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Measuring Governance Quality in Forestry: from Policy to Project, or vice versa?



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Outline

1. **Introduction**
2. **Background:** government vs. governance, 'good governance', initiatives to assess it
3. **Problem statement**
4. **Assumptions**
5. **Research objectives:** our proposal
6. **Methods:** case-studies
7. **Results and discussion**
8. **Final remarks:** open questions, how to proceed

1. Introduction

Several challenges distressing forestry:

- Deforestation and forest degradation
- Illegal logging and trade
- Increasing demand for forest-related ecosystem services (biodiversity, C-sequestration, water, recreation, etc)

Need for new decision-support tools to improve the governance of the sector and to reflect the current demands of the civil society to decision makers/politicians/investors/corporations
e.g. transparency, participation in decision-making, environmental and social responsibility

1. Background

1/3

In the modern **complexity of hierarchies, markets and networks** (Kjær, 2004) there is an increasing demand for **new modes of governance**, with various interpretations:

e.g. private governance (gvc) (Cashore, 2002), heterarchic gvc (Jessop, 1998), democratic gvc (Kjaer, 2004), multi-level gvc (Marks, 1993), networked gvc (Jordan e Schout, 2006), meta-governance (Jessop, 2002), participative gvc (Shannon, 2006)

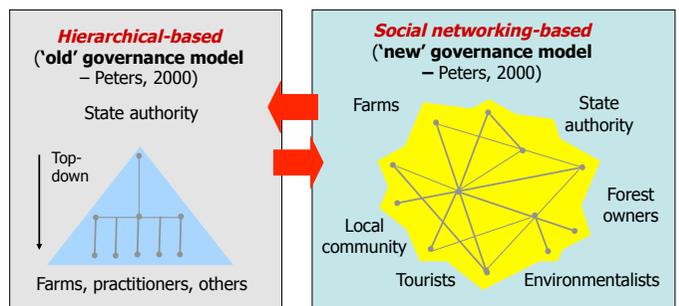
NOTE: Where **governance** = '**setting, application and enforcement of rules**' (Kjær, 2004) e.g. a system of managing/governing

2. Background

2/3

A shift from **government** to **governance** ...

... or, more often in practice, **mixed forms of approaches government + governance** in decision-making processes (in a *continuum* - Lanzaalaco and Lizzi, 2009)



2. Background

3/3

- **'Governance [...]** operates at every level of human enterprise, be it household, village, municipality, nation, region or globe' (UNDP, 2006)
- Recognized growing importance of **'good (new) governance'** to guarantee successful policy, programs and projects in various international arenas and disciplines (EC, 2001; Kaufmann and Kraay, 2002; Swiderska *et al.*, 2008; Wesselink and Paavola, 2008; Dedeurwaerdere, 2009; GFI, 2009; Umemiya *et al.* in press).
- **But...**

3. Problem statement

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While at large scale (global, international, regional, national):

- a number of systems for analyzing forest policies and related governance issues are well developed: the MCFPE set of C&I, the UNFF List of Actions, the Tropical Forest Action Plan, **the FLEGT Barometer**, ...
- a number of initiatives for assessing good governance are currently going on: the WGI and the **FGDT indicator framework (WB)**, the WGA (UN University), the GIP (UNDP), **the GFI (WRI)** and others (**in total, 11 in forestry**) (ODI, 2007; Kaufmann *et al.* 2009; GFI, 2009; Saunders and Reeve, 2010)

3. Problem statement

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... a well-consolidated process-oriented framework of criteria and indicators for measuring governance **also at local level** easily, comprehensively and systematically **does not exist in forestry yet.**

- No unique, shared definition of **'good governance'** at the different levels.
- Current initiatives **focus on analyzing and describing governance models rather than assessing** their quality:
 - at international or country level (**policy formulation rather than projects implementation**)
 - mainly for application in Developing Countries (donors)
 - based on **complex** sets of indicators
 - **outcomes-oriented** rather than process-oriented

4. Assumptions

1. A **systematic and objective evaluation** (EC, 2004) of a policy, program or project in its phases (**a. conception, b. formulation, c. implementation, d. results**) is an useful tool for decision-making support and governance.
2. The **traditional government mechanisms** should be **integrated with the innovative governance processes**.
3. Both the policy-making level (**policy**) and the policy-implementing level (**projects**) have to be considered (UNDP, 2006; ODI, 2007).
4. Governance has to be assessed **in relation to spatial scale and institutional scale** (Gibson *et al.* 2000)

