

# Getting Ready with Forest Governance:

## A Review of the World Bank Forest Carbon Partnership Facility Readiness Preparation Proposals and the UN-REDD National Programme Documents

Lauren Goers, Andrew Williams, Florence Daviet, Crystal Davis and Sarah Lupberger

### Key Insights:

- In most reviewed documents, the authors recognize that the pillars of forest governance, including land tenure systems and forest law enforcement, must be strengthened to reduce forest-related emissions, but have not yet confronted the scale of this challenge in their REDD+ strategy options. A systematic analysis of forest governance policy and practice, including a thorough assessment of past attempts at reform, is needed to design REDD+ strategies that credibly address the drivers of forest loss.
- In many reviewed documents, authors note that forest and land agencies lack adequate technical and financial capacity to carry out their mandates, but do not elaborate specific strategies to build this capacity. Instead, many authors propose creating new entities to oversee REDD+ implementation, without clearly articulating how these institutions will enhance, or relate to, existing institutions
- In most reviewed documents, authors underscore the importance of integrating REDD+ strategies into land use and development planning, including through mechanisms such as intersectoral committees. While many authors also recognize that competing land uses are often drivers of deforestation, few have identified mechanisms for managing the potentially complex dynamics in these committees. As part of their readiness process, countries may wish to further consider what these committees will need to achieve and what approaches could be adopted to enable constructive debate about competing land use priorities.
- While many governments submitting R-PPs and/ or NPDs are participating in several different REDD+ readiness initiatives, often relevant plans and learning from the other initiatives are not included in the submitted documents, especially with regards to stakeholder participation processes. R-PP authors may wish to at least indicate where such relevant information can be found or potentially include them as an annex to help reviewers have a fuller picture of all on-going REDD+ readiness activities.

World Resources Institute Working Papers contain preliminary research, analysis, findings, and recommendations. They are circulated to stimulate timely discussion and critical feedback and to influence ongoing debate on emerging issues. Most working papers are eventually published in another form and their content may be revised.

Suggested Citation: Goers et al. Getting Ready with Forest Governance. A Review of the World Bank Forest Carbon Partnership Facility Readiness Preparation Proposals and the UN-REDD National Programme Documents, v 1.5. WRI Working Paper. World Resources Institute, Washington DC. Online <http://www.wri.org/gfi>

October 2010, Version 1.5

### INTRODUCTION

The World Bank Forest Carbon Partnership Facility (FCPF) and the UN Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD) are two leading multilateral efforts currently supporting developing countries to prepare strategies to reduce emissions from deforestation and forest degradation and enhance carbon stocks (REDD+). This working paper is a series of regular updates reviewing the Readiness Preparation Proposals (R-PPs) submitted by REDD+ Country Participants to the FCPF and the National Programme Documents (NPDs) submitted by UN-REDD countries. We analyze these documents in order to assess how countries are dealing with fundamental issues of forest governance in their REDD+ strategies, including identifying governance-related drivers of deforestation and forest degradation as well as ensuring that principles of transparency, accountability and participation are key attributes of the systems and activities being developed. The objective of this analysis is to provide REDD+ country governments, their citizens, and other FCPF and UN-REDD stakeholders with objective information on how critical governance issues are addressed in these documents. We hope this evaluation will help stakeholders to more effectively address governance issues in readiness processes.

This working paper includes new analyses of R-PPs recently submitted by Lao PDR, Vietnam and Ethiopia, as well as updated R-PPs from Madagascar and Tanzania, all of which will be presented at the upcoming seventh FCPF Participants Committee (PC) meeting in Washington, DC from 1 November – 4 November 2010.<sup>i</sup> We also review five NPDs from Cambodia, Papua New Guinea, Paraguay, the Philippines and the Solomon Islands to be considered for funding allocation at the 5<sup>th</sup> UN-REDD Policy Board meeting in Washington, DC on 4-5 November.<sup>ii</sup> Past analyses of R-PPs and NPDs previously submitted by participating countries can be accessed online at: <http://www.wri.org/gfi>.

## THE IMPORTANCE OF FOREST GOVERNANCE TO THE REDD+ READINESS PROCESS

Strengthening forest governance will be an essential component of the activities taken by countries seeking to achieve significant and lasting emission reductions through REDD+. Poor forest governance is frequently characterized by lack of capacity to effectively manage natural resources, lack of accountability of decision-makers to impacted stakeholders, and lack of access to information on forest resources and how they are being used. Potential drivers of deforestation and forest degradation such as illegal logging, unplanned forest conversion, and conflicts over access to land and resources are frequently symptomatic of weak forest governance. In order to develop effective national REDD+ strategies, governments need to better understand these challenges and develop measures to strengthen forest governance in ways that build the trust of domestic and international stakeholders.

Furthermore, when developing national REDD+ programs, governments are being asked to identify institutions that will be responsible for management and oversight of REDD+ activities and to develop systems that will perform functions specific to managing REDD+ programs such as monitoring (both of carbon and of overall program implementation), information dissemination and REDD+ revenue distribution. Strengthening the capacity of institutions to design and implement effective, efficient and equitable measures through transparent and inclusive decision-making processes will therefore be an important part of the readiness phase. Addressing entrenched governance weaknesses that drive forest loss and promoting robust foundations of good governance for REDD+ will also help safeguard against adverse social and environmental impacts, while advancing broader sustainable development goals.

