



Targeting livelihoods evidence

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Summary

This tool draws on experience in Uganda to present ideas on how evidence of the role of forestry in improving people's livelihoods can be collected and communicated effectively. The methods and tactics described are useful for helping to establish forestry in national poverty reduction strategies.

Introduction

The contributions of natural resource sectors to rural and urban livelihoods and hence to national economic development are often unknown by government planners. Forestry is a good example of a generally under-funded sector where it can help to demonstrate to government that investment in the sector is fundamental to their wider development objectives.

Forestry across the globe could be said to be going through a “rebranding exercise” similar to corporate reinvention and marketing. Marketing involves customising the product and building a chain of relationships to help get the new product to its customers.

Targeting livelihoods evidence draws on real experience to provide advice on how to go about raising the profile of forestry at the level of national government. Part One raises some fundamental questions around forestry, improved livelihoods and national policy then presents a 6-step process to demonstrate how forest sector protagonists can increase their influence in government through collecting credible evidence and selling forestry effectively. Part Two describes the case study on which this 6-step process is based: Uganda's NFP (National Forestry Programme) process.

Part One. Key questions and steps

1. Why do we need to better market the forestry sector?

Forests and trees are important for the products and services they offer for sustainable livelihoods. Foresters often see, and deliver, high contributions to society (for example local livelihoods, water supply, tourism incomes). But foresters and other protagonists tend to be ineffective at arguing the importance of forests to society and the economy: we are unable to build or communicate convincing evidence. To apply a marketing perspective, foresters in this case are “sellers”, while government is the “customer” for the forestry “product”. In many countries forestry suffers from being poorly marketed and plainly unattractive (less return on investment than alternatives).

Making claims about the roles of forestry in livelihoods and poverty reduction requires a process of marketing. Marketing in this sense is about raising the profile of forestry, in particular to demonstrate to government that forestry is important to their wider objectives and should therefore receive adequate budget allocations. This tool can help you understand who needs to be influenced, and provides advice on how to go about getting the right messages in the right places. It is designed for use by natural resource governance planners in policy units, government agency leaders involved in reform, policy makers and strategists, monitoring specialists, and advisors on governance and poverty in various sectors.

2. What evidence is effective?

Evidence acquired should fit within the framework of *key governance issues surrounding forestry*:

- Is there a shared understanding of the country's political structures and institutions, particularly of those related to forestry (or any other sector under scrutiny)?
- Is there a shared understanding about the incentives and capacities for change – both in the immediate and the long term?
- What are the external forces, including government-donor relations, international markets and public policy processes, that have an impact on forestry?

- Are impacts on poverty reduction from current and planned sectoral strategies clear?

The fundamental point here is that style of presentation matters as well as content. Evidence needs to be targeted to the audience. This involves addressing the *priorities of other sectors* – not just telling them what the priorities of the forest sector are. The ministry of finance will want to know about financial benefits; the ministry of planning may want to know about forestry's contributions to wider national targets; and politicians are likely to be concerned about what is happening in their constituency and what will win votes.

Influential evidence will involve a *balance of qualitative and quantitative facts*: the 'hard' and 'soft' data sets that tell a convincing story. Collecting basic information on the extent of the historical trajectory of forest sector development, the forestry resources and their role in the economy, their tenure and use, the roles and responsibilities and incentive to improve forest management is all part of the process.

3. Who needs to hear this evidence?

Remember that "forestry is not about trees, it is only about trees insofar as trees serve the needs of people". The first step is to think about who the current stakeholders in forestry are, and what power and influence they hold on the future of forestry. Next think about what they need to equip them to better support forest governance. Marketing forestry needs to be done at different levels. It can help to divide target audiences into *internal and external customers*.

Internal customers (the 'usual suspects') are convened through established forest sector forums (national stakeholder conferences, working groups, etc). Line ministries regularly presents opportunities to influence forest policy agendas, account for progress, develop enabling legislation, and elaborate on national guidelines and standards. It is unlikely that all of these can be addressed at once, so prioritise where the most effective influence can be made most efficiently.

External customers (the 'unusual suspects') are equally important, but outside the sector. Important government processes might include the periodic revisions of Poverty Reduction Support Credits, commissioning of integrated household surveys, high level committees and in-sector working groups, and all stages of negotiation during annual budget cycles.

4. How can sectoral planning link into poverty reduction strategies?

The key forestry policy process in most countries is the NFP (National Forestry Programme). In principle, an NFP process has the potential to be a useful good governance tool, through the sub-processes of negotiation and prioritisation, which should involve participation of the full range of stakeholders. This however cannot be divorced from the realities of how policy gets made in a country, given the characteristics of the political system. Linking the NFP with livelihoods-oriented policy processes such as PRSs (Poverty Reduction Strategies) is an effective strategy to bring forestry into the mainstream of national cross-sectoral policy.

Usually it's not possible to engage with all national policy processes. PRSs are often the best bet given limited resources for lobbying. Getting to grips with government macro-policy processes and structures, gaining access to them, communicating effectively, and leveraging support from decision-makers is a challenge. In getting the NFP linked with a PRS, the important point is to predict how different medium-term and short-term strategies within the NFP will affect opportunities for poor people.

5. What are some useful tactics for marketing forestry?

So, how to make all this happen? A number of steps (6 in total) are helpful to consider, building in specific approaches and also considering communication tactics that will work. The steps are outlined in detail below.

Step 1. Survey forestry initiatives and their opportunities for livelihoods

Step 1 aims to assist the forestry planner to fully appreciate the sector through gaining in-depth understanding of a broad range of forest sector development activities, and provide a qualitative balance of what is happening outside of government.

