FRAMEWORK FOR ASSESSING AND MONITORING FOREST GOVERNANCE

Overview

Doris Capistrano

Outline

I. Background

II. Overview of the Framework

- Purpose

- Intended Users

- Design Features

- Foundations

- Elements

III. How to use the Framework

IV. Next Steps

Background

- Identified need for a common framework for assessing and monitoring forest governance motivated development of this Framework

- Framework a product of a core group constituted by FAO and World Bank/PROFOR

- Some core group members also part of the group that developed the REDD+ Guidance

Purpose

➔ To facilitate description, diagnosis, monitoring, assessment and reporting on the state of governance in a country's forest sector

- Enhance common understanding and communication about forest governance

- Reduce unnecessary duplication of forest governance monitoring and assessment efforts

Intended Users

→**Anyone involved in forest governance**

- National governments: for forest governance self-diagnosis, monitoring and assessment

- Sub-national governments and NGOs: for specific forest governance processes, projects and initiatives

- Advocates, investors, donors, researchers and generators of forest governance data: for organizing, analyzing and communicating forest governance information

Design Features

- Globally relevant, comprehensive list of major elements of forest governance

- Frame of reference for organizing governance-relevant information within and across countries

- While not an assessment or monitoring tool itself, provides context for the use of existing monitoring and assessment tools

Foundations

- Builds on approaches and lessons from forest governance-related processes and initiatives using indicators

- Based on common understanding of principles and attributes of governance

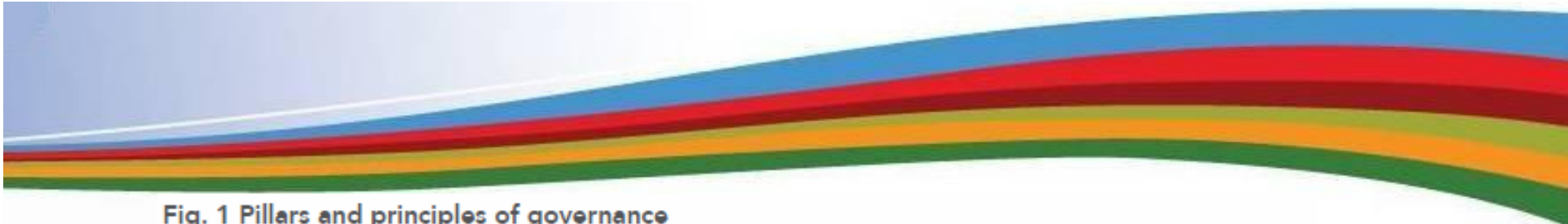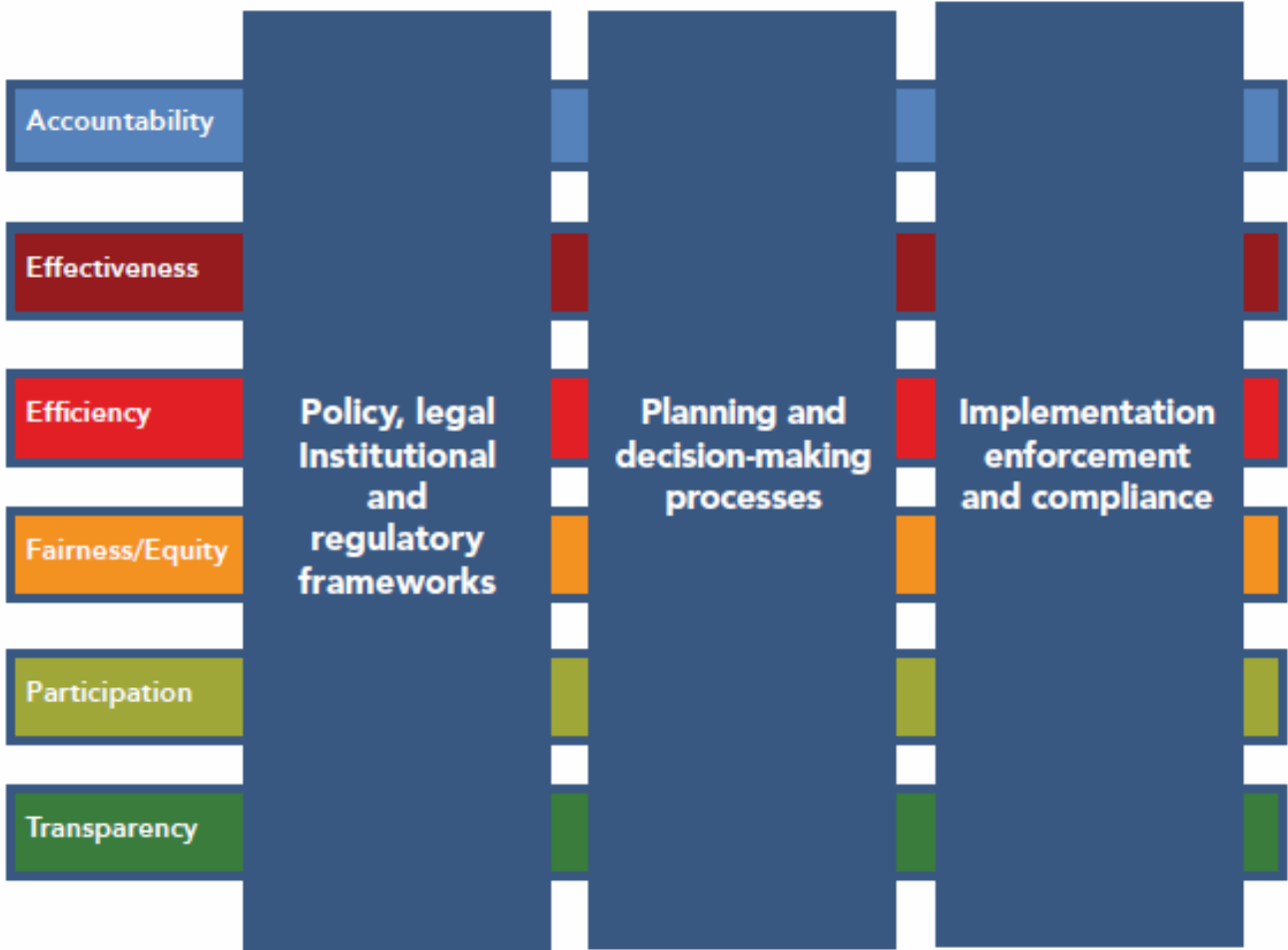➔ Includes core parameters already shared by many processes and initiatives

