

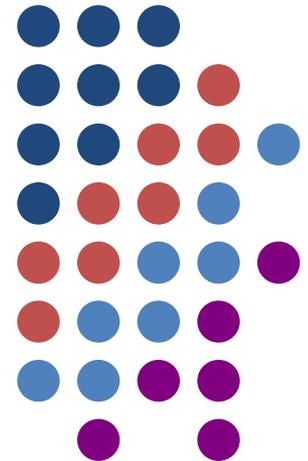
Governance standards – *Strengthening stakeholder involvement in REDD+*

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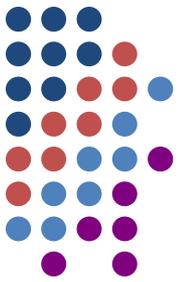
Presented at

***REDD+ Safeguards: Fundamental;
not an add-on***

4-5 Dec. 2013 The International House of Japan

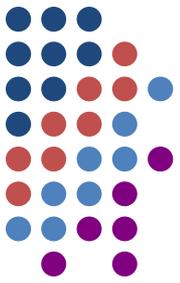


Outline



- Background: International standard setting
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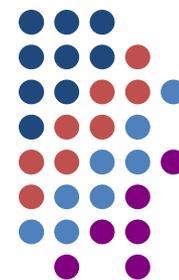
Background: International standard setting



Year	Created institution
1906	International Electrotechnical Commission (IEC)
1926-1942	Federation of the National Standardising Associations (ISA)
1946	<i>International Organisation for Standardisation (ISO)</i>

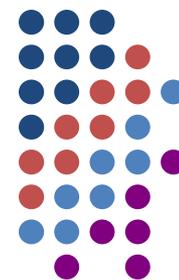
- Role of **ISO**:
'promote the development of standardisation ... with a view to ... developing cooperation in the spheres of intellectual scientific, technological and economic activity'.
- ISO has developed over 15,000 international standards through a network of 156 national bodies and 580 liaison organisations
- ISO has moved into the arena of social and environmental standard setting relatively recently
- **ISEAL Alliance**: *Code of Good Practice for Setting Social and Environmental Standards*

Why a standards approach to ensure governance quality in REDD+?



- Provides a **systematic and consistent approach** that identifies areas to be addressed, devises and implements suitable responses, monitors results and continuously adapts and learns
- Allows for **measuring** of quality of governance, independently of the different roles for social, environmental, economic and governmental stakeholders (and donor agencies)
- Provide markets with better quality **assurance**
- REDD+ can benefit from independent standards for **certification** of governance within proposed activities
- Provides consistency in the **evaluation** of governance across REDD+ projects and policies

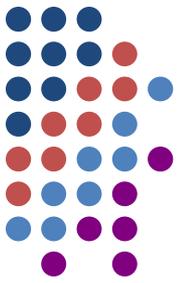
Existing standard development processes



- **Need** for a comprehensive analytical framework or standard for REDD+ is **widely recognised at the international level**
- A number of social and environmental standards for are **under development**, which include provisions on **governance**

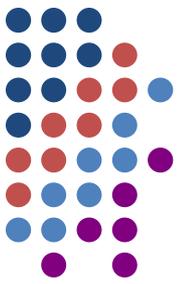
Standard/framework	Facilitated by	Version	Definition of governance
<i>Common Approach to Environmental and Social Safeguards</i>	Forest Carbon Partnership Facility (FCPF) and World Bank	2011	(No explicit definition could be identified)
<i>Social and Environmental Principles and Criteria (SEPC)</i>	UN-REDD	2012	“Equity, fairness, consensus, Coordination, efficiency, transparency, accountability, effectiveness, responsiveness, participation the rule of law...”
<i>Revised Draft Guidelines for the use of REDD+ Social and Environmental Standards (REDD+ SES)</i>	Climate, Community and Biodiversity Alliance (CCBA) and CARE International	2010	“Accessibility, people’s participation, transparency, accountability, rule of law, predictability, justice and sustainability”

Existing standard development processes (cont'd)