A sector analysis is useful to demonstrate the breadth of the forest sector, to identify the range and importance of its stakeholders, and to provide accurate information on the extent and condition of a country's forest resources and the trends affecting them. By capturing and learning lessons from 'voices in the field', a stock-take of forestry initiatives will help to:

- Build on existing field level initiatives, and supports existing organisations and institutions
- Identify and address key issues and constraints felt on the ground
- Incorporate the views and concerns of less powerful interest groups
- Develop a system for ongoing learning from pilot programmes
- Suit local forestry realities
- Offer useful arguments that politicians can use for lobbying purposes
- Provide access to socio-economic-environmental data for developing indicators

A stock-take of forestry initiatives might look at land and tree tenure issues, institutional arrangements, organisational and personnel capacity, incentives and benefit sharing, magnitude of benefits, gender and equity issues, policies and laws, and decentralisation. The basic set of information for each initiative will include:

- Problem(s) being addressed by the initiative
- Purpose and expected impact (on primary and secondary beneficiaries)
- Outputs of the initiative
- Activities of the initiative
- Strengths, weaknesses, opportunities and threats of the initiative

This is a resource intensive initiative and could take several months of input from a multidisciplinary team of individuals. The aim is not merely to collect data but to facilitate a common understanding among local and national stakeholders. The proposed process through which the review will be undertaken is rooted in the 'action-learning' concept that seeks to promote mutual learning and betterment of the reviewed programme. The key elements of action-learning are:

- A learning cycle of Action - Review - Reflection & Learning - Planning - New Action
- Participation and inclusion in this cycle of all stakeholders, building deeper understanding and consensus
- Initially the cycle may be externally facilitated but over time it should be internalised and adopted by stakeholders

Step 2. Establish links between forestry and livelihoods of poor people

Step 2 involves further analysis of Step 1 in order to improve knowledge and understanding of how the diverse livelihood strategies of poor people are linked to forests and forestry. One logical flow of how to get to grips with forestry-livelihood links involves understanding:

- The livelihoods of people using forest products: how are these livelihoods differentiated amongst poorer and richer groups, and what are their assets, vulnerabilities and livelihood strategies?
- The exact role forestry plays in these livelihoods.
- What actions people are undertaking for themselves, and how effective they are.
- Services received (e.g. from public, private, and civil groups) and how important and accessible these are.
- Potential opportunities for further forestry-related activities.
- Services needed to enable exploitation of these opportunities and build on people's assets:
 - Are these services available and if not how could they be established?
 - What are the implications for government policies and programmes?
 - What resources/actions would be needed to take these forward?

The proposed process should be translated into a research process that places people and the priorities they define firmly at the centre of the analysis. The research team must have an understanding of the context, an overview of the main policies and programmes, the general dynamics, and the attitudes and understanding of major stakeholders in forestry and its related sectors. Asking the poor will help you explore some of the common assumptions (received wisdom) behind forestry-poverty links and finding out what the poor have to say about them. The Sustainable Livelihoods framework is useful in this research (www.livelihoods.org).

Step 3. Define data collection requirements, methodologies and institutional responsibilities for forests and livelihoods monitoring

Step 3 identifies the monitoring requirements of the PRSs, but does not go as far as evaluation of the PRS. Experience shows that it is useful to draw together information on the links between the different levels (inputs, outputs, outcomes and impacts) so as to identify positive chains of causation and policy-implementation snags that involve several different levels.

Forestry-related data requirements for national monitoring can be categorised several ways. A useful typology is:

- *Economic and social data*: employment, income generation from forestry activities, consumption of forest products, produce, trade, market prices, investments, tree planting, firewood collection, revenue collection.
- *Environmental data*: vegetation cover, deforestation rates, forest inventory and growth, biodiversity, area of protected areas.
- *Policy and institutional data*: ownership, management, budgets, policy processes, civil society involvement, decentralisation, forestry projects, research activities, public awareness.

A combination of different data-collection methods is vital to getting the valid and reliable understanding of forestry issues that poverty monitoring requires. Methodologies may include:

- *Aggregated administrative data*, where staff in the line ministry or statistical office estimate key measures every year, or a change from the previous year. Such estimates are usually rough,

not very reliable and hardly documented. These estimates might be very biased. The source of information (e.g. a timber producer) might have an idea of the bias but not report it.

- *Sample survey data* combined with other data sources such as data on soil productivity and administrative data. This is a sound approach but is resource-intensive for estimates at lower levels.
- *Register data* with regular information on individual property – private, public or otherwise. Registers are costly to establish, equally costly to maintain and mainly suited for agriculture and farm forestry. In practice, registers are only an option for forestry research in countries where they have been established for other purposes.
- *Remote sensing data* using satellite images or photogrammetry to analyse land use cover, classification of vegetation and forest inventories. Satellite images need to be interpreted in computers by skilled operators. The limited accuracy of satellite images implies a large-scale focus, but costs have reduced and accuracy increased in recent years. Field work is often needed to identify or verify satellite data.
- *Field inventories* measure within a sample system of plots to collect data such as volumes of trees, species, vegetation, flora and fauna. Field inventories are often combined with remote sensing methods, where the distribution of vegetation classes has been produced through satellite images and the biomass stock in the vegetation classes found by measurement of field plots. Field inventories at a national scale are costly especially when statistical accuracy is expected at lower levels.
- *Written or oral interviews* of selected stakeholders or administrative personnel using forms with given questions. High standardisation makes quantitative analysis possible, but reduces the flexibility to gather "between the lines" information and assumes that the developers of the questionnaire have a good understanding of the issues at stake.

Although there is an interactive relationship among institutions, there are often four types of institutions that have the lead role of monitoring at different levels: finance ministry, statistical departments, sector ministries, and lower tiers of government.

Step 4. Develop forestry indicators through a participatory process

Step 4 deals with translating the complex relationships between poverty (represented in national policy by the PRS) and forestry (represented by the NFP) into indicators. The importance of good indicators cannot be over-exaggerated. They need to monitor critical steps towards achieving an overall strategic objective. They should specify explicitly the intended primary uses and users – this is rarely done, but very useful.