5. Research objectives

1. To propose **a general conceptual framework** for defining **what 'good governance'** might be nowadays.
2. To verify the feasibility of and propose a practicable method for **evaluating the quality of governance in forestry** which:
 - can be **used at all levels** (policy formulation at national scale, projects implementation at local scale) and **everywhere** (not only in Developing Countries);
 - try and **adapt the sets of indicators developed by the main current initiatives at international/national scale** (FGDT by WB, GFI by WRI, ...) for applications at local scale by practitioners (**and vice versa**);
 - **integrate dimensions used to assess traditional government mechanisms** (efficiency, effectiveness, sustainability) **with those of new governance processes** (i.e. participation, accountability, ...).

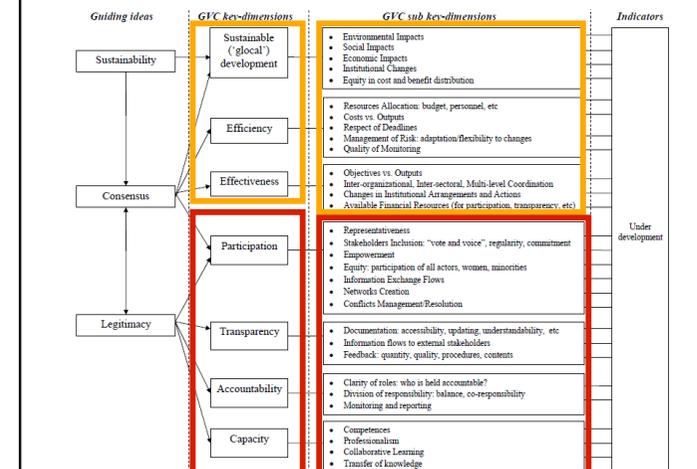
6. Methods

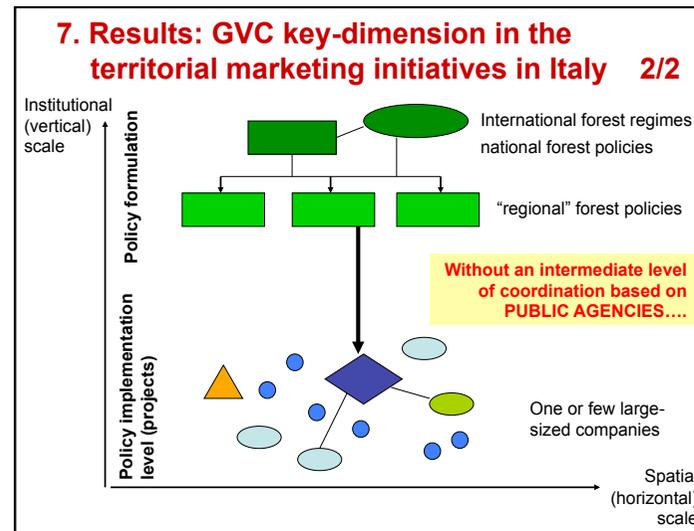
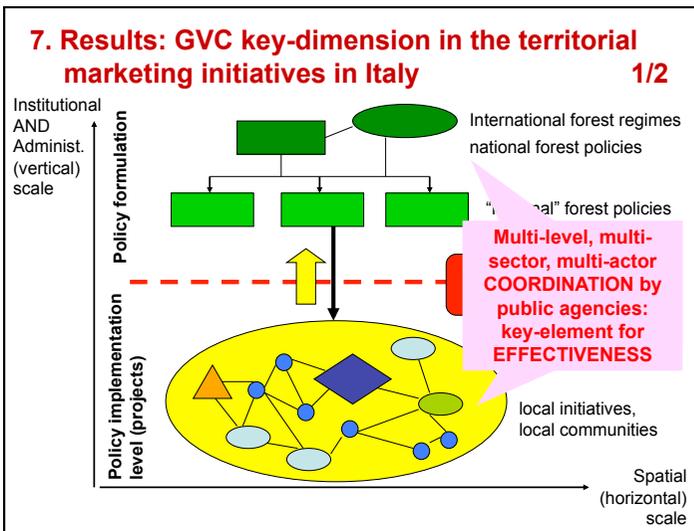
Mainly **qualitative** research approach based on literature review, textual document analysis (Silverman, 2008) and **case-studies analysis** (Yin, 2009):

