National forest sector governance standards – 国レベルの森林ガバナンスの基準

Developing a draft voluntary quality-of-governance standard in Nepal ネパールにおける良質なガバナンス自主基準(案)の作成

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Tokyo, 19 October 2011
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1. Why governance matters for forest management, REDD+ and MRV

ガバナンスは、なぜ森林管理、REDD+、MRVのために重要？

- **Cancun Agreements on REDD+** (Decision 1/CP.16):
  The “safeguards [that] should be promoted and supported” include:
  “Transparent and effective national forest governance structures”
  (Appendix I, 2.(b))

- UNFF’s Non Legally-Binding Instrument (2007), the FAO, ITTO, World Bank, and the G8 all recognise that **tackling poor governance is a prerequisite for achieving investment** in long-term forest management or any broader environment or development aims for the sector.

- Poor governance is likely to significantly undermine attempts to achieve **optimal revenues for REDD+**:
  Investors and buyers will be reluctant to engage with a seller (host country or project) which cannot guarantee delivery of the final emission reductions.

- **Robust & transparent monitoring** of governance safeguards is an essential component in the monitoring framework.
## 2. Governance within the framework of MRV and Monitoring for REDD+

REDD+に関するMRV及びモニタリングの枠組みにおけるガバナンス

<table>
<thead>
<tr>
<th></th>
<th>Carbon (Emissions activities)</th>
<th>Benefits &amp; impacts (Services, Products)</th>
<th>Governance (Safeguards)</th>
</tr>
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<tbody>
<tr>
<td><strong>Strategic level</strong></td>
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<td>(International commitments, national policies)</td>
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<td><strong>Operational level</strong></td>
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<tr>
<td>(National implementation)</td>
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<td><strong>National Forest Inventory</strong></td>
<td><strong>Dedicated Governance Monitoring</strong></td>
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<td><strong>IPCC, GHG</strong></td>
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Source: UN-REDD Newsletter 10
3. What is governance? ガバナンスとは

- A dedicated monitoring of governance safeguards will require a definition of ‘forest governance’, for REDD+ countries to report on it.
- No definition provided under the UNFCCC process, so countries may have to develop their own definitions.
- There are **common principles** of governance that can be applied to all countries, and this can be used for the basis of a definition.

**Governance:** ‘dynamic interplay between civil society, business and public sector’ (Ruggie 2003, etc.), with two key principles:
- **Participation** (“governance as structure”) and
- **Deliberation** (“governance as process”)
  (Pierre and Peters 2000, Cadman 2009)

- All governance theorists identify a range of governance **attributes**, which deliver ‘**good** governance: e.g. transparency, accountability, interest representation, inclusiveness, resources, etc.
- These attributes can be located in a **hierarchical framework** (Cadman 2009, following Lammerts van Beuren and Blom 1997)
Consistently formulated hierarchies of PC&I can be applied at all spatial levels and across sustainable development policy arenas, including natural resource management:

- **Principle**
  - Fundamental rule or
  - Value of governance

- **Criteria**
  - Categories or states of governance requiring adherence to a principle
  - Ideational and non-measurable – consequently:

- **Indicators**
  - qualitative or quantitative parameters, assessed in relation to a criterion
  - contribute to the overall determination of the quality of governance

- **Verifiers**
  - source of information for the indicator, or
  - for the norm, or reference value, of the indicator
Hierarchical framework of governance (2)

- 2 **Principles** (values), 4 **criteria** (categories) & 11 **indicators** (parameters)

Table 1: Normative hierarchical framework PC & I of governance quality (Cadman 2011, following Lammerts van Beuren and Blom 1997)

