



Switzerland
Indonesia
South Africa
México
Ukraine

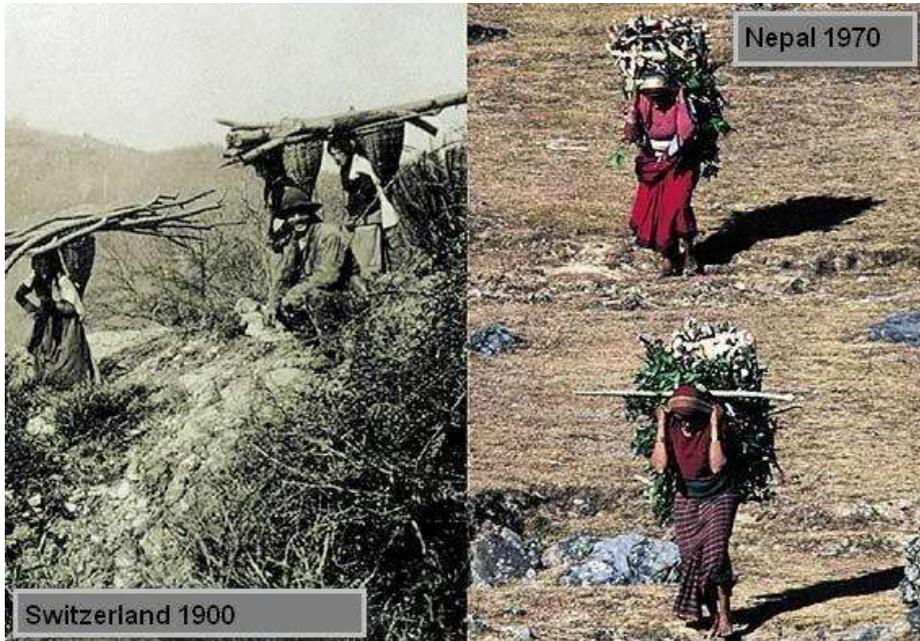
2004 The Interlaken CLI
2006 The Yogyakarta Workshop
2008 The Durban CLI
2010 The Oaxaca CLI
2012 The Lviv CLI

Building on 10 years of global exchange on forest governance

A thematic introduction to
the Interlaken + 10 Country-Led Initiative in support
of the UNFF

Doris Capistrano, Jürgen Blaser, and Carol J. Pierce Colfer
February 2015

A Flashback to 2004 & Beyond



The Universal & the Local Come Together



And the local remains complex...with landscapes



& with human beings



Basic definitions & conceptual threads

- Governance – The ways & institutions that allow individuals & groups to express their interests, exercise their rights & obligations, & mediate their differences.
- Forest governance – The ways these functions are accomplished in regard to forests & the people living in/from them.
- Political decentralization – groups at different governmental levels --- central, sub-national (meso) & local --- are empowered to make decisions about what affects them.

Review of five Workshops & Country-Led Initiatives



- **The Interlaken CLI 2004** - Conceptual & operational aspects, decentralization
- **The Yogyakarta Workshop 2006** - Requisites for economically & technically viable decentralization & governance reform in Asia & the Pacific
- **The Durban CLI 2008** - Governance & decentralization links with livelihoods, conservation & financial flows in Africa
- **The Oaxaca CLI 2010** - Governance & decentralization in Latin America (REDD)
- **The L'viv CLI 2012** - Role of governance, a pathway to a green economy in Eastern Europe & Northern & Central Asia

What is to come?

- A. Forest governance & decentralization in the 2015 context: multi-level governance & issues at different levels
- B. Decentralization & Forest Governance: initiatives & lessons
- C. Implications & Recommendations

A. Forest governance & decentralization in the 2015 context:

multi-level governance & issues at different levels



Bridging scales, knowledge & values in multi-level governance (i)

- **National & global trends** influence social, political, economic interactions at local level; similarly, **local realities** influence how such national & global forces play out
- **Increased fragmentation** in dealing with forests at all level & scales, including protective, productive & social functions; differentiated view of SFM

Bridging scales, knowledge & values in multi-level governance (ii)

- **The values & benefits of forests accrue at different scales**
 - Decentralization *should* facilitate the provision of local values, but power imbalances can interfere
 - National/global values (e.g. biodiversity, climate & hydrological regulation, soil protection)
 - Goal: balance & sustainability of values, benefits across scales
- **Main drivers of deforestation** - multiple scales, generally outside forestry sector; need effective cross-sectoral policies.