## METHOD FOR REVIEWING R-PPs AND NPDs




In this working paper we review the R-PPs and NPDs developed by REDD+ countries in order to document the ways in which governments are considering governance issues in their proposals with respect to both current challenges and future needs. We assess the contents of the proposals with reference to a core set of governance considerations that we regard as vital components of any successful national effort to reduce emissions from deforestation and forest degradation. In particular, we have identified two distinct but related types of governance considerations relevant for REDD+:

*Promoting good governance of REDD+ systems and processes, including:*

- Inclusive and effective stakeholder participation in REDD+ planning and implementation
- Government coordination across different sectors and levels of government in REDD+ planning and implementation
- Transparent and accountable systems for managing and distributing REDD+ revenues and benefits
- Effective and transparent monitoring and oversight of REDD+ activities by a body independent of the implementing agency

*Addressing aspects of governance that are key to managing the drivers of deforestation and forest degradation, including by:*

- Clarifying and securing land and forest tenure
- Building capacity for effective forest management
- Strengthening forest law enforcement
- Addressing other country-specific governance challenges relevant for REDD+

Although the list above is not exhaustive and may not be equally relevant in all countries, it provides a working framework to highlight key governance issues for REDD+. In the tables following this introduction, each R-PP or NPD is analyzed relative to the above list of governance considerations, which in turn include several sub-components. An R-PP or NPD's treatment of the overarching governance consideration is summarized in a brief narrative, and each sub-component is marked green, yellow or red. A green mark (  ) indicates that the REDD+ strategy document has, in our view, convincingly discussed the issue and provided reason to believe that processes are in place to make further progress moving forward. A yellow mark (  ) indicates that the issue has been only partially or superficially considered and that the authors do not elaborate concrete future plans to address the issue. Finally, a red mark (  ) indicates that the issue has not been addressed in the R-PP or NPD.

## OBJECTIVE FOR REVIEWING R-PPs AND NPDs

Our analysis documents how deeply governance issues are addressed within each R-PP and NPD by assessing the strategies governments have proposed to address weaknesses in forest governance and the gaps left by these strategies. We expect this information will be useful for those seeking to assess the adequacy of R-PPs or NPDs, including members of the FCPF Participants Committee, UN-REDD Policy Board, civil society organizations in REDD+ countries, and other interested stakeholders. Recommendations on areas where additional efforts are needed should help those monitoring the readiness process as it progresses in specific countries.

These analyses of the R-PPs and NPDs are not intended to take the place of in-depth, targeted and on-going empirical assessments of forest governance by civil society and governments in their respective countries. The World Resources Institute's Governance of Forests Initiative (GFI) has developed an indicator toolkit with a methodology for assessing and tracking changes in forest governance over time. Civil society

partners in Brazil and Indonesia recently conducted pilot assessments with this toolkit, the results of which will be made available in late 2010. A new round of country assessments building on the lessons learned will begin later this year. For more information visit: <http://www.wri.org/gfi>.

## ABOUT WRI

The World Resources Institute (WRI) is an environmental think tank that goes beyond research to find practical ways to protect the earth and improve people's lives.

---

<sup>i</sup> R-PPs from Lao PDR and Tanzania were submitted for formal review, while R-PPs from Ethiopia, Madagascar, and Viet Nam will be presented for informal review. Peru has submitted an updated R-PP and will present a progress report at PC7. A review of the document is not provided here as it was not presented in English.

<sup>ii</sup> Cambodia, Papua New Guinea and Paraguay have submitted requests for Full National Programmes, and the Philippines and the Solomon Islands have developed Initial National Programmes for review.

## ANNEX 1: OVERVIEW OF THE FCPF AND UN-REDD

### THE FCPF READINESS MECHANISM

The FCPF became operational in 2008 and provides grants to countries to develop REDD+ strategies. The FCPF has 37 member countries, and more than US\$150 million has been committed to the Facility. Experiences from the FCPF are helping to shape international understanding about what it means to be “ready” for REDD+. In particular, the R-PP template developed by the World Bank with input from stakeholders engaged in the FCPF process identifies four major components of readiness: (i) an assessment of deforestation, forest degradation, and relevant governance issues; (ii) REDD+ strategy options and the institutional and legal implementation framework necessary to realize these options; (iii) a reference scenario for greenhouse gas emissions from deforestation and/or forest degradation; and (iv) a monitoring system to measure, report and verify the effects of the REDD+ strategy on GHG emissions and other benefits, to monitor the drivers of deforestation and forest degradation, and to monitor other variables relevant to the implementation of REDD+.<sup>iii</sup>

The Readiness Mechanism contains two phases, through which countries are moving at their own pace:

- (i) During the *Proposal Formulation* phase, REDD+ Country Participants develop an R-PP in consultation with relevant domestic stakeholders that outlines a roadmap of preparation activities necessary to become ready for REDD+. The R-PP is reviewed by an independent Technical Advisory Panel (TAP) and by the FCPF Participants Committee (PC), which is composed evenly of members selected by REDD+ Country Participants and by Donor Participants. Based on its review of the R-PP, the PC has the authority to allocate a readiness grant of up to US \$3.6 million. The World Bank must carry out its own due diligence in the country before a grant agreement is signed.
- (ii) During the *Preparation* phase, countries use the readiness grant to carry out the studies and activities described in their R-PPs. Governments must submit a mid-term progress report – subject to assessment and review by the TAP and PC – before any final disbursement beyond \$2 million is made. The final outcome of this phase is a ‘Readiness Package,’ which describes the current state of REDD+ readiness and is subject to review and assessment by the TAP and PC.

### THE UN-REDD PROGRAMME

The UN-REDD Programme was launched in 2008 as a collaboration of UNDP, UNEP and FAO. UN-REDD’s work leverages the in-country experience of these three organizations to provide support and technical assistance to developing countries as they develop national REDD+ strategies. UN-REDD’s activities also include a Global Programme that focuses on knowledge sharing and development of common approaches and tools for REDD+. More than US\$80 million has been committed to UN-REDD since its inception in 2008 and over US\$40 million has been allocated to support pilot country National Programmes and the UN-REDD Global Programme.

