

Improving governance *of* forest tenure

A practical guide



The FAO Governance of Tenure Technical Guides are part of FAO's initiative to help develop capacities to improve tenure governance and thereby assist countries in applying the *Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security*. The FAO Governance of Tenure Technical Guides are prepared by technical specialists and can be used by a range of actors. They:

- Translate principles of the Guidelines into practical mechanisms, processes and actions.
- Give examples of good practice – what has worked, where, why and how.
- Provide useful tools for activities such as the design of policy and reform processes, for the design of investment projects and for guiding interventions.

For more information on the Guidelines and FAO's activities on governance of tenure visit: [**www.fao.org/nr/tenure**](http://www.fao.org/nr/tenure)

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Foreword

Decisions about resource tenure – or who can use what resources of the land for how long, and under what conditions – are among the most critical for forests and livelihoods in many contexts. As tenure systems increasingly face stress, with growing populations requiring food security and with environmental degradation and climate change reducing the availability of land and forests, the governance of tenure becomes ever more crucial in determining whether and how people are able to acquire rights to use and control these lands and forests, along with the associated responsibilities.

Recognizing increasing demands for help in addressing this challenge, in particular from local-level stakeholders, FAO initiated a multistakeholder process that culminated in May 2012 with the Committee on World Food Security endorsing the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security ('the Guidelines'). Based on principles of sustainable development and the fundamental role of land in people's livelihoods and environmental resilience, the Guidelines are intended to contribute to global and national efforts to eradicate hunger and poverty by promoting secure tenure rights and equitable access to land, fisheries and forests.

Inspired by the Guidelines, and recognizing forest tenure as a key part of the challenge, this Practical Guide on improving governance of forest tenure is for you if you want to rise to that challenge. It is for those who want to try to improve the governance of forest tenure, and it helps you to take action in four critical areas – understanding, organizing, engaging and ensuring – to improve decision-making about forest goods and services. It starts by highlighting some important opportunities and challenges in governance today and directs you to further information, appropriate to how you identify yourself as a stakeholder and what type of opportunity or challenge you are facing. It then lays out a toolkit containing some 86 tools described in summary form and 9 key tools explained in some depth. These tools are labelled for their appropriateness in different governance contexts and for the amount of time, money and skills needed to use them. A glossary and extensive Web-linked bibliography for further inspiration are also provided.

Maria Helena Semedo

Deputy Director-General

*FAO Natural Resources Management
and Environment Department*

Camilla Toulmin

Director

IIED

Acronyms

API	Accessing Public Information
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CRC	Convention on the Rights of the Child
CSC	Community Score Card
EITI	Extractive Industries Transparency Initiative
FAO	Food and Agriculture Organization of the United Nations
FLEGT	Forest Law Enforcement, Governance and Trade
FSC	Forest Stewardship Council
FPIC	Free, prior and informed consent
GIS	Geographic information systems
GPS	Global positioning system
HCV	High conservation value
ICCPR	International Covenant on Civil and Political Rights
ICERD	International Convention on the Elimination of All Forms of Racial Discrimination
ICESCR	International Covenant on Economic, Social and Cultural Rights
ICT	Information and communications technology
IIED	International Institute for Environment and Development
ILO	International Labour Organization
LAS	Legality assurance system
NGO	Non-governmental organization
PCA	Power and Change Analysis
PEN	Poverty and Environment Network
PES	Payments for environmental services
PM&E	Participatory monitoring and evaluation
PROFOR	The Program on Forests
RAFT	Rapid Appraisal of Agroforestry Practices, Systems and Technology
RaTA	Rapid Land Tenure Appraisal

REDD	Reduced emissions from deforestation and forest degradation
REDD+	Reduction of emissions from deforestation and forest degradation, conservation, sustainable forest management and enhancement of carbon stocks
RTI	Right to information
SFM	Sustainable forest management
SWOT	Strengths, weaknesses, opportunities and threats
TI	Transparency International
UDHR	Universal Declaration of Human Rights
UNDRIP UN	Declaration on the Rights of Indigenous Peoples
UNECE	United Nations Economic Commission for Europe
VPA	Voluntary Partnership Agreement



Contents

Acknowledgments	III
Foreword	IV
Acronyms	V

Introduction

Why you might need this Practical Guide	1
Why tenure and its governance are so important	2
Locating your starting point and defining your objective	4
Using the toolkit to help reach your objective	9

A - Tools for understanding

Why understanding is important for governance of forest tenure	17
Navigating and applying the tools in this section	18
A1. Assessing the biophysical resource base	19
A1.1 National forest inventory and forest resource assessment	20
A1.2 Community measurement and monitoring of forests, including carbon stocks	20
A1.3 Rapid Carbon Stock Appraisal	21
A1.4 Rapid Appraisal of Agroforestry Practices, Systems and Technology (RAFT)	21
A1.5 Identifying areas of high conservation value	22
A1.6 Multidisciplinary landscape assessment	22
A1.7 People's biodiversity registers	23
A1.8 Assessing forest cover change with TREES	24
A2. Understanding the role of forest goods and services in supporting people's livelihoods	24
A2.1 Poverty - Forest Linkages Toolkit	25
A2.2 Participatory analysis of poverty, livelihoods and environment dynamics	25
A2.3 Basic assessment guide for human well-being	26
A2.4 Poverty and environment network prototype questionnaire	26
A3. Recognizing present and historical arrangements and competing claims in forest tenure	27
A3.1 Rapid land tenure appraisal	27
A3.2 Participatory mapping	28
A3.3 Analysis of conflicts through timelines and semi-structured interviews	28
A4. Mapping the political and institutional context	29
A4.1 Policy analysis and legal analysis	30

A4.2	Force field analysis	30
A4.3	Local stakeholder institutional mapping	31
A4.4	Drivers-of-change analysis	31
A4.5	Power and change analysis	32
A4.6	Stakeholder influence mapping and power analysis	32
A4.7	The Four Rs	33
A4.8	Historical analysis	33
A4.9	Achieving responsible gender-equitable governance of land tenure	34
A4.10	Governance assessment tools	34
A5.	Defining opportunities for change	35
A5.1	Scenario analysis and planning	35
A5.2	Problem tree analysis	36
A5.3	Theory-of-change analysis	37
A5.4	Community-based planning	37

B - Tools for organizing

	Why organizing is important for governance of forest tenure	43
	Navigating and applying the tools in this section	44
B1.	Strengthening communities to engage	45
B1.1	Organizing forest user-groups to engage	46
B1.2	Building advocacy, lobbying and negotiation skills for indigenous leaders to engage with REDD+	46
B1.3	Community Organizers Toolbox	47
B1.4	From the Roots Up: strengthening organizational capacity through guided self-assessment	47
B1.5	Participatory Governance Assessment	48
B1.6	Community-based forest resource conflict management	48
B1.7	Interacting with national facilitation hub institutions	48
B1.8	Guidance for developing advocacy plans	49
B2.	Building a responsive public sector	49
B2.1	Facilitating organizational and institutional change	50
B2.2	Appreciative inquiry	51
B2.3	Running pilot projects	51
B2.4	On-the-job mentoring of government officials in participatory approaches	52
B2.5	E-government systems for securing forest rights	52
B3.	Organizing for the private sector to operate in a fair and inclusive way	53
B3.1	Market analysis and development for community-based tree and forest product enterprises	54

B3.2	Strengthening community enterprise governance and structures	54
B3.3	Investing in sustainable forestry enterprises	55
B3.4	Company-community forestry partnerships	55
B3.5	Fairtrade standard for timber sourced from small-scale and community-based producers	56
B4.	Building or strengthening coalitions, networks and federations	56
B4.1	Managing a peer-to-peer learning group for improving forest governance	57
B4.2	Social networks: 38 Degrees and others	58
B4.3	Building alliances and coalitions for advocacy	58

C - Tools for engaging

	Why engaging is important for governance of forest tenure	63
	Navigating and applying the tools in this section	64
C1.	Supporting civil society to wield evidence, advocate, campaign and negotiate	65
C1.1	Advocacy tools and guidelines	65
C1.2	Effective consultation	66
C1.3	Free, prior and informed consent – from principle to practice	66
C1.4	Supporting communities to negotiate and run impact and benefit agreements with companies	67
C1.5	Media and lobbying tactics for local groups	68
C1.6	Crowdsourcing	68
C1.7	Ushahidi: open-source software and collaborative mapping	69
C1.8	Community radio	69
C1.9	Participatory photos and video	70
C1.10	Policy research for change	70
C2.	Running effective consultation, participation and multistakeholder processes	71
C2.1	The Pyramid: a diagnostic and planning tool for forest governance	71
C2.2	Stakeholder involvement in national forest programmes	72
C2.3	Road map for running participatory dialogue processes	72
C2.4	Consultation with civil society by others	73
C2.5	Pathfinder: steering multistakeholder working groups to develop forest standards	73
C2.6	Forest certification	74

D - Tools for ensuring

	Why ensuring is important for governance of forest tenure	79
	Navigating and applying the guidance in this section	80
D1.	Monitoring and evaluation, accountability and transparency	80

D1.1	Citizen report cards	81
D1.2	Community score cards	82
D1.3	Forest sector transparency report cards	82
D1.4	Framework for assessing and monitoring forest governance	82
D1.5	Monitoring government policies: a toolkit for civil society organizations	83
D1.6	Accessing public information	84
D1.7	Community scrutiny of legislation	84
D1.8	Citizen action to reduce forest corruption	85
D1.9	Anti-corruption Websites: Blow Your Whistle	85
D1.10	Citizens' juries	85
D2.	Mechanisms for grievances, dispute resolution and access to paralegal support	86
D2.1	Establishing grievance and complaints procedures	87
D2.2	Strengthening the capacity of paralegals in forest communities	87
D2.3	Legal literacy camps	88
D2.4	Public hearings and auditing	88
D3.	Recourse to courts, higher levels of government or international policies and levers	89
D3.1	Securing women's rights using the African human rights system	90
D3.2	Indigenous peoples' rights in the International Labour Organization (ILO)	90
D3.3	The Public's Right to Know: Principles on Freedom of Information Legislation	91
D3.4	Using the compliance review mechanism of the Aarhus Convention	91
D3.5	Validation of transparency in the extractive industries	92
D3.6	Voluntary Partnership Agreements (VPAs) on forest governance	92
Annexes		
Annex 1: In-depth tools		97
XL A3.1	Rapid land tenure appraisal (RaTA)	97
XL A3.2	Participatory mapping of forest tenure	99
XL A4.6	Stakeholder power analysis	101
XL B1.1	Organizing forest user groups to engage	104
XL B2.4	On-the-job mentoring of government officials in participatory approaches	106
XL C1.3	Ensuring free, prior and informed consent (FPIC)	107
XL C1.5	Media and lobbying tactics for local groups	110
XL D1.3	Forest sector transparency report cards	112
XL D1.6	Accessing public information	114
Annex 2: Glossary		117
Annex 3: Bibliography		120

Introduction

1. Why you might need this Practical Guide

What it is about

Forests help us breathe and they give us homes, food and energy. Moreover, human well-being and the health of our whole planet depend on whether and how we grow and look after forests. So ‘forest governance’ – or who is allowed to decide what about forests and how – is a matter of life and death for millions of people around the world and is profoundly relevant for us all. But decisions about forests and trees are often in the wrong hands or made badly. Much depends on ‘tenure’ – on who owns and controls the forests and trees themselves. The owners may be those who need the forests and look after them well or those who degrade them with no regard for the well-being of others. In short, it is about power. This Practical Guide aims to inspire and arm those who want to try to improve things so that power is used well for forests; it describes how practical tools can be used to shape better governance of forest tenure.

Who it is for

If you are a government policy-maker, or other public sector, private sector or civil society stakeholder concerned with forest governance and tenure reform, this guide is written with you primarily in mind. But we hope others may pick it up and find it useful, too. We are aiming for a broad readership, recognizing that people in different situations have different perspectives on the issues and need to take different approaches in addressing them.

When it might be useful

You may find this guide useful when you recognize that change is needed and you need help in achieving it. When decisions about forests are made by the wrong people, when decisions are bad, when the process is suspect or when good decisions are made but the capacity to do anything with them is feeble – that is when this guide may be useful. Conversely, you may need help in finding the best way to respond to positive opportunities for reform of policies, laws and institutions. These are often unique to in-country programmes and political changes, but there are several key international initiatives that are strongly provoking reform in the governance of forest tenure. The Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (‘the Guidelines’) (FAO 2012a – see

bibliography for references used in this Practical Guide) offer the first comprehensive global instrument on tenure of these resources and its administration. Meanwhile, some timber-producing countries are forming partnerships with the European Union to improve governance under programmes on Forest Law Enforcement, Governance and Trade (FLEGT). And concern about climate change is also bringing programmes for reduced emissions from deforestation and forest degradation (REDD+), which similarly need to be based on improvements in forest governance. This Practical Guide aims to provide help for those seeking to respond to these opportunities.

What it does

The guide below helps you locate your starting point – your objective in trying to improve forest tenure governance and what actions might be practical in your context. Then it helps you to identify a possible sequence of actions, possible tools that might be useful, and where you can find them in the toolkit that follows. The toolkit provides summaries of 86 tools, grouped in four main sections, each one a stage in a notional ongoing cycle of action and reflection on improving forest governance. Nine tools are also described in depth; the aim of this is to provide a core set of commonly useful tools with enough practical know-how for you to understand how each can be effectively used. Finally, a glossary of key terms and a bibliography, with hyperlinks to Web pages where further information can be found, are provided.

What it does not do

This guide urges you to take action and to ask many questions, but you will not find all the answers here. It does not offer a comprehensive review of the issues in forest tenure and governance. Very good reviews of these issues – describing why it is so important to shape governance – have been done by others, and the ‘General’ section of the bibliography points you to some of these. Neither is it a step-by-step manual. Most attempts to improve governance are messy, and many are complex and difficult. ‘Textbook’ stages of careful analysis, design, action and monitoring rarely apply in reality. Nor does the guide aim to cover every possible tool and tactic. It aims to provide some tools and sources of inspiration for a range of common situations; to provoke ideas rather than lay out strict formats; and to enable you to select tools and tactics to try out, develop further and combine in new ways. Some of you will be much more experienced in the use of certain tools than this guide can cater for – but maybe you will find interest in some new tools.

2. Why tenure and its governance are so important

Tenure is at the root of forest problems and prospects

Decisions about resource tenure – or who can use what resources of the land for how long, and under what conditions – are among the most critical for forests and livelihoods in many contexts. Tenure over forests is about access and rights to use or withdraw forest resources; to make decisions about use patterns or transformation; to decide

who can use the resources and who is prevented from using them; and to transfer, sell or lease the resources. A change in forest tenure leads to changes in the distribution of rights among different stakeholders. So as tenure systems increasingly face stress, with growing populations requiring food security and with environmental degradation and climate change reducing the availability of land and forests, the governance of tenure becomes ever more crucial in determining whether and how people are able to acquire rights to use and control these lands and forests, along with the associated responsibilities.

Each situation is different, but key problems are shared

Very useful work has been done to develop the evidence and analyse the issues – the problems and opportunities – around forest tenure. Situations differ greatly in, for example, Africa (FAO 2008; Oyono 2009; Wily 2011), Asia (Contreras-Hermosilla and Fay 2005; FAO 2006; Nguyen *et al.* 2008; FAO 2010) and Latin America (Larson *et al.* 2008; FAO 2009). But there are common problems, too:

- Roles, responsibilities and rights are often unclear or insecure, and this can fuel conflict.
- Injustice and exclusion of the rights of poor and marginalized people, often women, is common.
- Customary and indigenous rights and institutions often prevail but are poorly recognized in the way policies and laws are used.
- Tenure holders often have low capacity to exercise their rights, manage forest resources sustainably and develop thriving livelihoods based on them.
- Abilities of state institutions to support tenure holders and uphold regulation are commonly inadequate.

Reforming tenure is possible and guidance is available

There is also good evidence that the above problems can be tackled if enough influence over the ‘practical politics’ of forests can be generated by people working together (Mayers and Bass 2004; Paudel *et al.* 2008). Key elements in reforming forest tenure have been well analysed and promoted (Ellsworth and White 2004; FAO 2011a; Fisher *et al.* 2005 and 2008; Sunderlin *et al.* 2008; White and Martin 2002). These elements include:

- **legal reform and the capacity to implement it** – improving the regulatory framework and institutions so they define and legitimize effective, equitable tenure arrangements and translate them into meaningful outcomes (Christy *et al.* 2007; Colchester *et al.* 2006);
- **realizing devolved and customary rights** – ensuring that devolved rights lead to effective local control of forest resources and that customary forest management arrangements are recognized and supported (Cronkleton *et al.* 2010; Ribot 2002);
- **building enterprise based on rights** – supporting organization and capability

to build thriving and sustainable enterprises when pre-existing customary rights are recognized or when new rights are formally granted (FAO 2011b; Macqueen *et al.* 2012);

- **creating reform opportunities with global change** – recognizing a global rush for land, increasing challenges from climate change, and opportunities in responses to both for increasing the urgency and practicality of forest tenure reform (Cotula and Mayers 2009; RRI 2012).

The Guidelines (FAO 2012a), in particular, provide an important way forward. They show increased understanding among governments of the role played by securing customary tenure rights, and working with other stakeholders to manage improvements in tenure, in achieving national and global development goals. This Practical Guide is designed to complement other sources of support to help implement the Guidelines.

3. Locating your starting point and defining your objective

Some common motivations for getting involved

How do you make a start? Having a clear sense of where you are with respect to governance of forest tenure, and where you want to go, is critical. Here are some of the situations you might find yourself in where efforts to shape governance may really pay off:

Better understanding is needed because:

- Information and understanding on an issue is thin and debate is immature.
- New drivers of forest land use emerge and create problems or opportunities, such as new markets for or investments in forest or agricultural products, commodities, biofuels or carbon.

Stronger organization is needed because:

- Capacity to put good decisions into practice is inadequate.
- Opportunities present themselves from political changes or from new frameworks, such as FLEGT or REDD+.

Robust engagement is needed because:

- Key issues – such as clarifying and securing tenure – are ‘talked away’ despite understanding and apparent agreement being strong.
- Long-standing disagreements and simmering conflicts over forest resources and lands flare up, or openings are created to explore and reconcile different stakeholder positions.

Effective accountability is needed because:

- Decisions are not being made or are getting stuck because of past disagreements, policy inaction or institutional ineptitude.
- Substantial injustices and exclusion of the rights of women and poor people are glaring, or particular threats to forests have arisen from inappropriate investment proposals.

If you are in one of these situations or something like it, then an important first step is to assess and describe it and your motivation for doing something about it.

Some common forest governance contexts

It may be useful to know that you are not alone. Each country and each context within each country is, of course, different. But it is possible to discern some common situations in terms of the prevailing nature of forest governance – and the main forces driving change or keeping things the same. Table 1 is an attempt to capture some of these common situations and the entry points they provide for forest governance work. The Table also notes the sections in the toolkit (see Table of Contents) that offer tools potentially useful in this work. The phrases in the Table that try to capture different contexts are inevitably simplistic characterizations, but you may find some resonance with your situation. You may also find that your situation is a mixture of some of these contexts. We hope, however, that this typology will help you begin to identify a practical combination of entry points and tools.

Your forest governance context	Your possible entry points for improving forest governance	Tools that you may find useful (references to sections of the toolkit)
1. State control and regulation	Where control capacity is strong: <ul style="list-style-type: none"> • Information and outreach • Policy and legislation development • Accountability of authorities 	<ul style="list-style-type: none"> • Building a responsive public sector (B2) • Monitoring and evaluation, accountability and transparency (D1)
	Where control capacity is weak: <ul style="list-style-type: none"> • Noncompliance and corruption • Conflicts with customary tenure • Civil society and private sector roles 	<ul style="list-style-type: none"> • Mapping the political and institutional context (A4) • Running effective consultation, participation and multistakeholder processes (C2)
2. Privatization to corporate interests	<ul style="list-style-type: none"> • Deregulation and market reforms • Standards and monitoring • Free, prior and informed consent 	<ul style="list-style-type: none"> • Strengthening communities to engage (B1) • Organizing for the private sector to operate in a fair and inclusive way (B3)

TABLE 1.
Typology of common forest governance contexts, with entry points and tools to shape them

3. Decentralization to local authorities or communities	<ul style="list-style-type: none"> • Tenure clarification and security • Capacity of communities, civil society and local authorities • Multistakeholder processes and accountability 	<ul style="list-style-type: none"> • Recognizing arrangements and claims in forest tenure (A3) • Supporting civil society to wield evidence, advocate, campaign and negotiate (C1)
4. Timber trade responsibility – FLEGT and certification	<ul style="list-style-type: none"> • Defining legality and resource baselines • Capacity of institutions • Verification and certification 	<ul style="list-style-type: none"> • Defining opportunities for change (A5) • Mechanisms for grievance, dispute resolution and access to paralegal support (D2)
5. Forest for tackling climate change – REDD+ and adaptation strategies	<ul style="list-style-type: none"> • Carbon and forest rights • Benefit-sharing mechanisms • Cross-sectoral coordination 	<ul style="list-style-type: none"> • Understanding the role of forest goods and services in livelihoods (A2) • Recourse to courts, higher levels of government or international policies and levers (D3)
6. Integrated forest governance with other sectors	<ul style="list-style-type: none"> • Participation in interdepartmental mechanisms • Information and capacity gaps • Engagement of civil society 	<ul style="list-style-type: none"> • Assessing the biophysical resource base (A1) • Building or strengthening coalitions, networks and federations (B4)

Inspiration from principles of good forest governance

Various initiatives with forest stakeholders to develop systematic ways to assess forest governance in a given context – and to enable groups and individuals to locate their starting point for taking action to improve the situation – provide us with useful guidance (Mayers *et al.* 2005). FAO and the Programme on Forests (PROFOR) have done effective work in synthesizing recent initiatives and have put forward a framework for assessing and monitoring forest governance based on a set of principles and ‘pillars’ (see Figure 1) (FAO and PROFOR 2011).

FIGURE 1
Suggested
‘pillars’ and
principles of
‘good’ forest
governance

Source:
FAO and
PROFOR (2011)



With reference to the principles, FAO and PROFOR note that governance is generally considered 'good' if it is characterized by stakeholder participation, transparency of decision-making, accountability of actors and decision-makers, rule of law and predictability. 'Good governance' is also associated with efficient and effective management of natural, human and financial resources, and fair and equitable allocation of resources and benefits. They describe the pillars as follows:

- **Pillar 1:** Policy, legal, institutional and regulatory frameworks – the long-term systems of policies, laws, rules and regulations within the forest sector and in other sectors that impinge on forests;
- **Pillar 2:** Planning and decision-making processes – the degree of transparency, accountability and inclusiveness of key forest governance processes and institutions;
- **Pillar 3:** Implementation, enforcement and compliance – the extent to which the policy, legal, institutional and regulatory frameworks are implemented.

Experience with this framework to date suggests that it can help stakeholders define their objectives effectively and take action to make improvements (FAO 2012b).

Focusing in on governance of tenure

The Guidelines (FAO 2012a) stem from the firm belief, born of much field experience as noted above, that significant positive tenure reforms are both vital and possible. In particular, the Guidelines recognize that effectiveness in addressing tenure problems depends to a large extent on the quality of governance.

Responsible governance of tenure requires:

- recognizing and respecting legitimate tenure rights and the people who hold them;
- safeguarding legitimate tenure rights against threats;
- promoting and facilitating the enjoyment of legitimate tenure rights;
- providing access to justice to deal with infringements;
- preventing tenure disputes, violent conflicts and opportunities for corruption.

Source:
FAO (2012a)

The Table below lays out the main elements of the Guidelines and examples of tools in the toolkit that may be used to implement them.

TABLE 2.
The Guidelines
and tools that
can be used to
implement them

Structure of the Guidelines	Content of the Guidelines	Examples of tools in this toolkit that you can use to implement the Guidelines
1. Preliminary	Objectives, nature and scope of the Guidelines	
2. General matters	Foundations, key elements and shared understanding needed for governance of tenure: <ul style="list-style-type: none"> guiding principles of responsible governance of tenure; rights and responsibilities related to tenure; policy, legal and organizational frameworks related to tenure; delivery of services. 	<ul style="list-style-type: none"> Multidisciplinary landscape assessment (A1.6) Participatory analysis of poverty, livelihoods and environment dynamics (A2.2) Participatory mapping (A3.2) Policy analysis and legal analysis (A4.1) Historical analysis (A4.8) Participatory governance assessment (B1.5)
3. Legal recognition and allocation of tenure rights and duties	Governance of the: <ul style="list-style-type: none"> legal recognition of tenure rights of indigenous peoples and other communities with customary tenure systems, as well as of informal tenure rights; initial allocation of tenure rights that are owned or controlled by the public sector. 	<ul style="list-style-type: none"> Rapid land tenure appraisal (A3.1) Organizing forest user-groups to engage (B1.1) Free, prior and informed consent – from principle to practice (C1.3) Strengthening the capacity of paralegals in forest communities (D2.2) Indigenous peoples' rights in the International Labour Organization (D3.2)
4. Transfers and other changes to tenure rights and duties	Governance of tenure when existing rights and associated duties are transferred or reallocated through: <ul style="list-style-type: none"> markets; transactions in tenure rights as a result of investments; land consolidation and other readjustment approaches; restitution, redistributive reforms or expropriation. 	<ul style="list-style-type: none"> Drivers of change analysis (A4.4) Stakeholder influence mapping and power analysis (A4.6) Managing a peer-to-peer learning group for improving forest governance (B4.1) Supporting communities to negotiate and run agreements with companies (C1.4) Media and lobbying tactics for local groups (C1.5) Road map for running participatory dialogue processes (C2.3)
5. Administration of tenure	Governance of the administration of: <ul style="list-style-type: none"> records of tenure rights; valuation; taxation; regulated spatial planning; resolution of disputes over tenure rights; transboundary matters. 	<ul style="list-style-type: none"> Community-based forest resource conflict management (B1.6) E-government systems for securing forest rights (B2.5) Strengthening community enterprise governance and structures (B3.2) Company–community forestry partnerships (B3.4)

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5. Administration of tenure		<ul style="list-style-type: none"> Accessing public information (D1.6) Citizen action to reduce forest corruption (D1.8) Establishing grievance and complaints procedures (D2.1)
6. Responses to climate change and emergencies	Governance of tenure in the context of: <ul style="list-style-type: none"> climate change; natural disasters; violent conflicts. 	<ul style="list-style-type: none"> Poverty–forest linkages toolkit (A2.1) Force field analysis (A4.2) Scenario analysis and planning (A5.1) Facilitating organizational change (B2.1)
7. Promotion, implementation, monitoring and evaluation	Advocacy, use and tracking of the Guidelines	<ul style="list-style-type: none"> Running pilot projects (B2.3) On-the-job mentoring of government officials in participatory approaches (B2.4) Building alliances and coalitions for advocacy (B4.3) Forest Sector Transparency Report Cards (D1.3) Public hearings and auditing (D2.4) Using the compliance review mechanism of the Aarhus Convention (D3.4)

The above typology of governance contexts, frameworks for forest governance and key elements of the Guidelines should help you define your objective. Some objectives will be substantial, aiming to tackle large and previously intractable problems. Others will be more short-lived, aiming to seize opportunities and catalyse wider change. The remainder of this Practical Guide should help you to gain a sense of the scale and intensity of the challenge and the kinds of resources you might need.

