financial means. They are progressively generating revenues intended for the improvement of the living conditions and livelihoods of the community, and thus contributing to local development. In 2006 and within three months of start-up, AVILSO — which manages a 3,600 ha community forest — had produced 134 cu. meters of processed timber with a value of 11,000,000 FCFA ($US 22,000). From this amount of money, 9,916,000 FCFA ($US 20,000) were distributed to 65 local workers, with an average monthly wage of 50,851 FCFA ($US 101). The organization saved 1,000,000 FCFA ($US 2,000) for local development investments. GICCFB5 has succeeded in producing 150 cu. meters of processed wood.

The prospects of local development are good and there is a growing national and international demand. But there are also some constraints like difficulties in accessing market information, the non involvement in the international market (according to laws and regulations in effect), the weakness of community property rights to forests, the limited capital, the lack of stable funding, the competition of big concessionaires, the proliferation of illegal loggers, and the weakness of internal organization. Despite the identified obstacles and constraints, small-scale enterprises in community forests of Central Africa constitute viable alternatives that could enable rural communities to overcome poverty. For this to happen, the followings are needed: (i) to facilitate strategic alliances with large-scale forest enterprises; (ii) to facilitate the grouping of these organizations in order to empower them to deal with the international market; (iii) to build their capacity in internal organization and management; and (iv) to revise legislation supporting the development of small-scale rural forest enterprises.
Abstract 1.8

Title: Transfer of forest management responsibilities: The case of Merikanjaka and Arivonimamo in the highlands of Madagascar

Authors: A. Randrianarisoa, E. Raharinaivosoa and A. Kolpff

In 1996, Madagascar adopted a law that permits the transfer of natural resource management responsibilities to local communities. One year later, a decree elaborating on the modalities of contracted forest management benefiting local communities was put in place. These two policy instruments demonstrate the political readiness of the country to decentralise the management of its natural resources. It can be seen as a turning point in Madagascar’s history, which until then had been characterised by the exclusivity of State management of the country’s forest resources.

Merikanjaka and Arivonimamo are two of the rural municipalities in the highlands of central Madagascar where the new policies of decentralised forest management have been put into practice. Two successive Swiss funded rural development programmes (FDP and SAHA) implemented by Intercooperation, a Swiss NGO, supported the transfer of forest resource management. This paper presents the results of an ex-post comparative analysis of the context, process and lessons learned from these two cases.

Initiatives to strengthen governance practices of decentralised government at municipal level improved the relationship between community based institutions and local authorities. They also contributed to the elaboration of local development plans and to a more sustainable management of the local forests. The empirical evidence highlights the importance of understanding the motives of the local community in assuming the required management roles and functions, with traditional practices and customs prevailing in one area and predominantly economic drivers in the other. They also illustrate how integration of vulnerable households in local forest governance institutions enabled poorer segments of the local community to improve their livelihoods base, and thus contributed to poverty reduction. The experiences described in this paper emphasize the need for professional support by external process facilitators in order to relate the local context and priorities with national policies. Translating improvements in forest management into concrete outcomes towards sustainable local economic development, however, remains a challenge.
 THEME II: Decentralization, Conservation and Sustainable Forest Management

Abstract 2.0 (KEYNOTE)

Title: Elusive meanings: Decentralization, conservation, and local democracy

Authors: Mariteuw Chimère Diaw, Luca Taconni, David Blomley and Guillaume Lescuyer

This paper questions the concept of democratic decentralization and its reductionist focus on state, powers, and subsidiarity. We review key lessons from the political economy of decentralization in Asia, Africa and Latin America to recognize the democratic content of the redistribution of state powers toward peripheral sites of decision-making; at the same time, we take stock of the limited number of success stories and of the different actualization of subsidiarity principles in three cases: political decentralization, CBNRM and biodiversity conservation. In that process, we see overwhelming evidence of the elusive nature of ‘democratic decentralization’ in conservation schemes and the ‘fugitive’ nature of power in decentralization processes — and we asked ourselves why? We argue that part of the problem lies with the ways conservation discourse and decentralization theory are de-linked from more complex concepts of governance. Conservation discourse is primarily concerned with territories; decentralization theory is obsessed with powers and politics; in both cases, the legitimacy and innovative potential of local agency is put into parenthesis or subsumed under external, normative explanatory frames. This leads to overemphasis of political and discursive reasons and de-emphasis of the web of embedded institutions and informal networks through which local meanings and other-than-power capabilities circulate to shape uncertain outcomes. In particular, the historic mutation of the state under a diversity of external and internal pressures is confounded with the multi-form “taking of space” that characterizes local and translocal governance. We argue that the move from government to governance implied by environmental decentralization cannot lead to predefined, singular environmental outcomes. Thus, we advocate for a shift of perspective, considering that this type of governance necessarily happens at multiple scales, involves a range of actors, values and land uses, and requires social negotiation, trade-offs, and enhanced capability to work cooperatively and to deal with unexpected outcomes.