UN-REDD began with 9 original pilot countries and has expanded its membership to include 18 additional partner countries, many of which are also participants in the FCPF. UN-REDD countries submit National Programme Documents (NPDs) that include an overview of the country’s situation with regard to forest laws and management and identify major outcomes to be achieved using UN-REDD funds. Funds can be requested either for full national programs that span multiple years of implementation, or for initial quick start programs that help countries build initial capacity and make progress towards developing a national REDD+ strategy, typically over a 12-18 month timeframe. Governments submitting NPDs are required to have an on-going stakeholder consultation process that includes a documented validation meeting before the draft NPD is submitted to UN-REDD for review. The UN-REDD’s review process for NPDs is led by the Programme Secretariat, which assesses the submitted plans and submits approved NPDs to the Programme Policy Board for a final decision and budget allocation. Eight of the nine pilot countries have presented initial or full NPDs to the Policy Board and been approved for funding.

---

<sup>iii</sup> Forest Carbon Partnership Facility. “Readiness Preparation Proposal (R-PP) Template.” R-PP v.4 (January 28, 2010).

## ANNEX 2: REVIEW METHODOLOGY

<b>GOVERNANCE OF REDD+</b>	
<i>To what extent does the R-PP promote good governance within REDD+ systems and processes?</i>	
<b>Stakeholder Participation in REDD+ planning and Implementation</b>	
	<i>Identifies relevant stakeholders for REDD+</i>
	<i>Specifically considers how to engage vulnerable groups</i>
	<i>Establishes procedures to ensure a transparent process and accountability for stakeholder input</i>
	<i>Establishes a grievance / dispute resolution mechanism</i>
	<i>Considers how to learn and build from other relevant participatory processes</i>
<b>Government coordination in REDD+ planning and implementation</b>	
	<i>Considers REDD+ in the context of other sector policies, land use plans, and national development plans</i>
	<i>Proposes a process to reconcile potential conflicts between REDD+ strategies and other policies/plans</i>
	<i>Proposes effective mechanisms to coordinate REDD+ across sectors</i>
	<i>Proposes effective mechanisms to coordinate REDD+ across levels of government</i>
<b>Transparent and accountable REDD+ revenue management &amp; benefit sharing</b>	
	<i>Proposes a transparent system to track and coordinate international financing of activities related to REDD+</i>
	<i>Considers measures to promote fiscal transparency and accountability for REDD+ revenue management</i>
	<i>Proposes a transparent process for deciding who should benefit from REDD+ and how benefits will be targeted</i>
	<i>Reviews lessons from past and/or existing systems for managing and distributing forest revenues</i>
<b>Transparent monitoring and oversight of REDD+</b>	
	<i>Proposes to establish information management systems for REDD+ that guarantee public access to information</i>
	<i>Proposes mechanisms for independent oversight of the implementation of REDD+ activities</i>
	<i>Proposes mechanisms to monitor efforts to address governance challenges</i>
<b>GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS</b>	
<i>To what extent does the R-PP consider key forest governance challenges for achieving REDD+?</i>	
<b>Land and forest tenure</b>	
	<i>Discusses the situation regarding land and forest tenure, including for indigenous peoples</i>
	<i>Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens</i>
	<i>Links identified governance challenges to proposed REDD+ strategy options and implementation framework</i>
<b>Forest Management</b>	
	<i>Discusses the ability of forest agencies to plan and implement forest management activities</i>
	<i>Considers the role of non-government stakeholders, including communities, in forest management</i>
	<i>Links identified governance challenges to proposed REDD+ strategy options and implementation framework</i>
<b>Forest Law Enforcement</b>	
	<i>Discusses the ability of law enforcement bodies to effectively enforce forest laws</i>
	<i>Discusses efforts to combat corruption</i>
	<i>Links identified governance challenges to proposed REDD+ strategy options and implementation framework</i>
<b>Other Forest Governance Issues Relevant for REDD+</b>	
	<i>Discusses other forest governance issues that are relevant for REDD+</i>
	<i>Links identified governance challenges to proposed REDD+ strategy and implementation framework</i>

## ANNEX 3: R-PP REVIEW TABLES

## ETHIOPIA

*(R-PP dated 15 October 2010)***GOVERNANCE OF REDD+***To what extent does the R-PP promote good governance within REDD+ systems and processes?***Stakeholder participation in REDD+ planning and implementation**+ *Identifies relevant stakeholders for REDD+*+ *Specifically considers how to engage vulnerable groups*+ *Establishes procedures to ensure a transparent process and accountability for stakeholder input**Establishes a grievance/ dispute resolution mechanism**Considers how to learn and build from other relevant participatory processes*

The R-PP's detailed stakeholder consultation plan indicates a strong commitment to developing a clear and inclusive REDD+ consultation process. The plan identifies a wide range of stakeholder groups that need to be involved in the REDD+ consultation process (p28-32). The R-PP presents summary information on the outcomes of consultations carried out thus far with government institutions, civil society organizations and communities (p22-26). The consultation and participation plan sets out detailed methodologies to be used for consultation on the different components of the R-PP (p32-35), responding to identified needs for training, awareness raising and also empowering forest communities and marginalized forest stakeholders to engage with policy-makers directly. As part of the consultation process, regional and other forums bringing together a range of stakeholders including forest communities will be set up, which the R-PP states will also provide avenues for airing grievances and managing conflict (p41). However, there is not a lot of detail about how this would work in practice. The needs and interests of vulnerable groups will be taken into account as part of the SESA which will inform the development of the REDD Implementation Framework (p94). Although the R-PP does not explicitly draw on lessons from other relevant participatory processes in Ethiopia, it acknowledges the importance of this and it makes substantial use of participatory guidelines and tools developed by FAO (Annex 1b-3) to consider different consultation methods and conduct stakeholder mapping.

