



EXPERT MEETING ON THE GOVERNANCE OF FORESTS AND REDD+

Summary Report

19–20th May 2011, FAO Headquarters

UN-REDD
PROGRAMME



CHATHAM HOUSE



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The UN-REDD Programme, Chatham House, FAO and the World Bank organised the Expert Meeting on Governance of Forests and REDD+ on 19-20th May 2011, at FAO Headquarters, Rome, Italy.

The meeting aimed to encourage coordinated information provision and assessment of REDD+ and forest governance. It marked the joint delivery of two new guides to assist practitioners:

- Draft Guidance for the Provision of Information on REDD+ Governance developed by UN-REDD and Chatham House;
- Framework for Assessing and Monitoring Forest Governance emerging from the 2010 Stockholm meeting on forest governance led by the World Bank and FAO.

The meeting's objective was to present the two documents, discuss their utilisation and possible subsequent refinement, and more generally consider the governance information needs of different stakeholders (governments, private sector, local communities, etc.).

The meeting drew together a variety of participants, including government officials from donor and recipient countries interested in forest and REDD+ governance; experts drawn from international institutions and academia; national and international civil society organizations; and the private sector.

Main outcomes of the Expert Meeting

- A significant contribution of the documents is to propose a common language and common concepts for all those interested in assessing and providing information on governance.
- The documents have a wide range of applications, from advocacy work to government-led reforms.
- Ownership, created through participatory processes, will be key to their successful application.
- There are already several opportunities for early use of the documents: Participatory Governance Assessments for REDD+, IDLO e-training courses, EU FLEGT and REDD+ Facilities, NFPs, FOPER.
- Participants made the following recommendations to the lead agencies:
 - Further develop the documents, including their dissemination and communication (e.g. through an e-network and/or website);
 - Further analyze synergies among initiatives and encourage coordination between existing tools;
 - Organize a "community of practice" to collect and share information on country best practice;
 - Support in-country actions through training, capacity building and pilot application.

Day One¹

Welcome remarks

Participants were welcomed by Eduardo Rojas Briales, FAO's Assistant Director General for the Forestry Department, Alexander Mueller, FAO's Assistant Director General for the Natural Resources Department and Co-chair of the UN-REDD Policy Board, and Gerhard Dieterle, Forests Advisor to the World Bank.

All commended the collaborative nature of the Expert Meeting on the Governance of Forests and REDD+. The meeting, as well as the two new guidance documents being presented, have indeed emerged from a year-long collaboration between FAO, the World Bank, UN-REDD and Chatham House, as well as the close cooperation of the Forestry and Natural Resources Departments of FAO. It was emphasised that the meeting was intended to assist, not pre-judge the climate negotiations, the aim being to provide information on the basis of which countries can make informed choices.

Keynote address

The meeting opened with a keynote address by James Griffiths² from the World Business Council for Sustainable Development (WBCSD), in which he outlined the WBCSD's Vision 2050 and its creation of a platform for discussion about the role of business in a resource constrained world. He made the business case for company action to ensure good forest and REDD+ governance, stressing that businesses both impacted and depended on ecosystems and ecosystem services.

Presentation of the documents

The first session was organised around three presentations³:

- Doris Capistrano (FAO) presented the Framework for Assessing and Monitoring Forest Governance emerging from the 2010 Stockholm meeting on forest governance led by the World Bank and FAO;
- Rosalind Reeve (Chatham House) presented the draft Guidance for the Provision of Information on REDD+ Governance developed by the UN-REDD Programme and Chatham House.
- Eva Muller (FAO) described the relationship between the two documents, highlighting the common framework and terminology used, as well as the differences between them, and gave an overview of how they could be used together in a complementary way.

The participants were given the opportunity to comment and ask questions after each presentation. The following key points emerged from the discussion:

- A significant contribution of these documents is to propose a working definition of good governance based on three pillars: (1) Policy, legal, institutional and regulatory frameworks; (2) Planning and decision-making processes; and (3) Implementation, enforcement and compliance; and underpinned by six principles (accountability, effectiveness, efficiency, fairness/equity, participation and transparency). This working definition fits within a rights-based approach to governance.
- These must be living documents; the terms, definitions and analysis of governance will continue to evolve over the next years, in line with a changing understanding of governance issues.