4. Using the toolkit to help reach your objective

Introducing the toolkit

The remainder of this Practical Guide consists of a toolkit designed for those who want to try to improve the governance of forest tenure. It offers a range of tools for better understanding, organizing, engaging and ensuring in the context of governance. These tools are labelled for their appropriateness in different governance contexts and for the amount of time, money and skills needed to use them.

The hope is that by focusing on tools – instead of problems, issues or challenges – you will be motivated to take practical action. As with guides to manual tools, we want to

encourage your sense that you can ‘do it yourself’. These tools have been developed in response to real, immediate natural resource management problems, and we hope that in learning about such home-grown approaches you will find inspiration where you face similar problems.

The toolkit offers summaries of 86 tools based on experience from around the world. It also describes nine commonly useful tools in more depth. The aim is to be inspirational rather than comprehensive; we have not attempted to describe each and every potential tool or to cover all aspects of policy and institutional change. The toolkit also contains many cross-references between the tools.

General features of the tools

The two essential features of a useful tool are that it takes you from problem to solution, and that it is transferable – able to be taken from one context and adapted elsewhere – without being a prescriptive and inflexible blueprint. A broad mix of tools of varied types should encourage cross-fertilization and experimentation. Other important features of the tools listed here include simplicity (ease of learning and communication) and cost-effectiveness (in terms of time, money, skills and equipment).

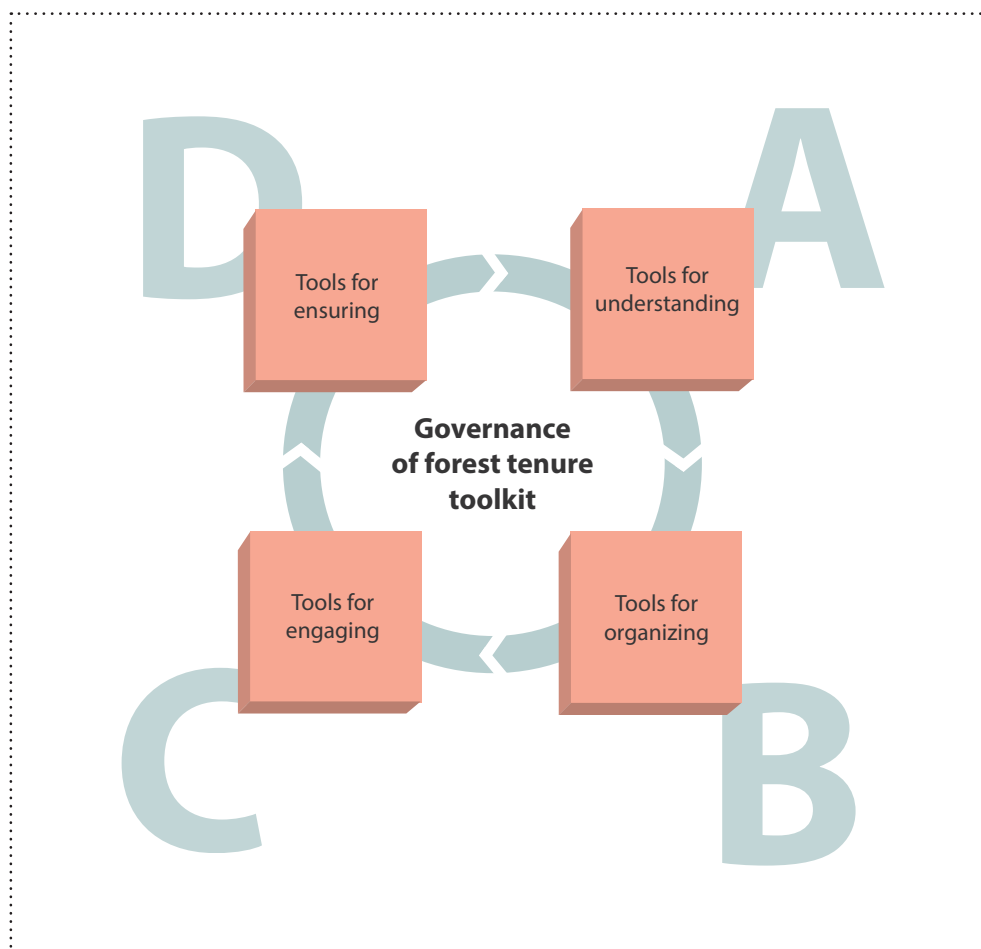
Action–reflection cycle of the toolkit

Summaries of tools are grouped in four main sections, each one an overlapping stage in a notional ongoing cycle of action and reflection in improving governance:

- Tools for understanding. Often the first steps in trying to improve governance are to scope out current situations and opportunities and from this information to plan a course of action.
- Tools for organizing. Influence over decision-making, especially for less powerful interests, often requires strength in numbers. But effective organizations are not easy to create, so tools are needed to develop legitimacy, accountability and efficiency.
- Tools for engaging. Well-informed and organized groups need to be able to engage with the processes of decision-making that affect them. Engagement might be through cooperative dialogue or through resistance. Many effective groups combine both strategies.
- Tools for ensuring. Having a voice is not enough; mechanisms for accountability are needed to make sure that dialogue and promises translate into action.

Each of these four sections explains further why these issues are important and describes how to navigate through the section. A range of tools are then summarized

for each of several key challenges of governance. Sources of further information are listed at the end of each tool summary, and additional resources can be found in the bibliography. Also at the end of each tool summary is a list of 'other tools that might help'. These are tools elsewhere in the toolkit that might prove useful, in addition to those within the immediate group in which the tool sits.



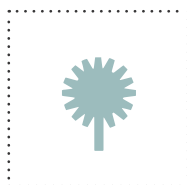
Appropriateness of tools

Two types of icon are used in the toolkit to give an indication of the appropriateness of each tool. Their meaning is as follows:



1. Level and quality of information and stakeholder engagement

The prevailing level and quality of information and stakeholder engagement for which the tool is appropriate. One gear is a low level (i.e. there does not need to be much information and stakeholder engagement available to use this tool); four gears is a high level (i.e. there needs to be plenty of information and stakeholder engagement available to use this tool).



2. Resource requirements

The amount of time, money and skill needed to make the tool work. One tree is a low amount; four trees is a high amount.

In-depth tools

Nine of the summary tools are also described in much greater detail in Annex 1 of the toolkit (these tools are marked 'XL'). The aim of this section is to offer, for a core set of commonly useful tools, enough practical know-how for you to understand how each can be effectively used. In using the toolkit it will be clear that many of these tools have been developed without knowledge of each other – even in competition with each other – so there are inevitably overlaps and contradictions. It is, therefore, difficult to develop from them the perfect 'kit'. This is only possible through trial and error and through adaptation by users over time.

Glossary and Bibliography

A glossary in Annex 2 explains key terms used in the Practical Guide. The bibliography, in Annex 3, is arranged alphabetically by author under five headings: general, understanding, organizing, engaging and ensuring. Each entry in the bibliography is a full standard reference with a hyperlink to a Web page where the document can be found.

Putting it all together: the tools for the actions you need to take

Once you have identified an objective that makes sense in your context and borne in mind the above guidance on the nature and emphasis of the tools and where to find

them, the toolkit should help you decide on some actions. The toolkit can help you to:

- choose the best tools for your situation – an appropriate ‘package’ of actions in understanding, organizing, engaging and ensuring;
- recognize that some tools are vital to get ready for governance work, rather than for governance work itself;
- define key connections and possible sequencing among the tools and actions;
- assess how you can work with other stakeholders as well as on your own;
- identify who needs to be involved in each action – and what types of capabilities and specialist help might be needed;
- calculate the possible time and resources that may be needed in taking actions.

Finally, we hope that you will get in touch. If you would like to comment on any aspect of this Guide and toolkit, we would be delighted to hear from you. Your experience and ideas, and the links you might make to further information, could help improve this Practical Guide.



Tools for understanding

How to use *icons*



Level and quality of information and stakeholder engagement

The prevailing level and quality of information and stakeholder engagement for which the tool is appropriate. One gear is a low level (i.e. there does not need to be much information and stakeholder engagement available to use this tool); four is a high level (i.e. there needs to be plenty of information and stakeholder engagement available to use this tool).



Resource requirements

The amount of time, money and skill needed to make the tool work. One tree is a low amount; four is a high amount.

A. Tools for understanding



Why understanding is important for governance of forest tenure

Understanding the current tenure and governance context is an important step in attempts to shape or change the governance of tenure for responsible forestry. Knowledge of the forest goods and services, of the role they play in people's livelihoods, of tenure arrangements and of the wider political and institutional context are all essential in building a picture of how current tenure arrangements fit with people's livelihoods and aspirations. The emphasis should be on understanding the real situation on the ground – there can be a big gap between written policy and what happens in reality.

It is important that perspectives, experiences and knowledge are heard from all people affected by and important to governance of tenure. Identifying the appropriate stakeholders is, therefore, key.

The use of participatory tools and methods has a twofold purpose. It will help to ground the process in stakeholders' perspectives and will also ensure that those contributing have the opportunity to build their own understanding of the bigger picture, in preparation for future negotiation and dialogue around forest tenure and governance.

Continual reflection and review of the issues are paramount. What first appears to be the 'problem' may, on further investigation, have underlying causes that more urgently

need addressing. Initial assessments may not encompass the views of all concerned, and thus the range of stakeholders being consulted and involved may need to be reviewed. Creating opportunities for reflection and learning is crucial.

Navigating and applying the tools in this section

This section offers a range of tools to improve understanding. The tools are organized around the key contextual issues affecting governance of tenure of forest resources. These issues need to be well **understood** prior to an intervention:

- A1. Assessing the biophysical resource base** – identifying the extent and condition of the forest goods and services that are, or can be, subject to formal and informal tenure arrangements.
- A2. Understanding the role of forest goods and services in supporting people's livelihoods** – this includes considering the perspectives of women, indigenous groups and other marginalized sections of society, and also considering the role of forests within wider systems such as swidden agriculture.
- A3. Recognizing present and historical arrangements and competing claims in forest tenure** – understanding how tenure security and forestry practices are affected by past and current, formal and informal tenure contexts and conflicts.
- A4. Mapping the political and institutional context** – identifying key stakeholders, institutions and policies that influence and are affected by forest tenure systems, and evaluating the fairness, transparency and effectiveness of these systems.
- A5. Defining opportunities for change** in tenure arrangements, particularly for poor and marginalized groups in order to strengthen their voice.

Investigating these contextual issues will help to clarify the opportunities and potential entry points for improving the governance of tenure for responsible forestry. It is highly likely that there will be interplay between these issues; for example, local institutions may have grown out of historical, customary tenure arrangements, yet be at odds with current political priorities. You will need to bear this in mind when using the tools that follow and when deciding which tool, or combination of tools, is most appropriate for your context.

You can select from the tools provided here according to your requirements, the governance context in which you are operating, and your resource constraints. The approaches vary, some being more formal and science-based while others are more community-based. In many situations it is helpful to have a mixture of approaches in order to build a more balanced picture. The tools also vary in their spatial settings – a community, a forest, or a national institution, for example. In many cases they can be adapted to the user's situation.

The tools can generate a lot of information. Section A5 deals with analysis of the data gathered, with a practical focus on identifying opportunities and entry points for change.

By adopting and adapting the tools in this section, you will:

- gain a good understanding of the present context, in terms of how tenure issues in forests are governed and how different issues interact to create the current conditions (including conflicts);
- identify areas for further attention and action.

Tools and approaches for understanding

A1. Assessing the biophysical resource base

What is the condition of the forest resources? What goods and services are being provided by forests? How may this change over time? To gain an understanding of forest resources now and for the future, it is important to assess their conservation value as well as the goods and services that they provide.

The extent and quality of the resources and their conservation value can be assessed in different ways – from community-based assessments to mapping by geographic information systems (GIS) to a combination of both. In addition, threats and opportunities related to forest resources should be analysed. A more dynamic approach can also be used to explore how the resources are likely to change over time.

It is important to ascertain who holds the rights to these goods and services, and how goods and services are being used and by whom. The range of rights relating to forests and forest resources that need to be considered includes rights over forest land, individual trees (such as Brazil-nut trees) and non-timber forest products (grasses, fruits, nuts and so on), as well as rights for hunting, grazing and access, and intellectual property rights for medicinal plants.

In forest lands the range of goods and services that are, or could be, under tenure arrangements is becoming increasingly complex and contested as the potential to benefit from forests' role in carbon sequestration and other environmental services gains political significance. The prospect of forests making a real contribution to addressing climate change, conserving biodiversity and protecting people's livelihoods has significantly sharpened the focus on who owns, manages and benefits from forest resources.

Two initiatives are particularly key – reducing emissions from deforestation and forest degradation (REDD) and payments for environmental services (PES). REDD is an effort to create a financial value for the carbon stored in forests, offering incentives for developing countries to reduce emissions from forested lands and invest in low-carbon paths to sustainable development. 'REDD+' goes beyond deforestation and forest degradation to include the effects of conservation, sustainable management of forests and enhancement of forest carbon stocks. PES refers to a (frequently market-based) incentive mechanism in which farmers, forest owners or landowners are offered incentives in exchange for managing their land or forest to provide specified services such as carbon sequestration, watershed protection, biodiversity conservation or landscape beauty.

Recommended tools

A1.1



National forest inventory and forest resource assessment

What is it?	An assessment of the quality and quantity of forest goods and services.
What can it be used for?	The assessments provide comprehensive information on the status, dynamics and responses of forest ecosystems. This can be used to inform policies, planning and management strategies, and to monitor developments and make projections for the future.
Key elements	Forest resource assessments explore the various benefits from forests and how they change over time. This includes: the extent of forest resources; forest ecosystem health and vitality; biological diversity; productive functions of forests; protective functions of forests; and socio-economic functions of forests. The methodology involves nationwide sampling and field data collection, and may be combined with socio-economic data regarding local livelihoods.
Further information	FAO. 2009. <i>National forest monitoring and assessment – manual for integrated field data collection</i> . Version 2.3. FAO National Forest Monitoring and Assessment Working Paper NFMA 37/E. Rome. http://www.fao.org/forestry/19900-026212d9ecb093f72c140429df893aea7.pdf
Other tools that might help	A3.2, C2.6

A1.2



Community measurement and monitoring of forests, including carbon stocks

What is it?	Tools for communities to estimate and monitor the stocks and flows of products and services in their forests.
What can it be used for?	Information gathered about development and use of forest goods and services can be used to monitor local forest management and to create and run forestry, REDD+ and PES projects.
Key elements	<p>The tools offer practical approaches to local forest monitoring. The carbon tracking tools can be used to estimate and track the carbon in the forest through surveys of trees, grasses, herbs, litter and soil. There is a mobile system to record and report these measurements electronically. Also included is guidance on how to use a mobile GIS system for mapping and recording data and boundaries, and how to undertake basic carbon assessments with this system.</p> <p>The tools are divided into three sections: for local communities who will undertake the work; for trainers to support the communities; and for policy-makers who will use the information generated.</p>
Further information	Mhina, M., Topp-Jørgensen, E. & Poulsen, M.K. 2003. <i>Preliminary manual for community based monitoring of natural resource use and forest quality</i> (English and Swahili versions). Iringa, Tanzania, District Lands, Natural Resources and Environmental Office. http://www.nordeco.dk/assets/279/Tz%20Monitoring%20Manual%20English.pdf

Gibson, D. 2011. *Manual for the introduction and implementation of the management oriented monitoring system*. Gland, Switzerland, WWF. <http://www.sacfnat.org/index.php/the-news/natural-resources-management/natural-resources-management?download=97%3Amanagement-oriented-monitoring-systems-manualpdf>

Lewis, J. & Nkuintchua, T. 2012. Accessible technologies and FPIC: independent monitoring with forest communities in Cameroon. *Participatory Learning and Action*, 65: 151–165. <http://pubs.iied.org/14618IIED.html>

Verplanke, J.J. & Zahabu, E. (eds.) 2009. *A field guide for assessing and monitoring reduced forest degradation and carbon sequestration by local communities*. Twente, The Netherlands, Project team KYOTO: Think Global, Act Local (K: TGAL). <http://www.communitycarbonforestry.org/Online%20Fieldguide%20full%20123.pdf>

Skutsch, M. 2010. *Community forest monitoring for the carbon market*. London, Earthscan.

Other tools that might help

A3.2

Rapid Carbon Stock Appraisal

What is it?	A methodological framework for measuring and analysing carbon sinks within a landscape.
What can it be used for?	To provide locally relevant knowledge of carbon sinks based on a scientifically sound framework, which can be used when considering activities to improve local livelihoods and alleviate poverty.
Key elements	Steps to assess carbon stocks include landscape appraisal, local ecological knowledge, household socio-economic surveys, remote sensing, and scenario studies of changes in carbon stocks and welfare. The information is then analysed along with the policy context, land use and people's livelihoods to explore opportunities to change practice and policy to enhance carbon storage.
Further information	ICRAF. <i>Rapid Carbon Stock Appraisal (RaCSA): a rapid but integrated way to assess landscape carbon stocks</i> [Online Resource]. http://www.worldagroforestrycentre.org/Sea/Projects/tulsea2/racsa
Other tools that might help	A2

A1.3



Rapid Appraisal of Agroforestry Practices, Systems and Technology (RAFT)

What is it?	A tool to provide greater clarity on tree usage and management within agroforestry systems.
What can it be used for?	To gain understanding of how trees within agroforestry systems are used and of use in rural livelihoods.

A1.4



Key elements	The Rapid Appraisal of Agroforestry Practices, Systems and Technology (RAFT) process includes: agreeing terminology for classifying different uses of land and trees; surveying the origin, ownership, use and management of trees; assessing local ecological knowledge and intellectual property rights relating to trees; assessing interaction between tree species and other parts of the ecological system; economic and profitability assessment of the system; assessing impacts of tree and land tenure, and of policy issues; and analysing the strengths, weaknesses, opportunities and threats in the current system to synthesize the findings.
Further information	ICRAF. 2009. <i>RAFT: Rapid appraisal of agroforestry practices, systems and technology</i> . Bogor, Indonesia, World Agroforestry Centre (ICRAF). http://www.worldagroforestry.org/sea/vn/publication?do=view_pub_detail&pub_no=LE0152-09
Other tools that might help	A2.2, A4.5

A1.5



Identifying areas of high conservation value

What is it?	A methodology to identify areas where species, goods and services are of high conservation value.
What can it be used for?	To agree upon management options for identified areas of high conservation value (HCVs) in order to ensure that the values are maintained or enhanced, and monitored.
Key elements	The process includes assessment of an area to locate HCVs (with both social and ecological value) and determine the main threats to them. This exercise will help to define the conservation importance of the area in terms of nationally defined principles. These principles also need to be considered in relation to governance of tenure for relevant forests.
Further information	Proforest. 2008. <i>Good practice guidelines for High conservation value assessments: Toolkit – Part 3: Identifying and managing high conservation values forests: a guide for forest managers</i> . Oxford, UK. http://www.hcvnetwork.org/resources/global-hcv-toolkits/hcvf-toolkit-part-3.pdf
Other tools that might help	A2.1, A4.9

A1.6



Multidisciplinary landscape assessment

What is it?	Interdisciplinary surveys to create a coherent picture of the value of resources in a landscape.
What can it be used for?	To inform local or national government of the value of the landscape to local communities.

Key elements	A combination of rapid ecological surveys and village socio-economic surveys. Ecological techniques include site descriptions, tree sampling and soil surveys. Village surveys include structured interviews, household surveys and participatory exercises to explore what aspects of the landscape are important to the local community.
Further information	CIFOR. <i>Multi-disciplinary landscape assessment</i> [Online Resource]. http://www.cifor.cgiar.org/mla/_ref/home/index.htm
Other tools that might help	A4.9

People's biodiversity registers

What is it?	Methodology and database for compiling informal local knowledge on biodiversity.
What can it be used for?	Developed in India, People's Biodiversity Registers allow informal knowledge to be recorded, collected and used as a scientific resource.
Key elements	Each register contains comprehensive information on availability and knowledge of local biological resources, their medicinal or any other uses, and other traditional knowledge associated with them. The registers rely on considerable cooperation and inputs from local communities, and they tend to focus on control of access to genetic resources and protection of traditional knowledge.
Further information	National Biodiversity Authority. 2008. People's biodiversity register: simplified methodology. Chennai, India. http://nbaindia.in/uploaded/docs/simplified_methodology_onpbr.pdf
Other tools that might help	A3.2

A1.7



Assessing forest cover change with TREES

What is it?	A method for assessing global tropical forest cover and for monitoring deforestation.
What can it be used for?	Observation and assessment of change in humid tropical forest cover.
Key elements	The method makes use of extensive remote-sensing satellite data and inputs from a regional network of experts. Measurement of deforestation rates is statistically based, involving sampling of observation units, with a higher sampling rate for fast-changing areas. Procedures are uniform, independent and repeatable. The method is designed to make information available in an appropriate format for the user community via the Tropical Forest Information System.

A1.8



Further information	Achard, F., Stibig, H.J., Eva, H. & Mayaux, P. 2002. Tropical forest cover monitoring in the humid tropics – TREES project. <i>Tropical Ecology</i> , 43(1): 9–20. http://www.tropecol.com/pdf/open/PDF_43_1/43102.pdf
Other tools that might help	A4.4

A2. Understanding the role of forest goods and services in supporting people's livelihoods

How do forests support different people's livelihoods? What are the links between forests and poverty? Do current tenure arrangements support people to improve their livelihoods? Understanding local people's use of forest goods and services and the role of tenure arrangements is critical to the analysis of whether current tenure systems are appropriate – and to exploring how reform of the tenure system could lead to more secure livelihoods.

Although the contribution of forests to rural livelihoods is widely recognized, it is often not well understood. Typically, there is little documented information about how rural households depend on forest and tree resources to meet their daily needs, and even less about the potential of this resource to reduce poverty. As a result, these issues are often overlooked by policymakers.

When assessing the role of forest goods and services in people's livelihoods, it is important to acknowledge and understand how, within a single village, forest resources are used and relied upon in different ways. They may be fundamental to livelihoods, for example, or used as seasonal safety nets, or as opportunities to get out of poverty – or a combination of all of these. There are also variations in an individual's degree of power, access and control over forest resources, according to the extent of their poverty, level of insecurity and access to other assets and opportunities.

A useful typology, developed in the forestry context, describes three categories of poor: declining poor, coping poor and improving poor. These groups of poor people have differing levels of insecurity and capacity to pursue forest claims, and thus different levels of interest in asset security and tenure.

Women and men use and manage forest resources in different ways. Women are often the primary users of forests through their involvement in subsistence food production, gathering of medicinal herbs, fuelwood collection and small-scale forest industries producing cash products. Their lack of secure rights over land, trees and forest products, however, may limit women's opportunities – and with them, the potential to reduce poverty.

Recommended tools

Poverty–Forest Linkages Toolkit

What is it?	Tools for forest-specific participatory rural appraisal.
What can it be used for?	To analyse, understand and communicate the contribution of forests to the livelihoods of poor people living in and around forests.
Key elements	Resources available online include step-by-step guidance using carefully selected and tested Participatory Rural Appraisal techniques, including wealth ranking, livelihoods analysis, forest problems and solutions matrix and training guides, as well as case study examples.
Further information	PROFOR. 2009. <i>Field manual: poverty–forests linkages toolkit</i> . Washington, DC, The Program on Forests. http://www.profor.info/profor/content/poverty-forests-linkages-toolkit-table-contents
Other tools that might help	A1.5, A4.9, A4.1

A2.1



Participatory analysis of poverty, livelihoods and environment dynamics

What is it?	Participatory tool to explore poverty-reducing livelihood strategies.
What can it be used for?	Understanding the links between people's livelihoods, poverty levels and the environment.
Key elements	This tool uses five steps to explore the livelihood strategies that people use to get out of poverty and how much these key strategies have a positive or negative impact on the environment. The steps focus on: assessment of local understanding of poverty and environment; livelihood activities; links between natural resources and livelihood activities; identification of shocks, risks and vulnerability; and institutional and policy issues.
Further information	ICRAF. <i>Participatory analysis of poverty, livelihoods and environment dynamics (PAPOLD)</i> [Online Resource]. http://www.worldagroforestrycentre.org/Sea/Projects/tulsea2/node/5 Krishna, A. <i>Stages of progress: disaggregating poverty for better policy impact</i> [Online Resource]. http://www.pubpol.duke.edu/krishna/
Other tools that might help	A1.5, A4.9, A4.1

A2.2



A2.3



Basic assessment guide for human well-being

What is it?	A manual on exploring the links between human well-being and forest resources.
What can it be used for?	Written for private-sector logging firms, the manual provides tools to increase understanding about people living close to and depending on forest resources.
Key elements	The process has five steps: identification of relevant stakeholders; assessment of security of intergenerational access to resources; assessment of rights and obligations to manage forests cooperatively; assessment of the health of forests, forest actors and cultures; and an abbreviated scoring method.
Further information	Colfer, C.J.P. et al. 1999. <i>The BAG: Basic assessment guide for human well-being</i> . Criteria and Indicators Toolbox Series No. 5. Bogor, Indonesia, Center for International Forestry Research (CIFOR). http://www.cifor.org/livesinfores/publications/pdf_files/toolbox-5c.pdf
Other tools that might help	A1.5, A4.9, A4.1

A2.4



Poverty and environment network prototype questionnaire

What is it?	A tool to gather comparative, detailed socio-economic data at household and village level.
What can it be used for?	The Poverty and Environment Network (PEN) is an international research project and network that offers the most comprehensive global analysis of tropical forests and poverty. Although specifically designed for PEN, the prototype questionnaire is available to use (and adapt, if necessary) for surveys on forests and poverty at local level. It should be used together with the Technical Guidelines and can be used for comparative analysis.
Key elements	The questionnaire includes socio-economic information on local area, forest resource base, changes in forest use, forest institutions, and household information. It is intended to be used quarterly and annually to record trends and changes in socio-economic status and in forest resources. Adherence to standardized definitions, questionnaires and methods means that the data can be compared across different geographical regions, forest types, forest tenure regimes, population densities and levels of poverty, infrastructure and market access, as well as over time.
Further information	CIFOR. 2007. <i>The Poverty and environment network: a comprehensive global analysis of tropical forests and poverty</i> . Bogor, Indonesia, Center for International Forestry Research. http://www.cifor.org/pen/research-tools/tools.html
Other tools that might help	D1.1

A3. Recognizing present and historical arrangements and competing claims in forest tenure

What are the current formal tenure arrangements and customary tenure rules? Are there competing claims over forest resources? Understanding past and current tenure contexts is a necessary first step in improving tenure security and responsible forestry.

Many conflicts over forest management are due to competing claims of access and use rights for forest land and resources. This is linked to a lack of clarity, legitimacy and legality in tenure policies. Different policies may contradict each other or may be interpreted differently in their implementation. Conflicts can occur if legal tenure systems fail to acknowledge the existence of customary management systems, including those of nomadic people. Any tenure-reform process must allow sufficient time for underlying tenure claims to be brought to the surface and dealt with equitably, while ensuring adherence to human rights principles.