Abstract 2.1

Title: Governance and gender equity in forest resource management: A comparative analysis of case studies from Senegal and Cameroon

Author: Solange Bandiaky and Anne-Marie Tiani

This paper analyzes gender relations in decision-making and access to economically-important forestry resources in Senegal and Cameroon. Forest management decentralization was introduced in Cameroon in 1994. One of the main mechanisms of this policy innovation is the allocation of annual forestry fees to local governments (rural councils). The latter are mandated to manage fees accruing from industrial logging for local development purposes and for poverty alleviation. In 1996, the Senegalese State equally transferred powers to local elected actors to be in charge of land and forest resources management in the zones de terroirs. Like in Cameroon, local governments in Senegal - mainly rural councils - collect taxes on forest products and decide about the management of these financial resources. The main question in the two cases is, does decentralization contribute to gender equity in access to information, decision-making, and forest-based benefits accruing from the exploitation of common property forest resources? The case of Senegal focuses on Dialakoto Rural Community situated in the periphery of Niokolo Koba National Park in Tambacounda region and uses ethnographic methods such as in-depth interviews with members of the Rural Council and Women’s Associations. A baseline study on gender issues is done in the two Cameroonian Model Forests, Dja and Mpomo, situated in the East Province, Haut-Nyong Division. This comparative study shows that women’s access to information, decision-making related to resource management, and forest-based benefits is highly restricted and remains very marginal in the two countries. The paper recommends the followings: (i) in order to promote good environmental governance based on social justice and distributive equity, women’s economic needs and aspirations should be included in rural council budgets, agendas, and local development plans; (ii) the design of information channels, training and capacity building programs should be adapted to the needs of women; and (iii) quantitative approaches to gender-based distributional equity should be utilized by local institutions managing natural resources.
Abstract 2.2

Title: Hidden harvest: Unlocking the economic potential of community based forest management in Tanzania

Authors: Tom Blomley, Hadija Ramadhani, Yassin Mkwizu and Andreas Böhringer

Over the past fifteen years, the Tanzanian government has promoted Participatory Forest Management (PFM) as a major strategy for devolving the management of natural forests for sustainable use and conservation. PFM has been supported by legal and policy reforms as well as significant investments from both the Tanzanian government and its development partners. Various forms of PFM are currently either operational or in the process of being established in over 3.6 million hectares of forestland and in over 1,800 villages nationwide.

One of the major policy objectives of PFM is to bring the large areas of unreserved (and poorly protected) forestland under a defined management regime, implemented by local authorities at community level. This form of PFM, known in Tanzania as Community Based Forest Management (CBFM), has been promoted widely and is spreading rapidly. As many of the largest areas of unreserved woodlands are in some of the poorest and most remote parts of the country, CBFM represents an important strategy in supporting livelihoods in areas where other economic opportunities are severely limited. Prevailing forest legislation provides significant incentives to local forest managers ensuring that almost all forest management benefits are captured at the community or group level. Despite this, there is little evidence that the legal transfer of significant areas of forest has been accompanied by tangible local economic benefits from sustainable harvesting and utilisation. We investigate this apparent paradox, with regard to wider issues of forest governance, illegal logging and vested interests. In addition, we assess the degree to which lower level conflicts between village and district levels of government regarding the approval of bylaws and forest management plans affects the ability of CBFM to deliver poverty reduction outcomes. The paper concludes with policy recommendations on how these governance failures could be addressed.