Some countries already have a poverty monitoring strategy for the national level. If not already in existence, systems to track progress ensuring that poor people derive benefits from government interventions in terms of poverty alleviation policies, programmes and public expenditure are likely to be established soon in most countries. Often this involves a move away from generation of single-purpose sectoral information towards a multi-purpose and interlinked approach. The basic rationale is that qualitative and quantitative data will interrogate each other, providing opportunities for trends and issues to be more deeply explored, for "why" questions to be addressed, and for policy assumptions to be scrutinised. On the other hand, due recognition should be given to emerging performance and impact monitoring initiatives by sectoral ministries.

Useful questions to ask at the national level before setting up new systems for monitoring include (the following relate to forestry, but are just as relevant to any other natural resource sector):

- What are the existing and emerging monitoring systems, and administrative structures in place to capture and use poverty-related data?
- What are the current environment-related indicators now being used? Do any forestry related questions exist in the national surveys or censuses?

- What are the sources of information and collection systems being used? What baseline data and gaps exist? How feasible and cost-effective is it to produce reliable forestry data?
- What roles do central and local government play in capturing and processing this data? How frequent does it happen?
- Are any in-depth thematic research programmes being carried out to answer the “why” questions?
- Have participatory poverty assessments been set up to capture the perspectives of poor people?

Forestry indicators need to be based on good data and neatly packaged in a way that tackles bigger questions related to poverty. Good indicators should be specific and include both a target and a timeframe over which the target is to be achieved. Finally they should be objectively verifiable (eg, not subject to biases of the person collecting the information) and SMART (specific, measurable, appropriate, realistic and time-bound). According to the World Bank PRSP Sourcebook¹, a good indicator:

- Is a direct and unambiguous measure of progress – more (or less) is better
- Measures factors that reflect objectives
- Varies across areas, groups, over time, and is sensitive to changes in policies, programmes and institutions
- Is not easily blown off by course by unrelated developments and cannot be easily manipulated to show achievement where none exists
- Can be tracked, is available frequently, and is not too costly to track

Most information users prefer quantitative indicators because they permit simpler, repeatable and more objective interpretation, which is important for analysing trends over time. However where relevant and appropriate, qualitative assessments are important and should be included into the marketing approach. For instance, the NFP may wish to use multi-level analysis to monitor performance in terms of social development outcomes (e.g. changes in attitudes of stakeholder groups). For each indicator you should define:

- data collection method
- frequency of data collection
- timing of reports

Step 5. Harmonise forestry monitoring with poverty reduction strategies

Forestry needs to find several routes to become institutionalised at macro level. Step 5 aims to assist with presenting a clear case for how forestry monitoring relates to the PRS framework. It helps if the NFP monitoring and evaluation strategy encourage the participation of major stakeholders, so that both policy makers and those affected by the policies use monitoring information. For the purposes of harmonisation and reducing costs, an NFP monitoring and evaluation strategy should be developed within the workplan of national statistical departments.

Some questions to consider when linking the monitoring framework of the NFP with the aims and targets of the PRS include:

- What are the PRS cross-sectoral problems and have they been analysed – in terms of causes and effects?
- What are the PRS objectives – specific objectives in relation to these problems?

¹ Prennushi, G et al. (2001) “Monitoring and Evaluation”, World Bank PRSP Sourcebook www.worldbank.org/poverty

- Are PRS strategies developed – strategies for addressing the problems, in terms of a set of expected outputs with measurable indicators?
- What PRS actions are formulated – actions required on each of the outputs?
- Are responsibilities delegated – for carrying out the actions?

Step 6. Proactively ‘sell’ forestry in key policy and decision-making forums

Policy can be understood as the combined effects of decisions and non-decisions. Policy influence entails shaping these processes. Successful policy-shapers, those with influence, identify entry points within the macro-planning apparatus and use them. *High-level Committees* and *Sectoral Working Groups* are critical entry points to translate policy into action – platforms for claim-making and negotiation at strategic and operational levels. In order to identify and enter these forums, start by answering the following:

- Does the system allow a specific line ministry to be held accountable on delivering poverty related outcomes?
- What changes in the macro-political context are taking place (eg decentralisation, privatisation) that affect the profile of forestry?
- How do these changes affect whether positive outcomes for poor people are achievable, and where evidence is most needed?

You may find that delivering evidence within a coordination mechanism specific to the forestry sector is not always the best tactic. Forums for participating should be considered in light of those actors involved (e.g. public administration, interest group), their level of representation (e.g. local, national), their authority, and their mandate. Nearly all countries are in the middle of reform of public management that includes outcome-oriented approaches to privatisation, fiscal decentralisation and land reform. Indicator development and participation in these committees will receive greater attention than in forestry-specific processes. To be effective, a forest and governance planner will need to take part in various forums.

In reporting achievements in the forestry sector, physical progress, quality assurance, and financial progress elements need to be included. Reported impact evaluation should include impacts that might take some time to come into effect. Also include clear measures of contributions towards higher order targets.

Part Two. Case study: Uganda

The Forest Sector Umbrella Programme was an innovative, sector-wide approach to reforming the forest sector in Uganda. It was a multi-donor programme, led by the Government of Uganda through the Ministry of Water, Lands and Environment, and co-ordinated by the Forest Sector Co-ordination Secretariat. The Forest Sector Umbrella Programme set out to create a positive, effective and sustainable policy and institutional environment for the forest sector in Uganda. In achieving this, it aimed to develop sustainable increases in the economic and environmental benefits from forests and trees, particularly for the poor and vulnerable.

Step 1. Survey forestry initiatives and their opportunities for livelihoods

Uganda has suffered from an increasingly very poor public image of the forestry sector, largely linked to a lack of confidence and trust in the Forestry Department. Consequently, funding and support to forestry from government has been very low. This was recognised as a serious constraint in the National Forestry Programme (NFP) reform process. Without adequate recognition of the value of forests and forestry to wider society, the sector was unlikely to achieve

priority status or sustainability. So, the first thing the Forest Sector Co-ordination Secretariat did was to help policy makers share their appreciation of the sector. What were the building blocks?