Dealing with conflicting policies is addressed in more detail in section A4.

Recommended tools

Rapid land tenure appraisal	
What is it?	A method to explore and resolve competing claims of rights and interests over land and resources.
What can it be used for?	Rapid Land Tenure Appraisal (RaTA) offers guidance on locating and obtaining the initial data necessary for policy-makers or mediators to develop conflict-resolution mechanisms when dealing with competing claims to land tenure.
Key elements	<p>This set of tools addresses five objectives for understanding tenure conflicts and competing claims from the perspectives of different actors, followed by a process of policy dialogue to resolve competing claims. It is designed for land tenure but could easily be modified to focus specifically on tenure of forest resources.</p> <p>Many of the specific tools profiled in this guide are included within RaTA, such as participatory mapping, tenure conflict analysis, actor analysis, policy analysis and conflict resolution.</p>
Further information	ICRAF. <i>Rapid Land Tenure Assessment (RaTA): A tool for identifying the nature of land tenure conflicts</i> [Online Resource]. http://www.worldagroforestrycentre.org/Sea/Projects/tulsea2/node/19
Other tools that might help	A4.9, B1.6, D2.2 In-depth tool: XL A3.1

A3.1



A3.2



Participatory mapping

What is it?	Creation of visual maps by local communities, documenting the most significant natural, physical and socio-cultural features and resources.
What can it be used for?	In the context of competing claims, participatory mapping can be used to represent competing claims graphically. The process can also help people with different viewpoints to map their situation together and learn about each other's experiences and perceptions.
Key elements	Participatory mapping focuses on facilitating community members to develop the maps themselves, to represent the knowledge of community members and to ensure that community members determine how (and to whom) the information is communicated. Maps are documented and may include existing and historical rights of access, use and control over land and forest resources. A broad range of tools are described.
Further information	IFAD. 2009. <i>Good practices in participatory mapping</i> . Rome, International Fund for Agricultural Development. http://www.ifad.org/pub/map/pm_web.pdf Rainforest Foundation UK. <i>Mapping for Rights</i> [Online Resource]. http://www.mappingforrights.org/
Other tools that might help	A1.1, A1.2, A1.7, B2.5 In-depth tool: XL A3.2

A3.3



Analysis of conflicts through timelines and semi-structured interviews

What is it?	A process of creating a historical timeline to improve stakeholder understanding of events that led to conflict.
What can it be used for?	To explore the background to conflicts and create understanding of different perceptions. Semi-structured interviews can help to explore tenure conflicts in more depth.
Key elements	Stakeholders narrate their stories, and mediators write down the sequence of events on a flip chart. When the timeline is finalized there is a period of reflection, with questions such as what participants have learned about the conflict and why they think the parties acted in the way they did.
Further information	FAO. 2005. Field guide to conflict analysis. <i>Negotiation and mediation techniques for natural resource management</i> , Annex II, A. Engel and B. Korf. Rome. http://www.fao.org/docrep/008/a0032e/a0032e0d.htm#bm13.1 ICRAF. <i>Rapid Land Tenure Assessment (RaTA): A Tool for identifying the nature of land tenure conflicts</i> [Online Resource]. http://www.worldagroforestrycentre.org/Sea/Projects/tulsea2/node/19
Other tools that might help	A4.9, B1.6

A4. Mapping the political and institutional context

What are the key policies, institutions and processes that have a bearing on forestry tenure and any process for reform? How do they facilitate or hinder change? The political and institutional context can create major barriers that often prevent any substantial change on the ground, particularly in terms of whether poorer and more marginalized groups are able to participate. The key institutions – from formal legal rules to informal social norms – and the relationships between them need to be identified, analysed and understood at international, national, subnational and local levels. This is a crucial step in understanding where blockages to more effective and fair tenure arrangements lie, and what opportunities for change exist.

Power relations are frequently overlooked in tenure reform. Power relations determine how social and political relationships mediate people's capacity to pursue forest claims and to gain access to and make effective use of forest land and its products. It is especially important to understand the role of elites – people who mediate or control the access of poorer people to forest resources and decision-makers, for better or worse. Elites operate and have influence at local, national and transnational levels. Methods such as stakeholder analysis can help identify these individuals and their effects. A gender 'lens' should also be used to explore how women's status affects their access to land and its products, and their pursuit of claims.

Local social and political relations are critically affected by the nature and structure of the state, the capabilities of forest administration systems and the relationship between the state and civil society (see 'Tools for organizing' and 'Tools for engaging'). More participatory and collaborative approaches to forestry engagement require a shift in the type of relationship that exists between state forest department staff and forest dwellers and users, together with greater investment in local accountability structures. There is a need to understand how well these relationships are functioning in practice.

Social media and information and communications technology (ICT) have dramatically transformed the institutional landscape, partly because they have democratized information. This has huge implications: stakeholders can be better informed, engage in advocacy and build a critical mass to support – or resist – any changes in forest tenure.

Conflict and confusion over tenure can arise because different sectoral policies are potentially working against each other. Policy and legal analysis instruments can help to tease out and identify these areas of contradiction and confusion.

Improved understanding of the factors affecting forest resource tenure should be followed by a process of synthesis. Drawing together key findings can help to identify areas where change is needed – either to policies, institutions or processes – in order to strengthen the governance of tenure. All the tools summarized below have a strong focus on identifying opportunities and possible actions from a sound basis of assessment and analysis.

Recommended tools

A4.1



Policy analysis and legal analysis

What is it?	A systematic analysis of any and all components of policy or legal systems and processes.
What can it be used for?	To assess the effects and effectiveness of policies or legislative provisions on particular issues, such as forest tenure, and identify constraints and opportunities for any changes in the system. The analysis could identify areas where existing policies and laws are conflicting, contradictory or insufficient.
Key elements	A policy or legal review first needs to identify which policies, strategies and programmes, or laws and regulations, are having an effect on forest tenure issues. It is important that this goes beyond simply forest policies and laws to include other laws, government policies or initiatives. The analysis reviews the policy or legal content as well as implementation. There are four possible dimensions to such analysis: content analysis, reviewing the content of policy statements and laws; historical analysis, considering how history has shaped current policies and laws; process analysis of how the political system influences policy and law; and evaluation, examining the consistency between policy or law and on-the-ground reality, and the effect on intended targets.
Further information	<p>UNEP/IISD. 2007. <i>Integrated environmental assessment training manual, module 5, Step 6 – What is policy analysis?</i> Nairobi, United Nations Environment Programme, and Winnipeg, Manitoba, Canada, International Institute for Sustainable Development. http://www.unep.org/IEACP/iea/training/manual/module5/1231.aspx</p> <p>Pasteur, K. 2001. <i>Tools for sustainable livelihoods: policy analysis</i>. Brighton, UK, Institute of Development Studies.</p> <p>ICRAF. <i>Rapid Land Tenure Assessment (RaTA): A tool for identifying the nature of land tenure conflicts</i> [Online Resource]. http://www.worldagroforestrycentre.org/Sea/Projects/tulsea2/node/19</p>
Other tools that might help	A5.1, A5.2, B4.1, C1.10, C2.1, D1.4, D1.7, D2.2, D3.6

A4.2



Force field analysis

What is it?	An analysis of the forces that either achieve or obstruct change.
What can it be used for?	To gain a comprehensive overview and analyse the different driving forces acting on a single policy issue.
Key elements	The starting point is identification and analysis of the forces or stakeholder groups that are supporting change (driving forces) and those that act against the change (restraining forces). The user then identifies ways to promote, strengthen or maximize driving forces and ways to reduce, weaken or minimize restraining forces.
Further information	<p>Start, D. & Hovland, I. 2004. <i>Force field analysis. Tools for policy impact: a handbook for researchers</i>. London, Overseas Development Institute (ODI). http://www.odi.org.uk/rapid/tools/Toolkits/Policy_Impact/Forcefield_analysis.html</p>
Other tools that might help	D1.7, C1.1

Local stakeholder institutional mapping

What is it?	A tool for identifying and representing perceptions of and relationships with key institutions and individuals from within and outside a community.
What can it be used for?	To enable understanding of how different community members perceive institutions both within the community (in terms of decision-making, accessibility and services) and outside the community (in terms of participation, accessibility and services).
Key elements	A facilitator asks those involved to identify 'actors' with whom they interact in their economic, social or political activity. It is explained that these actors could be physically present in the area or could be associated directly or indirectly (such as politicians), and could be individuals, groups or organizations. These are mapped out and assessed in terms of importance to the participants. The relationship between them is also explored.
Further information	Matsaert, H. 2002. <i>Institutional analysis in natural resources research</i> . Greenwich, UK, Natural Resources Institute. http://www.nri.org/publications/bpg/bpg11.pdf
Other tools that might help	B2.1, B4.1, C2.1

A4.3



Drivers-of-change analysis

What is it?	A tool to understand the wider context of change drivers at the national and regional levels.
What can it be used for?	To gain improved understanding of the bigger picture of political, economic, social and cultural forces that bring about change in a regional and country context, in order to identify the key policy and institutional drivers of change.
Key elements	There are six key elements: a basic country analysis, which examines a society's past and present political, economic, social and cultural institutions and their long-term future; the medium-term dynamics, which describe the incentives and capacities of agents and how change will happen in the medium term; the external forces that influence donor actions; the expected changes and how they will affect poverty; and operational implications – entry points for policy change, new ways of working and innovative project designs.
Further information	ODI. 2009. <i>Mapping political context: drivers of change</i> . London, Overseas Development Institute. http://www.odi.org.uk/resources/details.asp?id=5399&title=drivers-change-dfid-doc
Other tools that might help	C1.10, D1.3, D1.4

A4.4



A4.5



Power and change analysis

What is it?	A tool to explore informal practices, systems and rules, and relationships and links between formal and informal institutions.
What can it be used for?	Power and change analysis (PCA) is at the core of the Strategic Governance and Anti-Corruption Analysis. This was developed specifically to help the government of the Netherlands work more strategically with partner countries, but it can be adapted for others to use. The tool is designed to explore the informal and intangible underlying reasons for the governance situation.
Key elements	There are three dimensions to a PCA: 'foundational factors', the social and economic factors that shape the political system; 'rules of the game', the formal and informal institutions that shape how relationships are managed and activities are conducted; and 'here and now', the key actors and the events and pressures they are responding to. PCA can be done as a 'quick scan' or entail more in-depth research, depending on the time and data available.
Further information	Unsworth, S. & Conflict Research Unit. 2007. <i>Framework for strategic governance and corruption analysis: developing strategic responses towards good governance</i> . The Hague, Conflict Research Unit, Netherlands Institute of International Relations. http://www.clingendael.nl/publications/2007/20071000_cru_occ_unsworth.pdf
Other tools that might help	A1.4, B4.1, D1.4

A4.6



Stakeholder influence mapping and power analysis

What is it?	A range of techniques to examine and visually display the influence and impact of stakeholders on a particular policy reform.
What can it be used for?	To enable better understanding and explicit discussion of who influences policy, through mapping and understanding the power, positions and perspectives of different individuals and groups.
Key elements	There are various steps to the process: a policy issue is selected; one or (if examining policy change) more key time periods are selected; relevant policy stakeholders are identified; and their influence and relationships are then mapped.
Further information	Mayers, J. & Vermeulen, S. 2005. <i>Stakeholder influence mapping</i> . Power Tools Series. London, IIED. http://www.policy-powertools.org/Tools/Understanding/SIM.html Mayers, J. 2005. <i>Stakeholder power analysis</i> . Power Tools Series. London, IIED. http://www.policy-powertools.org/Tools/Understanding/SPA.html
Other tools that might help	B4.2 In-depth tool: XL A4.6

The Four Rs

What is it?	A framework and tool to clarify the roles played by different stakeholders and the nature of relationships between them.
What can it be used for?	It is particularly useful in contexts where roles need rethinking, negotiating and developing. It may be seen to complement stakeholder analysis.
Key elements	The Four Rs tool unpacks stakeholders' roles into Rights, Responsibilities and Revenues (benefits). The fourth R is Relationships, which focuses on the interactions between stakeholders. Background and context are researched; an understanding of the current roles of stakeholders is set out; and there is also a capacity mapping exercise to help manage any changes in roles.
Further information	Mayers, J. 2005. <i>The Four Rs</i> . Power Tools Series. London, IIED. http://www.policy-powertools.org/Tools/Understanding/TFR.html
Other tools that might help	B2.4, C2.3, C2.4

A4.7



Historical analysis

What is it?	A historical analysis of the evolution of usage, conflicts and trends in natural resources.
What can it be used for?	To gain insights into why and how a situation evolved to its present state. It establishes a coherent framework to show the causes of any competing tenure claims, stakeholders' visions regarding access to and use of natural resources, current dynamics and possible trends.
Key elements	Historical analysis includes understanding the past and evolution of: conflicts over forest resources; land and forest tenure regimes; institutions and relationships between different interest groups; ecosystem, landscape and forest use patterns; people's livelihood strategies; and other projects implemented in the area.
Further information	FAO. 2005. <i>Participatory and Negotiated Territorial Development</i> (PNTD). Rome. http://www.fao.org/sd/dim_pe2/pe2_050402a1_en.htm
Other tools that might help	A2.1, A2.2, A3.1, A3.3

A4.8



A4.9



Achieving responsible gender-equitable governance of land tenure

What is it?	A reference guide offering advice and examples of good practice – what has worked, where, why and how – in the pursuit of land tenure governance that is gender-equitable.
What can it be used for?	To work towards true and sustainable gender equality through gender-equitable participation in processes and institutions involved in decisions about land.
Key elements	The guide presents modules and tools for moving towards mainstreaming gender issues. It focuses on what responsible gender-equitable governance of land tenure means in practice for all the national and local government officials, civil society groups, and land administrators, technicians and professionals working in the land sector worldwide, and explores how this can be achieved. It includes detailed modules on many issues, grouped under policy-making, legal issues, institutions, technical issues and communication.
Further information	FAO. 2013. <i>Governing land for women and men: a technical guide to support the achievement of responsible gender-equitable governance of land tenure</i> . Governance of Tenure Technical Guide no. 1. Rome.
Other tools that might help	A2.1, A2.2, A2.3, B1.3, C1.2

A4.10



Governance assessment tools

What is it?	The <i>Summary of governance assessment tools and Indicators</i> is a guide in tabular form to natural resource and environmental governance assessments, global comparative indexes and broader assessment tools, produced for the International Union for Conservation of Nature (IUCN).
What can it be used for?	The guide can be used to gain an overview of examples of assessment tools, and to understand and compare key features and characteristics.
Key elements	The <i>Summary</i> describes the purposes and principles of different assessments and indexes; their key features and methodology; their core characteristics, such as focus area and resources required; and finally their advantages and limitations, specifically for IUCN but also more broadly applicable. This information is provided for a variety of natural resource governance assessments; global comparative indexes, including those focused on accountability, human rights and gender; regional surveys of public perceptions; both national and subnational government-led assessments; and both civil society and donor-led assessments.
Further information	<p>Campese, J., Oviedo, G. & Surkin, J. 2012. <i>Summary of Governance Assessment Tools and Indicators</i>. Gland, Switzerland, IUCN. http://cmsdata.iucn.org/downloads/governance_assessment_tools_matrix_final_26_4.docx</p> <p>Recanatini, F. Undated. <i>Overview of Governance Assessment Tools: Prepared for the Core Course on Governance and Anticorruption</i>. Washington, DC, World Bank. http://www1.worldbank.org/publicsector/anticorrupt/feb06course/recanatini%20Gov%20Tools.pdf</p>
Other tools that might help	C2.1, D1, D3

A5. Defining opportunities for change

Selecting even a small number of the tools set out in sections A1–A4 is likely to generate a huge amount of information. This information needs to be brought together coherently to clarify the situation regarding governance of forest tenure, and then to identify ways forward.

In the final stage of understanding the issues affecting and affected by tenural systems:

- The different threads of the analysis are gathered together.
- Findings are validated with the main stakeholder groups (community members, forest department staff and so on).
- Key learning points are distilled.
- Possible ways forward and strategic options are identified.

Unless time and resources are put aside for such analysis and synthesis, the information gathered earlier may remain as data rather than knowledge. Traditional ways of doing things remain the norm, and opportunities to improve the system are missed.

Focus groups and workshops can be useful to disseminate and share the information collected and the results of the analysis. A facilitator can help to join the threads of the analysis and add elements to the reflection process, and can initiate dialogue between different stakeholder groups. In fact, she or he has the task of organizing and examining the key information to ensure the analysis is consistent and appropriate for the context. Throughout the process, there should be efforts to (re-)establish dialogue and trust among the actors and to find common ground as a starting point for discussions about introducing change.

Actions emerging from this process of analysis can range from policy change to capacity-building or conflict resolution. Such actions can be implemented through the processes of organizing, engaging and ensuring that are discussed in the next sections.

Recommended tools

Scenario analysis and planning

What is it?	Facilitated brainstorming to identify reform possibilities and analyse likely outcomes.
What can it be used for?	Scenario analysis lets policy-makers 'pre-test' the performance of a policy reform in different plausible situations and make alternative plans; assess the level of ownership for a reform agenda among key stakeholders; and build support

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A5.1



	for a reform agenda by involving relevant stakeholders in discussions around scenarios, and working towards a shared understanding of key issues. It includes rigorous data-gathering to explore the issues raised in brainstorming, and the creation of three to five plausible future scenarios in which a reform will play out.
Key elements	The elements of a complete scenario analysis are: (1) a preliminary scenario workshop, where relevant stakeholders come together to brainstorm the key issues around a reform agenda; (2) data collection, in which a researcher assembles relevant information around the key issues identified in the preliminary workshop; (3) a scenario-building workshop, where stakeholders build alternate scenarios; and (4) the dissemination process, in which scenarios are shortened to one-page briefing notes and shared with the public through various media.
Further information	<p>World Bank. 2007. <i>Tools for institutional, political, and social analysis of policy reform: a sourcebook for development practitioners</i>, Ch. 10. Washington, DC. http://siteresources.worldbank.org/EXTTOPPSISOU/Resources/1424002-1185304794278/TIPs_Sourcebook_English.pdf</p> <p>Mwayafu, D.M, Kimbowa, R. & Graham, K. 2012. <i>A toolkit to assess proposed benefit sharing and revenue distribution schemes of community REDD+ Projects</i>. REDD-Net. London, Overseas Development Institute. http://redd-net.org/files/Benefit%20Sharing%20Toolkit.pdf</p>
Other tools that might help	B2.1, B2.2, D1.7

A5.2



Problem tree analysis

What is it?	A tool to establish causes and effects of a given problem by creating a hierarchy of relevant factors.
What can it be used for?	To distinguish the underlying causes of an identified institutional problem from their effects, and then guide users towards the critical issues that need to be tackled in institutional development.
Key elements	The focus problem is agreed upon. Attention is then given to the causes of the problem, starting with the most direct and significant ones. The effects of the problem are also added. 'Problems' can then be turned into 'solutions' to identify ways forward and opportunities for change.
Further information	<p>DFID. 2003. <i>Problem Tree Analysis. Promoting institutional and organisational development: A source book of tools and techniques</i>, p. 23. London. http://webarchive.nationalarchives.gov.uk/+http://www.dfid.gov.uk/pubs/files/prominstdevsourcebook.pdf</p>
Other tools that might help	B2.1, B2.2, D1.7, C1.1

Theory-of-change analysis

What is it?	A strategic planning tool that allows stakeholders to identify a goal and plot the necessary actions and key indicators on the path towards that goal.
What can it be used for?	The analysis generates a visual tool, graphically mapping out the pathway to achieving a goal. Through this visual mechanism, it helps stakeholders identify the key conditions and interventions required to reach their goal and therefore more effectively plan interventions.
Key elements	The process begins by identifying the end goal and works backwards from this point. Each step subsequently incorporated into the map is an identified outcome along the pathway, each with clear indicators for its achievement. The indicators allow for detailed monitoring and evaluation, and ensure that the identified outcomes are realistic and achievable.
Further information	<p>Theory of Change Community. <i>What is Theory of Change?</i> [Online Resource]. http://www.theoryofchange.org/about/what-is-theory-of-change/</p> <p>Keystone. 2009. <i>Developing a theory of change: A guide to developing a theory of change as a framework for inclusive dialogue, learning and accountability for social impact.</i> Impact Planning, Assessment and Learning (IPAL) Guide 2. London. http://www.keystoneaccountability.org/sites/default/files/2%20Developing%20a%20theory%20of%20change.pdf</p> <p>Keystone. 2009. <i>Theory of Change Template.</i> London. http://www.keystoneaccountability.org/sites/default/files/Theory%20of%20CHANGE%20template_July%202009.pdf</p> <p>Organizational Research Services. 2004. <i>Theory of Change: A Practical Tool For Action, Results and Learning.</i> Baltimore, Maryland, USA, Annie E. Casey Foundation. http://www.aecf.org/upload/publicationfiles/cc2977k440.pdf</p>
Other tools that might help	D1

A5.3



Community-based planning

What is it?	A step-by-step guide for facilitators of a community-based planning (CBP) process. It explains the background to the approach and the six phases of planning involved.
What can it be used for?	<p>This guide can be used by facilitators of a CBP process to develop community-designed poverty-reduction interventions. Beyond the resulting plan of action, the process is also designed to empower communities, harnessing existing strengths and relationships and creating new platforms.</p> <p>Developed as a method for local people to contribute to South Africa's Integrated Development Plans, the process is applicable for other similar multistakeholder processes.</p>

A5.4



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Key elements	The guide explains how the CBP process takes place, providing suggested timelines for steps in the process and illustrating suitable methods. A six-phase roadmap is presented, including: preparation; gathering of planning information; consolidating planning information; planning the future; preparing implementation; and monitoring and implementation. Different activities in each process are mapped out, such as interviews, future visioning and analyses of strengths, weaknesses, opportunities and threats (SWOT). Each section is broken down into the background, objectives, process and resources needed.
Further information	AICDD/Development Works. 2005. <i>Community-Based Planning and the IDP, Guide 2: Facilitator's Guide to Community-Based Planning</i> . Community-Based Planning Project Steering Committee. African Institute for Community-Driven Development and Development Works. http://www.ansa-africa.net/index.php/views/pub_view/community_based_planning_and_the_idp_guide_2/
Other tools that might help	A4, B, C1.2, C2.3, C2.4

The knowledge gained in this understanding stage can inform thinking and discussions for the other stages of organizing, engaging and ensuring – moving towards a tenure-reform process that optimizes opportunities to reduce poverty and improve sustainability.

Notes





Tools for organizing

How to use *icons*



Level and quality of information and stakeholder engagement

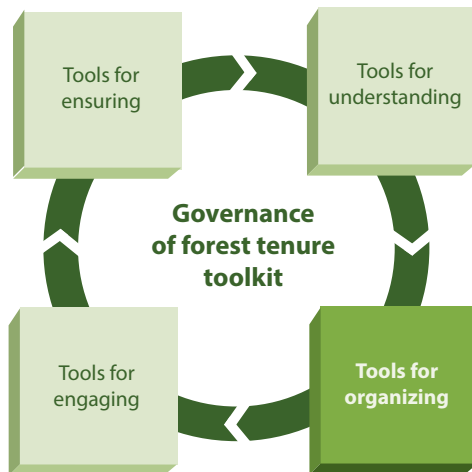
The prevailing level and quality of information and stakeholder engagement for which the tool is appropriate. One gear is a low level (i.e. there does not need to be much information and stakeholder engagement available to use this tool); four is a high level (i.e. there needs to be plenty of information and stakeholder engagement available to use this tool).



Resource requirements

The amount of time, money and skill needed to make the tool work. One tree is a low amount; four is a high amount.

B. Tools for organizing



Why organizing is important for governance of forest tenure

For forest users to have policy influence, they generally need to have sufficient numbers and to organize into effective groups or institutions. At the community level, this entails developing the appropriate capacity and skills, and enhancing community-based organizations. It also requires a public sector that is responsive to the issues put forward by communities, and a private sector that operates fairly and inclusively. In some situations, the best way to organize to bring about change may be to form alliances or coalitions. This section focuses on tools and techniques that will help different sectors of society to organize themselves appropriately, so that they can effectively shape and govern tenure systems for responsible forestry.

Public, private and civil society groups need to have the necessary skills, systems and structures in place to ensure that policies and decisions around tenure are agreed in a fair and accountable manner. Free, prior and informed consent (FPIC) should be obtained for any changes, and there should be support for people with rights to forest resources so that they can use the resources fairly and effectively for livelihood and conservation benefits.

In many countries, there have been major changes in the way rights to forest resources are agreed and distributed in recent years. Decentralization of decision-making has been strengthened through participatory forest management, and the role of the private sector has grown through the privatization of forests and, in some cases, the emergence of new markets for forest ecosystem services.

Public, private and civil society groups may need to adopt very different roles from those that previously prevailed, and the relationships between these key actors can often change dramatically. Capacity-building for these new roles and relationships is often the most important way to ensure that improved security and benefits emerge from a diversified tenure system.

Navigating and applying the tools in this section

Tools to help the public sector, private sector and civil society organize themselves are identified and shared in this section. There is also guidance and tools to help with the establishment of alliances, networks and federations, and to promote exchange between these actors.

The tools are structured around the following issues:

B1. Strengthening communities to engage

- Developing the knowledge, skills and capacity of forest communities and marginalized groups to understand their rights, to draw attention to their needs through advocacy, and to engage in dialogue and negotiate with decision-makers on forest tenure issues (such as strengthening community leaders, training in legal literacy, negotiation and running community meetings).
- Building strong organizations to enable communities to organize within and between themselves and exercise their rights over forest goods and services in a responsible way for conservation and livelihood benefits. This involves work on how community institutions are governed to minimize the risk of elite groups becoming dominant. It also involves creating management capacities, including technical, financial and organizational aspects, for effective and equitable management of forest goods and services – including, where appropriate, commercial forest enterprises.

B2. Building a responsive public sector

- Developing the skills and capacity among forest agencies or the public sector to promote good governance of forest resources, and enabling forest department staff to build a positive and responsive relationship with other forest rights-holders.
- Tools to support and facilitate organizational change in the forest sector.

B3. Organizing for the private sector to operate in a fair and inclusive way

- Building good governance within small forest enterprises, and organizing to access and develop markets.
- Investing in sustainable forest enterprises and company–community forestry partnerships.

B4. Building or strengthening coalitions, networks and federations to enable different interest groups with a stake in forest resources to work together to discuss and negotiate forest tenure issues (see also 'Tools for engaging').

By using and adapting tools in this section, you will gain an understanding of how to strengthen the capacity of civil society, the state and the private sector so they are better able to engage and participate in efforts to shape the governance of tenure of forest resources in a fair and transparent way.

Many of the tools highlighted in this section overlap with those included in other sections. This is because good organization and capacity is vital for all initiatives to strengthen governance of tenure for responsible forestry. The reader is signposted to other sections where specific tools may be covered in more detail.

B1. Strengthening communities to engage

Are forest communities engaged in dialogue and negotiation with decision-makers on forest tenure issues? Are they organized in an effective way to lobby for and exercise their rights? The extent to which local communities are involved in decision-making varies in different contexts. Even in situations where the state or private sector is willing to allow local communities and forest dwellers to have a greater voice in shaping tenure of forest resources, communities do not necessarily have the appropriate capacity to understand and negotiate their rights.