**Recommendations:**

- Provide a review of the lessons learned from relevant participatory processes in the forestry sector in Ethiopia
- Clarify how conflict resolution will be integrated into the consultation process

**Government coordination in REDD+ planning and implementation***Considers REDD+ in the context of other sector policies, land use plans, and national development plans**Proposes a process to reconcile potential conflicts between REDD+ strategies and other policies/plans*+ *Proposes effective mechanisms to coordinate REDD+ across sectors*+ *Proposes effective mechanisms to coordinate REDD+ across levels of government*

The R-PP cites the importance of integrating REDD+ into broader development policies, although it does not discuss specific sectoral programs or policies in detail. It does, however, consider potential conflicts between REDD goals and other land uses more generally, citing agricultural expansion and food security policies as generally taking precedence over efforts to preserve forest cover (p50). During the stakeholder consultations held thus far, some noted that the current forest extension service is located within the Ministry of Agriculture and Rural Development, which poses a potential conflict of interest in deciding sectoral priorities in the absence of a federal forest ministry, particularly since agriculture is a leading driver of deforestation (p78). The R-PP suggests development of cross-sectoral coordination mechanisms such as a task force that would include stakeholders from different ministries and agencies that could help improve coordination across competing sectors (p82).

The proposed management arrangements for REDD+ planning and implementation create mechanisms to coordinate REDD activities across several scales of implementation. In the absence of a federal forest agency in Ethiopia, the Environmental Protection Authority will chair the National REDD Steering Committee and REDD Technical Working Group, which will be

**ETHIOPIA***(R-PP dated 15 October 2010)*

comprised of members from federal Ministries, regional states, non-governmental bodies and the private sector (p12). Regional steering committees and technical working groups will also be established, and working groups at the district level will be created in areas with REDD+ pilot activities (p13). A REDD Secretariat will serve as a liaison with regional administration to provide coordination and management support, and the R-PP notes that the tiered structure of working groups is designed to promote access at each respective level of engagement.

**Recommendation:**

- Provide a more detailed description of existing national and sectoral strategies and how REDD+ planning and implementation could be integrated into broader development goals

**Transparent and accountable REDD+ revenue management & benefit sharing**

*Proposes a transparent system to track and coordinate international financing of activities related to REDD+*

*Considers measures to promote fiscal transparency and accountability for REDD+ revenue management*

*– Proposes a transparent process for deciding who should benefit from REDD+ and how benefits will be targeted*

*Reviews lessons from past and/or existing systems for managing and distributing forest revenues*

The R-PP only superficially considers revenue tracking or distribution systems for REDD+. Component 2c proposes that a performance-based, accountable system for managing REDD+ funds should be developed and should incorporate the inputs of a range of stakeholders (p87). However, which institutions could be in charge of revenue management or the types of capacity that will be needed to develop these systems is not discussed. There are a few existing examples of agreements between the government and community organizations over rights to forest resources that have included some benefit-sharing arrangements, and while the R-PP notes that these agreements could provide some precedent for developing REDD+ benefit sharing mechanisms, it does not elaborate on the effectiveness or design of these systems (p48). Furthermore, the R-PP notes that the 2007 Federal Forest Development, Conservation and Utilization Proclamation provides a legal basis for supporting benefit sharing for forest management but is not currently being implemented. A process for deciding how benefits will be shared is not discussed, but the R-PP does state the intention of monitoring the performance of benefit distribution (p137).

**Recommendations:**

- Propose options for management of REDD+ financing, including which institution should have oversight of revenue management and how principles of transparency and accountability will be part of the design
- Propose a study that examines past efforts to create benefit sharing systems, analyzes why existing legal provisions for benefit sharing have not been implemented and discusses lessons learned for REDD+

**Transparent monitoring and oversight of REDD+**

*+ Proposes to establish information management systems for REDD+ that guarantee public access to information*

*Proposes mechanisms for independent oversight of the implementation of REDD+ activities*

*– Proposes mechanisms to monitor efforts to address governance challenges*

The R-PP places great emphasis on raising awareness about REDD+ and provides an information development, dissemination and communications outline for the general public (p39, 163). This includes the development a stakeholder information management system, comprised of an accessible stakeholder consultation database. The R-PP notes that a coordinating body such as a steering committee will be necessary to link MRV and information systems to the national REDD+ policy and oversee monitoring (p138), but does not explicitly mention a mechanism for the independent oversight of REDD+ implementation.

Efforts to monitor progress to address governance challenges to managing the drivers of deforestation are not discussed in the R-PP.

**Recommendations:**

- Clarify how proposed mechanisms for sharing information will be managed, who will manage them, and the types of

## ETHIOPIA

(R-PP dated 15 October 2010)

information that will be made publicly available

- Elaborate on what an independent monitoring and oversight mechanism for REDD would include
- Develop a framework for monitoring the governance challenges related to implementing REDD strategies

## GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS

*To what extent does the R-PP consider key forest governance challenges for achieving REDD+?*

### Land and forest tenure

+ *Discusses the situation regarding land and forest tenure, including for indigenous peoples*

– *Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens*

Links identified governance challenges to proposed REDD+ strategy options and implementation framework

The R-PP provides a very brief overview of forest tenure in Ethiopia. Private and state ownership of forests are recognized, but the situation with respect to community rights to ownership or forest use appears to vary depending on the region. For example, devolvement of some forest management responsibilities to the regional level has allowed regions such as Oromia—which is cited as having comparatively higher capacity on forest issues than elsewhere in Ethiopia—to pass its own Regional Proclamation that recognizes community ownership as well as state and private ownership (p47). In general, the situation with respect to tenure and rights to use forest resources is summarized as unclear for many forest dependent groups, thus contributing to an ‘open access’ mindset that does not incentivize forest management (p50). Clarifying and securing long term user rights for forest-dependent stakeholders is listed as an important component of a REDD+ strategy that will require review of laws and policies and stakeholder outreach to ultimately result in clearer use rights and carbon ownership (p82). A discussion of the potential of conflicts and by what process they would be resolved is not included.