Abstract 2.3

Title: Madagascar’s biodiversity conservation challenge: Connecting local- and national-level dynamics

Author: Nadia Rabesahala Horning

Why is it difficult to produce biodiversity conservation even when it is imperative to do so? This paper answers this question by applying the logic and dynamics of resource conservation that prevail at the community level to the national level in the context of Madagascar. The analytical framework singles out key actors, their interests vis-à-vis the resource (in this case forests), the institutions key actors devise to protect and promote their interests, and the ways in which these institutions affect the behaviour of decision makers (forest users at the community level and policy makers at the national level). The analysis proceeds in three steps. First, the causal links between rules and conservation behaviour outcomes are tested at the community level. Using empirical evidence from southern Madagascar (147 individuals surveyed around one national park, one sacred forest, and two classified forests), the paper shows that out of four possible institutional scenarios only two yield conservation outcomes. Second, with the same analytical framework, the paper proceeds to demonstrate how two out of four possible scenarios result in strong conservation policy commitments at the national level. Third, the analysis then combines the two levels of analysis (local and national) to demonstrate that conservation outcomes are limited to a specific set of conditions. The Madagascar case shows that conservation models and policies overlook these limited and specific conditions, hence the challenge of biodiversity conservation. It also shows that the national and community realms of decision-making function in disconnected rather than interdependent ways. Because donors typically concentrate their efforts at the national level, this disconnect largely explains why conservation results are not always commensurate with efforts invested in protecting biodiversity. The theoretical implication is that scaling up the analysis from the local to the national level is necessary to explain the shortcomings of biodiversity conservation efforts. This challenges the view that local-level dynamics do not apply beyond the local scale. The empirical implication is that conservation policies and projects need to recognize the specific and limited conditions under which conservation is possible to better focus efforts and use resources more efficiently. Mechanisms for channeling communication among key actors from the two decision-making levels are suggested.
Abstract 2.4

Title: Can decentralization achieve both favorable livelihood and sustainability outcomes? Searching for win-win policy outcomes after Uganda’s forest sector reform

Author: Pamela Jagger

Governance reforms that devolve responsibility for forest management are frequently promoted as appropriate policy tools for achieving both favorable livelihood and sustainable forest management outcomes. However, there is a dearth of empirical evidence to support this claim, or to identify the conditions under which either or both outcomes are achieved. Drawing on the case of a major forest sector governance reform implemented in Uganda in 2003, this research seeks to fill that gap. The research employs a quasi-experimental research design comparing both pre and post reform data for a large sample of households surrounding three major forests in western Uganda; a control group is included in the design. Household income portfolio data collected in 2007 are compared with baseline data that were collected immediately prior to the reform. Changes in forest sustainability are assessed using data on household perceptions of change in forest cover and quality, and remote sensing data to assess rates of forest cover loss in the pre and post reform periods.

Preliminary findings suggest that there are few cases where both favorable livelihood and sustainable forest management outcomes have been achieved under Uganda’s governance reform. In general, local resource users are not benefiting from increased access and management authority over forests. The share of total household income from forest products has either remained the same or declined in areas affected by the reform. Further, non-local resource extraction specialists have maintained control of the largest share of benefits from timber harvesting and other high value activities. Forest cover and quality have been maintained in the control group site. However, in the forests affected by the governance reform both forest cover and quality have declined. The findings from this study challenge the commonly held normative view that governance reforms lead to widespread favorable outcomes for both the rural poor and for forest conservation.

Abstract 2.5

Title: History of the regulation of water use impacts of forestry in S. Africa: Appraisal of the development of policy and governance

Authors: F. Kruger, J. Crafford and A. Ginsburg

For sustainable development, South Africa requires adequate plantation forest resources, with highly efficient production. The current plantation forests consume a significant fraction of the country’s water. This paper deals with the history of regulation of South Africa’s plantation forests in order to protect limited water supplies. It traces the history of knowledge and policy, from early Eurocentric views that forests promote water supplies to the conflicts on the topic that emerged at the end of the nineteenth century, and discusses how this history was guided through long-running experiments in forest hydrology. The paper provides a chronology and assessment of policies and institutions to regulate water use, leading to the new provisions in the National Water Act, and the attempts to decentralise their implementation. These developments have taken place against the background of declining afforestation, small gains in forest productivity, and a deepening timber and fibre shortage in South Africa.