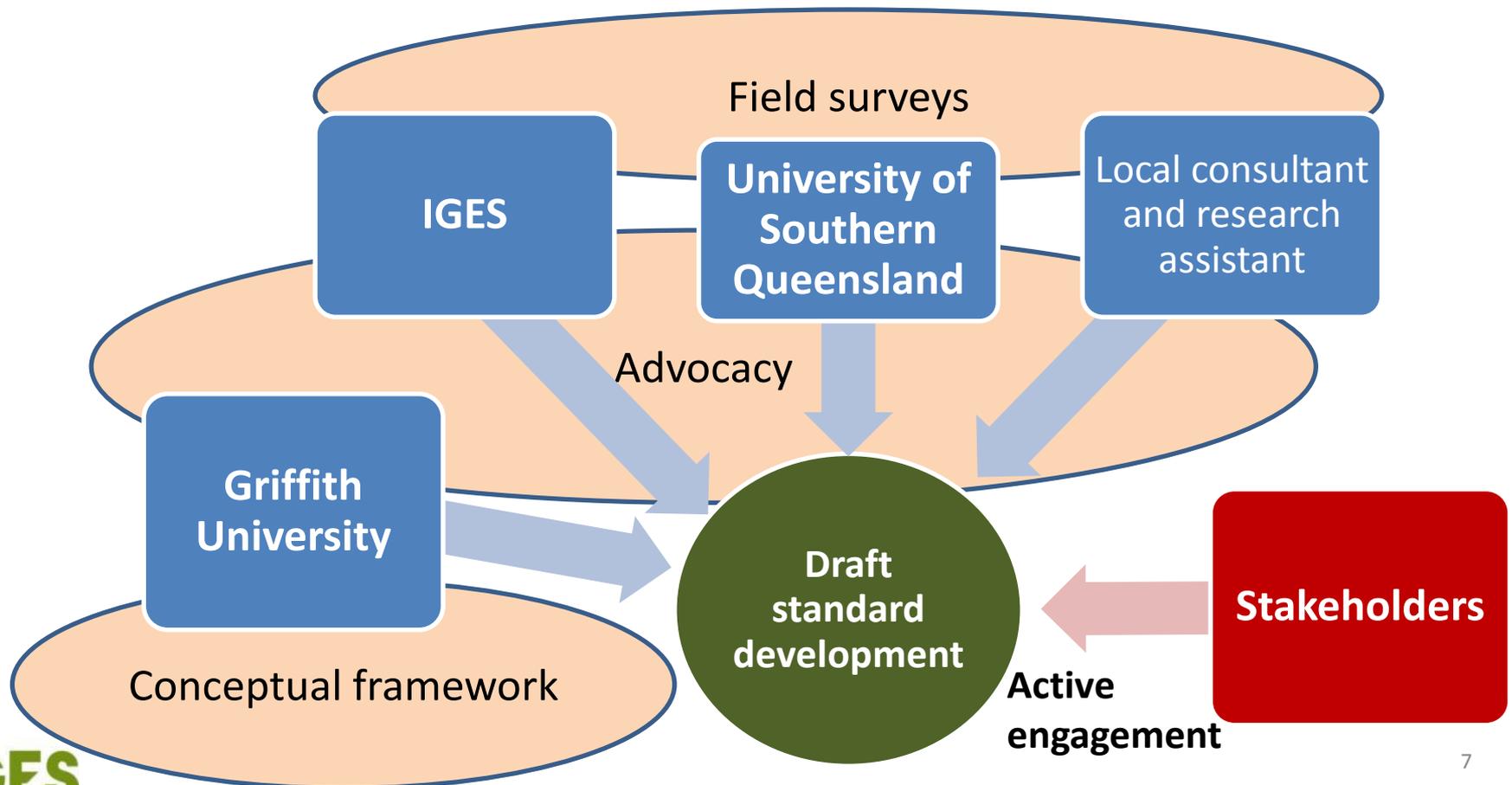


- **Inconsistent norms of governance**
 - “accessibility, ...predictability, justice and sustainability” (CCBA/CARE 2010, p. 9)
 - “equity, fairness, consensus, coordination, efficiency” (UN-REDD 2012, p. 9)
- **Unclear roles for / rights of stakeholders**
 - “Consultations should facilitate **meaningful participation** at all levels.” (FCPF 2009, p. 2)
 - “‘Full and effective participation’ means **meaningful influence** of all relevant rights holders and stakeholders who want to be involved throughout the process” (CCBA/CARE 2010 (2.2. and footnote 26 1 p. 7))

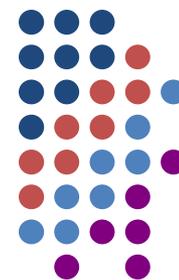
Action Research Project to Develop a National Quality-of-Governance Standard for REDD+ and the Forest Sector in Nepal



- Joint research project since July 2011



Research questions and objective



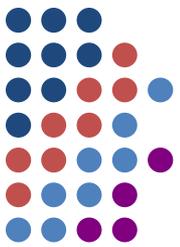
- How can we ensure consistent and comprehensive governance in REDD+ development and implementation?
- In lieu of an agreed definition of good governance, could common principles be used and elaborated to reflect national circumstances?