Before communities can make informed decisions and effectively engage in dialogue about proposed changes to their forest rights, they need to understand the short- and long-term implications of any changes. These include potential impacts and costs, potential benefits and legal implications. Support is particularly needed to enable the weaker voices in society to be heard and to participate in decisions and dialogue around the tenure of forest goods and services.

Communities also need to be well organized so that they can effectively manage those resources to which they have access, use and/or management rights, and can resolve local intra- or intercommunity conflicts around tenure. They should be able to exercise their rights over forest resources in a responsible way for livelihood and conservation benefits.

Areas of support include:

- Supporting communities to understand the situation they are facing, the legal context and their rights and responsibilities in relation to forest tenure, and helping them identify their needs and problems. This includes building community understanding of the law, plus legal tools and mechanisms they can use to negotiate with decision-makers. Joint analysis and understanding are important steps towards effective organization.
- Building strong local community-based organizations that are able to manage their forest resources effectively and that take advantage of opportunities to reduce poverty, resolve internal conflicts, and negotiate and engage with decision-makers.
- Strengthening community leaders' capacity to represent community or indigenous constituents, including running community meetings and establishing effective dialogue with decision-makers.

Recommended tools

B1.1



Organizing forest user-groups to engage

What is it?	A framework to guide development practitioners in helping local forest producers to organize themselves and legitimately engage in effective partnerships.
What can it be used for?	To facilitate the necessary steps for forest producers to organize themselves. As a recognized organization legitimately engaged in forest governance and management, forest producers may be able to access resources, partnerships and markets that would otherwise be out of their reach.
Key elements	The process consists of five phases: understanding the situation facing pitsawyers and their enterprise; discussing the advantages and disadvantages of setting up an organization; setting up an organization; operating the organization; and engaging in effective partnerships.
Further information	Krassowska, K. & Davidson, M. 2005. <i>Organising pitsawyers to engage</i> . Power Tools Series. Uganda, Budongo Community Development Organisation, and London, IIED. http://www.policy-powertools.org/Tools/Organising/OPE.html
Other tools that might help	B3.1, B3.4, C1.2 In-depth tool: XL B1.1

B1.2



Building advocacy, lobbying and negotiation skills for indigenous leaders to engage with REDD+

What is it?	A training guide and supporting information to train indigenous leaders in REDD+ and advocacy skills.
What can it be used for?	To help indigenous leaders to define advocacy strategies and develop skills in lobbying and negotiation.
Key elements	The advocacy, lobbying and negotiation training focuses on seven stages of advocacy: gathering of information; dissemination of information; media advocacy; alliance building and networking; lobbying and participating in government decision-making processes; negotiations; and mass mobilization and mass actions.
Further information	Erni, C. & Tugendhat, H. 2010. Advocacy, lobbying and negotiation skills. <i>What to do with REDD? A Manual for Indigenous Trainers</i> , Module 5. Asia Indigenous Peoples Pact (AIPP), Forest Peoples Programme, International Work Group for Indigenous Affairs (IWGIA) and Indigenous Peoples' International Centre for Policy Research and Education (TEBTEBBA). http://www.forestpeoples.org/sites/fpp/files/publication/2010/08/reddtrainingmanualmar10eng.pdf
Other tools that might help	C1.2, C1.3

Community Organizers Toolbox

What is it?	Guidance on building more effective and democratic community organizations.
What can it be used for?	Designed for community organizers and organizations, with the aim to build stronger community organizations.
Key elements	The guidance is arranged around the following themes: work in the community; building an organization; managing your finances; administration; information technology; paralegal advice; local government; HIV and AIDs; government; government programmes and policies; and understanding development.
Further information	<p>Education and training unit. Community Organisers Toolbox [Online Resource]. Johannesburg. http://www.etu.org.za/toolbox/</p> <p>Peterson, E.R. & Barron, K.A. 2007. How to get focus groups talking: new ideas that will stick. <i>International journal of qualitative methods</i> 6(3): 140–144. https://ejournals.library.ualberta.ca/index.php/IJQM/article/viewFile/640/577</p>
Other tools that might help	B3.2, B4.3, C1.2

B1.3



From the Roots Up: strengthening organizational capacity through guided self-assessment

What is it?	Tools and methods for self-assessment to strengthen organizational capacity.
What can it be used for?	To enable organizations to regularly reflect on their performance and to improve and adapt their plans and activities according to their purpose, context and resources.
Key elements	The process includes: diagnosing and prioritizing the organization's strengths and weaknesses; developing locally appropriate indicators for continuing to measure these capacities; and identifying concrete actions that will help the organization to mature.
Further information	<p>Gubbels, P. & Koss, C. 2000. <i>From the Roots Up: Strengthening Organizational Capacity through Guided Self-Assessment</i>. Oklahoma City, Oklahoma, USA, World Neighbors. http://www.rmportal.net/library/content/tools/biodiversity-conservation-tools/putting-conservation-in-context-cd/capacity-building-and-organizational-development-resources/Excerpts-From-the-Roots-Up-Strengthening-Organizational-Capacity-through-Guided-Self-Assessment/view</p>
Other tools that might help	B2.2

B1.4



B1.5



Participatory Governance Assessment

What is it?	A tool to assess and improve internal governance of community groups.
What can it be used for?	To analyse governance structure and practices within community-based organizations and identify areas for improvement.
Key elements	This tool assesses prevalent decision-making and management practices against four governance 'pillars': transparency, participation, accountability and predictability. Responses are scored (poor to very good), and a Governance Improvement Plan is developed that lists key activities.
Further information	SAGUN Program/CARE Nepal. 2008. <i>Tools used in Strengthened Actions for Governance in Utilization of Natural Resources (SAGUN) program. Tool 3: Participatory Governance Assessment.</i> CARE Nepal with World Wide Fund for Nature (WWF) Nepal, Resource Identification and Management Society (RIMS) Nepal and Federation of Community Forestry Users (FECOFUN) Nepal. http://www.carenepal.org/publication/_SAGUN_PGA.pdf
Other tools that might help	A2.2, A4.7, A4.1

B1.6



Community-based forest resource conflict management

What is it?	A set of tools to deliver training in community-based forest resource conflict management.
What can it be used for?	To enable community groups to examine conflicts relating to forest resource use and community-based forest management.
Key elements	The resources include theoretical guidance (volume 1) and a toolkit for the delivery of training in this area (volume 2). The key elements include: understanding conflict in community-based forest management; a collaborative approach to conflict management; analysis; developing a strategy for managing conflict; and negotiations and building agreements.
Further information	FAO. 2002. Community-based forest resource conflict management: training package, Vols. 1 and 2. Rome. http://www.fao.org/DOCREP/005/Y4300E/Y4300E00.HTM and http://www.fao.org/DOCREP/005/Y4301E/Y4301E00.HTM
Other tools that might help	A3.1, A3.3, A4.9

B1.7



Interacting with national facilitation hub institutions

What is it?	A tool used to help forestry groups identify suitable facilitation support institutions.
What can it be used for?	To identify and engage the institutions best equipped to facilitate support in different contexts. It was written in the context of supporting community forest enterprises but can have wider application.



Key elements	The main steps in the process are: mapping of relevant institutions; screening promising institutional facilitators; negotiating with potential facilitation 'hub' institutions; developing a plan for developing facilitation capacity; and establishing a steering committee.
Further information	Macqueen, D.J., et al. 2012. <i>Supporting small forest enterprises: a facilitators toolkit</i> . Small and Medium Forest Enterprise Series, No. 29. London, IIED. [Identifying national small forest enterprise support institutions' module] http://pubs.iied.org/13558IIED.html
Other tools that might help	B3.1, C1.2

Guidance for developing advocacy plans

What is it?	Guidance and tools for general advocacy planning for NGOs.
What can it be used for?	It is aimed at environmental NGOs in West Africa (examples are all from the region), but can be used elsewhere for local and national NGOs to develop advocacy plans.
Key elements	The guidance introduces key steps in information-gathering, planning and campaigning. The toolkit includes stakeholder analysis, risk analysis, conducting legal research, writing position papers, using the media and effective networking.
Further information	Ozinga, S. & Riesco, I.L. 2006. <i>Provoking change: a toolkit for African NGOs</i> . Brussels and Moreton-in-Marsh, UK, FERN. http://www.fern.org/sites/fern.org/files/provokingchange_LR.pdf
Other tools that might help	A4, C1

B1.8



B2. Building a responsive public sector

Are the state forest institutions – government departments and agencies – able to respond to the issues and challenges within the forestry sector? Are they structured and organized in an effective way? Do they have the appropriate skills and capacity to listen and respond to the issues of forest rights-holders? State institutions need to play a significant role in ensuring that the governance of tenure for forest resources is transparent, accountable and delivers poverty and environmental benefits. For this 'ensuring' role (covered in section D) to be effective, some (re)organizing of the state forest sector may be a necessary precursor.

There is no blueprint for institutional change. However, to ensure that forest-sector reform creates an accountable system that serves both conservation and poverty-reduction goals, any reform process should focus attention on the following issues:

- Address corruption and collusion between industry and public sector staff.
- Address any problems in the judiciary system, so that it can operate properly to resolve disputes over resources and land.

- Strengthen capacity in land and resource tenure where necessary.
- Resolve any areas of overlapping responsibility among government departments and ministries for forest lands.
- Have a system for recording customary claims to forest lands and their tenure systems.
- Review and address any financial and logistical hurdles for forest users who obtain statutory rights.
- Assist in creating equal opportunities for small and medium-sized forest enterprises to compete with larger ones.

This toolkit does not go into all the particular steps of forest-sector reform. It does, however, present useful approaches and sources of guidance that can help forest departments and other relevant institutions adapt to their changing roles and embed appropriate practices in their day-to-day operations. These approaches can assist in reviewing and addressing the above points. Guidance here includes:

- investing in and managing organizational change processes to overcome those institutional barriers within the public sector that are identified as limiting good governance of tenure for responsible forestry;
- ensuring that staff, including front-line staff and middle and senior management, understand legislation and key concepts relevant to governance of tenure for responsible forestry (human rights; poverty; poverty's root causes and links to forests; gender; and the influence of power relationships on how forest rights are exercised and upheld);
- strengthening the forest department's administrative capacity and resources to demarcate, delimit and enforce forest tenure rights;
- developing skills of forest department staff to enable and support rights-holders to exercise their rights and effectively manage forest resources (community engagement skills such as participation, negotiation and dispute resolution; and establishing free, prior and informed consent before making any changes).

Recommended tools

B2.1



Facilitating organizational and institutional change

What is it?	A sourcebook offering a range of tools to provide a common framework for discussion among stakeholders throughout an institutional reform process.
What can it be used for?	To be used within an organizational or institutional change process, to better facilitate the process.
Key elements	The sourcebook describes various stages and corresponding tools: analysis and diagnosis of the overall institutional framework; analysis and diagnosis of the organization within its institutional framework; review and design; implementation; and monitoring and evaluation.

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Further information	DFID. 2003. <i>Promoting institutional and organisational development: a source book of tools and techniques</i> . London. http://webarchive.nationalarchives.gov.uk/+/http://www.dfid.gov.uk/pubs/files/prominstdevsourcebook.pdf
Other tools that might help	A4.2, A4.7, A5

Appreciative inquiry

What is it?	An approach to explore potential organizational change through identifying and building on existing positive aspects.
What can it be used for?	To generate new knowledge, using current practice as a catalyst, that expands the 'realm of the possible' and helps members of an organization to both envision a collectively desired future and carry it forward.
Key elements	<p>Appreciative Inquiry attempts to ask questions in such a way that they explore positive aspects of an organization. The intention is to build – or rebuild – organizations around what works, rather than trying to resolve what does not.</p> <p>It uses a cycle of four processes: 'discover' – the identification of organizational processes that work well; 'dream' – the envisioning of processes that would work well in the future; 'design' – planning and prioritizing processes that would work well; and 'destiny', or 'deliver' – the implementation (execution) of the proposed design.</p>
Further information	Serrat, O. 2008. <i>Appreciative Inquiry</i> . Knowledge Solutions Series. Manila, Asian Development Bank. http://www.adb.org/Documents/Information/Knowledge-Solutions/Appreciative-Inquiry.pdf
Other tools that might help	A5, C1, C2

B2.2



Running pilot projects

What is it?	An approach to test and understand the possible effects of a new way of working before rolling it out more widely.
What can it be used for?	For use prior to organization- or country-wide changes, to test and gain a better understanding of how things can work differently through reform or through the use of different approaches.
Key elements	A key characteristic of pilot projects is that they must have clear learning objectives and adopt an 'action-learning' approach. The learning objectives set out explicit questions that will be explored through the pilots, and the lessons learned can be used to inform future practice or policy development.
Further information	Uganda Forestry Sector Policy and Strategy Project. Understanding what will work: pilot projects for extension service delivery reform. Uganda National

B2.3



>..... Forest Programme (NFP) Process Learning Series, Note 3. Forestry Inspection Division, Uganda Ministry of Water, Land and Development, London, DFID, and Edinburgh, LTS International. <http://webarchive.nationalarchives.gov.uk/+/http://www.dfid.gov.uk/Documents/publications/ugandanfpseries3.pdf>

Other tools that might help A, C, D

B2.4



On-the-job mentoring of government officials in participatory approaches

What is it?	Mentoring local or national government staff to encourage the use of participatory approaches.
What can it be used for?	To build capacity to adopt participatory approaches within the forestry sector.
Key elements	Supports the integration of participatory approaches into day-to-day work to support sustainable forest management. Capacity-building can be carried out with government forest departments and key institutions, such as forestry schools, training institutes and other agencies.
Further information	Gilmour, D. & Sarfo-Mensah P. 2005. <i>Evaluation report on project 'Strengthening Participatory Approaches to Forest Management in Ghana, Guyana & Uganda'</i> . London, DFID. http://www.dfid.gov.uk/r4d/Project/60405/Default.aspx
Other tools that might help	A4.7, C2.3, C2.4 In-depth tool: XL B2.4

B2.5



E-government systems for securing forest rights

What is it?	Providing public access to computerized official records.
What can it be used for?	The computerization of records of land rights, made more readily available through village-level computer kiosks, has been widely used to document land rights. The system is considered suitable for application to forest lands.
Key elements	While open-data policies are primarily initiated by government agencies, it is possible for civil society organizations to generate the demand for public access to such official data. The demand can focus on various benefits: reduced ambiguity over boundaries, more transparency of ownership, better relations between authorities and communities, or financial benefits such as lower levels of corruption.
Further information	Castrén, T & Pillai, M. 2011. <i>Forest Governance 2.0: a primer on ICTs and governance</i> . Washington, DC, The Program on Forests (PROFOR) and World Bank http://www.profor.info/profor/sites/profor.info/files/docs/Forest%20Governance_web.pdf
Other tools that might help	A3.2

B3. Organizing for the private sector to operate in a fair and inclusive way

What are the different roles of the private sector that affect forest goods and services? Are the appropriate systems and agreements in place for them to do so? The private sector needs to operate fairly and inclusively for responsible forestry.

The main roles of the private sector are:

- as owners and managers of forested land;
- as managers of small and medium-sized forest enterprises;
- as traders and marketers of forest resources (including ecosystem services);
- as investors funding projects or programmes on forest land.

Small and medium-sized forest enterprises are business operations aimed at making profits from forest-based activity. Frequently, they are very small scale, developed as opportunities for local communities to benefit financially from exploiting their forest resources. Responsible and profitable small forest enterprises are seen as an effective mechanism to reduce poverty, avoid deforestation and tackle climate change. They also need to be managed in a way that is socially and environmentally responsible, however. As with local community groups, many smaller organizations need support to secure the rights that they have, and to convert these rights into sustainable livelihood strategies.

Companies and private banks investing in infrastructure projects and other developments on forested land need to follow best practices in environmental and social safeguards to ensure that all *de facto* and *de jure* access, use and management rights are taken into consideration. As owners or managers, it is important that companies – like the state – use best practices in engaging local communities and forest dwellers, and obtain free, prior and informed consent (see also ‘Tools for engaging’).

Company–community forestry partnerships have the potential to contribute to sustainable forest management and rural development. There are active agreements for the production of forest goods and services in which the parties share benefits, costs and risks with the expectation of a mutually beneficial outcome. They are often initiated after changes in tenure arrangements, such as the privatization of forests or the emergence of markets for ecosystem services. The negotiation and management of these partnerships needs to take into account all existing forest rights. A critical factor in the success of such relationships is the level of trust established between the company and the community; in addition, technical support is often as important for companies as for local communities.

Recommended tools

B3.1



Market analysis and development for community-based tree and forest product enterprises

What is it?	A field manual providing a framework for planning tree and forest-product enterprises.
What can it be used for?	To guide facilitators who will assist local people in a process to identify potential products and develop markets that provide income and benefits without degrading the resource base.
Key elements	The manual consists of six booklets, which lay out a set of steps and case studies in three phases: Phase 1 – assess the existing situation; Phase 2 – identify products, markets and means of marketing; Phase 3 – plan enterprises for sustainable development.
Further information	FAO. 2011. <i>Community-based tree and forest product enterprises: Market analysis and development</i> , I. Lecup. Rome. http://www.fao.org/docrep/014/i2394e/i2394e00.pdf
Other tools that might help	A1.1, B1.5

B3.2



Strengthening community enterprise governance and structures

What is it?	A tool to identify appropriate institutional structures and governance for successful community forest enterprise organizations.
What can it be used for?	To help facilitators enhance the social sustainability of community forest enterprise producers, focusing on the 'triple bottom line' of economy, ecology and society.
Key elements	The key steps in the process are: participatory situation analysis; facilitating the establishment of an improved organizational structure and governance system; capacity-building; exploring collective action; establishing a 'one-stop shop' for information on financial and business-development services; facilitating market information systems.
Further information	Macqueen, D.J. <i>et al.</i> 2012. Strengthening community enterprise organisations. <i>Supporting small forest enterprises: A facilitators toolkit</i> , Module 14. Small and Medium Forest Enterprise Series, No. 29. London, IIED. http://pubs.iied.org/13558IIED.html
Other tools that might help	B1.5

Investing in sustainable forestry enterprises

What is it?	A toolkit for progressive banks and investors to support sustainable management of forest resources.
What can it be used for?	To help financial institutions develop consistent and effective policies, implementation and monitoring procedures for financing sustainable forestry enterprises.
Key elements	<i>The Sustainable Forest Finance Toolkit</i> comprises four key sections arranged in a practical, interactive format, and targeted at specific user groups within a financial institution. These include: New Application – guidance for assessing prospective forestry-sector clients on sustainability issues; Portfolio Management – illustrative approach for evaluating a portfolio of legacy forestry clients; Policy Development – guidance on issues of strategic and operational importance in designing a pragmatic and clear forestry policy; Procurement – a model forestry procurement policy and links to key resources.
Further information	Pricewaterhouse Coopers/WBCSD. 2009. <i>Sustainable Forest Finance Toolkit</i> . New York, Pricewaterhouse Coopers, and Geneva, World Business Council for Sustainable Development. http://www.pwc.co.uk/sustainability-climate-change/issues/forest-finance-home.jhtml
Other tools that might help	B1.5, C1.3, C2.6

B3.3



Company–community forestry partnerships

What is it?	Guidance on essential elements for effective and equitable company–community forestry partnerships.
What can it be used for?	To guide larger companies and community-based forest producer or user groups in developing equitable and productive contract-based enterprise partnerships.
Key elements	After reviewing case studies in depth, the guidance offers: a range of success factors for companies, landowners and communities; principles for good deals; elements for desirable partnership contracts or agreements, with particular innovations from case material; and some key actions that companies, communities, governments, third parties and donors can take for better partnerships.
Further information	Mayers, J. & Vermeulen, S. 2002. <i>Company–community forestry partnerships: from raw deals to mutual gains?</i> London, IIED. http://pubs.iied.org/9132IIED.html Chandrasekharan Behr, D., Sander, K., Rosenbaum, K., Angeletti, I. & Dengel, C. 2009. <i>Rethinking forest partnerships and benefit sharing: insights on factors and context that make collaborative arrangements work for communities and landowners</i> . Washington, DC, World Bank. http://www.profor.info/profor/sites/profor.info/files/Benefit_Sharing_WEB_0.pdf

B3.4



>.....
Chandrasekharan Behr, D. 2012. *Making benefit sharing arrangements work for forest-dependent communities: overview of insights for REDD+ initiatives.* Washington, DC, The Program on Forests (PROFOR).

Other tools that might help **A4.7, B1.1**

B3.5



Fairtrade standard for timber sourced from small-scale and community-based producers

What is it? This standard is used to add the 'fairtrade' dimension to responsible forest management by small-scale producers, and to improve trading practices at supply-chain level.

What can it be used for? The fairtrade standard for timber defines additional fair trade requirements on top of forest management and chain-of-custody certification.

Key elements The requirements are for: (1) forest enterprises already holding a valid Forest Stewardship Council (FSC) combined Forest Management/Chain of Custody certificate that are themselves, or source their timber from, small-scale or community-based producers; and (2) traders in the supply chain that subsequently handle the fairtrade products, who must also already have a valid Chain of Custody certificate.

This standard applies to forest enterprises producing a broad range of forestry products, including timber products and, potentially, non-timber forest products. To meet the standard, enterprises must fulfil a series of requirements regarding social development, economic development, environmental development and labour conditions. The standard document sets out the steps to be followed in each case and the specific requirements. Forest enterprises must also demonstrate compliance over time through continuous improvement.

Further information FLO. 2011. *Fairtrade standards for timber for forest enterprises sourcing from small-scale/community-based producers.* Bonn, Germany, Fairtrade Labelling Organizations International. http://www.fairtrade.net/fileadmin/user_upload/content/2009/standards/documents/2011-03-30_EN_Fairtrade_Standard_for_Timber.pdf

Other tools that might help **C2.6, D3.5**

B4. Building or strengthening coalitions, networks and federations

How can local communities ensure that their voices are heard? How can they join forces to engage with policy and governance processes? Associations and coalitions continue to be the most effective routes for communities to raise bargaining power.

The creation of alliances among agencies, governmental institutions, civil society and their representatives (farmers' organizations, research institutes, trade unions

and so on) can encourage broad participation. It is necessary to invest in reinforcing cooperation as a means for strengthening information flows and communication both vertically (between civil society and professionals, authorities or institutions) and horizontally (among different civil society representatives or directly among the different actors concerned).

The coming together of NGOs and/or civil society organizations will enable existing resources to be better used and additional resources to be mobilized. Furthermore, the cooperation of communities with NGOs, as well as cooperation between NGOs, will have the following advantages:

- the provision of technical and institutional support for civil society actors;
- the replication of NGOs' experiences elsewhere;
- increased access to information in civil society;
- increased decision-making capacities of public officials and project managers.

Networks, coalitions and partnerships can also exist between community leaders and organizations, enhancing their ability to collaborate in negotiation and dialogue.

The tools here focus on the establishment both of alliances and of smooth flows of information within and between such alliances and coalitions.

Managing a peer-to-peer learning group for improving forest governance

What is it?	Peer-to-peer groups for mutual support and learning to improve forest governance.
What can it be used for?	Learning groups are an effective way for individuals in institutions to support and learn from each other, and to create and take opportunities to improve forest governance through their institutions. They have proven impacts in: understanding key governance barriers and opportunities, and on-the-ground realities; understanding practical tactics for changing governance; improving capabilities to influence or change governance; improving engagement mechanisms and processes; changing discourses and decision-making processes; and influencing decisions and policies.
Key elements	Four linked areas of action by forest governance learning groups at national or local levels are recommended: establishing a team of 'governance-connected' people from a mix of agencies, with experience and ideas; conducting policy work on forest livelihood issues that arise when people are marginalized from decision-making; developing practical guidance and tools for making progress; and creating and taking opportunities to improve governance. Key tactics in making such improvements include: securing safe space; provoking dialogue; building constituencies; wielding evidence; and interacting politically.
Further information	Mayers, J. <i>et al.</i> 2009. <i>Just forest governance: how small learning groups can have big impact</i> . IIED Briefing. London, IIED. http://pubs.iied.org/17070IIED.html?c=forestry
Other tools that might help	A, C1.5, C1.10, C2.1, C2.3, D1.4, D1.5, D3.6

B4.1



B4.2



Social networks: 38 Degrees and others

What is it?	38 Degrees – so named because 38° is the angle beyond which an avalanche occurs – is an independent, non-partisan political community of citizens working to bring about ‘an avalanche for real change’ in the UK by taking action on the issues that citizens care about.
What can it be used for?	Social networks can be used for any campaigning issues that have a popular base of support. A notable achievement of 38 Degrees (with others) was to persuade the Government of the United Kingdom of Great Britain and Northern Ireland to cancel its plans to sell 258 000 ha of state-owned woodland in England to the private sector.
Key elements	The strength and influence of social networks depend on the numbers of people involved, which, in turn, are increased if the agenda is clear and participation is easy. 38 Degrees uses simple tools for concerned members of the public to influence decisions made at local and national levels, including: online petitions; emails, letters and visits to members of parliament and corporate leaders; and other peaceful methods of campaigning by large numbers of people. The members (the public) set the agenda, and the small staff devises tactics drawing on suggestions from the public.
Further information	38 Degrees, UK: http://www.38degrees.org.uk MoveOn, USA: http://front.moveon.org = GetUp, Australia: http://www.getup.org.au Avaaz, International: http://www.avaaz.org
Other tools that might help	A4.2, A4.4, A4.6

B4.3



Building alliances and coalitions for advocacy

What is it?	Tools that set out how civil society groups can identify and build alliances and coalitions to push for change.
What can it be used for?	To promote citizen participation in a wide range of contexts, from participatory research and community development, to neighbourhood organizing and legal rights education, to large-scale campaign advocacy.
Key elements	These tools combine practical steps with a sound theoretical foundation in rights-based political empowerment. They recommend, and describe how to carry out, five ‘planning moments’: looking inward; understanding the big picture; identifying and defining problems; analysing problems and selecting priority issues; and mapping advocacy strategies. They describe finding policy hooks, political angles, friends and foes, and they give guidance on: messages and media; outreach and mobilization; lobbying and negotiating; advocacy leadership; and developing alliances and coalitions.
Further information	VeneKlasen L. & Miller, V. 2007. <i>Alliances and Coalitions. A New Weave of Power, People and Politics: The Action Guide for Advocacy and Citizen Participation</i> . Sterling, Virginia, USA, Stylus Publishing, and Rugby, UK, Practical Action Publishing. http://www.justassociates.org/ActionGuide.htm Colchester, M., Apte, T., Laforge, M., Mandondo, A. & Pathak, N. 2003. <i>Bridging the gap: communities, forests and international networks</i> . Occasional Paper 41. Bogor, Indonesia, Centre for International Forestry Research (CIFOR). http://www.cifor.org/publications/pdf_files/OccPapers/OP-41.pdf
Other tools that might help	A4.4, C1.6, C1.7

Notes





Tools for engaging

How to use *icons*



Level and quality of information and stakeholder engagement

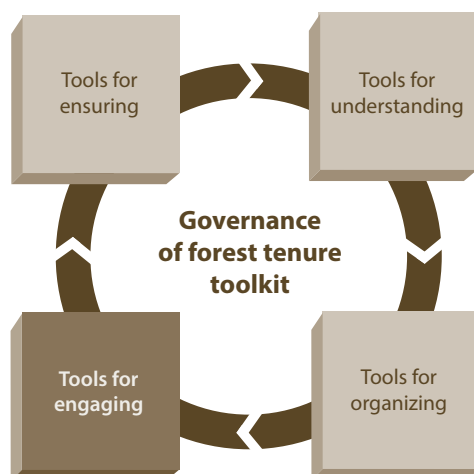
The prevailing level and quality of information and stakeholder engagement for which the tool is appropriate. One gear is a low level (i.e. there does not need to be much information and stakeholder engagement available to use this tool); four is a high level (i.e. there needs to be plenty of information and stakeholder engagement available to use this tool).