- Same implementation level, local scale
- Emerging economic mechanisms

1. **PES mechanism** in water reclamation by forests in Emilia Romagna and Piedmont regions in Italy
2. **REDD-plus project** (preliminary phase) in Angai Villages Land Forest Reserve in Tanzania
3. **FSC-PEFC forest certification** of Magnifica Comunità di Fiemme in Trentino region in Italy
4. **Forest-based territorial marketing initiatives** in Italy (Veneto and Trentino regions)

7. Results: the conceptual framework





7. Discussion: which indicators? 1/2

Dimension	Sub-dimension	Indicators/variables	Comments
1. Sustainable 'glocal' develop.	•Environmental impacts	<ul style="list-style-type: none"> Existence of formal commitment to sustainability Existence of social and/or environmental reporting Reforms in the last 5 years 	Phases a-c-d
	•Social impacts		Need to assess also quality of commitment, reporting, reforms: expert consultation
2. Efficiency	•Economic impacts	<ul style="list-style-type: none"> N° achieved results in respect to planned results/tot costs Use of budget Respect of deadlines Existence of monitoring 	Tools to measure distributional impacts available.
	•Institutional changes		Phases a-b-c-d
	•Equity in cost and benefit distribution		Well consolidated procedures/tools from economic development cooperation
3. Effectiveness	Etc.		

7. Discussion: SCALING DOWN indicators?

Dimension	Source/method at national lev.	Assessment at national level	Example of Indicator at local level
Transparency	FGDT by the WB sur multiple pre-defined answers	• Are commercial timber forests open and transparent?	Documents on How/channels.
Capacity, Participation	WGI World Economic Competitiveness Report, by survey.	• When deciding upon favor well-connected firms.	"After - Before" city
Effectiveness	WGI. Political Risk Int. Guide, by expert survey	• Democratic is the Gov. to remain in power.	Difficult application at

7. Discussion: SCALING UP indicators?

Dimension	Indicators	Methodology
Account-ability	Project progress updated online	Website monitoring
Sustainable Glocal Development	Formal commitment towards SFM standards	Documental analysis.



Dimension	Indicators	Methodology	Problems in transferring into national level
Effectiveness	Feedback (satisfaction analysis, complaints)	Perception survey and document analysis about dedicated staff in public administration	Difficulties in collecting statistically significant data
Participation	Network creation (social capital)	Collaboration degree density "before-after" (SNA)	Difficulties in defining and monitoring high number of stakeholders in dynamic participatory processes



8. Final remarks

1/3

- It seems possible to identify few **'universal' dimensions of good governance (to be used not only in forestry?)**.
- The **'Sustainable glocal development'** is probably the most complex and difficult dimension to be assessed, but it cannot be ignored.
- The **'Participation'** dimension is **sometimes lacking in practice** and, in addition, it has to be carefully considered: **participation vs. efficiency dilemma** (*i.e. Does a participative process always provide automatically good governance? See Cooke and Kothari, 2001; Shannon, 2006; Fritsch and Newig, 2009*)

8. Final remarks

2/3

- Some indicators are valid only at national level, others only at local level, others at both levels (need to focus on procedural-oriented assessment).
- **To assess good governance is important at global as well as national and local level: reduced risks of policy failure, improved guarantees for investments.**
- Empirical observations have demonstrated **key-aspects for effectiveness: networking** (horizontal coordination when referring to spatial scale) **and integration** (vertical coordination when referring to institutional scale)

8. Final remarks

2/2

Several questions and **methodological problems** remain to be explored:

1. How to define 'good governance' P,C&I: by means of stakeholders consultation? **At which level/scale?**
2. Evaluation phases (ex-ante, in itinere, ex-post)?
3. Key-indicators (redundancies, objective vs. subjective, **global/national vs.local**)?
4. Dynamic nature of governance?



Further steps:

- Pilot testing in different contexts?
- Identifying/testing other instruments than SNA?
- Building a complex index?



**Thank you
for attention!**

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