➤ **Objective:**

Test a process to develop a quality-of-governance standard that can:

- ✓ Promote good governance in the forest sector (including REDD+)
- ✓ Serve as a benchmark for monitoring & reporting on actual governance quality or performance via independent third party certification

How to evaluate governance quality?



Best practice normative **framework of principles, criteria and indicators (PC&I)** for evaluating governance quality (following Cadman (2011); Lammerts van Bueren and Blom (1997))

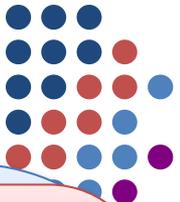
Principles (values)	Criteria (categories)	Indicators (parameters)
<u>“Meaningful participation”</u>	<i>Interest representation</i>	Inclusiveness
		Equality
	<i>Organisational responsibility</i>	Resources
		Accountability
<u>“Productive deliberation”</u>	<i>Decision making</i>	Transparency
		Democracy
		Agreement
	<i>Implementation</i>	Dispute settlement
		Behaviour change
		Problem solving
		Durability

Methods for monitoring and evaluation in the field creates **Verifiers**

Quality-of-Governance **STANDARDS** for

REDD+ verification, accreditation and **Certification**

Methodology and activities



Multi-stakeholder:



Multi-level

(national, subnational, local)



Multi-stage:

Participants provide information on governance quality based on **generic PC&I**:

- Aid programmes
- Community forest users
- Financial institutions
- Forest-based industries
- Government
- Indigenous people
- Dalit
- Madhesi
- NGO
- Women
- Other



01/2014

Experts review meeting:

National consultation on draft standard

Standard development

➔ **ONGOING**

Field consultations (ongoing):

REDD+ pilot areas & controls

First preliminary draft of local level verifiers

Multi-stakeholder Forum Workshop:

43 cross-sector participants

**First preliminary draft standard and verifiers:
180+ national, sub-national & local verifiers**

Key Informant interviews

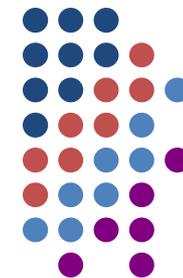
50+ interviewees in Nepal and overseas

Online questionnaire survey

300 invitees, 131 attempts, 66 completed responses
Preliminary list of verifiers

07/2011

Stage 1: Online questionnaire survey (07-08.2011)



Stakeholder	Number
Aid programme	3
Community forest users	7
Dalit	2
Finance	1
Forest-based industry	3
Government	11
Indigenous organisation	1
Madhesi	1
NGO	21
Others	16
Total	66

विषय : नेपाल वन सुशासन समर्पणको लागि डा. टीम क्याडमनको अनुरोध ।

आदरनीय सरहरु,

म याहाहरुलाई अनलाइन समर्पणमा सहभागि हुन आमन्त्रण गर्न गैरहेको छु । यो रेड प्लस संचालन गर्ने देशहरुको विशेष गरि नेपालको वन सुशासनको लागि तयार गरिने खेसा मापदण्ड सम्बन्धि अध्यायनको महत्वपूर्ण पाटो हो ।

यस अध्यायनको ध्येय नेपालको सरोकारवालाहरुसंग मिलेर राष्ट्रीय स्तरको खेसा मापदण्ड तयार गर्ने हो जसले सबै वनका उपभोक्ताहरुलाई वन सुशासनको सुनिश्चितता गरोस् ।

यदि यो सफल भएमा यसलाई अन्य देशहरुमा पनि रेड प्लस वा अन्य वन व्यवस्थापन कार्यक्रमलाई सरोकारवालाहरुको लागि प्रभावकारी बनाउन लागु हुने कुरा विश्वास गरिएको छ ।

सहभागिको लागि जानकारी पत्र यसैसाथ संलग्न गरिएको छ, जसबाट तपाईंहरुले थप जानकारी प्राप्त गर्नसक्नुहुनेछ ।

