

The Governance of Forests Initiative (GFI)

**International Symposium on Indicators to
Assess and Monitor the Quality of Forest Governance**

Sida Headquarters, Stockholm

13 September 2010

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Institutions & Governance Program

World Resources Institute



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Overview

1. Origins of GFI
2. Overview of the GFI Framework of Indicators
3. GFI pilot assessments in Brazil & Indonesia
4. Initial findings & lessons

Origins of GFI

What is missing from existing forest-related indicator tools?

Explicit focus on governance to draw global attention to forest governance as a fundamental and common challenge

Comprehensive scope to build a holistic understanding of governance strengths, weaknesses & potential solutions

Origins of GFI

What are the specific needs of CSOs working on governance issues?

Objective information as a basis for engaging constructively with governments and other stakeholders

Detailed information as a basis for developing concrete and realistic solutions

The GFI Tool

a *framework of indicators* for assessing governance of the forest sector

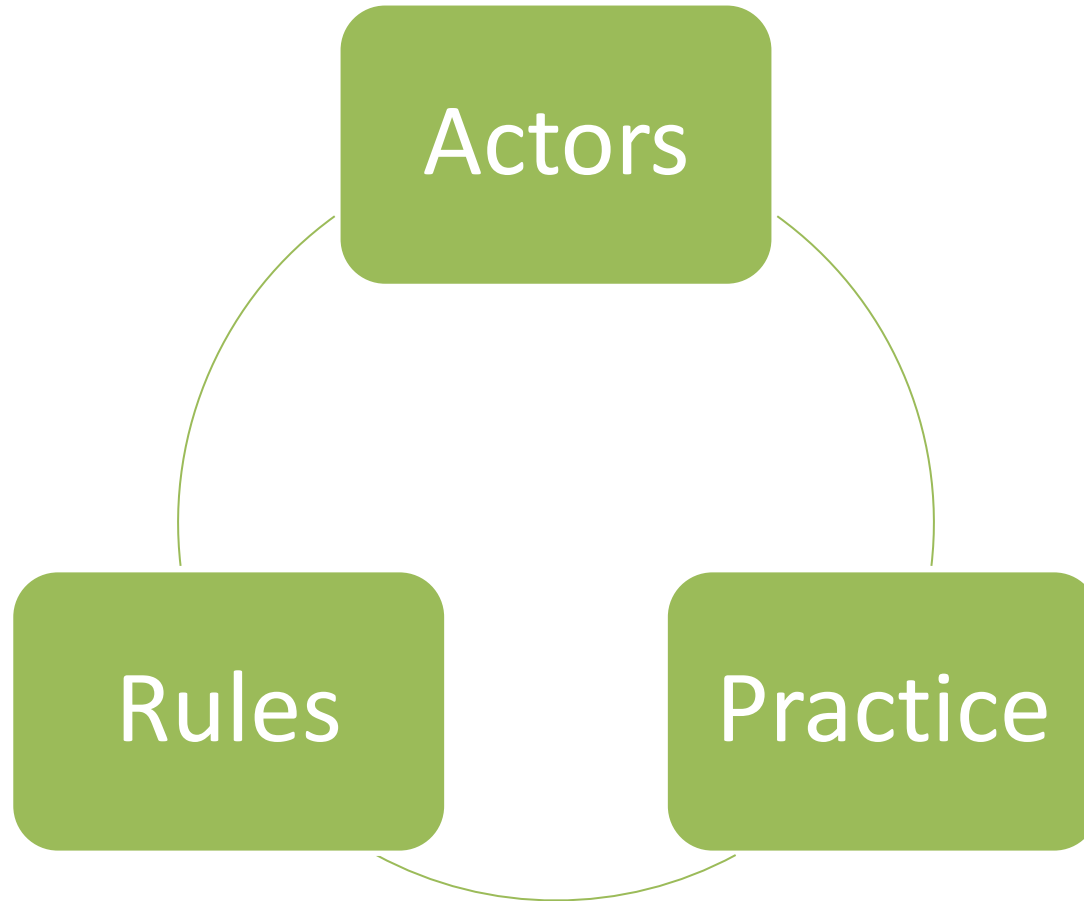
“FRAMEWORK”

conceptual diagram that defines good governance through key principles, components & issues