A Forest Sector Review was carried out in order to bring together, in one document, a picture of the Ugandan forest sector. It was also to inform policy and legislative development, and the formulation of the NFP. Previously, there had been no cohesive set of information on the sector – much of the information that was available was unreliable and scattered. The Review assessed the state of the resource and its use, its contribution to livelihoods and poverty eradication, and the institutions charged with its management.

The first draft of the Forest Sector Review in 2000 informed the NFP (see figure), but the final draft was only released in April 2003. A number of studies were commissioned for the Review, including an economic study and a private sector study. The economic study made a major contribution to re-evaluating forestry in the gross domestic product. However, perhaps the most influential study was the *Review of Initiatives* (ROI). What did this add to the NFP process?

The ROI aimed to provide a *qualitative* balance to the FSR, by capturing and learning from ‘voices from the field’. An initiative was defined loosely as any organised, forestry-related developmental activity. This included government activities, public projects, private businesses, NGO developments, research, conservation, training and more. This was particularly useful to the development of the NFP in identifying and understanding the wide diversity of stakeholders in forestry.

A master-list of forestry-related initiatives in Uganda² recorded 673 initiatives across the country (see box). These forestry initiatives are generally organised by NGOs and CBOs, with a notable absence of interventions from either central or local government. They focus mainly on tree planting, agroforestry, tree nurseries and environmental education (see box). Little attention is being paid to other areas of forestry livelihoods, such as carpentry, charcoal making, seed supply or energy conservation.

Broadly, public perceptions of forestry had become strongly linked to negative perceptions of the Forest Department. The ROI was therefore useful to:

- Demonstrate that ‘forestry’ extended beyond the Forest Department, to a wide range of players across the sector
- Help those involved in policy development to understand the activities, geographic coverage, motivations and needs of those players
- Show how those forestry activities link to the livelihoods of the poor

Master list of forestry initiatives in Uganda: types of organisation and geographical locations

| <u>Type of organisation involved</u> | <u>no.</u> | <u>Region</u> | <u>no.</u> |
|--------------------------------------|--------------|---------------|------------|
| NGO | 403 | East | 172 |
| CBO | 132 | West | 160 |
| Private | 62 | North | 126 |
| Religious organisations | 36 | South | 104 |
| Central government | 22 | Central | 83 |
| Local government | 13 | National | 28 |
| Schools | 5 | Total | 673 |
| | Total | 673 | |

Review of Initiatives (2001), Ministry of Water Lands and Environment

The outcome of the ROI was an in-depth understanding and appreciation of a broad range of forest sector development activities in Uganda, to contribute to the NFP, policy and legislation. The information allowed sector planning based on ‘soft’ ground knowledge of people’s needs and aspirations, not just on ‘hard’ quantified facts and figures.

Step 2. Establish links between forestry and livelihoods of poor people

The Uganda NFP recognises that poverty is a complex, multi-dimensional phenomenon, the perception of which varies with geographic location, type of community, age, gender and existing

² Forest Sector Co-ordination Secretariat (2001).

levels of service and infrastructure. The Uganda NFP collated existing data, including specially commissioned studies, to show:

- *Forests provide incomes through employment or the sale of forest products.* It is estimated that forestry creates about 850,000 jobs in Uganda. The majority of these are informal, in collection of domestic fuelwood, but as many as 100,000 people are employed full-time and earning wages in the more formal sectors (charcoal production, plantation management, forest industries and institutions). The incomes derived from the sale of non-timber forest products such as bush meat, medicines, rattan and bamboo, craft materials and food are estimated to be about UGS 66 billion per year (USD 38 million). Some studies have shown that poor households in forested areas make up to UGS130,000 (USD75) per year from the sale of such products, at times when there are gaps in alternative income sources such as labour or the sale of farm products.
- *Fuelwood energy is the major source of energy for domestic cooking, heating and lighting in the country.* Over 90% of Ugandans use fuelwood as their main or only source of energy, consuming 16 million tonnes each year as domestic firewood and 4 million tonnes as charcoal. Fuelwood shortages are now increasing in many districts, and it is especially the women and children who are affected as they must walk further and further to collect firewood.
- *Forest products are some of the most important free goods produced in nature* which are critical to poor subsistence households. Shelter and food security are overriding priorities for poor people, and products such as building materials for housing and farm implements, animal and vegetable forest foods which enhance nutritional status, and herbal medicines for a variety of illnesses are harvested free from natural forests. Over 75% of the world's population depend on traditional medicines, many of which are harvested from the wild. Women, children and the elderly are particularly dependent on these wild resources.
- *Forests provide safety nets against shortages of food, fuel and income and against ill-health.* These are especially important at times of natural or economic shocks that perpetuate vulnerability and poverty. The natural diversity found in forests helps to protect rural families from drought or floods, from drastic fluctuations in markets that affect prices of commodities they may grow and sell, or from the insecurities that result from wars and displacement.
- *Cultural and spiritual values of forests enhance social capital and the sense of well-being.* Forests and natural diversity holds special significance for many communities, providing the basis for many religious beliefs and much traditional knowledge. Increasingly these values are recognised by outsiders through eco-tourism, which in turn can provide sources of income and development for poor people.

Step 3. Define data collection requirements, methodologies and institutional responsibilities for forests and livelihoods monitoring

Poverty eradication is one of the main planks of Ugandan government policy, expressed in the Poverty Eradication Action Plan (PEAP). Given the NFP's design within the PEAP framework, its impact will be measured according to its contribution to the four pillars of the PEAP. The main strategies in the NFP that will contribute to poverty eradication, and the indicators of their impact, as outlined in Step 5.

This approach requires the establishment of quantified baselines (which in most cases do not currently exist), and the setting of realistic targets for the achievement of impacts – expressed in terms of a timeframe and quantities. A combination of different data-collection methods has been vital in getting the valid and reliable understanding what poverty monitoring requires. The household and community surveys are now being used to explore levels of service delivery and the reasons for that level of service, and the changes in poverty trends. Participatory poverty assessments also help provide an in-depth exploration of process issues and other unanswered questions arising from survey analytical work. Table 1 highlights Step 3 results.