<table>
<thead>
<tr>
<th>Principle</th>
<th>Criterion</th>
<th>Indicator</th>
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<tr>
<td>“Meaningful participation”</td>
<td><em>Interest representation</em></td>
<td>Inclusiveness</td>
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<td></td>
<td></td>
<td>Equality</td>
</tr>
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<td></td>
<td></td>
<td>Resources</td>
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<td></td>
<td><em>Organisational responsibility</em></td>
<td>Accountability</td>
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<tr>
<td></td>
<td></td>
<td>Transparency</td>
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<td>“Productive deliberation”</td>
<td><em>Decision making</em></td>
<td>Democracy</td>
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<td>Agreement</td>
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<td>Dispute settlement</td>
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<td></td>
<td><em>Implementation</em></td>
<td>Behavioural change</td>
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<td>Problem solving</td>
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<td>Durability</td>
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(Cadman 2011)

Note: Evaluation of indicators determines institutional **LEGITIMACY**
Ideal model of institutional governance quality

(Cadman, 2011)

Boxed typeface indicates hierarchical relationship at the PRINCIPLE, CRITERION and Indicator levels.
5. Why a voluntary standard for forest sector governance?
なぜ森林ガバナンスのための自主基準が必要？

- A quality-of-governance standard is a set of PC&I that
  - serve as a tool to promote governance quality
  - as a basis for monitoring and reporting
  - or as reference for assessment of actual governance quality

- It can also contribute to overcoming inconsistencies in the
  governance of climate change mitigation by creating a common
  method for evaluating institutional performance in the forest sector

- Ultimately, the success of an international REDD+ mechanism will
  depend on governance arrangements that are:
  - Broadly representative of interests (i.e. inclusive)
  - Verifiably responsible (transparency and accountability),
  - Effective in terms of decision-making processes
  - Capable of implementing programmes that deliver emission reductions
    at scale
6. Project to develop a draft voluntary quality-of-governance standard

Joint research between University of Southern Queensland and IGES

Objectives:

- Create and test a quality of governance standard relevant to forest sector (including REDD+) projects at the national level in a pilot study country
- Determine the feasibility of applying such standards across the policy arena of climate change mitigation at national, regional and global levels

Output: Draft voluntary quality-of-governance standard, suitable for sustainable management and use of forests

Methodology:

- Actively engage existing forest sector institutions and stakeholders in the formulation of specific governance standards by conducting:
  - Preliminary online questionnaire survey
  - Key informant interviews
  - National stakeholder forum

- Analysis based on a normative hierarchical framework of Principles, Criteria & Indicators (PC&I) for quality of governance
### 7. Survey in Nepal – Activities & timeline

<table>
<thead>
<tr>
<th>Stage 1</th>
<th>Online questionnaire survey (qualitative and quantitative)</th>
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<tr>
<td><strong>August 2011</strong></td>
<td>- To identify cross-sectoral viewpoints in Nepal (environmental, social, economic, governmental, institutional, etc.) and internationally (global north and global south)</td>
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<td>- 131 questionnaires submitted</td>
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<th>Stage 2</th>
<th>Key informant interviews</th>
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<tr>
<td><strong>Oct. – Nov.</strong></td>
<td>- 50 interview partners from all sectors, recruited from participants in online survey</td>
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<td>- 1 question on each of the 11 indicators</td>
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<th>Stage 3</th>
<th>National stakeholder Forum, Kathmandu</th>
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<tr>
<td><strong>13-14 Dec.</strong></td>
<td>- To provide input to a draft national quality-of-governance standard, suitable for sustainable forest management &amp; use</td>
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<td>- Facilitation by the researchers</td>
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<th>Follow up</th>
<th>Analysis and report drafting</th>
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<td><strong>January – Feb. 2012</strong></td>
<td>- Dissemination in Nepal and beyond</td>
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8. Expected application of quality-of-governance standards in the forest sector

Serve as a tool to promote governance quality in the forest sector, particularly for setting up REDD+ and MRV systems

Provide a basis for robust, participatory and transparent monitoring of and reporting on governance safeguards

Contribute to a common method for evaluating institutional performance [governance quality] in the forest sector

Provide potential stakeholders with an instrument to determine whether to engage in a given forest/REDD+ initiative or project, or not
Thank you! ありがとうございました。

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