¹ The agenda for the meeting is available at:

<http://www.fao.org/climatechange/unredd/70092/en/>

² Mr Griffiths' presentation is available at: http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1110&Itemid=53

³ The presentations are available at: http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1110&Itemid=53

- An on-going discussion among practitioners concerns the difference between forest governance, REDD+ governance and the governance of REDD+ processes. Some participants noted that REDD+ governance could potentially be very broad since it involves other sectors.⁴
- Participants highlighted the importance of stakeholder participation in addressing governance issues and stressed the need for participatory approaches to the use of the documents. The documents have a wide range of possible applications, from advocacy work aimed at emphasizing specific issues in a country, to a more government-centered approach where they could be used in reform processes, where a balanced view of stakeholders is most important. Accordingly, stakeholders must also have the necessary capacities to understand and use the documents — training, capacity building and awareness raising are crucial in this respect.
- Without full country ownership of the implementation of these documents, the results will be suboptimal. Ownership will be key when these documents are used to identify needs for transformation and change.
- Although the documents can help guide reform or innovation, they do not dictate specific outcomes. They reflect widely accepted norms and good practices, but they are not prescriptive.
- Issues of forest and REDD+ governance are competing in a complex web of other sector issues (mining, agriculture, transport, etc.) and can only be addressed effectively with a cross-sectoral approach.
- The documents are well-grounded in best practice. However, there is a need to consider cost effectiveness and simplification in their implementation, for example by considering tiered systems or a phased approach.
- Participants also stressed the need for pre-testing the documents on the ground, to enable further iterations and refinement before piloting.

Break-out groups: User's perspectives

In the afternoon, working groups were formed and participants were asked to discuss and report on the dissemination, relevance and potential to bring about change of the two documents.

The full reports of the working groups are available at

www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1110&Itemid=53

The groups identified a multiplicity of potential users for the documents, including:

- government (at all levels); indigenous peoples; civil society including NGOs; private sector; development partners; academics; media; etc.
- non-traditional users such as municipalities/local governments with forest management responsibility
- programs: FCPF, UN-REDD, FIP, FLEGT VPAs⁵

The groups also recognized that the documents could have a wide range of uses, such as:

- providing information for REDD+
- assessing investment risks and performance in implementing REDD+
- advocacy
- reform
- catalyzing change in how governance is measured (e.g. provide a common language and avoid duplication of efforts)
- research

⁴ For the purposes of the draft Guidance, “REDD+ governance is assumed to refer to the oversight of all the institutions, policies and processes that a country has in place at national and sub-national levels to implement REDD+ (including carbon accounting, respect of safeguards, financial accountability, etc.)”.

⁵ A list of acronyms is provided at the end of the report.

- better understanding the dynamics of forest management
- monitoring progress (through the use of intelligent indicators)

The groups proposed different ways of making the documents available and more accessible through:

- their translation into French, Spanish and other languages as needed
- the simplification of the language used
- the use of illustration and examples
- the reformulation of components and sub-components as questions
- the development of a manual providing guidance adapted to different users
- the creation of a website (including with a feedback option)
- the organization of training workshops

The groups recommended the following elements to better align the two documents:

- write a preface on how they are linked
- provide cross-referencing
- make the terminology uniform

There was a discussion on whether the documents should be merged. It was decided, however, to keep them separate since the Framework is also relevant for non-REDD+ countries.

Day Two

Panel discussion: Hearing from some expected users

The second day started with a panel discussion chaired by Tina Hageberg (UNDP) during which representatives of governments and civil society organisations gave an overview of their work on the governance of forest and REDD+ and explained how the documents would be useful for their activities⁶. Tina Hageberg launched the discussion by mentioning plans by UNDP and FAO for a joint piloting of Participatory Governance Assessments (PGAs) for REDD+ and support to data collection based on the Guidance for the Provision of Information on REDD+.

Filippo del Gatto, from Madera Verde (Green Wood) in Ecuador and Global Witness, explained how the Framework for Assessing and Monitoring Forest Governance could help his work with the CIFOR PRO-FORMAL project in Ecuador, most notably to find identifiable elements (“subcomponents”) of local political economy and commodity chain governance, and design indicators for their analysis and measurement. He also mentioned the added value of the draft Guidance for the Provision of Information on REDD+ Governance for his work with Global Witness in Honduras, where a VPA with the EU is under consideration. He considered that the document would help ensure that the involvement of civil society and the media in the provision of information is less dangerous (i.e. through involving international networks to disseminate information) and more effective in promoting change.

Cristina Coello, from the Ministry of Environment in Ecuador, gave an overview of efforts to build and strengthen Ecuador’s legal framework for the implementation of REDD+. The draft Guidance for the Provision of Information on REDD+ Governance could prove useful in this process, in particular to consult and involve civil society, indigenous peoples and local communities. However, she strongly recommended testing the document in pilot countries first, in order to make it more practical and accessible to those who are not directly involved in REDD+.

Manoj Nadkarni then talked about Transparency International’s Forest Governance Integrity Program and reminded participants that corruption was a serious impediment to REDD+ implementation. The program works with a wide range of local stakeholders (both governmental and non-governmental

⁶ Panelists’ presentations are available at www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1110&Itemid=53

actors) to monitor the performance of anti-corruption tools, identify weaknesses and conduct advocacy to promote the necessary governance and/or legal reforms. In this context, the two documents could be used as training material for capacity building of local stakeholders and provide a common language to start discussions at the local level.