Table 1 Data, methodology and responsible institutions for national monitoring of the forest sector

| Data | Methodology | Responsible institution |
|--|-----------------------------|-------------------------|
| Economic and social data | | |
| Employment | UNHS | UBOS |
| Income generation from forestry activities | UNHS | UBOS |
| Consumption of forest products | UNHS | UBOS |
| Production | NFA and LG reports | MWLE |
| Trade in forest products | URA reports | URA |
| Market prices | Market surveys/ UNHS | MWLE/UBOS |
| Investments | NFA and UIA reports | MWLE |
| Tree planting activities | Agricultural surveys / UNHS | UBOS |
| Access to resources | UNHS | UBOS |
| Firewood collection efforts | UNHS | UBOS |
| Forestry related vulnerability | UNHS | UPPAP |
| Adoption of biomass energy technologies | UNHS | UBOS |
| Environmental data | | |
| Forest cover / deforestation | Remote sensing | MWLE-NBS |
| Forest inventory and growth | Remote sensing / inventory | MWLE-NBS |
| Status of protected areas | NFA and UWA reports | MWLE / MTTI |
| Policy and institutional data | | |
| GOU budget for forestry activities | Budget allocations | MWLE |
| Ownership and management of forests | NFA reports | MWLE |
| Responsive policy development | Reports | MWLE |
| Civil society voice in policy processes | Reports | MWLE |
| District forestry developments | District / PMA reports | MWLE |
| Delivery of forestry services | District / NAADS reports | MWLE |
| Research and training | MUK, NFA, NARO reports | MWLE / NARO |
| Public awareness | Reports | MWLE |

A full list of acronyms can be found at the end of this document

Step 4. Develop forestry indicators through a participatory process

The dependence of poor people on forest resources, and their ability to improve their livelihoods through forestry, had not been adequately recognised in Uganda through the initial PEAP. The case for public investments in forestry as a means of poverty eradication has strongly increased since the elaboration of the NFP process from 1999 until 2002. The Review of Initiatives in forestry acknowledged that the vast majority of people depend on forestry for all or part of their livelihoods, and it is often the poorest that depend most critically on forest resources for their well-being and survival in the absence of other livelihood assets and opportunities. The challenge was to prove this with hard-hitting indicators, to get others to understand and accept the evidence at face value, and then use it in policy development.

Participating in the Uganda Participatory Poverty Assessment Project

This project is a partnership of the Ministry of Finance, Planning and Economic Development, district authorities and civil society organisations. Through regular national participatory poverty assessments, it aims to inform central Government and development partners of the 'ground truth' of poverty in Uganda – as expressed by the poor themselves. It looks at:

- Improving the understanding of poverty, and how local people perceive poverty
- The dimensions and trends of poverty
- The impact of Government policies on poverty

Early findings from the first participatory poverty assessment were used to inform the NFP, but it was recognised that environment (and forestry) issues were not adequately addressed. In 2002 the Forest Sector Co-ordination Secretariat, with donors and NGOs, lobbied for a more targeted environment-poverty assessment – the Participatory Poverty-Environment Assessment – to improve the understanding of the links. Secretariat staff were instrumental in the working group overseeing the process and documenting the findings, and they continue to be active in disseminating the results as part of the forestry sector communications programme.

Putting forestry on the map. Three district and national reports highlighted forestry as an important resource for local livelihoods. Now forestry and environment have their own chapter in the national report.

Drafting indicators with the Poverty Monitoring and Analysis Unit

This unit monitors how poverty reduction strategies in all sectors are implemented, and the extent to which poverty is being reduced. It has responsibility for the production of a biannual Poverty Status Report, which informs the finance ministry of spending allocations and revisions to the PEAP. These reports are based on qualitative data from participatory poverty assessments and quantitative data from the Uganda Bureau of Statistics.

Raising forestry's profile, slowly but surely. Firewood was recognised as a major issue for the poor in 2001's Poverty Status Report. One of the PEAP's poverty indicators is now a measure of distance to collect firewood. Another is a measure of rates of deforestation (see below).

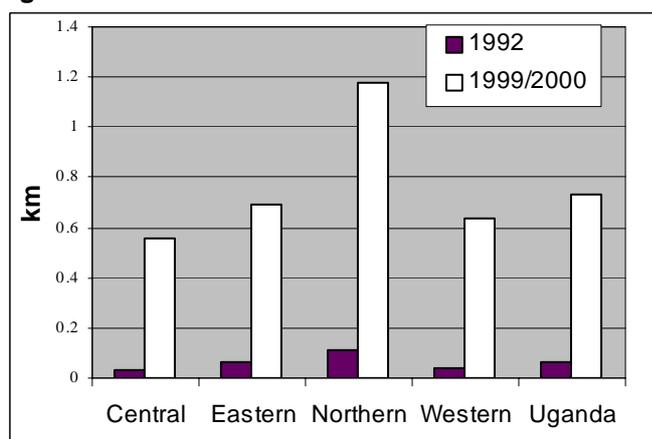
The Forest Sector Co-ordination Secretariat recognised the need to give forestry a profile within the Poverty Status Report, as a means of raising forestry's profile and widening recognition for its contribution to poverty eradication. Staff of the Poverty Monitoring and Analysis Unit were invited onto the NFP Poverty and Gender Working Group to improve their understanding of forestry and to contribute ideas on poverty eradication. They also worked closely with the unit to develop forest-related poverty indicators – four indicators for each pillar of the PEAP (see Step 5). Some were selected for inclusion in the unit's poverty monitoring work. An important link to this entry point for influencing is the Uganda Bureau of Statistics, which is the primary data source for the Poverty Monitoring and Analysis Unit's poverty analysis.

Integrating forestry into the Uganda Bureau of Statistics household surveys

UBOS is part of the Ministry of Finance, Planning and Economic Development, and it produces all major government statistics used for macro-economic planning and reporting. It conducts a national household survey every two years, which is used to inform the Poverty Monitoring and Analysis Unit's Poverty Status Report.