The paper assesses current policy instruments for governance of forest and water against the need for the sustainable forest development required to meet the country’s economic and social goals, considers the effects of the new arrangements, and examines the alternatives. It does so through a comparative analysis between regulatory measures currently applied and alternative, market-based instruments available through the provisions in the National Water Act which are now possible because of scientific and technological innovation. The paper shows how implementation of new regulations is contingent on a diverse array of crosscutting demands from environmental and other legislation, which together create a complex, slow and costly regulatory environment. In parallel, however, there has been rapid progress in forest certification, engaging even small growers, which provides the opportunity for further development of market-based policy instruments for improved water resource governance. The paper concludes with a schematic policy impact assessment.
Abstract 2.6

Title: Decentralization outcomes in the context of political uncertainty in Zimbabwe: A comparative assessment from Co-management and CAMPFIRE and implications for policy

Author: Everisto Mapedza

Forest and wildlife governance reforms through decentralization have aimed at making rural citizens with rights to benefit from natural resources within their areas of jurisdiction. What is the impact of political uncertainty on forestry and wildlife decentralization in Zimbabwe? This paper uses a detailed case study approach to distil lessons of experience for policy makers and practitioners on decentralization between the two resource regimes (forestry and wildlife). The study analyzed the different types of powers such as rule making, decision making, and enforcement of rules and how these impacted on decentralized resource management. The study was carried out in the Mafungautsi area (co-management) and Nenyunga area (Campfire) in Gokwe South and North Districts respectively. The two districts are both in the Midlands Province of Zimbabwe. The study used key informant interviews, participant observation, focus group discussions and literature review. One of the conclusions of the study for the policy makers and practitioners is that there is a need to strengthen local government in order to be able to implement the decentralized responsibilities. Partnerships between the state and Non-Governmental Organisations are important but they should be tailored at strengthening the decentralized units in order to have sustainable local management units. Partnerships between decentralized units and the private sector needs the support of NGOs to help tilt the balance of benefits in favour of the poor rural communities who pay the 'real price' of managing and living with natural resources such as forests and wildlife.
Title: The public domain, conservation and decentralization in francophone Africa: Theory and effects of philosophical and legal antinomies

Authors: Phil René Oyono, Jesse C. Ribot, Andy White and Mariteuw Chimère Diaw

The Régime de Domanialité (State ownership regime), built on Domanialisation (public land and forest registration), is the major referent of the fundamental infrastructure of public forest tenure and land tenure in Francophone African countries. This regime implies a set of legal and institutional arrangements operationalized through procedures of land and forest registration (Le Roy, 1982). In fact, the Régime de Domanialité is a direct legacy of the French colonial decree of July 4th, 1935 institutionalizing the forestry public State domain in colonies. This is why and how concepts such as ‘reserved forests’, ‘classified forests’, ‘protected areas’ (Lanne 1982), and today ‘conservation landscapes,’ have emerged. All these lands and forests - previously under customary property - have been withdrawn from the control of customary rights, to become ‘State property’. Protected areas and conservation landscapes are among the most outstanding and critical examples of this game of exclusion (Ribot, 2001).

Today, Francophone Africa has about 236 protected areas divided into 10 categories. The process of establishing biodiversity conservation landscapes is very active in Central Africa, for instance. The present contribution — a produce of research on environmental decentralization, forest tenure and adaptive collaborative management of forests conducted in Francophone African countries since 2000 — outlines a theory of antinomies between conservation and decentralization, based on a transversal analysis of philosophical, axiological, and operational roots of the two concepts. While the first paradigm systematizes and sublimates State ownership of forests in Francophone Africa (Oyono and Barrow, 2007), the second, on the contrary, argues for a transfer of rights to local communities and advocates for reforms of State forest tenure and legal pluralism.