#### Recommendations:

- Describe any relevant existing mechanisms for conflict resolution, and review the strengths and weaknesses of the judicial system, in terms of upholding the forest laws and mediating in dispute resolution
- Conduct a more detailed assessment of the current tenure situation

### Forest Management

+ *Discusses the ability of forest agencies to plan and implement forest management activities*

+ *Considers the role of non-government stakeholders, including communities, in forest management*

Links identified governance challenges to proposed REDD+ strategy options and implementation framework

The R-PP acknowledges that, in the absence of a single lead agency, the situation for forestry is sub-optimal, and new institutional arrangements are required together with a substantial need for capacity building. The R-PP contains a relatively detailed review of past and current strategies to address deforestation and forest degradation (p58-63), many of which discuss different forest management regimes such as development of plantation forestry, agroforestry systems, participatory and traditional forest management schemes, and CDM projects (p59).

The R-PP sets out a desired set of roles for a wide range of stakeholders in preparing for and implementing REDD+ and explicitly recognizes the importance and promise of participatory forestry management and monitoring (p43, 102).

The creation of a forest institution that will be responsible for management and oversight at the federal and regional levels is envisioned as part of an eventual REDD+ strategy, and a study proposed on legal, institutional and policy gaps is proposed to help identify appropriate institutional arrangements for REDD+ (p55).

#### Recommendation:

- Clarify the different roles and responsibilities of the existing institutions that play a role in forest management and identify coordination and capacity building needs



## ETHIOPIA

*(R-PP dated 15 October 2010)***Forest Law Enforcement**+ *Discusses the ability of law enforcement bodies to effectively enforce forest laws**Discusses efforts to combat corruption*+ *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The R-PP briefly considers the status of law enforcement efforts in Ethiopia. The lack of a federal institution responsible for forest management and oversight, coupled with gaps in the legal framework, leads to ineffective implementation and enforcement of laws (p52). Ensuring compliance with forest laws will require actions such as designation of forest inspectors or monitors and clarification of the legal framework. The R-PP proposes the establishment of a federal and regional level institution dedicated to providing forest services and conducting a needs assessment of the types of activities this body would need to perform, including enforcement and monitoring activities (p84). The R-PP briefly states there is a need for respecting anti-corruption laws and measures, specifically for ensuring that REDD+ financial flows are managed appropriately (p88), but does not analyze or elaborate on specific instances of corruption in the forest sector.

**Recommendation:**

- Clarify which institution is responsible for any existing law enforcement efforts and how these efforts can be strengthened, as creation of a new forest institution is likely to take some time to develop

**Other Forest Governance Issues Relevant for REDD***Discusses other forest governance issues that are relevant for REDD+*+ *Links identified governance challenges to proposed REDD+ strategy and implementation framework*

The Land Use, Forest Policy and Governance assessment does not explicitly discuss forest governance issues that may contribute to deforestation and degradation. The R-PP does propose a pilot project on what it refers to as “Good REDD+ Governance mechanisms,” but does not provide a definition of good REDD+ governance or elaborate on the types of issues that should be addressed through this pilot, other than stating that it will contribute to learning about best practices in terms of implementation (p72).

**Recommendation:**

- Include an explicit discussion of existing forest governance strengths and weaknesses in Component 2a and how these might be improved through planned efforts to pilot good REDD+ governance

## GOVERNANCE OF REDD+

*To what extent does the R-PP promote good governance within REDD+ systems and processes?*

### Stakeholder participation in REDD+ planning and implementation

+ *Identifies relevant stakeholders for REDD+*

+ *Specifically considers how to engage vulnerable groups*

*Establishes procedures to ensure a transparent process and accountability for stakeholder input*

- *Establishes a grievance / dispute resolution mechanism*

*Considers how to learn and build from other relevant participatory processes*

The R-PP's Consultation and Participation Plan recognizes the importance of a conducting a transparent and inclusive process, but notes that consultations to date have been limited to the national level and to the few provinces where readiness activities are currently envisioned. The R-PP explains the focus on national stakeholders by noting that many local stakeholders live in remote villages that are difficult to access, and that at this point in R-PP development there is no budget for the high costs of full participation across provincial, district and village level consultation (p18). Many of the ethnic groups and local communities do not have written materials in their languages, and educating these communities so they are able to participate in a manner that is in line with the principle of Free, Prior and Informed Consent (FPIC) is cited as an important priority (p19). Proposed methods to improve the ability to conduct consultations with these communities include development of audio materials in local languages, information sharing managed by stakeholder groups and the use of the government's Technical Service Centres (TSC), which already provide support to villages for agriculture and activities (p19,24). The R-PP lists a few existing projects at the local level that have consultation components that could incorporate REDD+ activities, but it does not elaborate on how these initiatives have addressed the constraints of accessibility and language barriers, or whether these activities could be scaled up for REDD+.

