

Independent Monitoring & Data management and usability



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IM Data Management System

Forest Transparency Initiative



	ID	Observation	Observer	Firm	Concession	Observation Date
Firm ✕ Clear	205	sdfghjkl	DIAMBOU KINGA	CIB	POKOLA	7 Dec 15
<input type="checkbox"/> SICOFOR (15)	204	redevable de près de 326 523	Edouard Kibongui	FORALAC	LOUESSE	20 Jul 15
<input type="checkbox"/> SIFCO (9)	203	Poursuite des évacuations	Edouard Kibongui	CONGO DEJIA / WOOD	KELLE- MBOMO	23 Apr 15
<input type="checkbox"/> SOFIA (1)	202	Exploitation pour certaines	Edouard Kibongui	CONGO DEJIA / WOOD	KELLE- MBOMO	23 Apr 15
<input type="checkbox"/> SOFIL (6)	201	Duplication des numéros	Edouard Kibongui	CONGO DEJIA / WOOD	KELLE- MBOMO	23 Apr 15
<input type="checkbox"/> TAMAN INDUSTRIE (10)	200	Coupe sous-diamètre	Edouard Kibongui	CONGO DEJIA / WOOD	KELLE- MBOMO	23 Apr 15
<input type="checkbox"/> Thanry-congo (2)	199	Abandon des billes de plus de	Edouard Kibongui	CONGO DEJIA / WOOD	KELLE- MBOMO	23 Apr 15
<input type="checkbox"/> Wang Sam Ressources (3)	198	Absence de numéros d'ordre	Edouard Kibongui	CONGO DEJIA / WOOD	KELLE- MBOMO	23 Apr 15
Narrow by Observer	197	Défaut de transmission des	Edouard Kibongui	Wang Sam Ressources	MAKOUA	3 Apr 15
	196	Mauvaise tenue des	Edouard Kibongui	Wang Sam Ressources	MAKOUA	3 Apr 15
	195	Défaut de marquage sur les	Edouard Kibongui	Wang Sam Ressources	MAKOUA	3 Apr 15
Concession ✕ Clear	194	A	Patrice Crochet	IFO	NGOMBE	24 Mar 15
<input type="checkbox"/> ABALA (1)	193	Dissimulation des	Edouard Kibongui	SIFCO	TALA-TALA	6 Oct 14
<input type="checkbox"/> BAMBAMA (6)	192	Substitution des numéros	Edouard Kibongui	SIFCO	TALA-TALA	6 Oct 14
<input type="checkbox"/> BANDA NORD (3)	191	Duplication des numéros	Edouard Kibongui	SIFCO	TALA-TALA	6 Oct 14
<input type="checkbox"/> GOUONGO (5)	190	Fausse déclaration des	Edouard Kibongui	SIFCO	TALA-TALA	6 Oct 14
<input type="checkbox"/> INGOUMINA-LELALI (7)	189	Absence d'information dans	Edouard Kibongui	SIFCO	TALA-TALA	6 Oct 14
<input type="checkbox"/> IPENDJA (2)	188	Exploitation simultanée des	Edouard Kibongui	SIFCO	TALA-TALA	6 Oct 14
<input type="checkbox"/> II IAL-IKIE (18)	187	Poursuite des abattages dans	Edouard Kibongui	SIFCO	TALA-TALA	6 Oct 14
FLEGT-VPA Indicators ✕ Clear	186	Application du numéro	Edouard Kibongui	SEFYD	JUA- IKIE	6 Oct 14
<input type="checkbox"/> 4.8.1 Processing quota (11)	185	Exploitation simultanée des	Edouard Kibongui	SEFYD	JUA- IKIE	6 Oct 14
<input type="checkbox"/> 4.4.2 Logging within boundaries (9)	184	Dissimulation des	Edouard Kibongui	SEFYD	JUA- IKIE	6 Oct 14
<input type="checkbox"/> 4.4.1 Mapping (6)	183	Duplication des numéros	Edouard Kibongui	SEFYD	JUA- IKIE	6 Oct 14
	182	Fausse déclarations des	Edouard Kibongui	SEFYD	JUA- IKIE	6 Oct 14

Objectives of IM data management

Pre-FTI system



- **Support timber buyers implementing Due Diligence + MOs**
Provide summarised data enabling comparative ranking
(Cie specific forest infractions + country risk)
- **Support Competent Authorities**
- Provide centralised reliable data on forest infractions and country risk linked to det**Support equity (Private Sector + Governments)**
Ensure lack of IM data on a type of infraction, a company or a country doesn't equate it to lower risk than others
ails/evidence to facilitate research

We're looking for your feedback:

Are we on the right track, what can we do better or differently?