From the analysis of colonial and post-independence forest policies, examination of discourse and actors’ perceptions, and from participatory tools of community research, this contribution develops the following arguments: (i) the multiplication of protected areas and conservation landscapes has led to the exclusion of local communities from spaces formerly under their control and to the tragedy of ‘contested access’ (Fitzpatrick 2006), despite the positive contribution that customary tenure has brought to biodiversity conservation over centuries; (ii) the creation and management of protected areas leads more often to excessive and fundamentalist approaches (conservatism), that generate perverse results for resource management and local livelihoods; (iii) the philosophical bases and the practices of conservation, on the one hand, and decentralization, on the other, are opposite, in form and content, and the cohabitation of the two paradigms gives way to a policy dilemma; and (iv) the effects of this antinomy are damaging for conservation, decentralization and human well-being. The present contribution poses a fundamental question, for which responses are urgent: How can these two antithetic categories cohabitate here, and what are future scenarios resulting from this cohabitation? The authors are proposing two policy options: (i) partial, but profound and substantive restructuring (désétatisation) of forest tenure regimes in effect (White et al. 2006); and (ii) the decentralization of conservation.
Title: The new economic “grand game” in Africa and the fate of forest sector governance reform

Author: Alain Karsenty

A new pattern of international trade of forest products and investments flows is emerging with particular acuity in Africa, which is of high significance for the forest sector. Some emerging countries such as China are positioning themselves as timber buyers, natural resource investors and major moneylenders to some African Governments. This trend, combined with other factors, has the effect of evicting Western investment flows and is also contributing to the erosion of influence of institutions such as the World Bank, whose forestry portfolio is focused on forest sector governance reforms. The impact of this new investment context could be significant on governance reform trends, especially if endogenous reforming forces are unable to weigh sufficiently to counterbalance high financial stakes associated with growing scarcity of natural resources leading to struggles at different scales for the control of forest land.

One stumbling block of the reform process aiming at fostering SFM and improving forest sector governance in many African countries is the dysfunction of public institutions. A regulation based on economic instruments, as advocated by several donors and international organizations, should also rely on effective law enforcement and the absence, or neutralization, of personal involvement of the administration vis-à-vis forestry business. Foreign promoters of reforms implicitly see Governments (national or locals) either as potential regulators committed toward public interest or, alternatively, as dominated by vested interests, justifying privatization of (notably) control bodies. Too little attention is paid to support alternative institutional public architecture aiming at favoring systems of “checks and balances”: the priority is still largely focused on “capacity building” in a narrow sense or, on the contrary, on privatization as an alternative to “corrupted governments”. The partial privatization of timber export control implemented in several African countries has not removed corruption practices nor proved to be efficient against illegal logging; its contemplated possible extension to field control is fiercely combated by the administration.

Some recent institutional innovations are worth examining, as for instance the institution of “independent observers” to watch the allocation process of forest titles (Cameroon) or to join the forest service for field controls (Cameroon, Congo). Some further steps could be considered, as the restructuring of public control bodies through the introduction of private management and performance-based rewards, as an alternative to privatization. Another proposal matching growing interest is giving public incentives (through tax cuts compensated to the State) to market-based instruments adoption (forest certification), to foster self-regulation of companies and other stakeholders involved in forest management (communities).

Beyond some likely reluctance from the Government to use such “private” incentives, the financing of such schemes is a critical point. Financial means could come from either the carbon market, or new facilities designed to tackle deforestation in developing countries. Most of the proposals encompassed in the “avoided deforestation” scheme favor rewarding governments for their performance in reducing deforestation and seems therefore not suitable to finance forest sector governance reform. The new World Bank instrument FCPF (Forest Carbon Partnership Facility) is a window of opportunity which may allow the financing of some of the governance reforms needed to tackle deforestation, without needing to state what quantity of carbon would be saved through institutional changes. Such reflections on the financing of forest governance reform would be worth taking into account in the design of a multilateral instrument on “avoided deforestation” which allows financial means available at present to finance politically acceptable forest governance reform.
Abstract 3.1

Title: Climate change: What are its implications for forest governance?