Issues & perspectives at different levels:

(i) Local level communities & local stakeholders

- **Locally sustainable forest management** – local communities need benefits, not only burdens (timber, REDD+, for. conservation)
- **CBFM** - Empowerment, capacity-building, community support (IK, local capabilities, tenure) → viable livelihood strategy & means to address SFM & climate change.
- **Forest law, locally:** Inconsistent/conflicting rules, unrealistic prohibitions, burdensome (& corrupt) bureaucratic reqs, high transaction costs --- all interfere with compliance with the law
- **Complaint/conflict resolution mechanisms** needed - to guarantee local management rights are respected, in design / implementation of REDD+, PA management & land-use decisions



Issues & perspectives at different levels: (ii) Landscape level & cross-sectoral coordination

- **Landscape transformation** driven by national/global policies & markets, plus changing consumption (all levels) & expansion of transnational traders & investors.
- **Different landscape actors & production systems**, each with different, dynamic social contexts → different land uses, each requiring appropriately calibrated interventions, incentives, sanctions.
- **Landscape approaches add complexity.** Engagement of women & the vulnerable more difficult. Differing landscape features & admin. boundaries increase conflict. But cultural similarities across landscapes may be source of insights, cooperation.

Issues & perspectives at different levels:

(cont) Landscape level & cross-sectoral coordination

- **Need holistic & comprehensive approach to governance reforms** → bring more coherence/consistency to policies in spheres that affect forests & forest peoples.
- **Cross-sectoral integration of policies** must avoid adversely affecting communities, ideally contributing to forest & human health & development.



Issues & perspectives at different levels:

(iii) National level: central government roles & constraints

- **Inconsistencies in policies/laws/regulations** create/worsen grey areas where corruption & illegality can flourish; effective CA can improve regulation & enforcement.
- Central governments **profess the wish to decentralize**, but tend simply to devolve responsibility with little or no authority or finance.
- **Dysfunction of public institutions** - a stumbling block to governance reform; institutional innovations (e.g., 3rd-party certification, independent observers, MRV approaches for REDD+) can promote change---as can bottom up pressure from an informed, empowered & proactive population.

Issues & perspectives at different levels:

(cont.) National level: central government roles & constraints

- **National Role** includes: providing guidelines, interacting with international actors, promoting information flow, financing & monitoring.
- Some **command & control measures** can protect & help sustainably manage forests; best based on science & robust analysis of local human & natural conditions; with transparency & accountability.



Issues & perspectives at different levels:

(iv) International level: regional & trans-national cooperation

- Increase governmental role in **stimulating markets** for sustainable products (e.g., certified wood products, wood energy, NTFPs) & services (incl. carbon offsets).
- **Enhance trans-boundary cooperation** in forest protection, forest law enforcement, data analysis & research; sharing resources for regional capacity building also key.
- Establish/reinforce **regional learning platforms** (channels for exchange) on forest issues among regional stakeholders of all stripes → regional cooperation, strategy development & concerted action.

Issues & perspectives at different levels:

(v) Global level: governance of the world's forests

- **Lack of a comprehensive stewardship for forests:** common discourse/reference frames growing, but global forest governance regime still fragmented.
- Translate stated national commitments into **concrete actions**.
- Increase **efficiency, effectiveness & capacity of global platforms** dealing with forest issues to deliver equitable outcomes.
- More effectively **connect global platforms to regional platforms**.
- Acknowledge **power & potential of lower level actors**, as they interact with higher level policies; need increased flexibility, feedback & learning in policy/implementation processes at all levels.

