**Supplementary resource I: Community Forestry (CF) related key actors and their interests and roles in CF development**

|  |  |  |  |
| --- | --- | --- | --- |
| **Stakeholders\*** | | | **Key characteristics and roles in CF** |
| Forest users/ communities (19,361 Community Forest User Groups (CFUGs) ) | | General users (2.46 million households) | * Organized forest users who contribute in forest management and expect fair benefits from the forest they manage * Possess interest in forest products, water and other services the forest provide * Attend the rule making forums of CFUGs and influence CFUG rules and decisions but do not have access to CF policy making at central level platforms |
| Women | * Unorganized women who share the characteristics of general users but are burdened with more responsibility of day to day collection of forest products in almost every forest user household * Interested in women targeted activities and harvest and distribution of basic forest products * Represent nearly a third of leadership (known as executive committee (EC)) positions of CFUGs and can influence in decision making at community level |
| Poor | * Part of general users, who are identified as poor by well-being categorization in CFUG, depend on forest for subsistence * Possess interest in poor targeted activities of CFUGs * Share their concern in CFUG forums but address of their concern is not always guaranteed |
| Forest neighboring communities and distant users | | | * People from neighboring areas who depend on forest for forest products (especially the case of Terai plain) and services or use the forest for accessing their locality * Possess interest to maintain health of forest to supply basic forest products and environmental services and prevention of fire and illegal activities, if they share common forest boundary * Do not have formal role in CF but can influence CFUG decision indirectly, such as by filing complain to District Forest Officer (changed to Divisional Forest Officer in 2018) directly or higher authorities- and thereby forcing CFUGs to address of their legitimate concern |
| Government | District Forest Office (74)/Sector Forest Office (92)/ Area Forest Office (696) | | * Presence of District Forest Office (DFO), changed to Divisional Forest Office in 2018 in every district (except Mustang), AFO in cluster of some villages and municipalities and Sector Forest Office in some districts, which operate between DFO and Area Forest Office (AFO), are led by forest technicians with support of other supporting technical and non-technical staff * Mandated to provide technical and facilitating support to CFUGs for establishment and run CFUG * Law clearly gives authority and responsibility to DFO to mobilize AFO support in preparation of and approve the operational plan of CFUGs and monitor and regulate the CFUGs activities |
| Department of forests (1)/Community Forest Division (1) | | * Department of Forests (DoF), from central level, guides and provides support to all DFO for managing forest under authority of DoF. DoF has Community Forest Division (CFD) at central level to provide CF related specific support to DoF * Mandated to create and maintain and publish CF database at national level, design CF development plan at central level and provide guidance to DFOs for supporting and regulating CFUGs * Strong role in allocating resource for CF development and giving DFOs the needed direction and authority to implement and monitor their progress |
| Ministry of Forests and Soil Conservation | | * Ministry of Forests and Soil Conservation (MFSC), changed to Ministry of Forest and Environment (MoFE) in 2018, takes all key policy decisions at national level, carries out inter-ministerial coordination, takes initiation to promulgate /change in community forest related laws and engages with donor for development of projects; It provides guidance to DoF and CFTEC * Central Forests Training and Extension Centre (CFTEC) and its five regional training (changed to seven to serve seven provinces in 2018) and extension centre are responsible for capacity development support to government officers * Department of Forest Research and Survey (DFRS), changed Forest Research and Training Center in 2018, conducts technical researches and assessment of forest resources such as periodic forest resource assessments, study on effect of silvicultural treatments on forest stands, the finding of which helps in management of community forests as well * Department of Plant Resources conducts researches on domestication and expansion of high value plant resources and their value addition and communicates in the form of guidelines and information book, which help CFUGs to better benefit from their forest |
| Network | FECOFUN (75 districts and 13,528 CFUGs) | | * Network of CFUGs having presence in all districts advocates at national and local level for the rights of CFUGs[[1]](#footnote-1) * Partner with donors for financial, technical and advocacy support for CF * Large CFUG base and partnership with national and international actors to amplify voices of local communities strong during policy revision and implementation |
| Other networks | | * Networks with specialized interest and also serve as service provider, intensity of their engagement on available resource   (Himalayan Grassroots Women's Natural Resource Management Association (HIMWANTI) provides services to CFUGs on gender related issues and claims to have branches in 32 districts; Dalit Alliance for Natural Resources (DANAR) advocates for the rights of dalits while Community based Forestry Supporters' Network (CoFSUN) provides facilitation supports to CFUGs and claims to have branches in 34 districts) |
| Non-governmental organizations (NGOs)/research NGOs | | | * Not for profit service providers with presence ranging from central to local level implementing the donor funded programs and activities at grassroots level * Possess own agenda and engage with stakeholders based on availability of resource * Research NGOs such as Forest Action conduct policy analysis and CF related studies in the field and communicate them along with possible impacts of proposed policy or policy changes |