समर्पणमा भाग लिनको लागि तलको निलो लिंक (अग्रेजी अक्षरमा) क्लिक गर्नुहोस् ।

<http://www.surveymonkey.com/s/NepalGovernanceSurvey>

यसलाई तपाईंको सञ्जालका वनमा कार्यरत अन्य व्यक्ति तथा संस्थाहरुमा पठाउनुहुन अनुरोध गर्दछु जसबाट उहाहरुले पनि भाग लिन सक्नु ।

समर्पणमा नाम लेखिएको छैन तर तपाईं यस अध्यायनमा निरन्तर सहभागी हुन इच्छुक हुनुहुन्छ भने आफ्नो पूरा जानकारी दिनुहोस् जसमार्फत् हामी अध्यायनको अन्य भागहरुमा सम्पर्क गर्नेछौ ।

म याहाहरुलाई आगामी चार हप्ताभित्र २ पटक सम्म समर्पण पूरा गर्न सम्झाउन सम्पर्क गर्नेछु र समर्पण सकिएपछि अध्यायनको परिमाणको सारांश पठाउनेछु ।

यदि याहाहरुसंग केहि प्रश्नहरु छन भने कुनैपनि वेला सोध्नसक्नुहुनेछ । याहाको सहभागिताको हृदयदेखिने सरहाना गर्दछु ।

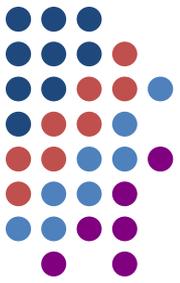
भवदिय,

डा. टीम क्याडमन

साउदरन स्वीन्सल्यान्ड विश्वविद्यालय



Stage 2: Key informant interviews (09-11.2011)

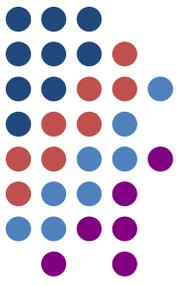


- 50 + Interviews with key participants representing social, environmental, economic, governmental sectors and aid organisations in Nepal
- Interviews with stakeholders under-represented in online survey
 - **Additional verifiers**



Stage 3: Multi-stakeholder forum workshop

Kathmandu, 13-14 December 2011



- 35+ Participants
- Group division for verifiers development
- **180 verifiers developed**
 - **First preliminary draft standard**
- Ranking of indicators:
4 highest ranked: ‘transparency’, ‘inclusiveness’, ‘accountability’ and ‘resources’ (TIAR)
- **Informal advisory group** formed:
Passing verifiers to constituencies for revising/refining/ground-truthing



Stage 4: Local stakeholder consultation in the field

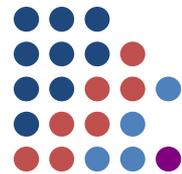


- Purpose: Consultation on 16 (of the total 180) verifiers:
4 verifiers with the strongest relation to the local level were selected for each of TIAR ('transparency', 'inclusiveness', 'accountability' & 'resources')
- Consultation with 4 selected community forest user groups (CFUGs) in each of:

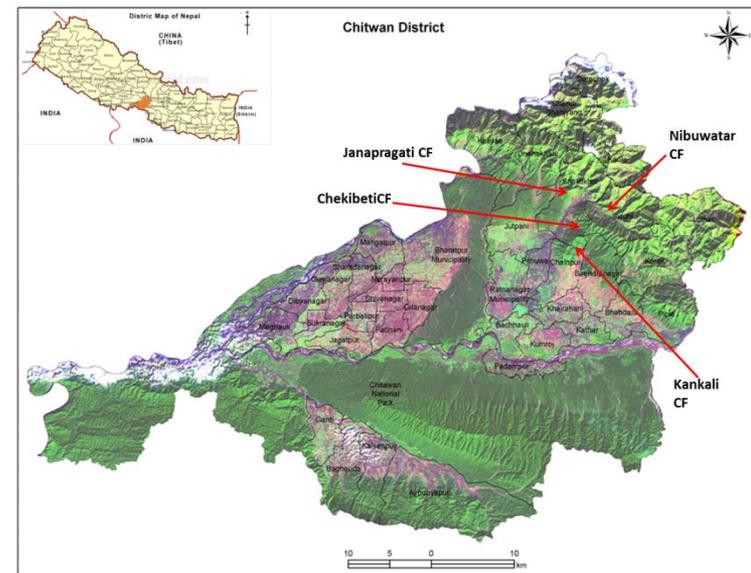
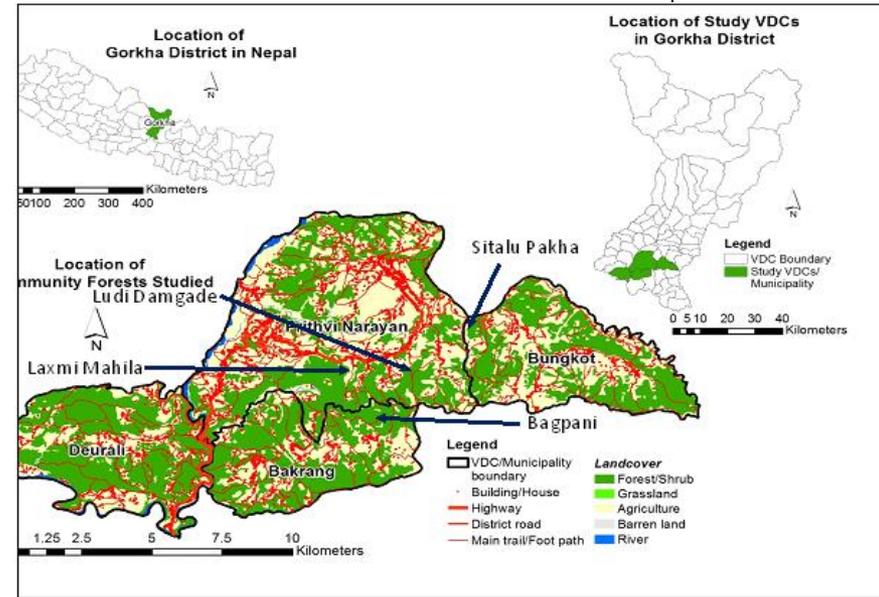
- 2 REDD+ **pilot areas** in Gorkha and Chitwan Districts
- 1 **control** in Nawalparasi District



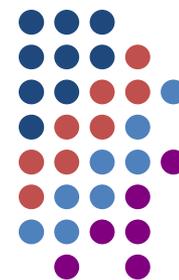
Criteria for selection of CFUGs



- **Consultation** with District Forest Offices and district-level Federation of Community Forest User Groups (FECOFUN)
- **4 selection criteria:** CFUGs which
 - Received the highest payment from REDD+ carbon fund
 - Received the lowest payment
 - Led by indigenous people
 - With female membership only
- **Chitwan:** Chelibeti, Nibuwatar, Janapragati and Kankali CFUGs
- **Gorkha:** Laxmi, Ludhi Damgade, Baghpani, Sheetalupakha CFUGs



Means of verification obtained at local level – example



Indicators and <i>verifiers</i>	Means of verification for each indicator (simplified)			
1. Inclusiveness	VDC: S1 <i>District: Chitwan</i> <i>Total number of people attended: 28</i>	VDC: S2 <i>District: Chitwan</i> <i>Total number of people attended: 15</i>	VDC: S3 <i>District: Chitwan</i> <i>Total number of people attended: 25</i>	VDC: C1 <i>District: Chitwan</i> <i>Total number of people attended: 26</i>
1.1 Forest management and planning is inclusive of affected populations.	<ul style="list-style-type: none"> a) Venue and number of <i>tole</i> (hamlet) meetings with participation of affected population b) Number of participants in the <i>tole</i> meetings, <i>dalit</i> meetings, and CFUG general assemblies 	<ul style="list-style-type: none"> a) Number of representatives of the affected population in the CFUC b) CFUC meeting minute indicating the participation of the affected population 	<ul style="list-style-type: none"> a) Number of women meetings carried out in <i>toles</i> b) Participation of affected population in CFUG general assemblies c) All CFUG members are included in CFUG constitution (name list). 	<ul style="list-style-type: none"> a) Number of representatives of the affected population in the CFUC b) Formation of CFUC council including five representatives (in total 45) from each '<i>wada</i>' ward of the VDC