The R-PP proposes a broad range of tools for engaging stakeholders throughout the REDD+ process. Stakeholder interviews and consultation meetings have been the main tools utilized thus far, and the R-PP proposes further mechanisms that include workshops, focus group meetings, and self-administered questionnaires, although a clear timeline and process for administering these activities is not delineated (p24). The Consultation and Participation plan aims to ensure transparency and accountability through monitoring and evaluation of the consultation process that includes indicators that assess whether information has reached intended recipients and how stakeholder feedback is shared and addressed in the consultation process (p26). The R-PP does not include a discussion of dispute resolution mechanisms for stakeholder processes.

#### **Recommendation:**

- Clarify how stakeholder conflicts relating to REDD+ will be addressed through a dispute resolution mechanism

### Government coordination in REDD+ planning and implementation

+ *Considers REDD+ in the context of other sector policies, land use plans, and national development plans*

*Proposes a process to reconcile potential conflicts between REDD+ strategies and other policies/plans*

*Proposes effective mechanisms to coordinate REDD+ across sectors*

*Proposes effective mechanisms to coordinate REDD+ across levels of government*

The R-PP recognizes the importance of considering REDD+ in the context of land use planning and national development programs such as the Forest Strategy 2020, and makes some effort to identify mechanisms of incorporating REDD+ more broadly into planning processes. For example, the R-PP discusses including an assessment of the impacts of land allocation decisions on carbon values into existing land use planning processes (p41-42). Furthermore, the potential conflict between REDD+ goals and existing priority policy goals for the land use sector such as commercialization of agriculture is acknowledged (p29). The R-PP estimates that nearly half of the emissions from land use change in Lao PDR are 'highly dependent on decisions and actions from other sectors that require land for other purposes' (p39).

## LAO P.D.R.

*(R-PP dated 11 October 2010)*

While the R-PP notes that the current readiness management arrangements have been led by a REDD+ Task Force that is made up of a majority of members from one ministry (the Ministry of Agriculture and Forestry), the improvement of cross-sectoral coordination by adding representatives of key ministries such as the Ministry of Mines and Energy and the Ministry of Finance, Planning and Investment is proposed (p14). High level coordination and decision-making at the ministerial level will be provided by the National Environment Committee, which also oversees implementation of the National Climate Change Strategy and Action Plan (p14). Similarly structured provincial level arrangements are proposed in order to ensure sub-national coordination, but how these provincial entities would coordinate with the national REDD+ task force or with local level implementing bodies is not discussed.

### **Recommendations:**

- Identify potential strategies for reconciling conflicts between competing land use priorities that go beyond raising awareness
- Clarify how the established national REDD+ task force and provincial level task forces will collaborate
- Elaborate on how the REDD+ Task Force will reach out to include a broader representation of sectoral interests

### **Transparent and accountable REDD+ revenue management & benefit sharing**

*Proposes a transparent system to track and coordinate international financing of activities related to REDD+*

*Considers measures to promote fiscal transparency and accountability for REDD+ revenue management*

*Proposes a transparent process for deciding who should benefit from REDD+ and how benefits will be targeted*

*Reviews lessons from past and/or existing systems for managing and distributing forest revenues*

The R-PP recognizes the importance of developing transparent and accountable financial management arrangements for receiving international financial flows as well as for distributing those funds to sub-national and local recipients (p55-56). The R-PP notes that there are some current funds operating in Lao PDR, but does not elaborate on what these funds are or what lessons they may provide for REDD+ fund management, only stating that a system for REDD+ is likely to be more complex. The possibility of creating a REDD+ fund during the implementation phase has been discussed with members of the Ministry of Finance as well as various fund administrators, but the R-PP describes these conversations as “preliminary” and does not elaborate on how such a fund might be administered and which agency would be in charge of oversight (p55).

The R-PP briefly discusses some challenges inherent in developing a benefit-sharing system at the local level, citing questions of who pays transaction costs for distributing local level revenues and the potential perverse incentive of providing revenue only to those actors that are inclined to clear land as issues that will need to be discussed and piloted at the village level. The R-PP suggests that simple methods of benefit sharing could be tested during initial phases of readiness in order to eventually create a more complex system based on lessons learned (p56).

### **Recommendation:**

- Propose a study to assess the effectiveness of existing systems of revenue management and benefit sharing in Lao PDR and key findings that are likely to be relevant for REDD+

### **Transparent monitoring and oversight of REDD+**

*+ Proposes to establish information management systems for REDD+ that guarantee public access to information*

*- Proposes mechanisms for independent oversight of the implementation of REDD+ activities*

*+ Proposes mechanisms to monitor efforts to address governance challenges*

The importance of sharing information with relevant stakeholders, as well as ensuring transparency in decision-making and monitoring through ensuring access to timely information, is supported in the R-PP by the proposed establishment of a REDD+ ‘clearing house’ mechanism (p58). The R-PP states that this system will build off of existing information management systems and will be hosted by the Ministry of Agriculture and Forestry (MAF). The R-PP proposes to link this clearinghouse with existing

## LAO P.D.R.

(R-PP dated 11 October 2010)

databases of other agencies in the MAF, although it does not clarify the type of information that will be made available.