“INDICATORS”

94 diagnostic questions about how law and policy are created, changed and implemented

Components of Governance



Principles of Good Governance

Transparency

Participation

Accountability

Coordination

Capacity

Governance Issues

**Forest
Tenure**

**Forest
Management**

**Land Use
Planning**

**Revenues &
Incentives**

The GFI Framework

Components of Governance

Actors	Rules	Practice
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Principles of Good Governance

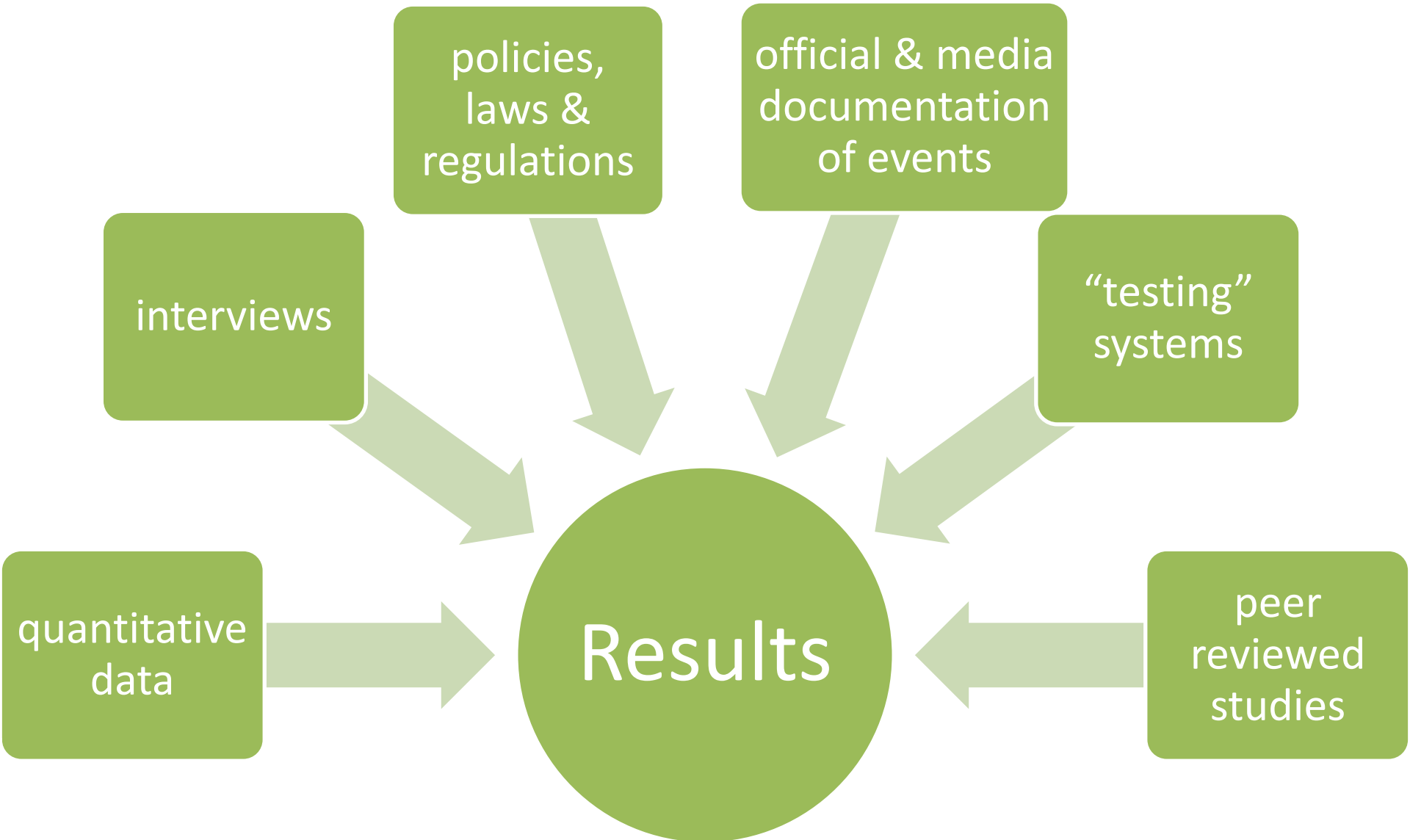
Accountability			
Transparency			
Participation			
Coordination			
Capacity			