**Supplementary resource II: Detailed framework used in the study**

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| --- | --- | --- | --- | --- |
| **Ref** | **Principles (1, 2,..), Criteria (a, b, …), Competencies (i, ii, ..)** | **Relevant level of examination and stakeholders[[2]](#footnote-2)** | | |
| **Central** | **District** | **local** |
| **1** | **Interests/needs of multiple stakeholders are accommodated** |  |  |  |
| ***1.a*** | ***CFUGs identify and acknowledge multiple stakeholders within CFUG and beyond*** |  |  |  |
| 1.a.i | CFUGs can identify different interests within CFUG and beyond |  | C | C |
| 1.a.ii | CFUGs can assess differentiated needs of members/sub-groups in the CFUG, as well as that of market and other stakeholders |  | C | C |
| 1.a.iii | CFUGs explicitly recognize cultural values and traditional occupations of indigenous and other local groups |  | C | C |
| 1.a.iv | CFUGs can address the different needs of stakeholders—and cater to market opportunities |  | C | C |
| ***1.b*** | ***CFUGs adopt due procedures for settling disputes and address the differentiated needs and interests*** |  |  |  |
| 1.b.i | CFUGs adopt deliberations to choose forest uses vis-a-vis multiple values, customs, market trends | G, O | C | C |
| 1.b.ii | CFUGs adopt locally appropriate conflict resolution methods to reconcile differences |  | C | C |
| **2** | **CF has system of adaptive management and learning** |  |  |  |
| ***2.a*** | ***Enabling environment, policies plans in place facilitating adaptive management and learning*** |  |  |  |
| 2.a.i | DoF and CFUGs can have the flexibility to adopt the management of wide variety of forest products and services |  | C, O | C |
| 2.a.ii | CFUGs can adopt more ‘scientific’ management away from the existing ‘conservation-oriented’ practices |  | G, C, O | C |
| 2.a.iii | DoF can adopt insights from research in making policies (evidence-based policy making) | G, O |  |  |
| ***2.b*** | ***Research analysis and information relevant to forest management are available*** |  |  |  |
| 2.b.i | Domestic research institutions can provide information and analysis that is practically relevant to CF management | O |  |  |
| 2.b.ii | GoN agencies/DOF can manage information relevant to forest cover change, forest production, trade | G, O |  |  |
| 2.b.iii | CFUGs can access analysis and information with reasonable simplicity on forest management | O | C | C |
| 2.b.iv | CFUGs can access analysis and information on market demand and trends | O | C | C |
| 2.b.v | CFUGs can access analysis and information on environmental change and shocks | O | C | C |
| ***2.c*** | ***CFUGs/ECs have the decision systems to respond to market and environmental trends and shocks*** |  |  |  |
| 2.c.i | CFUGs can anticipate environmental/market trends and shocks. | O | C | C |
| 2.c.ii | CFUGs/enterprises can respond to environmental shocks/disasters | O | C | C |
| 2.c.iii | CFUGs/enterprises can respond to market trends/shocks | O | C | C |
| 2.c.iv | The GoN/DoF can facilitate CFUG to respond to shocks |  | G, C | C |
| **3** | **Opportunities for capacity development exist and are utilized** |  |  |  |
| ***3.a*** | ***Forestry officials/CFUGs have opportunities for skills development*** |  |  |  |
| 3.a.i | Forestry officials/technicians can receive training opportunities | G | G |  |
| 3.a.ii | CFUGs can receive inputs from technicians on a regular basis | C | C | C |
| 3.a.iii | CFUG members can receive skills on institutional development (minuting, accounting, documentation, communication etc.) |  | C, O | C |
| 3.a.iv | The DoF can commission/procure research/studies that are relevant to policy development | G, O |  |  |
| ***3.b*** | ***DOF has human resource and willingness to deliver support to CFUGs*** |  |  |  |
| 3.b.i | DoF/range posts have human resources to support needed services to CFUGs/enterprises | G, C | G, C | G, C |
| 3.d.ii | GoN enterprise offices can have human resources and funds to support incubation and operation of forest enterprises | G, C | G, C | G, C |
| **4** | **Community forestry has clear tenure and strong rights** |  |  |  |
| ***4.a*** | ***Tenure on forest, land, and carbon are clear and strong*** |  |  |  |
| 4.a.i | CFUGs can secure clear and strong/stable tenure rights on forest, land and ecosystem services (including carbon) /respected by SH | G, C, O |  |  |
| 4.a.ii | CFUGs understand their tenure on forest, land and carbon | C, O | G, C, O | C |
| 4.a.iii | CFUGs initiate and strengthen networks and platforms to articulate and safeguard their rights | C | C | C |
| ***4.b*** | ***Roles, responsibilities and rights (3R) regarding forest management are clear and understood*** |  |  |  |
| 4.b.i | CFUGs and the members understand their own responsibilities on forest management | C | C | C |
| 4.b.ii | CFUGs and the members understand the responsibilities of government and other agencies | C | C | C |
| 4.b.iii | DFOs/DoF and other agencies understand and discharge their duties effectively. |  | G, C, O |  |
| ***4.c*** | ***Fair and accessible grievance mechanisms exist*** |  |  |  |
| 4.c.i | Fair and accessible grievance mechanisms for resolving tenure dispute exist |  | G, C, O | C |
| 4.c.ii | CFUGs/ DoF and other stakeholders have knowledge of such mechanism and employ it. |  | G, C, O | C |