The R-PP proposes to monitor drivers of deforestation and forest degradation, as well as key governance concerns. Monitoring of drivers of forest change will require gathering of information from relevant forest agencies on concessions, land use allocations, and detection of illegal activities. The R-PP plans to build off of existing initiatives to develop indicators for monitoring governance-related issues, specifically proposing to adapt a draft framework of governance parameters agreed at a Chatham House workshop in May 2010 in order to create country-specific indicators that will be approved by stakeholders. The R-PP also proposes to undertake an assessment of baseline governance factors that will need to be addressed in REDD+ implementation and conduct annual monitoring to assess progress (p84)

### **Recommendations:**

- Clarify the types of information that will be available in the REDD+ clearinghouse mechanism
- Identify an entity that could be responsible for independent monitoring of REDD+ implementation

## GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS

*To what extent does the R-PP consider key forest governance challenges for achieving REDD+?*

### **Land and forest tenure**

+ *Discusses the situation regarding land and forest tenure, including for indigenous peoples*

- *Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens*

• *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

In Lao PDR usage rights are generally conferred by the state to village authorities or ethnic groups, but local communities and ethnic groups typically do not hold any legal title or enforceable rights to the land that they manage. There are land use planning processes for delineating agricultural and forest land in rural areas, but the legal status of land that is allocated to communities is not clarified in the R-PP (p29). The R-PP authors acknowledge that the existing tenure situation poses some difficulties for REDD+, since groups that do not hold legal title may not be able to benefit from REDD+ revenues or there may be multiple stakeholder groups with overlapping claims to land (p29). However, the authors do not elaborate further on how these conflicts could be resolved.

The tenure challenges identified in the R-PP are not directly linked to proposed REDD+ strategy options, although some of the results of unclear tenure such as illegal harvesting or forest clearing are indirectly addressed through proposed solutions such as support programs for alternative livelihoods and agroforestry systems. The authors state that the development of a REDD+ regulation should address insecure tenure by clarifying rights to resources, including carbon tenure, but does not propose a process or further studies for achieving this task.

### **Recommendation:**

- Propose a study to examine how existing tenure rights or potential conflicts caused by overlapping tenure claims can be clarified, including how to include relevant ethnic groups and other stakeholders in the process of clarifying rights

### **Forest Management**

+ *Discusses the ability of forest agencies to plan and implement forest management activities*

• *Considers the role of non-government stakeholders, including communities, in forest management*

• *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

Lack of capacity to implement forest laws and management activities is an ongoing issue in the forest sector in Lao PDR (p30). Forest management priorities for the 2020 Forest Strategy include improvement of sustainable forest management practices as well as forest restoration efforts. Some progress towards these goals has been made through the establishment of 3 main forest

## LAO P.D.R.

(R-PP dated 11 October 2010)

demarcations-Production, Protection and Conservation Forests; however, management of these forests is still in a nascent stage. Despite the establishment of these forest zones, in practice very few protection forests have demarcated boundaries and many production forests still lack management plans (p36). Therefore, in many cases illegal logging and forest clearing are ongoing due to a lack of financing and staff capacity. In some cases local communities may be allowed to harvest small quantities of timber for their own uses, but overall the role of non-government actors in forest management is not discussed in detail.

The proposed REDD+ strategy is to support the forest management strategies that are already being put into place, such as encouraging forest protection and promoting sustainable forest management. Proposed activities also seek to strengthen capacity for forest management at all levels among all stakeholders, although specific capacity needs are not defined (p52).

### **Recommendations:**

- Provide further detail on who has oversight for forest management activities and opportunities for involvement of non-government stakeholders in REDD+ or other forest management programs
- Identify how the limited financial and technical capacity of forest management agencies will be addressed as part of readiness

### **Forest Law Enforcement**

+ *Discusses the ability of law enforcement bodies to effectively enforce forest laws*

+ *Discusses efforts to combat corruption*

+ *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The R-PP clearly identifies some of the major obstacles to effective law enforcement in Lao PDR, emphasizing the role that weak law enforcement and poor oversight of forests plays in contributing to illegal logging activities. The R-PP states that a new Department of Forest Inspection (DOFI) has been established within the Ministry of Agriculture and Forestry (MAF) to address these issues and improve overall monitoring of the forest sector (p29). Efforts to improve law enforcement capacity and training are already planned under the new five year plan for DOFI for 2011-2015, and it will likely be supplemented by some strategies proposed in the R-PP. For example, better enforcement of harvest quotas in management plans, analysis of wood products and consumption that ensures better data is collected on wood harvesting and export, and the development of a surveillance system that can improve real-time monitoring are all potential REDD+ strategy options proposed to address existing forest law enforcement weaknesses that contribute to illegal forest activity (p46-48).

Corruption is mentioned briefly in a list of issues to be monitored as part of overall REDD+ performance in the section 4b on monitoring of other benefits and impacts, but is not discussed elsewhere in the R-PP.

### **Recommendation:**

- Clarify whether corruption is a pervasive problem in the forest sector that needs to be addressed for REDD+

### **Other Forest Governance Issues Relevant for REDD+**

+ *Discusses other forest governance issues that are relevant for REDD+*

+ *Links identified governance challenges to proposed REDD+ strategy and implementation framework*

The R-PP's briefly discusses general forest governance challenges in the forest sector that are likely to impact REDD+. The major issue cited is the contribution of weak governance to overall implementation and enforcement issues that result in poor natural resource management (p29). Inadequate funds and a lack of trained staff are major constraints to ensuring implementation of laws and policies, and this problem exists particularly at the provincial and district levels. The R-PP identifies some strategies for improving implementation, primarily by strengthening enforcement efforts.

### **Recommendation:**

- Elaborate on methods for strengthening capacity of institutions at the district and provincial level

## MADAGASCAR

*(R-PP dated 8 October 2010)***GOVERNANCE OF REDD+***To what extent does the R-PP promote good governance within REDD+ systems and processes?***Stakeholder participation in REDD+ planning and implementation***Identifies relevant stakeholders for REDD+**+ Specifically considers how to engage vulnerable groups**+ Establishes procedures to ensure a transparent process and accountability for stakeholder input**+ Establishes a grievance / dispute resolution mechanism**Considers how to learn and build from other relevant participatory processes*

The stakeholder consultation plan clearly describes consultations held to date on the R-PP and outlines a process for informing and consulting stakeholders that emphasizes the need for accountability through stakeholder feedback (p24). There are some existing systems for consultation in Madagascar already in place, such as the public participation requirements in environmental management as set out in the Environmental Charter. Furthermore, the R-PP lists some existing processes such as Planning and Monitoring and Evaluation Platforms, Multi-Local Planning Committees and Forest Commissions as mechanisms for facilitating stakeholder engagement and conflict resolution, although how the R-PP could build on these processes is not specified (p17). A “revitalized” conflict resolution mechanism is briefly mentioned as part of the implementation framework for REDD+ that will be developed during year 2 of the readiness process (p59).