Authors: Jürgen Blaser, Carmenza Robledo and Sarah Byrne

Forests play a central role in climate change. The effects of climate change are having a strong change impact on forest ecosystems and will affect the livelihoods of forest-dwelling communities. Through deforestation and forest degradation, forests accounts for up to 25% of the current yearly greenhouse gas emissions worldwide. However, through conserving and responsibly managing existing forests, as well as through planting trees, forests have an important potential to substantially contribute to reducing greenhouse gas emissions and increasing carbon sequestration. Thus, creating enabling conditions for forests to play a role in helping adapt to and mitigating the effects of climate change will be an important task in forestry in the coming years. At present, forestry activities in developing countries are restricted to climate change mitigation activities specified under the “afforestation and reforestation” projects of the Clean Development Mechanism (CDM). Under current regulations, starting these projects requires a high level of expertise and a heavy investment. These high costs, and the requirements for clear property rights for investment, have made it very difficult for decentralized government bodies, smaller forest owners and forest communities to participate in the evolving CDM market. The inclusion of a wider range of forestry options in a post-2012 climate scenario can have considerable potential to benefit local communities, however, options for local communities to participate in such a scenario would need to be developed and promoted. Using forest options for addressing climate change requires a serious improvement in the governance of forest resources, including legal clarity, establishing clear legitimate land and/or carbon tenure, establishing national and local consensus on aims and implications through stakeholder participation and setting up functioning monitoring systems and incentive mechanisms. Major efforts are needed for improving transparency, accountability and equity. Unless robust and proactive steps are taken to clarify and strengthen the property rights of rural and forest peoples, future climate change initiatives will benefit only a few, primarily wealthy elites, and reinforce existing social and economic disparities.

Abstract 3.2

Title: Testing the “Free, Prior and Informed Consent (FPIC) approach” in logging concessions of the Congo Basin

Authors: Luke Freeman, Jerome Lewis, Nicole Clot, Christoph Wiedmer, Jane Carter and Sophie Borreill-Freeman

This paper examines changes that are occurring in the way local forest populations, particularly Pygmy hunter-gatherers, are consulted and involved in the management of forest concessions in the Congo Basin. Demand for timber certified by the Forest Stewardship Council (FSC) is growing and some logging companies operating in the Congo Basin are interested in the market opportunities opened up to FSC certified timber.

Principle 2 and 3 of the FSC standard demand the gaining of Free, Prior and Informed Consent (FPIC) for exploitation. Theoretically, FPIC means that communities living in the concessions should be fully informed about intended logging activities and freely give their consent before any of these activities begin. The aim is to leave the local population room to refuse the company’s exploitation or to negotiate with it on the management of forest resources. Through this process, logging companies are becoming answerable not just to individual states’ code forestier but to supra-national bodies with international standards of sustainable forest management (which generally encapsulate and surpass national ones).

While this may seem clear on paper, in practice a lot of problems may arise many of which are specific to the local social context. How do you achieve equal participation and free consent from indigenous hunter-gatherers who are marginalised by their Bantu farmer neighbours? Can it be said that consent is freely given when for local populations agreeing to logging activities is their only means of obtaining education, healthcare and basic infrastructure? How do you ensure complete consultation among a mobile hunter-gatherer population? Moreover, can FSC auditors prove this has been achieved? The paper summarizes preliminary results from a feasibility study conducted in five major forest concessions in DRC, RDC and Gabon. By looking at the possibilities offered by FPIC and the difficulties surrounding its implementation, this paper will evaluate if and under which conditions these FSC criteria could give local populations control over forest use and improve their living conditions. The paper seeks to provoke debate on whether the universal theoretical concept of FPIC can respond to specific local human needs and situations.
Abstract 3.3

Title: The AFLEG and FLEGT processes and the challenges of forest governance in African tropical timber exporting countries

Authors: James Gasana and Jean-Marie Samyn

One of the important drivers of tropical deforestation is poor governance of the forest resources which leads to illegal practices, including conversion of forests to agriculture land and illegal harvesting of timber and forest products. The illegal harvesting and illegal trade of timber and forest products has a detrimental impact on the environment and forest-dwelling communities, and causes a significant loss of public revenues. Since the G8 launched an action programme on forests in 1998, the timber consumers in world markets have been playing an increasing rôle and attracting considerable attention. In response to this role, important political processes were initiated at regional and sub-regional level in Asia, Africa and in Europe and North Asia to foster international dialogue and cooperation to fight illegal logging and illegal timber trade, and to improve governance in the forest sector. Among these processes, those which are most relevant to Africa are the World Bank supported Africa Forest Law Enforcement and Governance (AFLEG) and the EU Action Plan for Forest Law Enforcement, Governance and Trade (FLEGT), which will be the focus of the paper.