The burden imposed by forest degradation on people's livelihoods – especially women and children – is exemplified by the sharp increase in the distance people have to travel to collect firewood. According to the Uganda Integrated Household Surveys, the average distance travelled by households to collect firewood has increased dramatically between 1992 and 2000 from 0.06km to 0.73km (see Figure 1). The distance travelled is inversely related to the time members of the household can dedicate to other productive activities, and thus has a major impact on poverty (see Figure 1).

Figure 1. Average distance travelled by households in Uganda to collected firewood



Source: data from UBOS, 2001

The Forest Sector Co-ordination Secretariat worked closely with Bureau of Statistics staff to produce a set of questions specifically relating to forestry (e.g. income derived from sale of forest

products, access to forest resources) into the Household Survey questionnaire. This will yield more detailed information about forestry-related livelihoods parameters, and the degree to which forestry developments can contribute to poverty reduction. The Secretariat also advocated revising the figures on the contribution of forestry to Uganda's GDP, as the formal statistical data exclude much of the informal sector activity in forestry, take little account of value-added processes outside the forest, and disregard environmental values in forestry.

Step 5. Harmonise forestry monitoring with poverty reduction strategies

Achievement of the NFP's objectives of poverty eradication, economic growth and sustainable resource management will be measured in two ways: *progress* and *impact*. Progress in implementation will be measured for each of the seven NFP programmes, for which a set of indicators will be developed, measured and updated during the annual review and budgeting process. The impact will be measured according to the contribution made by NFP to the four pillars of the PEAP (see Table 2).

Harmonisation of the PEAP and NFP monitoring and evaluation frameworks proved to be a very handy communication tactic to inform government colleagues. Table 2 was a key tool for organising evidence as macro-policy forums started to institutionalise forestry indicators.

Table 2. Measuring the impact of the NFP within the PEAP framework

| PEAP Pillars | Main NFP strategies | Indicators of impact on PEAP (source of information) | Direction of change |
|---------------------------------------|--|--|---|
| I. Economic growth and transformation | <ul style="list-style-type: none"> • Removal of constraints (land, tree seed) • Improvement of investment climate (transparency, secure tenure) • Provision of information (markets, prices) • Economic incentives (Plantation Development Fund) • Training (skills and advice) | <ol style="list-style-type: none"> 1. Value of commercial investment in forestry businesses (NFA / UIA, UBOS annual national accounts) 2. Volumes and values of forest products traded (domestic and international – URA / UBOS) 3. Number of people and wage rates (by gender, socio-economic group, geographic location) in forestry-related employment (UBOS 5-yr labour force survey) 4. Value and % contribution of forestry to GDP (annual UBOS) | <p>Increasing</p> <p>Increasing</p> <p>Increasing, in the formal sector</p> <p>Increasing, through higher production and value-addition</p> |

| PEAP Pillars | Main NFP strategies | Indicators of impact on PEAP (source of information) | Direction of change |
|---|---|---|---|
| II. Good governance and security | <ul style="list-style-type: none"> • Participatory planning and increased access to information • Creation of NFA, NAADS and District Forestry Services • CFM and customary forest management • Pro-poor regulations and guidelines • Civil society advocacy forum | <ol style="list-style-type: none"> 5. Local representation on FMA Forestry Committees (NFA) 6. Area of FRs under productive forest management by the NFA and local governments (NFA / LGs) 7. Number of effective CFM agreements in FRs (NFA) 8. Number and areas of community forests (LGs) 9. Open access to public information on forestry (MWLE) | <p>Increasing, none exist now</p> <p>Increasing, through better control and management</p> <p>Increasing, virtually none exist now</p> <p>Increasing, none exist now</p> <p>Increasing, through improved communications and popular participation</p> |
| III. Ability of the poor to raise incomes | <ul style="list-style-type: none"> • Access to forestry resources • Improved forestry advisory services • Small-business development in forestry opportunities • Security of land and tree tenure • Appropriate technologies | <p>Each indicator measured by gender, socio-economic group, geographic location – to ensure targeting of interventions:</p> <ol style="list-style-type: none"> 10. % of household income derived from different forestry-related enterprises (UBOS) 11. Number of NAADS contracts for forestry advisory services (NAADS) 12. Number of poor people with tree-growing permits in FRs (NFA) 13. Number of farmers using improved agroforestry technologies (UBOS) | <p>Increasing</p> <p>Increasing, none exist now</p> <p>Increasing, few permits exist</p> <p>Increasing, currently very limited geographically</p> |

| PEAP Pillars | Main NFP strategies | Indicators of impact on PEAP (source of information) | Direction of change |
|---|---|---|--|
| IV. Improving the quality of life of the poor | <ul style="list-style-type: none"> · Use of forests as safety nets to reduce vulnerability · Biomass energy conservation · Developing sustainable forest management · Securing cultural values of forests | <p>14. % of population with secure access to forest resources for subsistence (as #7 & #8 under pillar II)</p> <p>15. Tree cover, biodiversity and water flows from natural forests in FRs and private forests (NFA – NBS)</p> <p>16. Distance to collect fuelwood (UBOS household survey)</p> <p>17. Number of households and businesses using improved biomass energy technologies (UBOS)</p> | <p>Increasing</p> <p>Reversed rate of deforestation, increasing tree cover on-farm</p> <p>Halved within 10 years</p> <p>Increasing</p> |

A full list of acronyms can be found at the end of this document

Step 6. Proactively 'sell' forestry in key policy and decision-making forums

Forest Sector Co-ordination Committee (FSCC)

The FSCC was set up as the highest-level forum for co-ordination to direct the Forest Sector Umbrella Programme. It was housed by the Ministry of Water, Land and Environment and held regular meetings, at least initially. When people in Uganda talk about co-ordination of the forest sector, this is the main committee they think of. The Permanent Secretary chaired and membership included Permanent Secretary level representation from seven ministries (Agriculture, Tourism, Local Government, Public Service, Finance, Energy, Education), and importantly, representation from the private sector (plantations and saw milling) and civil society (NGOs and public figures).