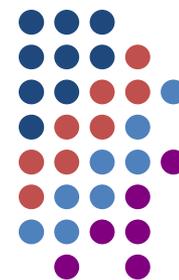
Impact generation and next steps



- Active **participation** and **engagement** of a diverse range of stakeholders in Nepal in the various stages and at all levels
 - Stakeholders see the value of developing a standard through a **robust, participatory** and **transparent process**
- **International** review:
 - Presentations at UNFCCC, FAO, ITTO, etc.
- Ongoing **publication** of draft standard versions and related papers
- Next steps in **Nepal**:
 - **Experts review**, Kathmandu, Jan. 2014
 - **Ground-truthing of all indicators & verifiers**, and for **forest management regimes** other than community forestry

Voluntary quality-of-governance standard for the sustainable management and use of forest biomass in the forest sector in Nepal, focussing on REDD+ (DRAFT)		N = national N = Sub-national L = Local
Indicator 1:	Inclusiveness	
All stakeholders (including community representatives) are effectively represented in the design and implementation of REDD+ programmes		
All stakeholder groups and rights holders affected by, interested in, or with expertise to support the design and implementation of REDD+ programmes have been identified, including, but not necessarily limited to the following groups: <ul style="list-style-type: none"> • Government • Government agencies • Technical institutions (e.g. Nepal Institute of Forestry, Nepal Forester Association, Soil Conservation Department, etc) • Formal institutions (e.g. District Development Committees, Village Development Committees, etc) • Informal institutions (e.g. clubs, women's groups, dalit groups, cooperatives, etc) • Private sector bodies • Donors • Academics • Youth • Forest-dependent communities • Populations affected by forest management and planning, including those living in remote or inaccessible areas • Distant users • All castes, including Dalit • All genders, including women • Indigenous people • Madhesi • Janjati • Terai • The poor 		N,SN,L

Preliminary findings

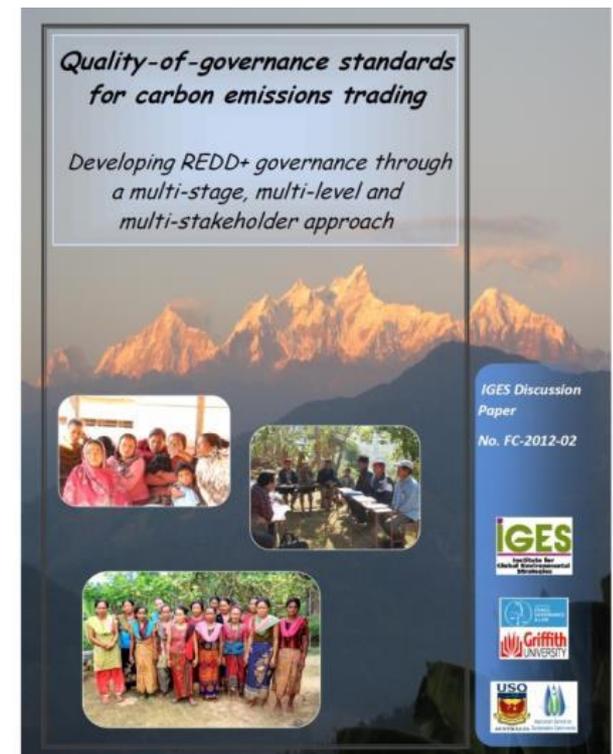
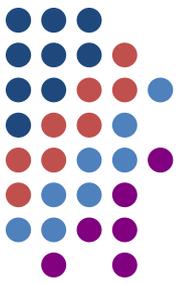


- Improving governance requires a **systematic and consistent approach**
- Independent standards of good governance can be applied for **measuring** the quality of governance and for the **certification of governance** of the REDD+ activities
- Process of developing voluntary national quality-of-governance standard has been **innovative: Stakeholders**, NOT researchers/funders develop the verifiers based on generic PC&I
- **Site and forest management regime specific standards** need to be developed first, i.e. prior to generic standards
 - Forest sector governance standards may not be applicable to all management regimes



Lessons learned

- Proposed unique approach to REDD+ standards setting: **stakeholder-driven model** for ensuring quality of governance
- Validity of approach shown by **testing**
- Consider this approach stronger than existing alternatives because all interests are given **equal opportunity** to participate and provide inputs to the standard setting
- Lack the backing of larger standards initiatives (UN-REDD, World Bank, etc.)
- Need to find way of **complementing** these larger processes, while informing national policy processes, such as REDD+ readiness



ありがとうございました。

Thank you!

धन्यवाद !