By the AFLEG Ministerial Declaration of October 2003, African governments expressed their intention, inter alia, to mobilize financial resources for and raise awareness on forest law enforcement and governance, support forest-dependent communities to reduce illegal activities, promote cooperation between law enforcement agencies, involve stakeholders in the process, and explore means of demonstrating the legality and sustainability of forest products. As for FLEGT, the aim is to invite partner nations to sign agreements to safeguard access to European timber markets. To date some progress has been achieved in launching these processes. Despite the initial impression that both were focusing on illegal logging and trade, they have catalyzed meaningful reflections on important aspects of forest governance. After the description of the two processes, the paper will review the strategies followed for their implementation and assess their outcomes and impacts, particularly in the areas of sub-regional coordination and networking, capacity building and information exchange, and initiatives at national level. After this review it will analyze the challenges that lie ahead as far as forest governance is concerned.
Title: Fiscal decentralization and natural resources benefits sharing in the Democratic Republic of Congo

Author: Sébastien Malele Mbala and Phil René Oyono

The DRC accommodates huge forest resources, in quantity as well as in quality. The potential of timber production is estimated at more than 10 million cu. meters annually. Paradoxically, the effective annual timber production is less than 500,000 cu. meters and forest revenues are relatively weak, that is to say less than 1 per cent of the country’s GDP. In 2006, the export value of the forest sector was about US$ 42 million for a total amount of 144,000 cu. meters, while in 1998 it was UD$ 54 million. Considering the multiple roles played by forests, the Congolese authorities are paying particular attention to this situation. Indeed, beyond their economic role as a source of timber-based revenue (including taxes), these forests provide food, medicinal plants, firewood, arable land and revenues from the exploitation of non-timber forest products. Thus, forests are indispensable to the survival of 40 millions of Congolese living in rural areas and deeply affected by poverty. In order to contribute to the improving the living conditions of rural people in a post-conflict context, timber production needs to be expanded in a sustainable way. To do this, tools for sustainable management and governance, which integrate social, economic and ecological aspects, are about to be put in place. A number of policy innovations are being design and implemented - among them, forest management decentralization, decentralized forestry taxation, resource governance.

Thus, the government of DRC has engaged in the realization of a priority agenda of reforms which aim at erasing poor natural resources management, governance practices, poverty reduction, post-conflict reconstruction, and sustainable and equitable management of forest resources. Based on a literature review, analysis of institutional frameworks and field work conducted in the country, this contribution has the value of a contextual study of the initiated reforms, particularly those related to fiscal decentralization and to the sharing of financial benefits derived from forest and other natural resources. Firstly, it will shed light on the ‘decentralization’ aspects of current natural resource management legislations, with emphasis on responsibilities and powers devolved to local communities and local governments. Secondly, this contribution will review the financial benefits going to central State (from forest taxes and taxes derived from other natural resources, such as mining). Thirdly, we shall assess the financial transfers (in the form of cahiers de charge — specifications - and royalties) allocated to decentralized bodies such as local governments and local branches of the central governments and intended to reduce poverty. Lastly, we will identify limits of reforms that are currently designed and implemented in the areas of sustainable resource management, local forest governance, democratic decentralization and benefits sharing, and propose some key recommendations.
Abstract 3.5

Title: Forestry governance and trade transformations: Experience from Tanzania and implications for sustainable development

Author: Simon A.H. Milledge

Along with many other African nations, today’s investment and trade in forestry resources in the United Republic of Tanzania arguably offers greater potential to stimulate economic growth and reduce rural poverty than at any period in recent history. In the case of indigenous hardwood exports, a supportive legal framework and transformations in the ‘three R’s’ (Resources, Routing and Retailing) have substantially boosted trade opportunities. Rich in resources, Tanzania has recently become potentially wealthier as the country was found to be supporting wide tracts of hitherto little known species, highly prized in the international market place. The routing of timber from forest to sawmill to port and beyond has been greatly facilitated by improved infrastructure and expansion of the maritime industry. Dramatic growth in market demand and purchasing power from China has transformed global timber trade dynamics and provided the backbone for retailing Tanzania’s valuable hardwoods.