| **5** | **Systems are in place for successful Community-based Forest Enterprise establishment and operation** |  |  |  |
| ***5.a*** | ***Enterprise planning is in place*** |  |  |  |
| 5.a.i | CFUGs can have funds and plans to develop community enterprises |  | C, O | C |
| 5.a.ii | CFUGs can engage in clustering/networking to achieve economies of scale in enterprise operation |  | C, O | C |
| 5.a.iii | CFUGs/CBFEs can receive governmental financial and technical support and incentives/subsidies | C, O | C | C |
| 5.a.iv | Communities can broaden enterprise ownership including women and disadvantaged groups |  | C, O | C |
| 5.a.v | CBFEs can promote traditional occupations and local craftsmanship |  | C, O | C |
| ***5.b*** | ***Communities have policy environment conducive to enterprise operation*** |  |  |  |
| 5.b.i | The government can identify and address policy bottlenecks and contradictions to enterprise incubation | G, C, O | C, O |  |
| 5.b.ii | The government can make policy change to enable more private sector / community involvement in forestry | G, C, O | C, O |  |
| 5.b.iii | Communities can have the flexibility to conceive of a range of enterprises based on their resource base/ endowments |  | G, C, O | C |
| 5.b.iv | The government removes arbitrary restrictions on forest products trade | G, C, O | C, O |  |
| 5.b.v | The government provides incentives and promotional support to forestry enterprises | G, C,O | G, C |  |
| ***5.c*** | ***Communities benefit from forest enterprises equitably*** |  |  |  |
| 5.c.ii | CBFEs can adopt measures to channel benefits to women and disadvantaged groups |  | C, O | C |
| 5.c.iii | Communities can remove collusions between different vested groups in timber/forest produce trade |  | C, O | C |
| **6** | **CFUGs are effectively governed** |  |  |  |
| ***6.a*** | ***Systems are in place to ensure the inclusion and participation of women and men of diverse groups in their structures and decision-making*** |  |  |  |
| 6.a.i | CFUGs can include women and men, and the poor, indigenous groups, dalits (the lowest caste in Hindu caste system) in important forest management decisions and in decision bodies |  | C, O | C |
| 6.a.ii | CFUGs and DoF can ensure that distant users become part of CF in appropriate way |  | G, G, O | C |
| 6.a.iii | DoF can enforce and monitor the inclusion of women and disadvantaged groups | G | G |  |
| 6.a.iv | CFUGs can hold assemblies and EC meetings with effective participation of members |  | C,O | C |
| 6.a.v | CFUGs can promote leadership and enable new leaders to emerge. |  | C, O | C |
| ***6.b*** | ***CFUGs institutionalize transparency and accountability*** |  |  |  |
| 6.b.i | CFUGs can ensure that their meeting decisions and accounts are documented and communicated in a locally appropriate way |  | C, O | C |
| 6.b.ii | CFUGs can have access to CFUG accounts and meeting decisions |  | C, O | C |
| 6.b.iii | CFUGs can define and enforce lines of accountability within them, and with GoN agencies |  | C, O | C |
| ***6.c*** | ***Equitable benefit/cost sharing arrangements are in place in CF and enterprise management*** |  |  |  |
| 6.c.i | CFUGs deliberate on elite capture and resource expropriation as explicit agenda |  | C, O | C |
| 6.c.ii | CFUGs can adopt measures that provide preference to women and disadvantaged groups in employment and income generating activities |  | C, O | C |
| **7** | **CF has enabling policy/legal environment and its effective compliance** |  |  |  |
| ***7.a*** | ***Community forestry continues to receive policy and legal priority.*** |  |  |  |
| 7.a.i | CFUGs and their representatives can ensure that existing policy/legal preference for CF is maintained | C, O | C |  |
| 7.a.ii | The CFUG/representatives can ensure that the government does not introduce policies that roll back rights | C, O | C |  |
| ***7.b*** | ***Policy making involves proper representation of CFUGs and their interests*** |  |  |  |
| 7.b.i | CFUG representatives can track forestry policy processes and engage with government in the process | C, O, G | C |  |
| 7.b.ii | CFUG representatives can draw implications of intended policy changes on the interest of community members | C, O | C |  |
| 7.b.iii | CFUG representatives can ensure that community interests are sufficiently articulated and ‘heeded to’ in the policy decisions. | C, O | C |  |
| ***7.c*** | ***Community forestry policies (laws, policies, guidelines, circulars) are predictable and consistent*** |  |  |  |
| 7.c.i | CFUGs/community enterprises have access to information and analysis on policy inconsistencies, contradictions | C, O | C |  |
| 7.c.ii | CFUGs/community enterprises and their representatives are able to articulate and advocate for correction in policy contradictions/inconsistencies and predictability | C, O | C |  |
| 7.c.iii | Ministry of Forests and other government agencies get access to analysis on policy problems and engage in policy analysis | G, O |  |  |
| ***7.d*** | ***Implementation of and compliance to forestry policies*** |  |  |  |
| 7.d.i | GoN/MFSC can commit resources and support for implementation of CF policies | G, O | G, C |  |
| 7.d.ii | CFUGs/enterprises can adapt their plans and activities according to change in policies/laws |  | C | C |