Brigitte Eale Mukundji, Climate Expert from the Diplomatic Mission of the Democratic Republic of Congo (DRC) in Geneva, presented the strategic vision and institutional organization underlying the national REDD+ process in DRC. Noting that DRC has an active civil society, she stressed that REDD+ provided DRC with both opportunities and challenges and identified a list of governance issues currently being tackled by legislative reforms. The DRC has devised innovative ways of promoting good governance (e.g. the Registry's online administrative process based on self-reporting, and new tools providing independent oversight mechanisms), but the two documents constitute an additional source of guidance for the important reforms taking place in the DRC and may act as catalysts in the process.

Marlea Pinor Munez, representing WISE Inc., a member of the CoDe-REDD NGO network in the Philippines, talked about the Philippine National REDD-Plus Strategy (PNRPS) resulting from a consultation process between all relevant stakeholders started in 2009. The two documents appear as most useful to support the development and implementation of three components of the PNRPS: Capacity Building and Communication; Policy and Governance; and MRV.

Break-out groups: Getting the most from early applications

In this second break-out groups session, participants were asked to discuss opportunities for early use of the documents, including ways to support and learn lessons from them, and identify means to ensure that the documents find productive and practical applications.

The full reports of the working groups are available at:

www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1110&Itemid=53

The groups identified several opportunities for early use of the documents:

- Training and piloting activities (e.g. assisting with guiding PGA methodology; inclusion in IDLO's e-learning courses)
- REDD+, FIP and VPA implementation (the EU FLEGT and REDD+ Facilities could provide assistance⁷)
- National Forest Programmes (coordinated by FAO)
- Academic research on governance (with particular interest at FOPER)
- Assessment and reform initiatives not tied to outside programmes (where local demand exists)

The groups proposed a number of elements and ideas to support the use of the documents, including:

- Dissemination of promotional material, paying attention to the need for user-friendly formats (including additional short briefs that could be developed in-country)
- Promotion / endorsement by high-profile champions
- Using existing websites and portals (e.g. UNDP's web-portal; wikipedia)
- A clear timeline for applications with milestone 'moments'
- A core advisory group and coherent central support

The groups suggested the harvesting of lessons learnt from early applications through:

- The organization of a community of practice for collecting and sharing lessons

⁷ The EU REDD Facility could contribute to field-test both documents by providing its operational feedback on how far they help framing a constructive dialogue on governance issues within REDD+/FLEGT countries to which the facility provides assistance.

- The identification and sharing of information on country best practices and on the use of indicators (drawing on existing indicators such as those developed through the work of WRI, Chatham House and the World Bank)
- Meeting to review the pilots and improve the documents (tentatively a year from now)

The groups recommended the following for a productive and practical use of the documents:

- Use must grow out of a genuine demand from within countries
- The users must find the right entry points
- Use should be shaped by serious multi-stakeholder dialogue
- Use should be supported by capacity-building/training activities

Looking ahead

In the last session, participants were asked to discuss meeting findings and possible next steps. The general consensus was that participants perceived both documents as being useful in their own work and saw the value of having common frameworks with common concepts and terminology. Building on this feedback, participants recommended the lead agencies to:

- Further develop the documents, including their dissemination and communication (e.g. through an e-network and/or website);
- Further analyze synergies among initiatives and encourage coordination between existing tools;
- Organize a “community of practice” to collect and share information on country best practice, including through the mapping of relevant events and conferences;
- Support in-country actions through training, capacity building and pilot application.

Several participants also stressed the need for a greater involvement of the private sector, both in the community of practice and in country actions.

The First Meeting of the IUFRO’s Division of Policy and Economics (7-12th May 2012) was proposed as an opportunity for the community of practice to meet and interact with the research community. Meanwhile, the documents could be presented at the Oslo Governance Forum organised by UNDP’s Oslo Governance Centre on 3-5th October 2011.

Closing

The meeting concluded with a vote of thanks for the organizers and participants, by Peter Holmgren (FAO) and Gerhard Dieterle (World Bank).

List of acronyms

CIFOR	Center for International Forestry Research
FAO	Food and Agriculture Organisation
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Program
FLEGT	Forest Law Enforcement, Governance and Trade
FOPER	Forest Policy And Economics Education And Reserach
IDLO	International Development Law Organisation
IUFRO	International Union of Forest Research Organisations
NFP	National Forest Programme
PGA	Participatory Governance Assessment
UNDP	United Nations Development Programme
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
VPA	Voluntary Partnership Agreement
WBCSD	World Business Council for Sustainable Development
WRI	World Resources Institute

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