Resource requirements

The amount of time, money and skill needed to make the tool work. One tree is a low amount; four is a high amount.

C. Tools for engaging



Why engaging is important for governance of forest tenure

Reaching agreement about changes to forest tenure systems that are fair, inclusive and likely to be implemented requires the engagement of different interest groups. Those interest groups should be able to articulate their needs and interests in a process of negotiation and consensus-building. In the previous section we saw how different actors can organize themselves so that they are ready to engage. In this section we focus on the tools that bring stakeholders together to engage with each other while ensuring that such processes are inclusive and participatory, so that marginalized voices are heard and all interest groups are engaged effectively.

Engagement among stakeholders can take many forms. It can range from one particular group taking specific action to raise awareness of their concerns with others, through to consultations and roundtable discussions. Multistakeholder processes are now widely facilitated in the forestry sector – bringing different interest groups into longer-term constructive engagement, dialogue and decision-making. In all contexts, informed and inclusive dialogue and decision-making around forest tenure requires sensitive facilitation.

Throughout the engagement process, specific attention and tactics are needed to address inequalities of power and to support weak or marginalized actors in entering the dialogue process and creating potential for negotiation. For example:

- modifying the procedures used to manage the process, ensuring that what is at stake for weaker stakeholders is better heard by others;
- meeting in settings in which weaker stakeholders feel comfortable, or adopting the discussion style of weaker stakeholders;
- becoming familiar with customary procedures used by weaker stakeholders and adopting aspects of these procedures, which may require legal advocacy, legal action or political action to change the legal framework of rights to resources;
- mobilizing and organizing: forming associations or other local organizations to press claims and defend interests, or forming alliances with external organizations that provide support and resources in various forms, including legal advice, technical assistance and training.

Navigating and applying the tools in this section

There is much guidance available on roundtables, multistakeholder processes and ways of supporting poor and marginalized groups to participate effectively. This section points you in the right direction to access this generic guidance, while paying specific attention to tools that have been successfully applied in the context of governance of tenure for responsible forestry.

The guidance and tools are organized in the following two themes:

- C1. Supporting civil society to wield evidence, advocate, campaign and negotiate** for more equitable tenure arrangements that reflect traditional and customary practices.
- C2. Running effective consultation, participation and multistakeholder processes** to promote mutual understanding, trust and commitment to action to shape forest tenure.

By adopting and adapting the tools in this section, you will:

- know where to go for guidance on running effective participatory workshops and multistakeholder processes;
- understand how to support different stakeholder groups who influence and/or are affected by tenure agreements over forest resources – including communities, government officials and business representatives – to participate effectively in decisions, understand each other's perspectives and needs, and reach an agreement.

C1. Supporting civil society to wield evidence, advocate, campaign and negotiate

Are people in civil society able to negotiate and campaign for equitable tenure arrangements that reflect traditional and customary practices? Are their voices heard? In processes of tenure reform for responsible forestry, facilitation efforts should ensure that weaker stakeholders have sufficient access to decision-making processes and the ability to articulate their relevant needs and interests effectively.

Many different approaches and tactics can be used by local community members to build an evidence base and engage with policy-makers around their needs and aspirations. The approaches and tools listed below can be used to support communities in developing the skills to engage with political processes and the media through negotiating, influencing and campaigning.

There are also tools that explore mechanisms for engaging such as community radio, participatory video and participatory photos. With rising use of ICTs, new channels are available to reach out to a greater number of people and to draw the attention of key audiences.

Recommended tools

Advocacy tools and guidelines	
What is it?	CARE has produced guidelines for advocacy planning to help practitioners influence policy-makers. The guidelines look at key concepts in advocacy, how to strategically and practically plan an intervention and how to successfully implement that plan.
What can it be used for?	The guidelines can be used when an issue has been identified that would benefit from a policy being effected, reformed or implemented. They provide guidance from the initial information-gathering stages through the planning and implementation phases of advocacy work.
Key elements	The guidelines take the potential advocate through the initial stages, such as gathering background information on key decision-makers and institutions, and establishing relationships and credibility. They then provide guidance for planning techniques, including more detailed policy analysis; identifying policy issues and goals; identifying key actors, messages, types of strategy and associated activities; and practical planning of timelines, budgets and monitoring-and-evaluation indicators. In the final implementation stages, guidance is included on clear and effective communication strategies; building coalitions and local capacity for policy influence; and tips on media, negotiation tactics and managing risk.
Further information	Sprechmann, S. & Pelton, E. 2001. <i>Advocacy tools and guidelines: promoting policy change – A resource manual for CARE program managers</i> . Atlanta, Georgia, USA, CARE. http://www.care.org/getinvolved/advocacy/tools.asp

C1.1



Further information	<p>WaterAid. 2001. <i>Advocacy – what's it all about? A guide to advocacy work in the water and sanitation sector.</i> London. http://www.wateraid.org/documents/advocacysb.pdf</p> <p>Datta, A. 2011. <i>Strengthening world vision policy advocacy: a guide to developing advocacy strategies.</i> London, Overseas Development Institute (ODI). http://www.odi.org.uk/sites/odi.org.uk/files/odi-assets/publications-opinion-files/7261.pdf</p>
Other tools that might help	A4.2, A5.2

C1.2



Effective consultation

What is it?	A tool offering guidance to help communities participate successfully in local consultations and negotiations relating to the management of natural resources.
What can it be used for?	To empower communities in local consultations aimed at identifying who has the right to manage natural resources in an area and how this management should be carried out and monitored.
Key elements	This tool sets out four steps to help the community to prepare for a consultation, to develop a common vision and position for negotiations, and to ensure that any agreements are clearly captured and can be enforced and monitored in the future.
Further information	Joaquim, E., Norfolk, S. & Macqueen, D. 2005. <i>Avante consulta! Effective consultation.</i> Power Tools Series. Matumbo, Mozambique, Terra Firma, and London, IIED. http://www.policy-powertools.org/Tools/Engaging/AC.html
Other tools that might help	A2.1, A4.9, A5.4

C1.3



Free, prior and informed consent – from principle to practice

What is it?	Guidance on implementing the principles of free, prior and informed consent (FPIC).
What can it be used for?	FPIC means establishing the conditions under which people can and do exercise their right to negotiate the terms of externally imposed policies, programmes and activities that may affect the lands, resources or assets they customarily own, occupy or otherwise use, and give or withhold their consent to them. Guidance on implementing FPIC comes into play when indigenous people or local communities are negotiating with international institutions, governments or private investors who seek to apply policies, programmes or investments affecting resources to which these communities have a strong connection. The guidance helps with practically applying the principles of FPIC in catalysing and concluding such negotiations.

Key elements	The guidance – written in the context of agribusiness investments and REDD+ – offers a series of steps for setting up and organizing a documented system that enables indigenous peoples, local communities and other stakeholders to express their views in negotiations and to have these views and wishes included in decision-making. The steps include: identifying customary land (for example, using participatory mapping); engaging with organizations representing the communities; providing information to allow fair participation and informed consent; ensuring consent is freely given (without coercion); ensuring consent is prior (well before any development plans and so forth are put in place); ensuring there is consent; and resolving any conflict in the process.
Further information	<p>Forest Peoples Programme. 2008. <i>Free, Prior and Informed Consent and Oil Palm Plantations: a guide for companies</i>. Moreton-in-Marsh, UK. http://www.forestpeoples.org/sites/fpp/files/publication/2009/12/fpican drspocompaniesguideoct08eng.pdf</p> <p>Anderson, P. 2011. <i>Free, Prior, and Informed Consent in REDD+: Principles and Approaches for Policy and Project Development</i>. Bangkok, Regional Community Forestry Training Center (RECOFTC), and Eschborn, Germany, GLZ. http://www.recoftc.org/site/uploads/content/pdf/FPICinREDDManual_127.pdf</p> <p>FAO. Forthcoming. <i>Implementation guide on land acquisition, free, prior and informed consent and customary land of indigenous peoples and other local communities</i>, S. Chao and M. Colchester.</p>
Other tools that might help	A3, B1.2 In-depth tool: XL C1.3

Supporting communities to negotiate and run impact and benefit agreements with companies

What is it?	A toolkit designed for communities engaged in negotiating impact and benefit agreements with companies.
What can it be used for?	To help community negotiators and/or consultants working with indigenous communities and organizations to address the process and content issues relevant to negotiating agreements. This guide was written in the context of small farmers in Canada but is more broadly relevant to communities dependent on forest resources for their livelihoods.
Key elements	The toolkit focuses on preparing for negotiations and establishing a negotiating position; conducting negotiations and creating agreements; and implementing agreements and maintaining relationships.
Further information	Gibson, G. & O'Faircheallaigh, C. 2010. <i>IBA Community Toolkit: Negotiation and Implementation of Impact and Benefit Agreements</i> . Toronto, Walter and Duncan Gordon Foundation. http://www.ibacommunitytoolkit.ca
Other tools that might help	B1.2

C1.4



C1.5



Media and lobbying tactics for local groups

What is it?	Using media and lobbying tactics to build a shared understanding of a problem and to engage with policy.
What can it be used for?	For facilitators to support farmers and develop their media and lobbying skills while they engage in national policy processes. Particular experience comes from Grenada, but the approaches are applicable more widely to natural resource policy processes.
Key elements	Key elements include: outside preparations (land-registry search and land-use audit); building farmers' evidence (for example, encouraging farmers to keep records or map land use); linking the issue to the bigger picture (integrating farmers' issues with national programmes or building relationships between farmers and agricultural technical staff); and targeting, communicating and negotiating with wider groups (such as helping farmers to prepare for key meetings or using the media to spread awareness). The tactics range from fairly technical, time-consuming activities such as mapping and audits to suggestions for seizing opportunities – particularly with politicians and the media.
Further information	Williams, J. & Vermeulen, S. 2005. <i>Media and lobby tactics: linking farmers' actions with national policy processes</i> . Power Tools Series. Grenada Community Development Agency and London, IIED. http://www.policy-powertools.org/Tools/Engaging/MLT.html Ellsworth, L. & White, A. 2004. <i>Deeper roots: strengthening community tenure security and community livelihood</i> , Strategies 3 and 7. New York, Ford Foundation. http://www.fordfoundation.org/pdfs/library/deeper_roots.pdf
Other tools that might help	A3, A4, B4.1 In-depth tool: XL C1.5

C1.6



Crowdsourcing

What is it?	'Crowdsourcing' means opening up tasks to a community or an undefined large group of people (a 'crowd') through an open call for information.
What can it be used for?	Crowdsourcing is a powerful tool for reaching out to and enlisting a large number of community members, volunteers and NGOs. It can draw attention to key issues around forest tenure and rights, and raise their profile.
Key elements	Relatively simple technology can be used to set up mass messaging systems that reach greater numbers of people more directly than traditional mass media. Open-source software is available to turn a laptop and a mobile phone into a central communications hub (see the Ushahidi tool below). Once installed, the programme enables users to exchange text messages with groups of people through mobile phones.
Further information	Mobileactive is a global network for people who are using mobile technology for social impact (www.mobileactive.org).
Other tools that might help	B4.3

Ushahidi: open-source software and collaborative mapping

What is it?	A tool based on software that enables people to collaborate and share information through a variety of media.
What can it be used for?	It allows people to collaborate to provide and share real-time information about issues in their environment.
Key elements	'Ushahidi' is Swahili for testimony. It is an African non-profit organization that develops free and open-source software. Ushahidi has been widely used to share information, mobilize social movements and enhance transparency. The approach brings together information from SMS, email, Twitter, Facebook, photos, video footage and so on, into a single internet-based map.
Further information	http://www.ushahidi.com Examples of how Ushahidi has been used: http://www.youtube.com/watch?v=Hh_PiVqf8BA&feature=player_embedded
Other tools that might help	A1, B4.3

C1.7



Community radio

What is it?	A community radio station is operated in the community, for the community and by the community, with shows about the community.
What can it be used for?	Addressing social concerns and promoting social change in a community.
Key elements	A community radio station is defined as one that is not for profit, has community ownership and control, and has community participation. Guidance describes how to get started, legal issues, funding options, things to think about when selecting equipment, ideas for managing a community radio station and broadcasting tips.
Further information	Barker, K. 2008. <i>Community radio start-up information guide</i> . Ottawa, Ontario, Canada, Farm Radio International. http://www.amarc.org/documents/manuals/community-radio-start-up-guide_e.pdf Tabing, L. 2002. <i>How to do community radio: a primer for community radio operators</i> . New Delhi, UNESCO Asia-Pacific Bureau. http://unesdoc.unesco.org/images/0013/001342/134208e.pdf Olssen, M. 2005. Digital audio in Papua New Guinea. <i>ICT Update</i> No. 29. Wageningen, The Netherlands, Technical Centre for Agricultural and Rural Cooperation ACP-EU (CTA). http://ictupdate.cta.int/en/Feature-Articles/Digital-audio-in-Papua-New-Guinea
Other tools that might help	B4.3

C1.8



C1.9



Participatory photos and video

What is it?	A range of techniques to involve a group or community in designing and creating their own visual messages and films for advocacy.
What can it be used for?	These methods can convey a large amount of information very quickly and enable local groups themselves to communicate what is important to them, share experiences between communities and potentially advocate for change with decision-makers.
Key elements	Key elements in the process often include: an initial visit; preliminary research; training workshops in photo or video such as in camera use, visual literacy and improving technical skills; techniques and games for getting started, for example, developing a storyboard, screenings and communicating the results. Participatory photos and video can work particularly well in enabling communities with low literacy levels to communicate with decision-makers.
Further information	PhotoVoice. 2011. <i>See it our way: participatory photo as a tool for advocacy</i> . London. http://www.photovoice.org/html/ppforadvocacy/ppforadvocacy.pdf Lunch, N. & Lunch, C. 2006. <i>Insights into participatory video: a handbook for the field</i> . Oxford, UK, InsightShare. http://insightshare.org/resources/pv-handbook Examples: http://insightshare.org/resources/case-study/all
Other tools that might help	C2.3, D1

C1.10



Policy research for change

What is it?	A tool for analysing policy bottlenecks that affect small forest enterprises and for facilitating a process of change.
What can it be used for?	This tool focuses on strategies for engaging policy-makers from the outset in work to support small forest enterprises.
Key elements	Key steps are: mapping the policy context, clarifying the desired change and identifying those with influence; building constituencies to create political groundswell and draw in key decision-making allies from the outset; tailoring the policy research to maximize influence; investing in a team leader with profile and training the team well for consistent quality; anchoring the write-up to enlightened parts of the legislation; making an informed choice along the spectrum of confrontation to cooperation; having a publicity strategy.
Further information	Macqueen, D.J. et al. 2012. <i>Policy Research for Change. Supporting small forest enterprises: a facilitators toolkit</i> , Module 16. Small and Medium Forest Enterprise Series, No. 29. London, IIED. http://pubs.iied.org/13558IIED.html Mayers, J. & Bass, S. 2004. <i>Policy that works for forests and people: real prospects for governance and livelihoods</i> . London, Earthscan. http://pubs.iied.org/9276IIED.html Court, J. & Young, J. 2003. <i>Bridging research and policy: insights from 50 case studies</i> . London, Overseas Development Institute (ODI). http://www.odi.org.uk/resources/docs/180.pdf
Other tools that might help	A4.1, A4.4, B4.1

C2. Running effective consultation, participation and multistakeholder processes

Are participatory and multistakeholder processes managed so that they are inclusive? Is there a level playing field for negotiation and consensus-building among all stakeholders? Underlying effective reform processes, there needs to be mutual understanding, trust and commitment to shaping forest tenure.

Enhanced participation can bring:

- more relevant, effective and coherent policy;
- greater ownership of decisions;
- increased accountability, with accountability and responsibility shared across a broader section of society;
- reduced conflict through improved relationships;
- a higher profile and greater support for forestry.

Multistakeholder processes are about setting up and facilitating long-term processes that bring different groups into constructive engagement, dialogue and decision-making. The reform of forest tenure is a learning process. It requires allocation of sufficient time for the identification of key stakeholders, discussion within and between stakeholder groups, negotiations between stakeholders over forest management objectives, and feeding back field experience into the policy dialogue.

Balancing power disparities, increasing actors' ability and willingness to participate in the dialogue, and developing and sharing available knowledge are necessary preconditions for activating processes of collaborative decision-making. Favourable conditions for negotiation are prepared and maintained through a lengthy process of sensitization, communication, participation and empowerment, and through coordinated efforts at local and higher levels (see 'Tools for organizing').

Relevant questions for those managing the negotiation process are:

- How to establish dialogue at multiple levels and around different issues?
- What are the basic principles of the negotiation?
- How to set up ground rules to facilitate the participation of all concerned actors in the negotiation process?
- How to initiate the creation of a consensus?

Recommended tools

The Pyramid: a diagnostic and planning tool for forest governance

What is it?	A framework for stakeholders to analyse the whole situation of forest governance at local or national levels, and to prioritize and plan improvements.
What can it be used for?	Participatory assessment and planning for forest governance improvements that are appropriate to the type of stakeholder interaction and conditions present in any country context.

C2.1



Key elements	The Pyramid comprises the base, or foundation, and five tiers, which are all elements in forestry governance. These include: foundations (for example, property and tenure rights, market and investment conditions); roles (stakeholder roles and institutions in forestry and land use); policies (forest policies, standards for sustainable forest management [SFM] and legislation); instruments (a coherent set of 'carrots and sticks' for implementation); extension (promotion of SFM to consumers and stakeholders); and verification of SFM (audit, certification or participatory review). The precise sequence in which tiers and elements are addressed depends on the country context and the concerns and timing of in-country discourse.
Further information	Mayers, J., Bass, S. & Macqueen, D. 2005. <i>The Pyramid: a diagnostic and planning tool for good forest governance</i> . Power Tools Series. London, IIED. http://www.policy-powertools.org/Tools/Engaging/TP.html
Other tools that might help	A, B4.1

C2.2



Stakeholder involvement in national forest programmes

What is it?	A set of tools to facilitate participation in national forest programmes.
What can it be used for?	Primarily to be used in workshop settings, these tools are designed and compiled for those facilitating participation in national forest programmes, although many of them are highly applicable to other multistakeholder processes.
Key elements	Tools are arranged by different stages of the policy process: analysis (for example, stakeholder analysis and visioning); policy formulation and planning (priority ranking and auction ranking); implementation (problem analysis); and evaluation (SWOT analysis and target ranking).
Further information	FAO. 2009. <i>Enhancing stakeholder participation in national forest programmes: tools for practitioners</i> , P. O'Hara. National Forest Programme Facility, Rome. http://www.fao.org/docrep/014/i1858e/i1858e00.pdf
Other tools that might help	A4, A5, B2

C2.3



Road map for running participatory dialogue processes

What is it?	Methods and guidance for running multistakeholder dialogue processes.
What can it be used for?	To plan, implement and maintain a multistakeholder dialogue process and use methods to enhance participation.
Key elements	The road map includes tools for designing a stakeholder process, facilitation and funding processes, and provides methods for four 'categories of dialogue': promoting mutual understanding, promoting future views, promoting decision-making and capacity-building.

Further information	UN. 2007. <i>Checklist for designers of multi-stakeholder processes. Participatory dialogue: towards a stable, safe and just society for all</i> , Ch. 3 and Annex 1. New York. http://www.un.org/esa/socdev/publications/prtcptry_dlg%28full_version%29.pdf
Other tools that might help	A4.7, A5.4, B2.4

Consultation with civil society by others

What is it?	Tools and guidance for carrying out a consultation process with civil society.
What can it be used for?	To improve the design and process of consultations so that opportunities are maximized for stakeholders to participate and be heard. The guidance is written for World Bank staff but is relevant for government and other stakeholders who lead and organize consultations.
Key elements	Key steps in design are: clarification of objectives; defining roles and responsibilities; understanding the political landscape; identifying stakeholders; and selecting participants and sharing information with them. Tools and methodologies for the consultation process include e-discussions, public gatherings and hearings, workshops and roundtables, public disclosure and focus groups. There are also tools for evaluating the process.
Further information	World Bank. 2007. <i>Consultations with civil society: a sourcebook</i> . Washington, DC http://siteresources.worldbank.org/CSO/Resources/ConsultationsSourcebook_Feb2007.pdf Edmunds, D. & Wollenberg, E. 2001. A strategic approach to multi-stakeholder negotiations. <i>Development and Change</i> 32(2): 231–253. http://portals.wi.wur.nl/files/docs/msp/EdmundsWollenberg.pdf
Other tools that might help	A4.7, A5.4, B2.4

C2.4



Pathfinder: steering multistakeholder working groups to develop forest standards

What is it?	An online toolkit to support the establishment of working groups for national forest certification standards.
What can it be used for?	Developed to aid the establishment and management of multistakeholder national and regional working groups to develop national standards for forest certification, Pathfinder tools also have wider applicability where working groups are needed.
Key elements	Pathfinder presents a series of instruments grouped under three categories: basic elements; behaviour in standard-setting; and technical instruments for standard-setting. The instruments include: institutional requirements for forest certification; certification – how it works; chain-of-custody manual; consensus-building and conflict resolution tools; national working group initiation and election procedures; survival guide; and standard-setting software.

C2.5



Further information	Hauselman, P & Vallejo, N. 2003. <i>The pathfinder</i> . Switzerland, Pi Environmental Consulting and WWF. http://www.piec.biz/pathfinder/index.html
Other tools that might help	B2.1, C1.2

C2.6



Forest certification

What is it?	Certification of forest management and chain-of-custody operations shows that a forest manager complies with social and environmental standards such as those set by the Forest Stewardship Council (FSC).
What can it be used for?	The FSC label or a similar label can bring consumer recognition of responsible practices and potentially a price premium, and, hence, credibility with customers, business partners, financial institutions and watchdog organizations. Increasingly, governments specify the use of certified forest products in their procurement.
Key elements	<p>The Forest Stewardship Council outlines five steps to certification:</p> <ul style="list-style-type: none"> • Contact accredited, independent certification bodies for estimates of cost and time, and further information. • Choose your preferred certification body and sign an agreement. • A certification audit is carried out. • An audit report is produced and becomes the basis for the certification decision. • If the decision is positive, a certificate is awarded. If not, improvements are suggested, after which another audit can be carried out.
Further information	Forest Stewardship Council. <i>5 steps towards FSC certification</i> [Online Resource]. https://ic.fsc.org/5-steps-to-certification.36.htm
Other tools that might help	B3.3, B3.5, D3.6

Notes





Tools for ensuring

How to use *icons*



Level and quality of information and stakeholder engagement

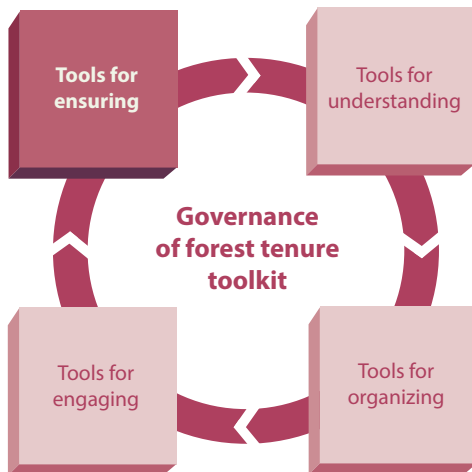
The prevailing level and quality of information and stakeholder engagement for which the tool is appropriate. One gear is a low level (i.e. there does not need to be much information and stakeholder engagement available to use this tool); four is a high level (i.e. there needs to be plenty of information and stakeholder engagement available to use this tool).



Resource requirements

The amount of time, money and skill needed to make the tool work. One tree is a low amount; four is a high amount.

D. Tools for ensuring



Why ensuring is important for governance of forest tenure

Reaching agreement and taking joint action is not enough. Mechanisms for tracking progress and accountability are necessary to ensure that agreements, dialogue and promises translate into the right action. And even such 'ensuring' is not the end of the process. If good organization and engagement are ensured, it provides new understanding about how to improve action – ideally leading to an iterative, ever-adaptive cycle of increasingly effective, equitable and efficient forest governance.

Monitoring and evaluation are important for tracking progress and impacts towards the end goal of responsible forestry that supports both people's livelihoods and sustainable forests. They assess the expected and unexpected impacts of governance and tenure arrangements on both livelihoods and forests. There also need to be mechanisms to ensure that people's rights over forest resources are upheld, that civil society can hold decision-makers to account and that dispute-resolution mechanisms are effective, fair and accessible to all.

Access to information enables people to scrutinize the effects of policy decisions and provides checks and balances in the public interest, minimizing the undue influence of privileged groups and reducing incentives for corruption. Forest operations often take place in quite remote rural areas, and it is critical, for example, that local people have information on which operations might be legal and who they can contact if they

are not. The knowledge that decisions and processes are open to scrutiny can make government bodies work better, prompting them to manage their information systems properly.

It is particularly important to ensure that the poorest and most marginalized stakeholders are not disproportionately affected by tenure arrangements. By inviting those stakeholders most affected to reflect on their experiences of how forest tenure is negotiated and realized, and by ensuring that these findings are widely shared and made accessible to all, it is possible to develop greater transparency and accountability. Lessons learned should inform any adaptations and adjustments to governance practices.

Navigating and applying the guidance in this section

The tools in this section are organized around three approaches for ensuring responsible forestry:

D1. Monitoring and evaluation, accountability and transparency.

D2. Mechanisms for grievances, dispute resolution and access to paralegal support, enabling forest communities to complain and to resolve conflicts through local justice systems.

D3. Recourse to courts, higher levels of government or international policies and levers.

By adopting and adapting the tools in this section, you will be able to:

- develop monitoring, evaluation, transparency and accountability systems to ensure good governance of tenure for responsible forestry;
- establish systems that enable groups to hold each other to account for commitments they made, allow laws to be fairly enacted and facilitate conflict resolution;
- understand how international mechanisms and conventions can be used to strengthen transparency and to hold stakeholders to account.

D1. Monitoring and evaluation, accountability and transparency

Are agreements being translated into action? What difference – positive or negative, expected or unexpected – have initiatives made? What lessons can be learned and what should or could be done differently? Monitoring and evaluation is a process of gathering and assessing information to make judgements about progress towards goals and objectives, and to identify unintended positive or negative consequences of action.

Whether it be the implementation of a policy, a multistakeholder process, an FPIC agreement or another project, it is crucial to have mechanisms in place for assessing

whether an initiative is achieving its goals and for monitoring changes in situations that concern key stakeholder groups. The use of indicators can provide informative and comparable benchmarks to analyse the state of governance and identify critical areas for reform, and can help in monitoring progress towards better governance. There is widespread guidance available on monitoring and evaluation.