Data Management System for Forest Infractions detected by IM

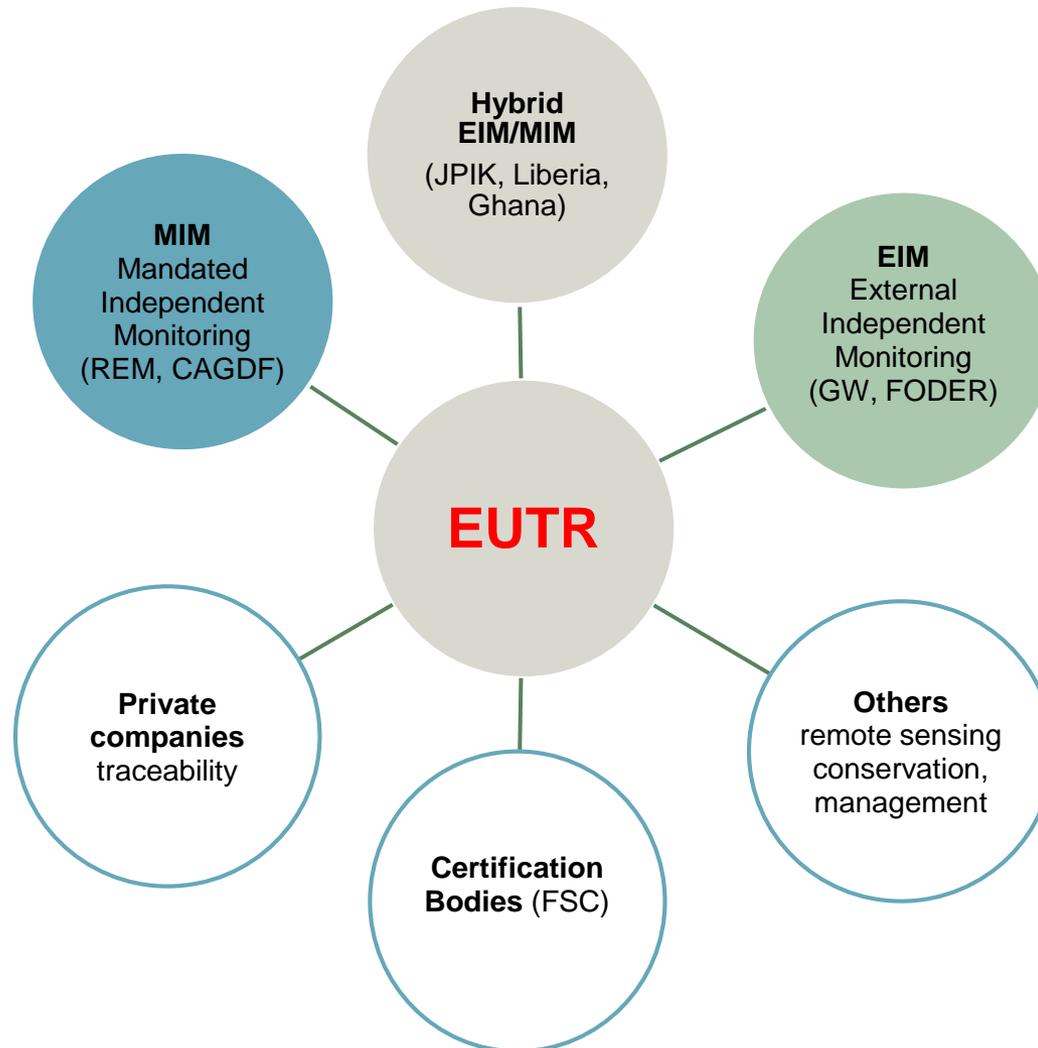


2013-2016

Cambodia, Cameroon, CAR, Congo, DRC, Indonesia, Ivory Coast

- 38 NGO reports (19 mandated IM + 19 external IM)
- 5 to over a 100 pages each, usually 50
- ≈ 1,900 pages
- 303 alleged forest infractions:
 - 122 severe, 59 medium, 122 minor
- 211 specific cases of poor governance
 - 84 severe, 21 medium, 15 minor

Types of monitoring



Mandated and External IM



MIM	EIM
Formal agreement with government	No agreement with government
Access to logging documents	Partial access
Single conduit between stakeholders	Wide networks in forest
Wide typology of infractions	Partial focus
Mandated access to forests	Restricted access
Publication process submitted to protocole	Ability to campaign
Findings validated => start of National legal process	Findings rarely acted on by National governments
Need EIM for action in importing countries	Good leverage in importing countries
Freedom to disclose official information	Freedom to publish own reports
Objectivity and harmonisation of data	Lack of data management

Hybrid: EIM networks formally integrated in TLAS



“should” be best of both approach, but risks are:

- **Lack of single conduit** may hinder access to documentation where governments maintain lack of accessibility of key documentation (e.g. Indonesia)
- **Data gap: biased focus**, social impact infractions by CSOs; certain Cies by INGOs; insufficient systematic investigation/infraction type
Numerous reports in one country/none in another
- **Lack of centralised data** management
- **Data not systematically usable by EUTR** actors

What IM data can be used by EUTR actors?