Issues
Forest Tenure
Land Use Planning
Forest Management
Forest Revenues & Incentives

Example Indicator Worksheet

Transparent Management of Resource Funds		
Elements of Quality		Explanation
Clear authority over fund management	✓	
Stakeholder participation to determine spending priorities	✓	
Clear, publicly available rules to guide spending		
Fiscal information regularly presented to legislature & public	✓	
Annual external auditing, publically reported		
Regular assessment of impacts, publically reported		
Sources & Documentation:		
Values		
Not applicable/ Not assessed		N/A
Zero to one elements of quality		Low
Two elements of quality		Low-Medium
Three elements of quality		Medium
Four elements of quality		Medium-High
Five or more elements of quality		High

Triangulating Results



GFI Pilot Assessments

- 2 Brazilian & 4 Indonesian CSOs
- One-year assessments (2009-2010)
- National assessments with sub-national case studies
- Multi-stakeholder advisory committees provide feedback on methods and results



Preliminary Findings: Brazil

	Indicator	Governance Assessment	Strengths	Weaknesses
ACTORS	FM2. Independence of forest management agencies	Weak	<ul style="list-style-type: none"> • Clear codes of behavior for staff • Transparent procedures for public tender 	<ul style="list-style-type: none"> • No clear criteria and transparent procedures for hiring and promotion, especially in the appointment of high officials • No requirement of disclosure of interests • No transparency of salaries
RULES	FM11. Clear and comprehensive policies to reduce deforestation and degradation	Moderate	<ul style="list-style-type: none"> • Good quality information • Main drivers of deforestation and degradation addressed • Clear objectives • Description of the means to achieve the objectives 	<ul style="list-style-type: none"> • Lack of definition concerning financial capacity • Lack of clear authority for the implementation
PRACTICES	FM21. Effective information systems as a basis for forest management	Weak	<ul style="list-style-type: none"> • Comprehensiveness of the data in information systems • Centralization of information • Effective information sharing mechanisms 	<ul style="list-style-type: none"> • No regular updating mechanism • Lack of precision and accuracy of information • Underuse of information systems, especially in Pará
	FM22. Public access to information about forest management	Moderate	<ul style="list-style-type: none"> • Comprehensiveness of the on line information • Useful format of accessible information • Relevant language of accessible information • Useful scale of accessible information 	<ul style="list-style-type: none"> • Lack of timely answer to public requests
	FM23. Local community participation in forest management	Weak	<ul style="list-style-type: none"> • Inclusion of community representatives in local forest meetings 	<ul style="list-style-type: none"> • Lack of financial or technical assistance programs • Absence of adapted communication on forest related legislation • Absence of communication mechanism between state and community
	FM25. Effective management of protected areas and indigenous lands	Weak	<ul style="list-style-type: none"> • Clarity as to what activities allowed and not allowed within the area 	<ul style="list-style-type: none"> • Lack of boundaries enforcement; • Imperfections in the delineation • Lack of access to adequate scientific and technical information • Absence of comprehensive and appropriate management plan • Lack of financial, human and logistical resources • Absence of mechanisms to resolve disputes

Common findings: Brazil & Indonesia

- Pilot assessment results reinforce well-known governance problems in both countries
- Even so, some findings were surprising/interesting in terms of revealing:
 - links between upstream and downstream problems
 - the magnitude and scale of certain problems
 - ongoing information gaps concerning even “well-understood” issues
- The revenue & incentives indicators presented the biggest research challenge in both countries

Overarching lessons

- Partners felt that the GFI indicators are a novel and useful approach
- Governance indicators are most useful when developed through a bottom-up approach
- Common, global indicators frameworks can facilitate learning and sharing between very different countries
- Generating “objective” evidence about governance issues is important but difficult and requires more work

Next Steps

- Analyze results and discuss findings with a broad range of stakeholders
- New countries: Cameroon & Guyana
- Revise / refine GFI indicators
- Consider implications for global, national and sub-national REDD+ programs and plans
- Develop and pursue specific recommendations
- Monitor progress through future assessments