Fig. 1 Pillars and principles of governance

Elements of the Framework

The Framework consists of:

3 pillars

13 components

78 sub-components

Definitions

Pillars - fundamentals of forest governance

Component - an essential element of a pillar

Subcomponent - an identifiable element of a component, an important aspect of forest governance by which a component may be assessed

Indicator – a quantitative, qualitative or descriptive attribute that if measured or monitored periodically, could indicate the direction of change in a subcomponent

Pillar 1: Policy, legal, institutional and regulatory frameworks

1.1 Forest-related policies and laws

1.2 Legal framework to support and protect land tenure, ownership and use rights

1.3 Concordance of broader development policies with forest policies

1.4 Institutional frameworks

1.5 Financial incentives, economic instruments and benefit sharing

Pillar 2: Planning and decision-making processes

2.1 Stakeholder participation

2.2 Transparency and accountability

2.3 Stakeholder capacity and action

Pillar 3: Implementation, enforcement and compliance

3.1 Administration of forest resources

3.2 Forest law enforcement

3.3 Administration of land tenure and property rights

3.4 Cooperation and coordination

3.5 Measures to address corruption

Subcomponents

- Framework offers a choice of subcomponents likely to be important to a wide range of users

- Subcomponents chosen based on literature and existing frameworks

- List of subcomponents a starting menu to consider as entry point for selection of indicators

Indicators

- Framework provides a structure for contextualizing the governance indicators already in existence or under development

- Offers some guidance on choice of indicators

- But does not specify indicators since these are country-, context- and situation-specific

Using the Framework

➔ The Framework can be customized for different users

- can be used in whole or in part depending on the purpose

- can be simplified by focusing only certain pillars and components and disregarding others

- if aspects of interest to the user are not adequately covered, components or subcomponents may be added

PROFOR

Using the Framework - 2

- Users do not have to include all applicable or relevant subcomponents in the list

- Users may select and prioritize a few subcomponents to measure or monitor (e.g. one subcomponent from each pillar)

- Users may focus only on components/ subcomponents relevant for specific processes or initiatives, e.g. REDD

- Users may adapt Framework for cross-country comparisons using appropriate indicators and protocols for their measurement and standardization

PROFOR

Using the Framework-3

- For each selected subcomponent, the user should define indicators appropriate for the purpose

- For cross-country comparisons, users need to ensure consistency of definition and protocols measurement at the level of subcomponents and indicators

- **The Framework is best used in the context of multi-stakeholder processes and fora**

Next Steps

➔ The Framework is a "work in progress"

To be further developed based on:

- Comments from this meeting
- Feedback from survey
  (http://bit.ly/Framework_Comment)
- Pilot testing and actual use