Participatory monitoring and evaluation (PM&E) is a process through which stakeholders at various levels engage in monitoring or evaluating a particular project, programme or policy. The stakeholders share control over the content, the process and the results of the monitoring and evaluation activity, and they are involved in taking or identifying corrective actions. The results of this exercise form a powerful instrument for civil society to enhance transparency and hold policy-makers and the private sector to account for their commitments. Central to strengthening transparency and accountability is access to information.

The tools included here are participatory tools that enable civil society to participate in the monitoring and evaluation process, gain access to information and ensure accountability and transparency. It should be noted that many of the tools included in the 'Tools for understanding' section can be used as tools for ensuring. Repeating the understanding processes over time reveals whether conditions are changing for better or worse. For example, repeated forest surveys will show whether forest cover is increasing or decreasing over time, and repeated stakeholder power analyses will show changes in the influence and voice of marginalized groups during decision-making.

Recommended tools

Citizen report cards	
What is it?	Participatory surveys that provide quantitative and/or qualitative feedback.
What can it be used for?	To reveal user perceptions of the quality, adequacy and efficiency of public services.
Key elements	Citizen report cards use standardized formats and sets of assessment indicators that are easily replicated, making them powerful tools for comparisons over time and/or between places. They go beyond just being a data collection exercise – they are an instrument to push for increased public accountability and to inform civil society advocacy.
Further information	<p>Public Affairs Centre/Asian Development Bank. <i>Citizen report card learning toolkit</i> [Online Resource]. http://www.citizenreportcard.com/index.html</p> <p>Global Witness. <i>How do report cards help?</i> [Online Resource]. http://www.foresttransparency.info/background/how-do-report-cards-help/</p> <p>Global Witness. 2010. <i>Making the forest sector transparent: annual forest sector transparency report card 2010 – Ghana</i>. London. http://www.foresttransparency.info/cms/file/457</p>
Other tools that might help	A2.4

D1.1



D1.2



Community score cards

What is it?	Qualitative monitoring tools for local-level monitoring and performance evaluation.
What can it be used for?	Communities evaluate services, projects and government administrative units, thus providing users' perceptions.
Key elements	The Community Score Card (CSC) process is a hybrid of the techniques of social auditing, community monitoring and citizen report cards. Like the citizen report card, the CSC process is an instrument to ensure public accountability and responsiveness of service providers. Because it includes a meeting between service providers and the community that allows for immediate feedback, the process is also a strong instrument for empowerment.
Further information	World Bank. <i>Citizen Report card and community score card</i> [Online Resource]. http://go.worldbank.org/QFAVL64790
Other tools that might help	B1

D1.3



Forest-sector transparency report cards

What is it?	A report card specifically designed to benchmark government progress in improving forest governance.
What can it be used for?	Developed for civil society to hold governments to account on forest-sector governance and transparency.
Key elements	The report card covers all aspects of forest governance, including a specific theme on forest tenure, land use and allocation of user rights, which is particularly pertinent to this guide. Although issues of tenure form only part of this tool, it is valuable to complete the whole exercise. The ways that forest tenure issues are addressed relate to other aspects of forest governance and the overall transparency of the forest sector.
Further information	Global Witness. 2010. <i>Making the forest sector transparent: annual transparency report 2009</i> . London. http://www.foresttransparency.info/cms/file/231
Other tools that might help	A4.5, A4.10 In-depth tool: XL D1.3

D1.4



Framework for assessing and monitoring forest governance

What is it?	A framework of principles and criteria to assess and monitor forest governance
What can it be used for?	A systematic framework allows for description, diagnosis, monitoring, assessment and reporting on the state of governance in a country's forest

	sector. The framework was developed by PROFOR, the World Bank, FAO and others, and it shows potential, if used widely, to avoid the duplication of monitoring and assessment efforts for different funders.
Key elements	The framework comprises three pillars: policy, legal, institutional and regulatory frameworks (including forest-related policies, laws and institutional frameworks); planning and decision-making processes (including stakeholder participation, transparency and accountability); and implementation, enforcement and compliance (including administration of forest resources, forest law enforcement and measures to address corruption). Work is ongoing to create agreed indicators.
Further information	<p>PROFOR/FAO. 2011. <i>Framework for assessing and monitoring forest governance</i>. Washington, DC, and Rome. http://www.profor.info/profor/sites/profor.info/files/ForestGovernanceFramework_0.pdf</p> <p>Kishor, N. & Rosenbaum, K. 2012. <i>Assessing and monitoring forest governance: a user's guide to a diagnostic tool</i>. Washington, DC, Program on Forests (PROFOR). http://www.profor.info/sites/profor.info/files/docs/AssessingMonitoringForestGovernance-guide.pdf</p> <p>IMAZON/ICV/WRI. 2009. <i>The governance of forests toolkit (Version 1): a draft framework of indicators for assessing governance of the forest sector</i>. Instituto do Homem e Meio Ambiente da Amazônia, Instituto Centro de Vida, and Washington, DC, World Resources Institute. http://pdf.wri.org/working_papers/gfi_tenure_indicators_sep09.pdf</p>
Other tools that might help	A4.4, A4.5, A4.8, A4.10, B4.1

Monitoring government policies: a toolkit for civil society organizations

What is it?	A toolkit to monitor the effectiveness and impact of government policy initiatives.
What can it be used for?	Developed for civil society organizations working in Africa, it provides organizations with tools to monitor government policies. It is written for all policy initiatives and can be applied to the forestry sector.
Key elements	Some key steps in the process are: reviewing policies and collating relevant information, identifying policy stakeholders, analysing the policy content, defining monitoring objectives, analysing policy budgets, gathering evidence on policy implementation and using policy evidence to advocate for change. There are corresponding tools for each of the stages.
Further information	CAFOD/Christian Aid/Trócaire. 2006. <i>Monitoring government policies: a toolkit for civil society organisations</i> . UK, Catholic Agency for Overseas Development and Christian Aid, and Ireland, Trócaire. http://www.commdev.org/content/document/detail/1818
Other tools that might help	A4, B4.1

D1.5



D1.6



Accessing public information

What is it?	A set of tools – approaches, methods, strategies, tactics and techniques – that can be used to increase transparency and accountability in government agencies.
What can it be used for?	The toolkit can be used for accessing information held by government agencies. It is mainly targeted at NGOs, activists and civil society groups that are working on natural resource management and decentralized governance as well as livelihood issues.
Key elements	There are two key phases: the preparatory and implementation phases, with corresponding tools. The preparatory phase involves seeking an understanding of the local legal and policy context under which information is to be accessed from government agencies. There are three broad steps during the implementation phase: building awareness and capacity of target groups; engaging in the information-access process; and using the information to bring about desired change, for example, through public hearings or signature campaigns.
Further information	Winrock International India. 2005. <i>Accessing 'public' information</i> . Power Tools Series. New Delhi, Winrock International India, and London, IIED. http://www.policy-powertools.org/Tools/Ensuring/API.html
Other tools that might help	A4, B4, C1, D3.3 In-depth tool: XL D1.6

D1.7



Community scrutiny of legislation

What is it?	A tool for scrutinizing and improving the practical outcomes of legislation for marginalized communities.
What can it be used for?	To identify what is working in current legislation, what is missing and what legal changes are required to improve the situation. The tool has been developed in the context of forestry concessions in Mozambique but would be applicable to organizations elsewhere wishing to assess laws and policies relating to the governance of tenure for forest resources.
Key elements	Where legislation results in variable practical impact ('good', 'average' and 'bad'), the tool identifies at what level improvements to legislation can be made (that is, during formulation, implementation or enforcement). Steps used to assess the policy gaps between legal intent and practical impact include: identification of legal provisions on community rights and benefits; the perceived impact on the ground; assessment of what is working, what is missing and what can be done; and identification of the legal adjustments that would better secure the rights of and benefits to communities.
Further information	Johnstone, R., Cau, B., Norfolk, S. & Macqueen, D. 2005. <i>Good, average, bad: law in action</i> . Power Tools Series. Maputo, Mozambique, Terra Firma and London, IIED. http://www.policy-powertools.org/Tools/Ensuring/GAB.html
Other tools that might help	A3.1, A4.2, A4.8, A5, D3.3

Citizen action to reduce forest corruption

What is it?	Ideas for anti-corruption projects in the forest sector.
What can it be used for?	Based on Transparency International (TI) tools that they have used across different sectors for civil society anti-corruption projects.
Key elements	Some of the tools adapted to the forestry sector based on TI's experience are: awareness raising, access to information, documenting government performance, establishing and implementing model forest integrity pacts, creating a forest-sector corruption perception index, creating an anti-corruption comic book, and collecting statistics on forest law enforcement.
Further information	Rosenbaum, K. 2005. <i>Tools for civil society action to reduce forest corruption: drawing lessons from Transparency International</i> . Washington, DC, World Bank. http://www.profor.info/profor/sites/profor.info/files/docs/Tools-for-civil-society.pdf
Other tools that might help	B4.3, C1.6, C1.7

D1.8



Anti-corruption Websites: Blow Your Whistle

What is it?	A communications technology-based initiative for citizens to fight corruption.
What can it be used for?	To enable citizens to report corruption through mobile phones and the internet, by uploading text, audio and video files.
Key elements	"Blow Your Whistle" is a technology-supported anti-corruption initiative of the Central Vigilance Commission of India, also known as Project Vigeye. It enables citizens to air their grievances through their mobile phones, by downloading a mobile application; through the internet, by filling out a complaint form online and attaching audio, video or photo evidence; or through telephone help lines. Complainants are contacted directly over phone, email or in person for follow-up and for information on the status of their complaint. The Blow Your Whistle site also has discussion forums, podcasts on corruption in the country, videos and links to other resources.
Further information	Central Vigilance Commission. <i>Blow Your Whistle</i> [Online Resource]. India. http://cvc.nic.in/
Other tools that might help	B4.2

D1.9



Citizens' juries

What is it?	A citizens' jury is a space to share knowledge, to dialogue and to inform policy decisions through a process of deliberative democracy that seeks to fully involve all stakeholders.
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D1.10



What can it be used for?	Citizens' juries enable small-scale producers to assess expert knowledge and articulate strategic research priorities and policy recommendations that meet their needs. It is particularly useful as a forum for discussion of contentious issues, where all views can be expressed and heard.
Key elements	<p>Integrity, inclusiveness and credibility are vital to ensuring that a citizens' jury successfully influences policy. An oversight panel would normally make particular efforts in preparation for the process; they also ensure proceedings are trustworthy and fair.</p> <p>Typically a 'jury' of local citizens likely to be affected by the proposed policy change or action – such as the introduction of genetically modified organisms – are presented with evidence from government officials, scientists, NGOs and other concerned stakeholders. The jury members then give their 'verdict' along with proposed actions.</p>
Further information	<p>Coote, A. & Lenaghan, J. 1996. <i>Citizens' juries: theory into practice</i>. London, Institute for Public Policy Research. Link to purchase: http://www.ippr.org/publications/55/1187/citizens-juries-theory-into-practice</p> <p>Pimbert, M. & Wakeford, T. (eds.) 2001. <i>Deliberative democracy and citizen empowerment</i>. PLA Notes, 40. http://pubs.iied.org/6345IIED.html</p> <p>IIED. <i>Deliberative democracy: citizens' juries</i> [Online Resource]. http://www.iied.org/deliberative-democracy-citizens-juries</p>
Other tools that might help	A4.1, B1.2, B4.1, C2.3, D2.3

D2. Mechanisms for grievances, dispute resolution and access to paralegal support

Do communities have access and opportunities to file complaints? Is action taken if their rights have been abused? Communities need to be able to have recourse to courts, higher levels of government and international policies and levers if commitments to responsible forestry are not being upheld.

A recourse mechanism should be:

- accessible, so that indigenous people and forest-dependent communities can find it and use it;
- independent and impartial, so it is not influenced by vested interests;
- efficient and effective;
- based on the principle of subsidiarity – disputes should be addressed as close to the administrative level where they arose as possible, and use of indigenous dispute-resolution institutions where possible;
- a pathway to results – changes in activities, policies and/or procedures;
- adequately funded.

A grievance mechanism can provide the first means of recourse to resolve complaints, and if effective, it may be the most efficient option. This is a process to address affected people's concerns and complaints without having to rely on external courts and legal procedures. It is a mechanism for government, companies and/or communities to identify problems and discover solutions together. While customary or alternative

dispute-resolution mechanisms are often the most favourable option, it is also important that citizens have access to legal support and courts if this is their preferred approach. The tools included here range from ensuring that paralegal support is available to communities to alternative dispute resolution and grievance mechanisms.

Recommended tools

Establishing grievance and complaints procedures

What is it?	Principles and steps for establishing a community grievance procedure in the context of private-sector projects and companies.
What can it be used for?	To help companies create a foundation for successful resolution of concerns and complaints.
Key elements	It provides guidance on basic principles and process steps that organizations should take into account when creating and implementing grievance mechanisms. The steps include: publicizing grievance-management procedures; receiving and keeping track of grievances; reviewing and investigating grievances; developing resolution options and preparing a response; monitoring, reporting and evaluating a grievance mechanism together.
Further information	<p>IFC. 2009. <i>Good practice note: addressing grievances from project-affected communities – guidance for projects and companies on designing grievance mechanisms</i>. Washington, DC, International Finance Corporation, World Bank Group. http://www1.ifc.org/wps/wcm/connect/cbe7b18048855348ae6cfe6a6515bb18/IFC%2BGrievance%2BMechanisms.pdf?MOD=AJPERES&CACHEID=cbe7b18048855348ae6cfe6a6515bb18</p> <p>Example: Rao, Y.G., Dash, T. & Mishra, S. 2011. <i>Forest rights act: a field guide</i>. WWF India. http://awsassets.wwfindia.org/downloads/forest_rights_act_a_field_guide.pdf</p>
Other tools that might help	C2.4

D2.1



Strengthening the capacity of paralegals in forest communities

What is it?	Guidance and tools for paralegals working with communities in the forestry sector.
What can it be used for?	To provide paralegal workers in forest fringe communities with the basic knowledge and practical tools needed to work effectively. It also serves as the basis for training of advocates and stakeholders in affected forest communities. Although it is written specifically for a Ghanaian audience, many of the principles are transferable.
Key elements	The guide discusses the role of a paralegal (and tools that are needed); the mandates, functions and benefits of the various governmental agencies that oversee the forestry sector; the various laws affecting the management of the forestry sector; the procedures and processes to obtain timber rights to exploit timber resources (in Ghana); the rights and duties of communities living in and around forest zones, and how they can take advantage of those rights and contribute to forest protection; and Social Responsibility Agreements.

D2.2



Further information	CEPIL. 2009. <i>Handbook for paralegals in forest communities in Ghana</i> . Accra, Ghana, Center for Public Interest Law, and London, IIED. http://pubs.iied.org/pdfs/G02754.pdf
Other tools that might help	A3.1, A4.8, D1.6

D2.3



Legal literacy camps

What is it?	A manual for trainers to deliver legal literacy 'camps' or workshops for communities.
What can it be used for?	To increase understanding of the law and how it applies to the community.
Key elements	There are three parts to the process: assessment of when legal literacy camps should be used and preconditions for them to work well; delivering the legal literacy training, guidance, tips and tools; and analysing the strengths and weakness of delivering legal literacy camps.
Further information	ELDF. 2005. <i>Legal literacy camps</i> . Power Tools Series. New Delhi, Enviro-Legal Defence Firm, and London, IIED. http://www.policy-powertools.org/Tools/Ensuring/LLC.html
Other tools that might help	A4.8, C1.3

D2.4



Public hearings and auditing

What is it?	An open dialogue and audit of all activities and financial transactions carried out by organizations or committees.
What can it be used for?	To strengthen transparency and accountability of organizations to community members. This tool was created in the context of forest user groups in Nepal but can be applied more widely.
Key elements	Public hearings are participatory processes in which, in this case, user groups (rights-holders) critically discuss, question and assess the duties and responsibilities of executive committees (duty bearers) in terms of plans prepared, meetings held, and decisions made and implemented. Public auditing is the process of sharing, assessing and auditing all financial transactions, decisions and processes. The resulting information is sifted through critical and constructive question, answer and discussion sessions.
Further information	Maharjan, M. & Shrestha, B. 2006. <i>Public hearing and public auditing in the community forestry user groups: a summary of process, outcomes and lessons learned from the SAGUN programme in Nepal</i> . SAGUN Forestry Buffer Zone Team, CARE Nepal. http://www.forestrynepal.org/images/Insight-1-2006.pdf
Other tools that might help	D1.10

D3. Recourse to courts, higher levels of government or international policies and levers

Can forest peoples use regional and international human rights mechanisms to promote and seek enforcement of their rights? These should be accessible to indigenous and forest peoples, and strategic use of these mechanisms may address specific problems affecting individuals, communities or peoples and also contribute to the interpretation and creation of international law.

If countries or companies are signatories to international conventions, this can provide additional levers and opportunities to enhance transparency and address injustices in relation to people's rights to forest resources. Committing to international conventions and agreements often leads to requirements for greater transparency and other good-governance practices. Signatory countries may be required to produce rigorously verified annual reports that can increase the amount of information in the public domain. In addition, these conventions and agreements promote certain minimum standards of practice and can provide incentives (access to funds and/or expertise) to support an improvement in governance, transparency and rights.

Key international conventions and agreements related to this include:

- the Universal Declaration of Human Rights (UDHR), International Covenant on Economic, Social and Cultural Rights (ICESCR) and International Covenant on Civil and Political Rights (ICCPR);
- the UN Declaration on the Rights of Indigenous Peoples (UNDRIP);
- the Convention on the Rights of the Child (CRC);
- the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW);
- the International Convention on the Elimination of All Forms of Racial Discrimination (ICERD).

In many cases, however, international conventions cannot directly hold the practice of governments or companies to account. Often their effective implementation requires the translation of the principles into national law and use of in-country legal mechanisms. However, principles and commitments included in these international agreements have been successfully used at the national level as globally accepted standards against which to compare the practices of banks, companies and governments.

There are a range of international organizations promoting human rights, environmental justice and access to information that can be used by civil society to draw attention to perceived injustices (for example, Amnesty International, Article 19, Friends of the Earth and the Global Transparency Initiative). Operating outside target countries – but often in partnership with national organizations – these organizations play an important role in setting and promoting international standards, raising awareness and campaigning against injustices in a way that national organizations may feel unable to do, and influencing the policies and practices of regional, intergovernmental and international organizations that sit beyond national jurisprudence.

Recommended tools

D3.1



Securing women's rights using the African human rights system

What is it?	A toolkit to introduce indigenous women, and the organizations that represent them, to the African system of human rights.
What can it be used for?	To help indigenous women in Africa to better understand the African human rights system and how to use it effectively to secure their rights.
Key elements	The toolkit comprises individual information notes, including: key human rights treaties of the African Union; the African Commission on Human and Peoples' Rights; the rights of women; and the Working Group on indigenous populations/communities. A guide includes information on how to participate and use the system, specifically: participating at the African Commission sessions; country reporting processes; requesting a mission of enquiry; and national-level advocacy on the Commission and its Working Group.
Further information	Vig, S. 2011. <i>Indigenous women's rights and the African human rights system: a toolkit on mechanisms</i> . Moreton-in-Marsh, UK, Forest Peoples Programme. http://www.forestpeoples.org/topics/african-human-rights-system/publication/2011/toolkit-indigenous-women-s-rights-africa Braun, T. & Mulvagh, L. 2008. <i>The African human rights system: a guide for indigenous peoples</i> . Moreton-in-Marsh, UK, Forest Peoples Programme. http://www.forestpeoples.org/sites/fpp/files/publication/2010/08/africanhrsystemguideoct08eng.pdf
Other tools that might help	A4.1, A4.10, B1.2, D2.3

D3.2



Indigenous peoples' rights in the International Labour Organization (ILO)

What is it?	Guidance and mechanisms for filing complaints with the International Labour Organization (ILO).
What can it be used for?	To provide indigenous peoples with a better understanding of their rights in relation to the ILO and encourage them to use these international procedures to gain redress.
Key elements	This tool provides guidance on how to file a complaint with the ILO's governing body. Summaries of relevant cases and decisions that have already passed through the system are also included. These cases and decisions show how the system deals with indigenous rights and provide concrete examples of how a case can be moved through the system. This tool also summarizes what rights are protected under the two ILO Conventions most relevant to indigenous peoples.
Further information	MacKay, F. 2003. <i>A guide to indigenous peoples' rights in the International Labour Organization</i> . Moreton-in-Marsh, UK, Forest Peoples Programme. http://www.forestpeoples.org/sites/fpp/files/publication/2010/09/iloguideiprightsjul02eng.pdf
Other tools that might help	B1.2, D2.3

The public's right to know: principles on freedom of information legislation

What is it?	Principles for anyone to measure whether domestic laws genuinely permit access to official information.
What can it be used for?	A set of internationally accepted principles that set out clearly and precisely the ways in which governments can achieve maximum openness, in line with the best international standards and practice.
Key elements	The principles are based on international and regional law and standards, evolving state practice (as reflected, <i>inter alia</i> , in national laws and judgments of national courts) and the general principles of law recognized by the community of nations. The principles are: maximum disclosure; obligation to publish; promotion of open government; limited scope of exceptions; processes to facilitate access; costs; open meetings; disclosure takes precedence; and protection for whistleblowers.
Further information	Article 19. 1999. <i>The public's right to know: principles on freedom of information legislation</i> . London. http://www.article19.org/pdfs/standards/righttoknow.pdf
Other tools that might help	D2.3

D3.3



Using the compliance review mechanism of the Aarhus Convention

What is it?	Guidance on communicating concerns about a party's compliance directly to a committee of international legal experts empowered to examine the merits of the case.
What can it be used for?	A compliance review mechanism enables weaknesses in implementation of the United Nations Economic Commission for Europe (UNECE) Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters (Aarhus Convention) to be raised and constructive solutions sought.
Key elements	The Aarhus Convention grants the public rights, and imposes on parties and public authorities obligations, regarding access to information and public participation and access to justice. This has been translated into EU law which, in turn, is due to be transposed into national legislation and implemented in EU member states. The unique compliance review mechanism can be triggered if a member of the public makes a communication concerning the compliance of a party.
Further information	UNECE. 2010. <i>Guidance document on the Aarhus Convention compliance mechanism</i> . Geneva, United Nations Economic Commission for Europe. http://www.unece.org/env/pp/compliance/CC_GuidanceDocument.pdf
Other tools that might help	A4.5, D2.3

D3.4



D3.5



Validation of transparency in the extractive industries

What is it?	A tool to check whether companies and governments are complying with their commitments to transparency of revenue in the extractive industries.
What can it be used for?	To assess in-country compliance with a global standard for transparency in the extractive industries. The initiative was developed for the oil, gas and mining sectors but potentially has wider application in other sectors including forestry.
Key elements	The Extractive Industries Transparency Initiative (EITI) sets a global standard for transparency in oil, gas and mining. It is a coalition of governments, companies and civil society, and a standard for companies to publish what they pay and for governments to disclose what they receive. EITI rules establish the methodology countries must follow to become fully compliant. Periodic independent validation is then required.
Further information	EITI. 2009. <i>Extractive industries transparency initiative: validation guide</i> . Oslo. http://eitransparency.org/document/validationguide
Other tools that might help	D1.3, D2.3

D3.6

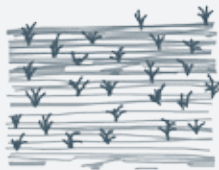


Voluntary Partnership Agreements (VPAs) on forest governance

What is it?	Bilateral agreements between the EU and timber-exporting countries, which aim to guarantee that the wood exported to the EU is from legal sources.
What can it be used for?	Voluntary Partnership Agreements (VPAs) for Forest Law Enforcement, Governance and Trade (FLEGT) also support partner countries in improving their own regulation and governance of the sector. VPAs work to assure EU consumers of the legality of imported timber while improving forest management and governance, including strengthening forest peoples' tenure rights, increasing transparency in decision-making processes, and ensuring participation of civil society in policy-making.
Key elements	<p>VPAs are legally binding bilateral trade agreements setting out actions the EU and timber-exporting countries need to take to tackle illegal logging. The VPA process provides opportunities for forest communities and environmental organizations in partner countries to clarify and strengthen forest communities' rights to land and forests, and to hold governments to account for commitments made.</p> <p>At the heart of a VPA lies a legality assurance system (LAS) requiring stakeholder engagement to guarantee: a clear definition of legal timber; mechanisms to control the timber supply chains; verification of compliance; licensing of legally produced timber and timber products for exports; and independent auditing of the LAS to ensure the system is fully implemented.</p>
Further information	EFI. 2012. <i>The elements of voluntary partnership agreements</i> [Online Resource]. Joensuu, Finland, European Forestry Institute. http://www.euflegt.efi.int/portal/home/vpas/the_elements/
Other tools that might help	A4.8, B4.1, C2.6, D2.3

Notes





Annexes

How to use *icons*

Level and quality of information and stakeholder engagement



The prevailing level and quality of information and stakeholder engagement for which the tool is appropriate. One gear is a low level (i.e. there does not need to be much information and stakeholder engagement available to use this tool); four is a high level (i.e. there needs to be plenty of information and stakeholder engagement available to use this tool).



Resource requirements

The amount of time, money and skill needed to make the tool work. One tree is a low amount; four is a high amount.

Annex 1: In-depth tools

Some tools are useful and adaptable in many different contexts of governance of forest tenure. They can help to clarify and better secure rights, or to build capability where it is really needed, or to bring decision-makers to account. This section highlights a selection of these tools in more depth than was possible in the previous four sections. These tools have proven themselves effective in practice – they are tried and tested with useful results. While each of the in-depth tools profiled below has previously been summarized in the preceding sections, the aim is to offer enough practical know-how so that you can not only sense that a tool might be useful – as with the summaries in the preceding sections – but you can also understand how it can be used effectively.

Rapid Land Tenure Appraisal (RaTA)

What is it?

A methodology for exploring competing claims over land and forest tenure. The methodology acknowledges that different actors hold different rights and powers, and that these competing claims are often related to competing or changing land tenure policies developed in different historical periods.

The methodology is drawn from practical tools developed all over Indonesia in World Agroforestry Centre - South East Asia projects and used by other development agencies in the past few years.

What can it be used for?

RaTA can be particularly helpful:

- when there are actual or potential conflicts and competing claims to forest land and resources;
- to understand the causes of intra- and intercommunity disputes;
- when there is a risk that historical or customary claims to resources have been excluded from policies and laws;
- to inform efforts to change tenure arrangements and policy or to address conflicts;
- as part of an initial situation analysis in the early stages of a REDD+ project.

The tool can be adapted for application at a range of scales depending on the purpose of the exercise.

Who should use it?

It is relevant for people working in national institutions in charge of land or resource conflicts and competing claims – NGO field experts, government officers and consultants – who are working on conflict issues, carrying out tenure studies or proposing policies to improve tenure.

Skills and resources required

Skills required include:

- document review;
- aerial photography;
- participatory and qualitative research methods;
- facilitation skills (to explore local perspectives and the influence of power relations on people's claims and access to resources);
- policy and legal analysis;
- mediation and conflict resolution;
- managing multistakeholder processes and/or policy change.