B. Decentralization & Forest Governance: initiatives & lessons



Overall trends & initiatives to improve forest governance (i)

Local forest mgmt. & decentralization slowly moving towards:

1. Securing rights to forest resources, sustaining livelihoods, capturing/sharing revenues from commercial activities.
2. Forest governance in (an inclusive) green economy: Greater focus on ecosystem services (e.g., REDD+/carbon, but other non-carbon services/benefits also getting more attention).



Overall trends & initiatives to improve forest governance (ii)

Local forest management & decentralization slowly moving towards:

3. Integration within broader landscapes: Broadened framing from forests to forest ecosystems; use of landscape approach (with implications for global resource governance & the future IAF).
4. Linking of forests with SDGs → broader political scrutiny, potential for forests to be integrated in wider governance framework.

Examples of efforts to promote improved forest governance

- Harmonized framework for benchmarking, Assessment & Monitoring Forest Governance (e.g. FAO/PROFOR framework)
- Development of standards & safeguards (e.g. Forest Governance Framework for REDD+, CCBA Standards, UNFCCC/FCPF/UN-REDD safeguard approaches)
- Certification, VPAs and Legality Verification (in context of SFM)
- Forest law compliance & governance, building on FLEG, FLEGT & legal implications (e.g., Amended Lacey Act & EU-TR)
- Stronger foundation for tenure reform (UNDRIP, Rights & Tenure Review, FAO Voluntary Guidelines on Tenure Reform, RRI Tenure Facility)
- New partnerships & professed commitment to action (NY Declaration on Forests 2014; from Lima to Paris COP, Forest Legality Alliance, Tropical Forest Alliance 2020 hosted by WEF, etc.)
- Numerous local & landscape level efforts, working collaboratively with communities (e.g., CIFOR's Landscape Mosaics Project; ICRAF/CIFOR's AgFor Project; Adaptive Collaborative Management).

C. Implications & Recommendations



Continuing challenges & opportunities for forest governance post-2015 (i)

- **SFM & REDD+:** Addressing degradation & forest conservation, sustainably managing forests & enhancing carbon sinks in REDD+; Requires
 - new knowledge, skills, policies & fundamental changes in attitudes & behavior at all levels
 - institutionalized safeguards to sustain these changes
- **Strengthening representation of vulnerable groups (esp. indigenous peoples & women) → means to strengthen decentralization, via**
 - proactive, creative inclusion (seeing social variation)
 - attitudinal change among government actors

Continuing challenges & opportunities for forest governance post-2015 (ii)

- **Innovation** in forest-based products & services → create new markets & promote a greener, more equitable economy, in partnerships with sectors like renewable energy, water, food, health & agriculture.

Requiring:

- R&D support, technology sharing & knowledge exchange
- Patient investment & flexible financing
- Tapping the expertise & resources of enlightened corporate & local actors
- Channels for easy access to such resources especially for small & medium scale producers.

TO RECAP: Six recommendations for local, landscape & national levels:

Addressing livelihood concerns & local development (i)

1. Develop appropriate approaches to maintain **PFE and protected areas while enabling traditional use by**, & recognizing tenure of, indigenous & local peoples;
2. **Promote SFM/REDD+** - with judicious use of market tools (e.g., transfer payments & partnership agreements); & equitable collaboration with affected communities.
3. **Address barriers** & improve the access of local communities to markets & forest revenues, including through better distribution of fiscal resources;

Recommendations for local, landscape & national levels:

Addressing livelihood concerns & local development (ii)

4. Further promote the **valuation of forest environmental services & forest goods** & encourage fair compensation (e.g. for REDD+), including thru market mechanisms;
5. Enhance the **transparency of forest law enforcement** policies & actions, including holistic anti-corruption efforts at all levels;
6. **Strengthen the human & institutional capacity** of all stakeholders, with a range of methods for sharing knowledge.

Early recommendations for IAF/UNFF post 2015

Within an overall mandate of stewardship of forests to promote the vital significance of forests globally, the IAF *should*:

- Share relevant experiences & lessons learned from governance reform.
- Encourage countries to adopt a harmonized framework (e.g. PROFOR/FAO model) - a common starting point for assessment & monitoring of forest governance.
- Encourage countries to adopt standards & collaborative governance practices to promote greater equity in the distribution of benefits along forest products value chains.