Despite this golden opportunity for the timber trade to generate equitable and broad-based benefits, expectations have not been met, especially in southern Tanzania. This paper quantifies the decline in forestry governance during a period when global market forces have stimulated unprecedented levels of harvesting and export.

This current situation arose over barely a decade, not all unrelated to various reforms in the political system, in economic management and government administration. This paper explains how perverse incentives, both institutional and individual in nature, have created barriers to good, ethical forestry governance. At the institutional level, challenges with implementing rural-based, social models of forest management during a time of market liberalization, privatization and decentralization are presented. Competing interests around this lucrative revenue source is discussed in the light of rural transformation arising from political devolvement and the growing public appreciation of such natural assets. The paper examines how the opportunity and inclination for corrupt behaviour has flourished in these circumstances, and quantifies the extent and impact of different types of forestry-related corruption.

Lastly, this paper recommends how Tanzania might re-structure and strengthen its forestry governance and better harness the potential provided by the continuing, large-scale changes at rural and global levels.
Abstract 3.6
Title: New trends in Ghana’s domestic and international timber trade, their outcomes and implications for policy
Author: J. Henry Owusu

Ghana’s adoption of a free-market based economic recovery program in 1983 marked a major watershed in the volume, content and direction of its timber trade, with implications for the environment, the informal wood sector and poverty-alleviation. This paper utilizes qualitative analysis, based primarily on related previous research, government and other related policy documents and annual government statistical data on timber export, to examine the new patterns of change. It attempts to document the emerging patterns at the domestic and international levels, which are intertwined, and identify and assess the domestic and international factors that account for the change for policy recommendations.

From a structuralist geographical perspective, a healthy relationship between the formal and informal wood sectors in the economy is critical for the sustainability of the whole timber industry and the associated domestic and international trade. However, a preliminary observation is that at the domestic level, the traditional link between the formal and informal sector has been breached; consequently illegal trade in the informal sector continues despite the government’s attempt to curb it, and that high quality wood is often hard to secure on the local markets. At the international level, in the face of a dramatic expansion in trade, the traditional European market continues to erode, albeit slowly as markets in the Middle East, Asia/Far East, North America, Oceania, as well as some West African countries steadily become relatively important. This market diversification and expansion is also associated with a diversification of the content of trade, especially after the traditional log exports were curtailed in favor of non-traditional teak exports and increased emphasis on the export of processed wood.

Government policy plays a major role in the new trends in the timber trade in combination with new realities rooted in the nature of the informal sector at the domestic level, and in the process of globalization on the international arena. Policy prescriptions from the analysis suggest a need for the government to take a new and fresh look at the nature of the informal sector and formulate policies that recognizes the realities of the informal sector and integrate it with the formal rather than the current smothering approach which does not auger well for sustainability.

Abstract 3.7
Title: Inter-firm networks and industrial strategies in tropical forests of Africa
Author: Jean Marc Roda

One classical industrial organisation has dominated the production and the trade of rainforest tropical timbers up to the 1990s. Heavy investments, a lack of flexibility, actual harvesting policies with clear preferences for high value hardwoods, and a low level of specialisation in the actual marketing strategies among the operators, form the footprint of this organisation. A new industrial organisation of flexible production develops since the mid-1990s. Based on very reactive and mobile interfirms networks, it presents a high level of specialisation in the actual marketing strategies among the networks. This organisation is essentially displayed by communities of oversea Chinese, Indians, Lebanese and Italians. These 4 types of networks are very similar in their structure. Involved firms are simultaneously in cooperation and in competition, which leads to the concept of “coopetition”. Information exchanges and the minimisation of transaction costs constitute the basement of their competitiveness. At the crossroads of economy, geography, regional sciences and business sciences, network production is theorised and generalised into one model. The model explains simultaneously the different types of networks. Trust and reputation are institutionalised. Middlemen and brokers have a key role. The concept of “transaction dimension” is proposed. Within this dimension, firms optimise their location through the hierarchy of relations between the actors, and their communautarism. The model also explains the dynamics of the networks, the resilience of their properties, and the multi-scale nature of their structure.