XL A3.1

In-depth version of A3.1



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<p>>.....</p> <p>How it can be used</p>	<p>There are six stages:</p> <p>Stage 1: Initial mapping Initial scoping exercise to identify any areas where competing claims or conflict exist or could emerge. Secondary data, such as websites, newspapers or official reports, can be used and analysed for ongoing disputes. Satellite imagery or aerial photography can provide an overview of the main land uses and resources in the area at a large scale. Participatory mapping (see tool A3.2) will bring local perspectives and understanding of the local institutions into this assessment.</p> <p>Stage 2: Competing claims dimensions This is an analysis of people's competing claims over access or use of resources and the relative importance that each actor gives to their stake in these resources. This includes analysis of their interests, but also their perceptions and feelings, and the relationship between competing parties. Some of this is done by reviewing secondary data including the competing claims history.</p> <p>Stage 3: Actor analysis Identification of the key actors (individuals, group representatives or government) in the competing claims. The first step is to identify the key actors who have a legitimate stake in the conflict. The second step is to map out the actors' interests and the effect of their interests in land and resources on the conflicts. The third step involves understanding the relationships between actors and investigating factors involved in the conflict, including perceptions of other people's rights. The fourth and final step is to assess the power and influence of different actors and their potential role in addressing land tenure conflicts (see tool XL A4.6 for a more in-depth description of Stakeholder Power Analysis).</p> <p>Stage 4: Assessment This forms the core of the analysis. The key actors (from stage 3 above) are interviewed about their perceived and legal claims to rights over land and resources. Participatory tools are used, such as semi-structured interviews, participatory mapping exercises (see tool A3.2) and timelines. A matrix can be used to summarize and compare the actors' claims, the basis of these claims and the external or internal influences that have driven the actors to make the claims.</p> <p>Stage 5: Policy analysis An assessment of different laws and policies relating to the tenure issues, analysing contradictions, gaps and uncertainties in a country's land law, policies and regimes. It is important that the analysis acknowledges that the written policy may not be the same as how policy is applied in practice. Aspects of policy analysis include:</p> <ul style="list-style-type: none"> • content analysis – the content of policy statements and laws; • historical analysis – how history has shaped current policies; • process analysis – how the political system influences policy; • evaluation – the consistency between policy and on-the-ground reality, and the effect of policy on intended targets. <p>Stage 6: Policy options Exploring opportunities for using the findings of steps 1–5 to resolve competing claims over tenure – by policy and legal reform, use of courts and claims commissions, as well as non-legal processes such as alternative dispute resolution and community-based mechanisms.</p>
<p>Limitations and cautionary notes</p>	<p>People's claims to land and forest resources are influenced not only by policies, laws and traditional rights, but also by power. The more powerful stakeholders will be able to exert greater influence over how rights are distributed, policies are formed and conflicts are resolved. This assessment process requires the research team to take power and its influence into consideration throughout (see tool XL A4.6, Stakeholder Power Analysis).</p>
<p>Further information</p>	<p>ICRAF. Rapid Land Tenure Assessment (RaTA): a tool for identifying the nature of land tenure conflicts [Online Resource]. http://www.worldagroforestrycentre.org/Sea/Projects/tulsea2/node/19</p>

Participatory mapping of forest tenure

What is it?

Participatory mapping involves the creation of visual maps by local communities documenting the key features of their local environment from their perspective. The process of creating the map and the resulting map itself attempt to make visible the links between land, natural resources and local communities.

The overall principle of any participatory mapping exercise is that authority and control over decision-making are turned over to the community so they can direct the map-making process and the map's use. It is also known as participatory mapping, community mapping or indigenous mapping.

What can it be used for?

There are various reasons to use participatory mapping:

- to help communities articulate and communicate spatial information to external agencies;
- to allow communities to record and archive local knowledge;
- to assist communities in land-use planning and resource management;
- to enable communities to advocate for change;
- to increase the capacity within communities;
- to address natural resource-related conflicts.

Who should use it?

A participatory mapping exercise can be initiated and facilitated by a team of forest department staff, local NGOs or consultants. It has increasingly been used by indigenous groups as a tool to document and advocate for their customary rights to land and natural resources.

Participatory mapping can be used as part of a REDD+ social and environmental assessment processes. REDD+ support programmes recommend that a participatory process is established to inventory and map existing statutory and customary lands, territories, resource tenure, and use, access and management rights relevant to the programme. Participatory mapping is also identified as a critical stage in establishing free, prior and informed consent for investment initiatives.

Skills and resources required

The team implementing participatory mapping needs strong skills in:

- participatory methods;
- facilitation to ensure full and fair participation of the community;
- mapping techniques, if GIS or other computer modelling tools are being used.

The mapping process can range from low-cost, low-resource input activities using paper and pens to more high-tech, high-input processes involving GIS systems that are more expensive and require technical skills and time from the resource team.

How it can be used

There are six key stages to participatory mapping:

Stage 1: Engaging with the community to prepare for mapping

Share information with the community about participatory mapping within a community meeting. This should include the tools that could be used, the process, how the map could be used, plus any risks associated with the process that the community should be aware of (see 'Limitations and cautionary notes'). This could be done through a community meeting. Care should be taken to identify marginalized groups with specific needs who should be included in the preparation stage.

Stage 2: Determining the purpose of the map(s)

Agreeing the purpose requires careful facilitation to ensure that as many community members as possible are involved and that they agree on the

XL A3.2

In-depth version of A3.2



mapping process. This is also an important step in enabling community members to take control of the process. To help determine the purpose of creating a map, the following questions can be raised in a community meeting:

- Why do we want to make a map?
- Who do we want to show it to?
- What are some of the most important land- and resource-related issues?
- What can we use the map for in the short term?
- What can we use the map for in the long term?
- Is there a predefined reason for creating the map?

Once agreed, community members can decide what information to collect to meet their purposes.

Stage 3: Collecting information

How this stage is completed will depend on the particular mapping methods and techniques being adopted. Capacity-building is an important part of participatory mapping, with all interested members of the community learning how to read a map, and some learning about global positioning systems (GPS), GIS, topographic maps and overlaying community data onto base maps as required. Information can be collected using traditional participatory processes such as transect walks and focus group discussions (see 'Further information' below). It may be most appropriate to divide the community into different social groups to ensure that different people's perspectives have been incorporated. The community (with facilitators) then needs to bring this information together, validate it and address any inconsistencies while acknowledging differences.

Stage 4: Creating the map

The specific details of this stage depend on the particular methods being used (see 'Further information'). It is important that all community members agree and understand the symbols or legends used to represent different physical features, uses and claims to resources. Information can be cross-referenced with, or added to, spatial maps (if they exist). Take care when identifying boundaries or people's claims to particular resources that are in reality contested, undeclared, overlapping and permeable. GIS equipment or software such as Google Maps or Google Earth can be used to overlay different types of information about people's current and historical rights or conflict areas (which may require expert assistance).

Stage 5: Analysing and evaluating the information

This involves bringing together those involved in the process to check the overall accuracy, completeness and relevance of the information.

Stage 6: Using and communicating the information

This stage will vary according to the purpose of the mapping exercise. However, it is important that the information and the map are retained as the property of the community, to be used as and when they see fit. The map itself is unlikely to resolve any tenure-related issues, but it will be a valuable tool as part of a wider plan to address tenure conflicts or engage in advocacy around tenure rights.

Limitations and cautionary notes

- Maps are a powerful political tool and can be very influential. The mapping process must be facilitated carefully and sensitively to ensure full participation of all stakeholders and to ensure appropriate use of the information generated.
- Maps represent only a snapshot at the time they are developed. There is a risk that they present a 'frozen' picture of rights of access and use, which in reality may be seasonal, fluid and evolving.

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- Participatory mapping may document sensitive information that may make that information or the concerned communities more vulnerable to exploitation. It is important that communities retain control of the information generated and how it is used.
 - While the use of information technology offers significant benefits, it also requires significant investment in training, is expensive and introduces the danger that practitioners will focus on the technology to the detriment of community participation and ownership. This also may prevent communities being able to update and adjust their maps over time.

Further information

IFAD. 2009. *Good practices in participatory mapping*. Rome, International Fund for Agricultural Development. http://www.ifad.org/pub/map/pm_web.pdf

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Stakeholder power analysis

What is it?

Stakeholder power analysis is a tool for understanding how people affect policies and institutions, and how policies and institutions affect people. It is particularly useful in identifying the winners and losers and in highlighting the challenges that need to be faced to change behaviour, develop capabilities and tackle inequalities.

The process includes exploring questions such as: Whose problem is it? Who benefits? Who loses out? What are the power differences and relationships between stakeholders? What relative influence do they have?

What can it be used for?

Stakeholder power analysis can be used in a variety of contexts, at different levels and for different purposes:

- broad-level strategic process – to scope, build momentum and monitor a process;
- institution or business – to examine the health of an organization and plan changes;

XL A4.6

In-depth version of A4.6



	<p>.....></p> <ul style="list-style-type: none"> • project or programme – to design, steer and monitor a project; • particular decision – to predict the consequences of a decision and plan to deal with them. <p>Specific to forestry, the process can also examine the legitimacy of different people's claims to forest land and resources, identify particularly powerful or marginalized groups, and can help to identify who should be involved in shaping decisions about forest tenure and what support they may need.</p> <p>Monitoring and reporting from stakeholder power analysis can itself become a tool for making progress. By talking regularly with stakeholders, some organizations have learned not only how best to include them in decision-making processes, but also how to become more accountable.</p>
Who should use it?	<p>Stakeholder power analysis can be applied by a range of professions in different contexts. For example, it can be used by independent analysts and evaluators, project planners, managers of organizations or enterprises, lobbyists and activists, individual stakeholders, groups of stakeholders, or multistakeholder groups.</p>
Skills and resources required	<p>Particular skills and attitudes may be needed to conduct stakeholder power analysis. Some of these may be hired in or trained, but others can only be acquired through experience:</p> <ul style="list-style-type: none"> • facilitation of processes involving several stakeholders; • trust and consensus building, and conflict management; • chairing of meetings and workshops; • developing enthusiasm, transparency and commitment; • patience – it takes time for stakeholders to consult with their own constituencies.
How it can be used	<p>The following approach is drawn from applications in different sectors but is particularly framed around the type of stakeholder power analysis needed to understand and potentially change the governance of tenure for responsible forestry.</p> <p>Stage 1: Develop purpose and procedures of analysis and initial understanding of the system Develop a clear understanding of the goals and boundaries of the analysis; gain an understanding of the key problems identified by some of the main groups; set out a process of engagement and participation.</p> <p>Stage 2: Identify key stakeholders There are various ways to start identifying stakeholders. Key informants, written records, stakeholder self-selection and identification and verification by other stakeholders are good methods to use. There need to be special efforts to include the usually voiceless and to establish validity of representation. At this early stage, it may be helpful to start to narrow down the list of stakeholders and identify the most important ones to involve in the subsequent process of analysis. It may also be useful to categorize stakeholders by gender, age, well-being and relation to forestry, among other factors.</p> <p>Stage 3: Investigate stakeholders' interests, characteristics and circumstances Once stakeholders have been identified, their own concerns, interests, characteristics and circumstances need to be better understood. At this stage it is particularly important that stakeholders express their own concerns. A checklist of questions for each stakeholder group might include:</p> <ul style="list-style-type: none"> • What are the stakeholder's experiences or expectations of the policy or institution? • What benefits and costs have there been, or are there likely to be, for the stakeholder? <p>.....></p>

- >.....
- What stakeholder interests conflict with the goals of the policy or institution?
 - What resources has the stakeholder mobilized, or is willing to mobilize? Techniques from group brainstorming to semi-structured interviews to secondary data collection help to develop and share this understanding.

Stage 4: Identify patterns and contexts of interaction between stakeholders

This step aims to explore relationships between stakeholder groups and patterns of conflict and cooperation, revealing common ground or prevailing conflicts and potential trade-offs (see 'The Four Rs', tool **A4.7**).

Stage 5: Assess stakeholder power and potential

Stakeholders have very different degrees of power to influence policies or institutions. They also have different potential to affect, or to be affected by, policies and institutions.

A checklist of questions for assessing which stakeholders have power and potential (or importance) with respect to the policy, institution or process at issue might include:

- Who is dependent on whom?
- Which stakeholders are organized? How can that organization be influenced or built upon?
- Who has control over resources? Who has control over information?
- Which problems, affecting which stakeholders, are the priorities to address or alleviate?
- Which stakeholders' needs, interests and expectations should be given priority attention with respect to the policy or institution in question?

The resulting information about stakeholder power and potential can be combined in a table or diagram.

Stage 6: Assess options and use the findings to make progress

To be useful, the analysis of the first five steps needs to be summarized in a form where everyone's interests and issues can be seen together. A series of stakeholder tables may be used to organize information about interests, power, influence and involvement of each key stakeholder or group. Assessing how to make progress requires drawing out the possible options generated through the first five steps. The findings of a stakeholder power analysis need to be included in proposals for changing policies, institutions and processes, and in monitoring reports and reviews.

Limitations and cautionary notes

- This process itself is political. Some people's interests may be hidden or contradictory to those of their organization. People may have personal and/or political reasons to subvert the findings of the process.
- The interests and agendas of those instigating and steering the analysis need to be explained transparently and regularly interrogated. This will help to build trust.
- While stakeholder power analysis can illuminate the interests of marginalized groups, it cannot in itself guarantee them stronger representation. Care should be taken in the process of ranking stakeholders according to power and potential.

Further information

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XL B1.1

In-depth version of B1.1



Organizing forest user groups to engage

What is it?	<p>A tool to help marginalized forest producers organize themselves in order to gain greater recognition. The intention is that with more organization and legitimacy, policy-makers and institutions involved in forest governance, management and law enforcement will recognize small-scale forestry organizations as legitimate operators and include them in policy and forest management processes.</p> <p>This tool has been designed by IIED based on experiences and lessons from the formation and operation of the Budongo Sub-county Pitsawyers Association in Uganda.</p>
What can it be used for?	<p>The purpose behind the tool is to create recognized community organizations that are seen to be legitimately engaged in forest governance and management. Marginalized forest producers may be able to access resources, partnerships and markets that they otherwise could not reach.</p>
Who should use it?	<p>It is written for development practitioners providing support to local forest producers, such as pitsawyers, to organize themselves and legitimately engage in effective partnerships.</p>
Skills and resources required	<p>Skills that are needed include:</p> <ul style="list-style-type: none"> • facilitation skills; • participatory approaches; • organizational development skills and experience; • managing multistakeholder processes and/or policy change.
How it can be used	<p>There are five key stages:</p> <p>Stage 1: Understand the situation facing the group and its enterprise The aim of this phase is to understand the specific characteristics of pitsawing, the problems faced by the group and what support they need.</p> <p>The individuals participating first need to define their group's identity and history. An understanding of roles in the group, who fulfils them and how they relate to each other is important. It is also key to understand how the group affects people's livelihoods and the environment, and to map out how decisions are made and how the group is organized (if at all).</p> <p>Stage 2: Discuss pros and cons of setting up an organization Once the constraints facing the more marginalized individuals are identified, there is reflection on whether, as an organized group, they would be better placed to take advantage of the opportunities. This includes looking at what the organization could achieve, whether it would be appropriate or possible, what the risks are, and who should be included or excluded. A process of decision-making for all potential members should be set out.</p> <p>Stage 3: Set up an organization If the decision is made to organize, prospective members need to decide the</p>

most important issues for the formation of an organization. It is vital that all prospective members participate in this process, so that there is agreement on the fundamental principles and institutional structures. Participants will need to define: objectives and activities of the organization; categories and criteria for membership – who is included and excluded; roles and principles for running the organization – who does what, why they should do it, why it benefits themselves and the organization, and what happens if they do not do it; and a written agreement recording all this.

Stage 4: Operate the organization

A practical operating system helps the organization remain clear about what it will achieve and how, and provides a framework for managing the organization. Simple systems are required in the areas of:

- strategic planning and management, for example annual work plans, a five-year strategic plan, and delegation of tasks and responsibilities to people within the organization;
- financial management, such as bookkeeping and establishing a company bank account;
- licensing systems;
- skills development and training – identify what skills are needed and who can provide this support and training. It could come from other NGOs or from district forestry or agriculture departments.
- monitoring and evaluation – regular monitoring helps to evaluate progress over the longer term or after an objective has been achieved.

Stage 5: Engage in effective partnerships

One of the key objectives for organizing as a group is to gain recognition of legitimacy. Once recognized, there is the potential to engage with others on issues of concern as effective partners. This phase involves:

- determining what skills are needed (what links may be useful and which to avoid);
- starting to negotiate with potential partners;
- moving forward as partners.

Key questions to assess relationships with partners are:

- Are the organization and the partner both achieving their objectives?
- Is there a good working relationship between the organization and its partner?
- Are they communicating well? Do they hold regular meetings? Do they have to?
- Does the organization feel that it is being controlled by the partner? Is it becoming dependent upon the partner?

Limitations and cautionary notes

It requires careful work to help groups that have not been involved in key decisions affecting them become better organized and engage with decision-making. It is important to have some indication from the start that such organization and engagement might bring results, so that targets can be realistic and expectations managed. Clear shared objectives are essential, and even with these, external resistance and internal divisions should be expected and planned for.

Further information

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XL B2.4

In-depth version of B2.4

**On-the-job mentoring of government officials in participatory approaches**

What is it?	Mentoring aims to help individuals to manage their own learning so that they can develop their skills, improve their performance and develop their potential.
What can it be used for?	<p>Effective mentoring approaches can lead to lasting change by:</p> <ul style="list-style-type: none"> transforming the attitudes and behaviour of those being mentored through the acquisition and use of new skills; enabling individuals to develop more confidence to adopt practices; improving relationships and communication among staff, and between staff and other stakeholders such as local communities.
Who should use it?	<p>Mentoring is appropriate for use by any organization or group of people going through an organizational change process. It can complement and strengthen other forms of capacity-building such as training, and can help individuals change their behaviours or practices.</p> <p>The success of mentoring programmes is dependent on the skills of the mentors, the relationship between the mentor and the mentee, and the level of commitment of the organization and staff going through the mentoring process.</p>
Skills and resources required	<p>Mentors need a wide range of attitudes and skills to be effective:</p> <ul style="list-style-type: none"> practical expertise and experience in the issues; the ability to adapt and communicate their knowledge of the subject in a way that is relevant to the particular needs of the mentee; listening and questioning abilities, sensitivity, empathy and understanding. <p>A 'chief mentor' coordinates and oversees the whole process. Their role is to ensure there is institutional commitment to the mentoring process and to its outcomes – i.e. the changes in staff practice.</p> <p>A monitor provides a quality-control and overview function to the mentoring scheme – ensuring that the mentor-mentee relationship is working effectively – and observes how the mentee is using the tools and methods in real-life situations.</p> <p>Frequent ongoing contact is required between the mentor and the individual(s) being mentored, over a medium to long period of time. Both the mentors and the mentees need to commit at least one day a month to the relationship. FAO estimates that it requires a long-term commitment of around three years to ensure the new practices are fully and sustainably embedded in institutional culture and practice. If the mentors are selected and trained from within the organization (rather than external contracted mentors), the costs will be lower than traditional training events.</p>
How it can be used	<p>There are five stages in running a mentoring process:</p> <p>Stage 1: Select mentors Select mentors and monitors based on their skills, competencies and status. These can be existing senior staff within the organization, ex-staff or other relevant in-country individuals with the right skills and aptitude for mentoring.</p> <p>Stage 2: Create training materials Develop the appropriate training materials for the mentors to work through with the mentees. This could, for example, be an interactive CD with different tasks and exercises that the mentees could work through over time with the mentors' support. The chief mentor trains the mentors and monitors in the particular tools and methods.</p>

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<p>.....></p>	
	<p>Stage 3: Select mentees Select staff to receive on-the-job mentoring, bearing in mind their roles, capacity and interest.</p> <p>Stage 4: Phase 1 of mentoring Mentors conduct mentoring sessions with each individual mentee to teach the participatory tools and techniques (one day per month per mentee). Focus on ensuring good understanding of a few priority tools and techniques, rather than lots of different ones.</p> <p>Stage 5: Phase 2 of mentoring Mentors (in consultation with mentees) complete a personalized issues-based work plan with each mentee. This sets out where and how the previously learned tools and techniques will be applied in a structured manner to address issues of direct concern to the mentee (one day per month per mentee).</p> <p>Throughout the process:</p> <ul style="list-style-type: none"> • Monitors provide quality control by carrying out regular checks during both Phases 1 and 2. They discuss progress with the mentees and observe them working in the field. • The chief mentor continuously reviews, facilitates and reinforces the whole approach.
Limitations and cautionary notes	Successful mentoring requires a reasonably long-term relationship and a secure organizational setting. If neither of these can be guaranteed, it may be best to use tools for shorter-term capacity-building.
Further information	<p>Deans, F., Oakley, L., James, R. & Wrigley, R. 2006. <i>Coaching and mentoring for leadership development in civil society</i>. Praxis Paper No. 14. Oxford, UK, International NGO Training and Research Centre (INTRAC). http://www.intrac.org/resources.php?action=resource&id=371</p> <p>Gilmour, D. & Sarfo-Mensah P. 2005. <i>Evaluation report on project 'Strengthening Participatory Approaches to Forest Management in Ghana, Guyana & Uganda'</i>. London, DFID. http://www.dfid.gov.uk/r4d/Project/60405/Default.aspx</p>

Ensuring free, prior and informed consent (FPIC)

What is it?	<p>FPIC is defined as the establishment of conditions under which people can and do exercise their fundamental right to negotiate the terms of externally imposed policies, programmes and activities that directly affect their livelihoods or well-being, and to give or withhold their consent to them.</p> <p>This tool sets out potential elements in developing robust processes for citizens to grant, refuse and uphold consent for projects and programmes.</p>
What can it be used for?	To help indigenous people and local communities in rural areas be heard and gain political power. In particular, this tool focuses on having their interests taken into account when international institutions, governments and private investors make decisions about resources to which local people have a strong connection. FPIC is also increasingly linked to the right of all people to their land and territories based on customary and historical connection to them. FPIC is evolving in the context of external investments in land use and carbon forestry initiatives. With widening acknowledgment of the history of discrimination against indigenous people and appropriation of their

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In-depth version of C1.3



	<p>ancestral or customary lands, there is increasing recognition of rights to self-determination (see the entry on FPIC in the Glossary for further information).</p> <p>In view of the potential risks inherent in land-use investments and REDD+ programme policies, design and implementation, FPIC has become a cornerstone of many indigenous groups' demands – whether or not land rights are recognized nationally.</p>
Who should use it?	<p>This tool sets out the issues that a project proponent or policy developer should raise with affected indigenous peoples and local communities, with a view to agreeing on a plan of activities with each affected community to fulfil an FPIC process. The tool is developed from the perspective of engaging with community leaders and communities at the village level around community- or forest-specific activities, rather than negotiating FPIC at a national level.</p>
Skills and resources required	<p>Skills required include:</p> <ul style="list-style-type: none"> • facilitation skills; • knowledge and experience in the use of participatory approaches; • technical and legal knowledge of FPIC; • capacity-building in relevant areas; • managing multistakeholder processes and/or policy change. <p>The process is likely to take several months or even years. Implementing a robust and verifiable FPIC process is resource intensive, requiring considerable investment in people, time, communication materials and strategies, capacity-building activities, independent verification, technical and legal advice, and so on. The bulk of this effort will be needed at the front end of a programme.</p>
How it can be used	<p>There are four key stages:</p> <p>Stage 1: Define the legal basis for FPIC</p> <ul style="list-style-type: none"> • Understand the legal framework. Review international and national laws to identify the state's legal obligation to respect rights, find out who is legally responsible for seeking and obtaining a community's consent, and identify the potential legal impacts if a project does not accommodate people's rights. • Understand the administrative framework. Identify the legal licences required to secure access to a forest and its resources, and the administrative procedures that make people's rights secure or insecure. <p>Stage 2: Preparation for rights-holders' engagement in FPIC</p> <ul style="list-style-type: none"> • Map rights, rights-holders and land use. Participatory mapping exercises (see tool A3.2) can be used to provide clarity on boundaries and claimed rights for a particular community. • Identify the decision-making institutions of indigenous peoples and local communities. Indigenous peoples have the right to use their own decision-making institutions rather than imposed systems. Facilitation can be offered by the project proponent as an option to broaden participation in information-gathering, sharing, discussions and decision-making, while respecting the community's decision to use their own decision-making institution. • Identify national support structures for rights advocacy. Offer assistance for indigenous people to understand their rights and to advocate for those rights to be recognized and respected by government and other actors. • Develop a process for consent. Set out a process for consent including a schedule for all the stages of obtaining consent, from initial discussions, information gathering and consideration of impacts, benefits and options, through to negotiating and implementing an agreement. The consent process must demonstrate that it is free from coercion and manipulation.

- Develop the format of consent agreements. The form and format for consent must be recognized by both parties using a combination of written, oral and/or traditional ceremonial means.
- Agree a communication plan. A communication plan for the FPIC process is needed so that all aspects of the consent process are communicated to members of the community and to other interested parties including neighbouring communities, local government, NGOs and companies operating in the area.
- Develop a capacity-building strategy. A capacity-building strategy for a community should match skills its members need to engage in each stage of the ongoing consent process. An initial survey should identify capacity needs within the community in relation to the informational stage of the FPIC process.

Stage 3: Implement the consent process

- Keep people engaged and participating in programme design. Indigenous people and local communities should be actively engaged throughout the design phase of the project, through the assessments, development of the benefit-sharing mechanisms and so on (see tools on stakeholder participation).
- Ensure access to alternative information and independent advice. The right of communities to access information and advice independent of the project proponent is a cornerstone of an informed-consent process. Most rural communities affected by a project will need help to identify sources of independent information and advice on legal, social, economic and environmental issues, as well as help to pay for advice — for example, by setting up a trust fund.
- Negotiate and reach consent. Negotiation consists of a two-way dialogue between communities and project proponents or facilitators (government, private sector or NGO) on proposals, interests and concerns. In the context of REDD+ or other forest land-use initiatives, key issues are likely to include the nature and extent of any changes to forest use, roles of communities in forest management and monitoring, and how communities will secure and manage anticipated benefits.

Stage 4: Monitoring and recourse: maintaining consent

- Monitor what is agreed in implementation. Monitoring the implementation of agreements enables parties to hold each other accountable for agreed results as well as to adaptively manage the situation if actual outcomes diverge from projections (for example, of community costs or benefits). Community rights-holders should be substantively involved at all stages of designing and carrying out monitoring of consent agreements (rather than just collecting data for payment). (See section D for participatory monitoring techniques.)
- Develop a grievance process. The overall aim of a grievance process should be to restore consent. The mechanism should include the possibility of independent arbitration and recourse to legal or administrative remedies if negotiations break down. (See section C for more on grievance mechanisms.)
- Verify consent. It is a requirement of FPIC that an independent party verifies that consent has indeed been free, prior and informed. If the verification process is known by the programme proponent, it could be used as a basis for ensuring their FPIC process will satisfy all elements of verification.