Significantly, this was the first time that a transparent and official forum was provided for business and non-government stakeholders to contribute to policy-making in the forest sector. The FSCC had oversight of the Forest Sector Co-ordination Secretariat's work, and the Secretariat submitted regular quarterly and monthly reports to the FSCC. The Committee met every three to six months until the policy and direction of the reforms were in place. Due to the seniority of the Committee members (Permanent Secretaries, Directors or Commissioners), attendance was challenging – such people had little time to spare and attendance often lapsed.

The FSCC was set up to 'steer' and did this effectively, providing a useful kick-start to the will and understanding of the need for change. It was soon discovered that for 'real influence' to happen, forestry had to 'branch out' and assertively penetrate other macro-policy forums. What happened next?

Poverty Eradication Action Plan (PEAP)

The PEAP is Uganda's Comprehensive Development Framework, which is also the Country's Poverty Reduction Strategy (PRS) in World Bank terminology. It makes poverty reduction central to all areas of Government policy and action. It is spearheaded by the Ministry of Finance, Planning and Economic Development, and is developed and revised every three years through a participatory process involving all sectors and civil society organisations. The PEAP promotes economic growth, good governance, improved incomes and better quality of life for the poor.

The first version of the PEAP paid limited attention to the environment and natural resources, which meant that natural resource sectors found it difficult to engage effectively and received limited budget allocations. During the NFP process, considerable effort was put into aligning the strategies for forest sector development with the four pillars of the PEAP. This meant commissioning studies, collecting data and building the case for how forestry contributes to economic growth (forest industries), good governance (institutional reforms and decentralisation), raising incomes (improved livelihoods opportunities) and increasing quality of life (access to fuelwood and common property resources).

From voice to influence: Taking the voice of forestry beyond just the Forest Department has helped win the trust of Government. As a result of the constructive engagement in the PEAP process, Secretariat staff were invited to sit on the PEAP revision sub-committee.

The latter stages of the Forest Sector Umbrella Programme coincided with a major revision of the PEAP and, through active lobbying and advocacy by Forest Sector Co-ordination Secretariat staff, forestry, environment and natural resources were mainstreamed into the new version of the PEAP. This occurred through diligent and persistent work feeding into two macro-policy forums:

(i) Environment and Natural Resources Sector Working Group

The finance ministry set up number of working groups to prepare sector budgets and to ensure that funds are allocated efficiently and without duplication. The aim is to streamline the allocation of government funds. The working groups make submissions to the three-year Medium-Term Expenditure Framework, the key forum through which sectors (or sub-sectors) can 'fight' for government funding. It is anticipated that working groups representing natural resource sectors will increasingly include monitoring to assess whether funds allocated are achieving objectives.

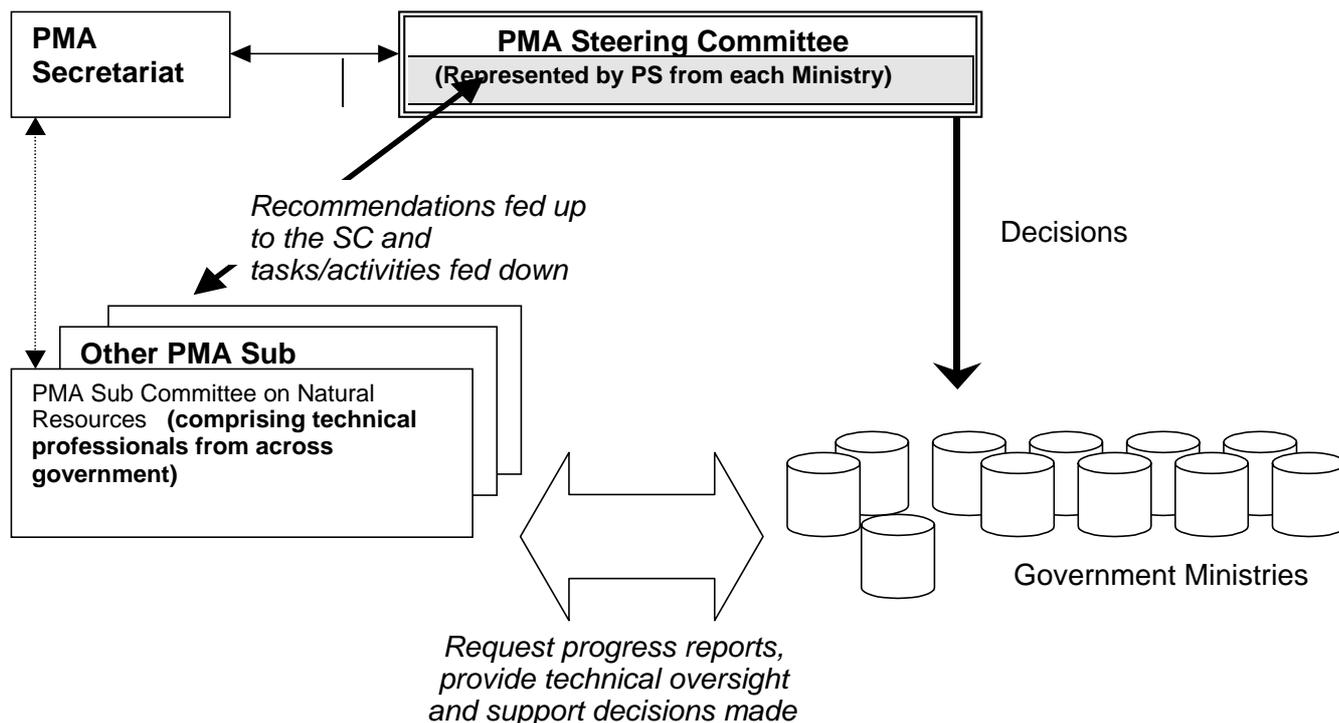
Importance of the environment and natural resources sector:

Over 90% of the population directly or indirectly depends on the products and services from the sector
Over 90% of energy
Major contributor to Gross Domestic Product
Major employer of labour force
Source of raw materials for the industries
Food security
Revenue generation
Foreign exchange earnings
House hold incomes

(ii) Plan for Modernisation of Agriculture & National Agricultural Advisory Service

Development partners support the PEAP through a series of Poverty Reduction Support Credits, each having clear performance benchmarks, outcome indicators and policy measures. The PMA guides the implementation of the PEAP for the private sector. An important component of the PMA is the reform of traditional agricultural extension services and the development of the new advisory service NAADS. This requires farmer groups to form and set out their priority demands for advisory service support, which would be met using public funds to contract private service providers. These bold reforms aim to increase the relevance and effectiveness of agricultural services in rural Uganda. However, there is scant attention to forestry, other than a general intention to support sustainable management of natural resources. The Forest Sector Co-ordination Secretariat developed early relations with NAADS, opening the door for forestry to be accepted by agricultural practitioners as a major component of holistic farming systems (agroforestry) and as a rural enterprise in its own right. Through effective lobbying, based on these practical field demonstrations and experiences, Secretariat staff have helped NAADS develop strategy.

Figure 2. Relationship between PMA Sub Committee on Natural Resources and other institutions



At this stage of the policy building process (3 years later), the Forest Sector Coordination Committee served its purpose – *internal clients* were satisfied, and on board with a shared vision. Claim-making and negotiation switched gears to *external clients* and Secretariat staff rooted themselves, and their policy claims, in higher profile policy forums like the PMA ENR Sub-Committee (see Figure 2). The Permanent Secretary of the finance ministry chaired this committee. During the 2002 round of the annual drafting of progress reports and next-year indicators, the World Bank met with sub-committees and working groups. The ‘voice’ of forestry was heard loudly from several different angles. From the start it took more than 3 years of work to get forestry integrated into the World Bank’s Poverty Reduction Strategy matrix – a potentially significant achievement, in that it will focus annual attention on the sector by high-level Government of Uganda and World Bank officials.

Lessons in success from Uganda

- *Information generation and dissemination* is critical – collecting and collating data, preparing documents and briefing notes, showing the link between forestry and poverty and raising awareness of environmental and socio-economic values (e.g. data on the populations living near to forests, contributions of forestry to employment or to household energy requirements, values of forestry in soil protection and improvement).
- *Active participation and consultations* – with other sectors and organisations (e.g. bringing Poverty Monitoring and Analysis Unit staff into NFP working groups; tactical meetings with finance ministry officials and committees to lobby and explain forestry and poverty links; generating forestry-related indicators for poverty reduction strategies). Making people more knowledgeable about forestry makes them better advocates.
- *Linking up to influence* – engaging with a “forestry hat” in other processes (e.g. adding forestry-related questions to the regular Uganda Bureau of Statistics household survey; membership of the Environment and Natural Resources Sector Working Group and other relevant committees – PMA (gender and NR sub groups), NAADS ENR Task Force, PEAP Steering Group; getting forestry into the PRSP policy-matrix). These prevent forestry being marginalised and demonstrate opportunities for positive and constructive influence.

- *Lobbying* – All of this has required active lobbying and a clear advocacy strategy. The strategy has used a variety of avenues and media to influence processes that relate to policy-making and decision-taking, especially in the finance ministry.

Challenges faced in Uganda

The tactics for influence might sound straightforward, but is it really that easy? Secretariat staff faced challenges to make these approaches work in Uganda.

- *Poor information*: Often there was a lack of reliable quantitative facts, making it difficult to ‘prove the case’ – numbers are especially important in influencing budget allocations. The Forest Sector Review and the broad agreement of the NFP process helped significantly to alleviate this problem.
- *Not seeing the wood for the trees*: Foresters are typically poor at wider contacts, and few are good at moving out of forestry circles. This means there is limited representation of forestry in other sectors. If even foresters don’t understand why they should talk to others it’s understandable that others are slow to see the value of forestry to them.
- *Slow ‘committees’ processes* – With only one forestry representative in a broad cross-sectoral meeting it takes time to get properly heard and longer to convince and change perspectives. The dramatic changes needed take time and more than one conversation to really get through to people. Especially in the setting of the very poor public image of forestry over recent years, which has worked against whole sector.
- *Immediate needs* – There is an understandable perception that urgent poverty needs cannot be addressed by the long-term cash benefits of growing trees, and consequently that forestry is not helpful or a priority in the short-term.
- *Political support* – Forestry is not given a high or positive Government priority, partly due to negative perceptions of forest sector performance.

Solutions - Help all foresters understand what their positive impacts are so they can all promote them. This will increase advocacy and lobbying opportunities.

Solutions - Combine formal mechanisms with informal lobbying. Make the most of any opportunity for influence.

Solutions - The Secretariat has promoted information and evidence to shift these perceptions.

Acronyms

CBO Community-based organisation
CFM Community forest management
ENR Environment and natural resources
FSCC Forest Sector Co-ordination Committee
FR Forest Reserve
FSR Forest Sector Review
GDP Gross domestic product
LG Local government
MTTI Ministry of Tourism, Trade and Industry
MWLE Ministry of Water, Lands and Environment
NAADS National Agricultural Advisory Service
NBS National Biomass Survey
NFA National Forest Authority
NFP National Forestry Programme
NGO Non-governmental organisation
PEAP Poverty Eradication Action Plan
PMA Plan for Modernisation of Agriculture
PRS Poverty Reduction Strategy
PRSP Poverty Reduction Strategy Paper
ROI Review of Initiatives
UBOS Uganda Bureau of Statistics
UIA Uganda Investment Authority
UNHS Uganda National Household Survey
UPPAP Uganda Participatory Poverty Assessment Process
URA Uganda Revenue Authority
USD United States dollar
UWA Uganda Wildlife Authority