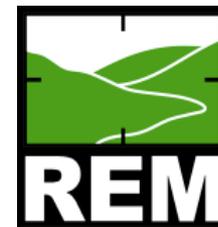


- **Company/forest title specific:**
 - 100mUSD forest taxes unpaid in Country X in 2012*
 - 23,000 USD area tax unpaid by SOFOR for FMU 092 for 2012*
- **Receivable evidence + ref. to law**
 - Villagers say that Cie X has not respected social clauses*
 - School previewed in contract of cie X not built (photo GPS) in contravention to Art. XX from XX law (XX legality indicator)*
- **Severity threshold/historical data**

The mission found 6 logs without markings in 2004. Recurrent?
- **If generic (ex 1 Above) → governance**

Centralisation of IM data:

Pre-FTI DMS



Observation date	Apr-14
Country	Democratic Republic of Congo
Monitor	OGF
Type of monitor	Mandated Independent Monitor
Logging operator	SAFO
Concession	010/11
Relevant illegality	Non payment forest tax
Description of the alleged illegality	210,285 USD area tax not paid
Severity	3
Evidence	Government document
EUTR category	Payments
Legal reference	4.11.1 "L'entreprise paye..."
Penalties according to law	Art. 122 forest code "..."
FLEGT-APV indicator	Art. 143 penal code...
Link to IM report	<u>2014 rapport 2 OGF</u>
Opinion of logging operator	XX
PV	XX
Litigation status	XX

REM Data Management System



See pdf DMS summary

Link to DMS full database

IM and Private Sector legality

Forest Transparency Initiative



- ▶ 1.2 Firm not suspended
- ▼ **2 Logging rights**
 - ▼ 2.1 Certificate of exploitation
 - Exploitation certificate legitimately obtained
 - Exploitation certificate granted
 - ▼ 2.2 Periodic licenses
 - Licences legitimately obtained
 - **Licenses granted**
 - Documents and licenses still valid
- ▼ **3 Social obligations**
 - ▼ 3.1 Stakeholder involvement
 - Dialogue mechanism
 - Rights of local populations
 - ▼ 3.2 Respect for local populations
 - Local practices and customs
 - Local commitments
 - Compensation
 - ▼ 3.3 Conflict resolution
 - Process for complaints
 - Dispute resolution
 - ▶ 3.4 Partners informed of rights
 - ▶ 3.5 Workers' rights
- ▼ **4 Forest management and taxation**
 - ▶ 4.1 Environmental impact
 - ▶ 4.2 Environmental laws
 - ▶ 4.3 M...

CRITERION

2.2 Periodic licenses

The company holds all periodic licences allowing it to carry out its business.

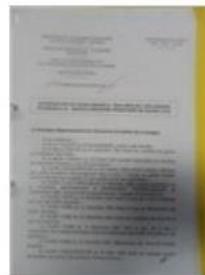
INDICATOR

2.2.2 Licenses granted

Installation, annual harvest, completion and clearing licences granted by the relevant department of the Forestry Authority are still valid.

VERIFICATION

2.2.2.1 Installation, annual harvest, completion and clearing licences



ACA 2014 UFP2de l'UFA NGOMBE.pdf
Posted by Edouard Kibongui
on 6 Mar 2014



ACA 2013 UFP 2.pdf
Posted by Edouard Kibongui
on 6 Mar 2014



ACA-5-6-7_2012.pdf
Posted by Edouard Kibongui
on 14 Jan 2014

Data gap: Global Monitoring System?



For EUTR to have information they need to effectively enforce the EUTR ➡ need IM data documented in a more systematic/solid way across VPA countries

- IM gap analyses
 - Within each country + Country vs other VPA countries
- Analysis of reasons for gaps
- Thematic investigations/research/collaborations to reduce IM information gaps
- Diffusion of additional IM information

Bridging the gap: IM data and usability by EUTR actors

What should we do to make your task easier?

- Prepare IM forest infractions **Data Management Guidelines** to facilitate use by EUTR actors?
- Work with IMs to collect **data usable by EUTR**
- **Make IM data accessible** through one EUTR user friendly portal?
- Lobby to increase (centralised) **publication of information** by Private sector/Governments?
- Bridge **data gaps** to ensure that transparency does not equate to commercial disadvantage?

.....anything else?



Thank you!

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