Limitations and cautionary notes

FPIC as a demand and precondition has been expressed, in particular by indigenous peoples, for many years. But it is only in recent years that it has become a strong expectation and increasingly a reality, as more national

	<p>legislation, corporate practices and international programmes require it. Thus, experience with successful FPIC processes in land-use sectors is still thin. Tools are therefore at the 'first-generation' stage and need to improve. If you use this tool, please document and spread your experience.</p>
Further information	<p>Forest Peoples Programme. Forthcoming. <i>Guidebook on FPIC in REDD+</i>.</p> <p>UN-REDD. 2010. <i>Programme guidelines for seeking the free, prior, and Informed consent of indigenous peoples and other forest dependent communities</i> [Draft]. Geneva, United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries.</p> <p>WWF. 2011. <i>Free, prior, informed consent and REDD+: guidelines and resources</i>. Gland, Switzerland. http://awsassets.panda.org/downloads/report_free_pdf_final3.pdf</p> <p>Forest Peoples Programme. 2008. <i>Free, prior and informed consent and oil palm plantations: a guide for companies</i>. Moreton-in-Marsh, UK. http://www.forestpeoples.org/sites/fpp/files/publication/2009/12/fpicandrspocompaniesguideoct08eng.pdf</p> <p>Example:</p> <p>Forest Trends. 2010. <i>Free, prior, informed consent: Surui carbon project (Brazil)</i>. Brazil, Amazon Conservation Team (ACT), Metareila Association of the Surui People, Institute for the Conservation and Sustainable Development of Amazonas (IDESAM), and Brazilian Biodiversity Fund (FUNBIO). http://www.forest-trends.org/documents/files/doc_2693.pdf</p> <p>FAO. Forthcoming. <i>Implementation guide on land acquisition, free, prior and informed consent and customary land of indigenous peoples and other local communities</i>, S. Chao and M. Colchester.</p>

XL C1.5

In-depth version of C1.5



Media and lobbying tactics for local groups

What is it?	<p>This tool sets out a range of tactics that civil society groups can use to encourage national policy to respond to their needs and aspirations. The tactics range from fairly technical, time-consuming activities, such as mapping and audits, to other suggestions for seizing opportunities with politicians and the media to draw attention to issues of concern. Many of the tools aim to stimulate public awareness and debate.</p> <p>The tool has been produced in the context of small farmers in Grenada, but the framework and tactics are relevant for many community organizations, advocacy and development agencies.</p>
What can it be used for?	<p>It is relevant when a particular stakeholder group wishes to raise the profile of issues concerning them and to encourage policy-makers to respond to these needs. For example, it is relevant in cases where the government has not made any significant efforts to redress a problem and the stakeholders are concerned that there is inadequate attention to the issue.</p>
Who should use it?	<p>The tool is designed for use by NGOs and other organizations trying to support interest groups in drawing attention to their issues of concern and engaging with policy-makers.</p>
Skills and resources required	<p>The key skills include:</p> <ul style="list-style-type: none"> • facilitation skills (including links between the foresters and other organizations);

<p>.....></p>	<ul style="list-style-type: none"> • knowledge of the relevant media and political bodies; • specific skills dependent on tactics used, such as video production. <p>Any work with communities needs to be built around principles of commonality and common sense. It takes time to set up trust, build relationships and establish mutual respect.</p>
<p>How it can be used</p>	<p>The process can be simplified into the following four stages:</p> <p>Stage 1: Preparation</p> <ul style="list-style-type: none"> • Identify the possible entry points in the policy process that can be targeted through subsequent lobbying. Build up knowledge of relevant policies that affect the group and are of concern. Set up an archive of relevant policy and land titles, which can be made available for public access. Critique some elements of the policy, such as how participatory the policy process was. Gather information about land title and use. • Engage early with the media. Tempt the media into investigative journalism instead of being happy with press releases, as this will lead to much better coverage and longer-term engagement. Do not take farmers to the press – bring the press to the farmers. <p>Stage 2: Building farmers' evidence</p> <ul style="list-style-type: none"> • Demonstrate land use. For farmers, real evidence is on the ground, not on paper, so use media such as videos, photography and tape recordings to document the current use of the land in a way that will attract the attention of the national media (see tool C1.9, participatory photos and video). • Map actual landholdings. Tenure on the ground is often different from land titles, and formal mapping helps farmers to plan and argue their case. Mapping can identify owners, users or plots, strengthen claims to land, confirm foresters' registration with relevant local government services, underpin planning exercises, and so on (see tool A3.9, participatory mapping). • Encourage and support foresters in keeping records. Help them develop simple systems for recording key activities. This generates an evidence base to use in lobbying government. • Articulate foresters' development alternatives. Use formal maps and farmer discussions to prepare arguments for sustainable and equitable land use, such as combining forestry with other land uses. This helps to prepare for future dialogue and advocacy with policy-makers. <p>Stage 3: Widening the picture</p> <ul style="list-style-type: none"> • Improve foresters' awareness of their role in the national economy. Help them develop arguments for their forestry use within national and international policy contexts. These arguments will resonate with policy-makers. • Connect foresters' issues with national programmes such as food security, poverty reduction and biodiversity programmes. Make the case for foresters' significance by demonstrating how forestry practices contribute to these policies and programmes. • Build relationships between foresters and forestry technical staff. Facilitate extension officers to work locally and foresters to press for the full complement of extension services. Help foresters to understand their rights and to press for good service provision. • Record and share experiences from similar situations elsewhere to provide foresters with inspiration about what is possible. Discuss these scenarios to learn what has worked and what has not. <p>.....></p>

<p>>.....</p> <p>Stage 4: Targeting, communicating and negotiating with wider groups</p> <ul style="list-style-type: none"> • Help foresters prepare for key meetings and develop negotiation skills. Important meetings and negotiations need preparation. Hold advance meetings to discuss practicalities and 'what if?' scenarios. • Use political processes tactically, such as elections at local and national levels. • Use media to spread the message and stimulate public debate. Be vigilant about broadcasting farmers' views without compromising them. 	
Limitations and cautionary notes	Civil society groups vary greatly in their levels of organization and accountability. Policy processes can be extremely difficult to break into, and civil society groups need to be clear about their evidence, position and legitimacy in their advocacy and media work.
Further information	Williams, J. & Vermeulen, S. 2005. <i>Media and lobby tactics: linking farmers' actions with national policy processes</i> . Power Tools Series. Grenada Community Development Agency and London, IIED. http://www.policy-power-tools.org/Tools/Engaging/MLT.html

XL D1.3

In-depth version of D1.3



Forest sector transparency report cards

What is it?	<p>The purpose of the Making the Forest Sector Transparent Report Card is to enable a comparison between the quality, quantity and accessibility of forest-sector information provided to the public by governments in forest-rich countries.</p> <p>The tool was developed by project partners in the Global Witness Making the Forest Sector Transparent project (2008–2013). The project supports civil society groups in forest-rich countries to engage with policy-makers and advocate for accountable forest-sector governance. Global Witness is piloting the tool with civil society organizations in Cameroon, the Democratic Republic of Congo, Ecuador, Ghana, Guatemala, Liberia and Peru.</p>
What can it be used for?	<p>Report cards can help forest-sector transparency in various ways:</p> <ul style="list-style-type: none"> • summarizing the current situation of forest-sector transparency in various countries; • assessing change and progress on accountability by replicating the same method of data collection over time; • reporting on progress toward achieving national commitments around forest governance and access to information. <p>On the basis of these data, advocacy strategies can be evidence-based and recommendations can be made for key stakeholders to enhance forest-sector transparency.</p> <p>The methodology for this tool varies in different countries according to the specific purpose and how the information collected will be used.</p>
Who should use it?	<p>This tool has been designed for use by civil society organizations actively working on forest-sector governance and transparency. A certain level of expertise and understanding of the sector is required. The process will be most useful if the lead agency has the interest and capability to widely communicate the findings of the report card process and use them in future advocacy around forest-sector transparency. The report card is developed through a participatory process with knowledgeable and interested civil society actors working in the forest sector.</p>

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	<p>A cross-section of different stakeholders, ranging from local community representatives to companies and government staff, are involved in completing the report card.</p>
Skills and resources required	<p>Skills needed include:</p> <ul style="list-style-type: none"> • workshop and focus group facilitation skills; • knowledge and experience in the use of participatory approaches; • conducting interviews and questionnaires, possibly to rigorous standards; • handling questionnaire data and distilling key points as future action points for advocacy. <p>Several months of work from a small team is needed to produce effective country-level results with this tool, and these results become more effective if the work is repeated annually.</p>
How it can be used	<p>The methodology will vary in each context according to the purpose and information available, but will follow these five stages:</p> <p>Stage 1: Design Organizations should spend time agreeing some of the key conceptual and methodological issues associated with measuring transparency, so that the report card is based on a commonly agreed understanding of transparency and the relationship between transparency and accountability. Ensure there is a clear understanding of the purpose of the report card and how it will be used, and clearly define what will be assessed.</p> <p>A decision should be made as to how many questions to include, taking into account the following: desired coverage; desired level of specificity; issues of feasibility and availability of information; and the intended audience. It is important to clearly describe the criteria and indicators used and explain their rationale. This will give credence to the research as well as assist in explaining the findings.</p> <p>Stage 2: Completing the report card Depending on the agreed purpose, the project partners use a mix of questionnaires, focus groups, interviews and document reviews to complete the report card, capturing the perspectives of a mix of civil society, state officials and government, and private companies. A key part of the process is to assess what documents are in the public domain to determine the extent to which authorities meet their obligations to transparency.</p> <p>Stage 3: Analysis and validation Project partners validate stakeholder responses to the questionnaires or interviews by asking for examples and evidence, as well as by comparing these responses against the other methods used, such as testing the availability and quality of documents through the internet or government offices. All the information collected should be reviewed and analysed against the themes and indicators agreed upon.</p> <p>Stage 4: Follow-up and advocacy For the project partners, the main follow-up is to identify items that are both important and relatively easy to persuade the authorities to publish. Recommendations are made for civil society, state forestry institutions and relevant private sector businesses.</p> <p>Stage 5: Repeat every year While this exercise has value in itself, its particular worth as a monitoring tool comes when the report card is repeated annually, allowing changes over time to be documented. Positive changes can be celebrated, unresolved issues flagged and negative changes protested. The process can also provide a</p>

	valuable forum for key stakeholders in the forest sector to come together and discuss how to make better use of information when it is available.
Limitations and cautionary notes	<ul style="list-style-type: none"> Before starting, be clear about the purpose of the report card – in particular, the distinction between citizen perceptions and factual availability of documents – and how the information will be used. Make sure to validate people's assessments with examples and evidence as far as possible.
Further information	<p>Making the Forest Sector Transparent http://www.foresttransparency.info</p> <p>Global Witness. 2010. <i>Making the forest sector transparent: annual transparency report 2009</i>. London. www.foresttransparency.info/cms/file/231</p> <p>Global Witness. 2011. <i>Making the forest sector transparent: annual transparency report 2010</i>. London. http://www.foresttransparency.info/cms/file/419</p> <p>Global Witness. 2012. <i>Fourth annual report</i>. London. http://www.foresttransparency.info/cms/file/541</p>

XL D1.6

In-depth version of D1.6



Accessing public information

What is it?	<p>The Accessing 'Public' Information (API) toolkit is a set of tools for accessing information held by public (government) agencies to improve governance.</p> <p>While access to public information is desirable, it is not always easy to achieve. The API toolkit is designed to help overcome hurdles with various tools that have been used successfully by a number of NGOs and activists in India.</p>
What can it be used for?	<p>The API toolkit can be used in many situations when the public has the 'right to know'. Some of these are:</p> <ul style="list-style-type: none"> Securing land rights. In cases where the land titles are unclear, many communities, such as tribes living in forests, face the threat of eviction despite having lived in the area for generations. The API toolkit can be used to challenge their eviction by accessing and examining records related to the status of land ownership and forest rights regimes. Safeguarding the environment. Concerned citizens can seek information regarding various environment-related issues such as pollution or resource degradation. This information can be used by communities to preserve or improve their natural environment. Fair compensation and rehabilitation. The API toolkit can be used to ensure fair compensation and rehabilitation of people affected by large infrastructural and industrial projects. It may also be used to ensure justice for victims of industrial accidents and disasters.
Who should use it?	<p>The API toolkit is mainly targeted at NGOs, activists and civil society groups working on natural resource management and decentralised governance, as well as livelihood issues. It will also be useful for individuals and organizations working on human rights, justice and corruption issues. Community members (either individually or collectively) can also use this toolkit.</p> <p>The toolkit will be particularly useful for NGOs and activists working in those countries or areas where the right to information (RTI) has been granted on paper but its implementation on the ground is poor. While an enabling</p>

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Skills and resources required	<p>Skills include:</p> <ul style="list-style-type: none"> • basic legal and policy understanding; • accessing sources of information; • capacity-building in the above areas; • skills in using information to bring about desired change; for example, holding a public hearing.
How it can be used	<p>The use of API approach involves a series of steps that may be broadly classified into two stages: the preparatory phase and the implementation phase.</p> <p>Stage 1: Preparatory phase</p> <p>In order to effectively use the API tool-kit, it is important to understand the local legal and policy context under which information is to be accessed from government agencies. This involves education, exposure and experience – a ‘3-E’ model.</p> <ul style="list-style-type: none"> • Education: Study RTI law and other pertinent laws, constitutional provisions, administrative orders and procedures, as well as their judicial interpretations. • Exposure: Find out about other organizations and individuals working on similar issues. This will help in learning about their strategies and tactics as well as networking with them for support. • Experience: Past experience as well as ongoing processes can provide valuable lessons about how to use the API toolkit effectively. Past judgements, experience of other organizations, and success stories as well as failures can all be informative. <p>Stage 2: Implementation phase</p> <p>There are three broad steps in this phase: building awareness and capacity of target groups; engaging in the information access process; and using the information to bring about desired change.</p> <ul style="list-style-type: none"> • Building awareness and capacity. The API toolkit can be used effectively only if people are aware of their rights and start exercising them. It is essential that NGOs and activists build awareness about the power of the API approach among their target groups. A number of strategies can be used, such as establishing Information Centres or creating and disseminating pamphlets, posters and charts. In areas where many people are illiterate, meetings, songs, street plays and puppet shows are more effective. Capacity can also be built through one-to-one interaction, training programmes, workshops and seminars. • Engaging in the information access process. This stage involves identifying the exact information needed, the source of the information and their contact details, and then drafting questions to obtain the required information. Because vague or general requests are less effective, it is important to be specific when requesting information. • Using the information to bring about desired change. Once information has been collected, the next step is verifying it through interactions with concerned individuals or communities, then using it to bring about change. Government information can be verified through means such as social audits (monitoring of service delivery by members of the local community), parallel attendance registers (registers kept by community members) and other records maintained by individuals and communities, testimonies, and on-site inspections. One effective strategy for changing the attitudes and behaviour of government officials is a public hearing (see tool D2.4) or a signature campaign. <p>.....></p>

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If all this fails, then recourse to courts is an option that may be exercised.	
Limitations and cautionary notes	In instances where disclosure of information is likely to adversely affect the powerful, attempts to access information may lead to retaliation including violence.
Further information	<p>Winrock International India. 2005. <i>Accessing 'public' information</i>. Power Tools Series. New Delhi, Winrock International India, and London, IIED. http://www.policy-powertools.org/Tools/Ensuring/API.html</p> <p>Article 19. 1999. <i>The public's right to know: principles on freedom of information legislation</i>. London. http://www.article19.org/pdfs/standards/righttoknow.pdf</p> <p><i>National Campaign for people's right to information</i>, India. http://righttoinformation.info/</p>

Annex 2: Glossary

Access to information refers to the right of access to information under the control of a government institution. The principle is that government information should be available to the public (with necessary exceptions, which should be limited and specific) and that decisions on the disclosure of any government information should always be reviewed independently of government. Access to information enables people to scrutinize the effects of policy implementation and provides an extra set of checks and balances in the public interest, minimizing the undue influence of privileged groups and curbing vulnerability to corruption.

Accountability means holding people and public agencies responsible for their actions and decisions, according to the principle of the rule of law. Accountability works in two directions. Downward accountability entails individuals and agencies who have specific responsibilities towards others being answerable to those persons for their actions. Upward accountability entails those receiving services, or to whom commitments are made, checking that matters go according to plan, asking for explanations if they do not, and – where relevant – electing persons capable of fulfilling their functions.

Agroforestry is a collective name for land-use systems and practices in which woody perennials are deliberately integrated with crops and/or animals on the same land-management unit. The integration can be either in a spatial mixture or in a temporal sequence. There are normally both ecological and economic interactions between woody and non-woody components in agroforestry.

Alliance refers to an agreement between two or more parties, made in order to advance common goals and secure common interests.

Biodiversity – or biological diversity – is a term used to describe the variety of life on Earth. It refers to the wide variety and variability of ecosystems and living organisms: animals, plants, their habitats and their genes.

Carbon sinks and sources. A carbon sink is anything that absorbs more carbon than it releases, whereas a carbon source is anything that releases more carbon than it absorbs. Forests, soils, oceans and the atmosphere all store carbon, and this carbon moves between them in a continuous cycle. The constant movement of carbon means that forests act as sources or sinks at different times.

Carbon stock refers to the quantity of carbon contained in a 'pool', meaning a reservoir or system that can accumulate or release carbon. In the context of forests, it refers to the amount of carbon stored in the world's forest ecosystem, mainly in living biomass and soil, and to a lesser extent in dead wood and litter.

Coalition refers to a pact or treaty among individuals or groups, during which they cooperate in joint action each in their own self-interest, joining forces together for a common cause.

Civil society refers to the sphere in which citizens and social movements organize themselves around objectives, constituencies and thematic interests.

Community-based forestry refers to forest management implemented in a communal forest with the community's consent, or in forest areas locally recognized as linked to members of the same community who coordinate efforts to manage forest resources and/or sell forest products.

Continuous improvement is systematically monitoring and analysing tenure governance, and implementing reforms.

Customary tenure rights include the collective rights of community members to the natural commons as well as private rights of community members to their agricultural and residential parcels. Customary tenure rights have been granted formal legal recognition equivalent to other statutory tenure rights in some countries, while in other countries they lack such legal recognition.

De facto and de jure. *De facto* is a Latin expression that means "concerning fact". In law, it often means "in practice, but not necessarily ordained by law" or "in practice or actuality, but not officially established". The phrase is commonly used in contrast to *de jure*, which means "concerning the law", when referring to matters of law, governance or technique (such as standards) that are found in common experience but have developed without or contrary to a regulation. In discussions of a legal situation, *de jure* designates what the law says, while *de facto* designates what happens in practice, similar to the expressions "for all intents and purposes" or "in fact".

Fair trade describes a trading partnership based on dialogue, transparency and respect that seeks

greater equity in international trade. It contributes to sustainable development by offering better trading conditions to, and securing the rights of, marginalized producers and workers, especially in the global South. Fair trade organizations, backed by consumers, are engaged actively in supporting producers, raising awareness and campaigning for changes in the rules and practices of conventional international trade.

Federation describes a joint body, formed of separate, independent groups or bodies, united for the purposes of mutual support or action.

Forest certification is one of a number of market-based instruments that may contribute to improved management of forests and improved forestry-sector development. The goal is to link trade in forest products to the sustainable management of the forest resource by providing buyers with information on the management standards of the forests from which the timber came.

Forest enterprise can be a commercial enterprise, a self-contained cooperative, an indigenous community or any other organizational form that manages forests for profit, with optional additional processing activities for forest products.

Free, prior and informed consent (FPIC) is the principle that a community has the right to give or withhold its consent to proposed projects that may affect the lands that community members customarily own, occupy or otherwise use. FPIC is now a key principle in international law and jurisprudence related to indigenous peoples. This principle means that those who wish to use the customary lands belonging to indigenous communities must enter into negotiations with them. It is the communities who have the right to decide whether they will agree to the project or not once they have a full and accurate understanding of the implications of the project for them and their customary land. As most commonly interpreted, the right to FPIC is meant to allow for indigenous peoples to reach consensus and make decisions according to their customary systems of decision-making.

Governance is the process of governing. It is the way in which society is managed and how competing priorities and interests of different groups are reconciled. It includes the formal institutions of government but also informal arrangements. Governance is concerned with the processes by which citizens participate in decision-making, how government is accountable to its citizens and how society obliges its members to observe rules and laws. The United Nations describes "good governance" as promoting "equity, participation, pluralism, transparency, accountability and the rule of

law, in a manner that is effective, efficient and enduring."

Indigenous peoples are ethnic groups that are defined as "indigenous" according to one of the various definitions of the term, though there is no universally accepted definition. Most uses of the phrase refer to being the "original inhabitants" of a territory. It has been used to refer to ethnic groups that have historical ties to groups that existed in a territory prior to colonization or formation of a nation state, and which normally preserve a degree of cultural and political separation from the mainstream culture and political system of the nation-state within whose border the indigenous group is located. The political sense of the term defines these groups as particularly vulnerable to exploitation and oppression by nation-states.

Information and communication technologies (ICTs) are a diverse set of technological tools and resources used to communicate and to create, disseminate, store and manage information. These technologies include computers, the Internet, broadcasting technologies (radio and television) and telephones.

Institution refers to any structure or mechanism of social order and cooperation governing the behaviour of a set of individuals within a given human community. The term "institution" is commonly applied to customs and behaviour patterns important to a society, as well as to particular formal organizations of government and public service.

International conventions and agreements can be loosely compared to contracts: both are means of willing parties assuming obligations among themselves, and parties to either a convention or an agreement that fail to live up to their obligations can be held liable under international law. For forest governance and tenure, some of the most relevant international conventions and agreements include:

- Universal Declaration of Human Rights (UDHR), International Covenant on Economic, Social and Cultural Rights (ICESCR) and the International Covenant on Civil and Political Rights (ICCPR);
- UN Declaration on the Rights of Indigenous Peoples (UNDRIP);
- Convention on the Rights of the Child (UNCRC)
- Convention on the Elimination of All Forms of Discrimination against Women (CEDAW);
- International Convention on the Elimination of All Forms of Racial Discrimination (ICERD).

Monitoring and evaluation are processes of gathering and assessing information to make judgements about progress towards goals and objectives, and to identify unintended positive or

negative consequences of action.

Network refers to a mechanism that links people and/or organizations that share some kind of common goal.

Organization refers to a purposeful structure within a social context.

Paralegal refers to a person qualified through education and training to perform substantive legal work that requires knowledge of the law and procedures, and who is not a qualified solicitor or barrister.

Participatory monitoring and evaluation (PM&E) is a process through which stakeholders at various levels engage in monitoring or evaluating a particular project, programme or policy; share control over the content, the process and the results of the monitoring and evaluation activity; and take or identify corrective actions.

Payments for environmental services (PES) refers to incentive mechanisms – frequently market-based – whereby farmers, forest owners or landowners are offered incentives in exchange for managing their land or forest to provide specified services such as carbon sequestration, watershed protection, biodiversity conservation or landscape beauty.

Private sector refers to that part of the economy which is run by private individuals or groups, usually as a means of enterprise for profit, and is not controlled by the state.

Public sector is sometimes referred to as the state sector or the government sector. It is that part of the state that deals with goods and services for the government and its citizens.

Reducing emissions from deforestation and forest degradation (REDD) is an effort to create a financial value for the carbon stored in forests by offering incentives for developing countries to reduce emissions from forested lands and invest in low-carbon paths to sustainable development. “REDD+” goes beyond deforestation and forest degradation, and includes the role of conservation, sustainable management of forests and enhancement of forest carbon stocks.

Small forest enterprise refers to small-scale business operations aimed at making a profit from forest-linked activity. Precise definitions of the scale vary and are often relative to context, e.g. in some contexts small forest enterprises might employ 10–100 full-time employees, with an annual turnover of US\$10 000 - US\$30 million or with an annual roundwood consumption of 3 000 – 20 000 m³; in other contexts they might be enterprises whose economic activities are undertaken mainly at the

individual or household level, usually employing members of the family or close relatives and neighbours, and where salaried labour is negligible.

Small-scale producers are self-contained groups of people who undertake an activity – such as forest management leading to the production of trees or conversion of logs by chainsaw or portable sawmill in a forest – that contributes to the beginning of a value chain for forest products, but who are not hired or employed directly by a forest enterprise.

Stakeholder, in the context of forest rights and tenure, refers to an individual, community, social group or organization who: has existing formal or informal rights to land or forest resources; has some degree of economic or social reliance on forest resources; might sustain potential or real losses, damage or other negative impact from decisions about the resources; is influenced, currently or potentially, by activities associated with the forest resource base; has a continuous relationship with forest land and resources; has a historical or cultural relation with the resources at stake; has shown some degree of effort at and interest in forest management; or has experience or expectation of the policy or institutional intervention. A stakeholder also has the resources to mobilize or is willing to mobilize.

Sustainable forest management (SFM) refers to the stewardship and use of forests and forest lands in a way, and at a rate, that maintains their biodiversity, productivity, regeneration capacity, vitality and their potential to fulfil, now and in the future, relevant ecological, economic and social functions, at local, national and global levels; and that does not cause damage to other ecosystems.

Tactics are procedures or a set of manoeuvres carried out to achieve a goal.

Tenure is the relationship, whether defined legally or customarily, among people with respect to land (including associated buildings and structures), fisheries, forests and other natural resources. The rules of tenure define how access is granted to use and control these resources, as well as associated responsibilities and restraints. Tenure, thus, usually reflects the power structure in a society, and social stability may depend on whether or not there is a broad consensus on the fairness of the tenure system.

Tool refers to a procedure or process with a specific purpose. In this context tools can be approaches, methods, strategies, tactics or techniques.

Transparency means clearly defining and widely publicizing policies, laws and procedures in relevant languages, and widely publicizing decisions in relevant languages.

Annex 3: Bibliography

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Tools for understanding

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Appreciative Inquiry Commons

<http://appreciativeinquiry.case.edu/>

Avaaz

<http://www.avaaz.org/>

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Governance of tenure **technical guides**

FAO. 2013. *Governing land for women and men: a technical guide to support the achievement of responsible gender-equitable governance of land tenure.* Governance of tenure technical guide No. 1. Rome.

Human well-being and the health of our whole planet depend on whether and how we grow and look after forests. So who gets to decide about who owns and controls the forests and how – the ‘governance of forest tenure’ – is profoundly relevant for us all. This technical guide on *Improving governance of forest tenure* is for those who want to try to improve the governance of forest tenure. It helps you to take action in four critical areas – ‘understanding’, ‘organizing’, ‘engaging’ and ‘ensuring’ – to improve decision-making about forest goods and services. It starts

by highlighting some key opportunities and challenges in governance today and directs you to further information, appropriate to how you identify yourself as a stakeholder and what type of opportunity or challenge you are facing. It then lays out a toolkit containing some 86 tools described in summary form and 9 key tools, in some depth. These tools are labelled for their appropriateness in different governance contexts and for the amount of time, money and skills needed to use them. A glossary and extensive Web-linked bibliography are also provided for further inspiration.

Contact

Food and Agriculture Organization
of the United Nations (FAO)

Viale delle Terme di Caracalla
00153 Rome, Italy

VG-Tenure@fao.org

International Institute for Environment
and Development (IIED)

80-86 Gray's Inn Road
London WC1X 8NH

forestry@iied.org

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