**Supplementary resource III: Secondary sources used in the study**

Annual progress reports of District Forest Offices (Sindhupalchok and Rupandehi) and Department of Forest for fiscal year 2014/2015 and 2015/2016

Audit report of Nepane Community Forest User Group and Pragati Community Forest User Group (fiscal year 2014/2015)

Database of CFUGs maintained by District Forest Offices, Sindhupalchok and Rupandehi (in March 2016)

Database of community forest user groups (CFUGs) maintained by Department of Forests (until March 2016)

Community Forest Development Guidelines 2009 (revised in 2015), Department of Forests, Ministry of Forests and Soil Conservation, Government of Nepal

Community Forest Inventory guidelines (2000, 2004), Department of Forests, Ministry of Forests and Soil Conservation, Government of Nepal

Forest Act 1993, Government of Nepal

Forest Policy 1995, Government of Nepal

Forestry Sector Strategy 2015, Ministry of Forests and Soil Conservation, Government of Nepal

Meeting minutes of Nepane Community Forest User Group and Pragati Community Forest User Group for fiscal year 2014/2015 and 2015/2016

Non-Timber Forest Products Inventory Guideline 2012, Ministry of Forests and Soil Conservation, Government of Nepal

Operational Plans of Nepane Community Forest User Group and Pragati Community Forest User Group (for fiscal year 2014/2015)

Scientific Forest Management Guidelines 2014, Ministry of Forests and Soil Conservation, Government of Nepal

1. FECOFUN and other networks are more of political nature. They are not legally recognized as representative of community forest user groups and government policies do not give them much space in policy making platforms and are silent about CFUGs joining to those networks [↑](#footnote-ref-1)
2. C: CFUGs and their representative organizations; G: government agencies; O-other CF stakeholders. The three columns on the right indicate which of these stakeholders were best positioned to provide information on the indicators. This was considered when preparing the checklists for consultations. [↑](#footnote-ref-2)