Initial consultations were held at the national level, including with key ministries, national and international NGOs, and the scientific community. For sub-national consultations, 7 regions with high rates of deforestation were selected for regional consultations that utilized guidance tools such as videos, maps and schematic tools. Attempts were made to ensure local agents were present to communicate in both local and official languages, but the R-PP notes the need to hold future consultations at a district level as well, since many regional centers are not easily accessible for local stakeholders (p21). The R-PP suggests that a representative sample of women and vulnerable sectors should be identified for inclusion in consultations, although it does not clarify what is meant by “vulnerable groups” in this context. The plan also lists the types of communities that will need to be included in consultations, such as slash-and-burn farmers, communities managing natural resources, small-scale mining operators, and stakeholders in the timber market (p23).

**Recommendation:**

- Develop a more detailed list of national and sub-national stakeholders to be included in the consultation and planning process, including a definition of vulnerable sectors.

**Government coordination in REDD+ planning and implementation***+ Considers REDD+ in the context of other sector policies, land use plans, and national development plans**Proposes a process to reconcile potential conflicts between REDD+ strategies and other policies/plans**Proposes effective mechanisms to coordinate REDD+ across sectors**Proposes effective mechanisms to coordinate REDD+ across levels of government*

The R-PP demonstrates a commitment to ensuring the REDD+ planning is coordinated and that REDD+ policies are consistent with national development plans. The R-PP lists unresolved issues such as overlap between forest and mining areas, programs that promote agricultural investment, and poor coordination of land use planning all pose potential challenges to successful integration of REDD+ programs that will need to be addressed. The R-PP describes some efforts to address these issues through its management arrangements for REDD+. An existing Interministerial Committee (CIME) will be responsible for overall decision-making, integrating REDD+ into sectoral policies, and coordinating REDD+ in Madagascar (p12). A REDD+ Technical Committee (CT-REDD) is also tasked with providing coordination and technical support, and the R-PP states that, over the course of the readiness process, this body will become a REDD+ Readiness Coordination Platform (PCP-REDD+). A REDD+ Unit housed within the Ministry of Forestry is also intended to help link the REDD+ process to other decision-making processes and

## MADAGASCAR

(R-PP dated 8 October 2010)

sectors (p14). It is not clear how clearly the division of roles and responsibilities have been divided between these groups. Furthermore, a National Monitoring and Mediation Structure is tasked with overall monitoring and linking of REDD+ to intersectoral decision-making processes (p55). At the sub-national level, the Regional Forest Commission will be involved in relaying information about the PCP-REDD+; however, coordination across levels of government is noted as a current challenge that is exacerbated by lack of clarity in the division of roles and responsibilities between central and sub-national levels of government.

Finally, while the R-PP does mention that past coordination efforts have not been effective, there is no in depth explanation of the existing capacity of these institution to coordinate activities and the possible challenges for developing process to resolve conflicts between sectors.

### **Recommendations:**

- Establish clear roles and responsibilities for the various coordinating bodies discussed in the R-PP
- Include a discussion of how new initiatives to improve coordination for REDD+ will differ from past efforts that were described as ineffective

### **Transparent and accountable REDD+ revenue management & benefit sharing**

*Proposes a transparent system to track and coordinate international financing of activities related to REDD+*

+ *Considers measures to promote fiscal transparency and accountability for REDD+ revenue management*

*Proposes a transparent process for deciding who should benefit from REDD+ and how benefits will be targeted*

+ *Reviews lessons from past and/or existing systems for managing and distributing forest revenues*

The importance of developing efficient and transparent revenue management processes for REDD+ is expressed in the R-PP, although specific systems for tracking or sharing funds are not proposed. Several existing mechanisms for sharing benefits are discussed as providing potential lessons for REDD+ revenue sharing, such as benefit sharing systems that share proceeds from protected areas and ecotourism with local communities and conservation agreements for community conservation efforts (p39, 40). The R-PP states that revenue-sharing mechanisms from the forest sector, as well as experiences with sharing of mining and oil revenues, will be assessed as part of the process of developing a system for REDD+ and options will be evaluated during the process of preparing a more detailed strategy. These assessments will include analysis of some of the institutions involved in these funding mechanisms. Once financial management arrangements are in place, the National Monitoring and Mediation Structure will play a monitoring role and help ensure access to information on revenue management is available to the public.

### **Recommendations:**

- Identify which institution could be responsible for management of REDD+ revenues and discuss any capacity building efforts that might be required
- Outline a process for how the revenue systems will be developed in consultation with relevant stakeholders

### **Transparent monitoring and oversight of REDD+**

+ *Proposes to establish information management systems for REDD+ that guarantee public access to information*

*Proposes mechanisms for independent oversight of the implementation of REDD+ activities*

+ *Proposes mechanisms to monitor progress of efforts to address governance-related drivers of deforestation*

A commitment to information sharing with all actors is expressed in the R-PP, which notes the need to build capacity of institutions to manage information systems. In general, several different institutions have forest information management responsibilities in Madagascar, including the Ministry of Environment and Forests and its subsidiary body the National Environmental Office (ONE), which is frequently responsible for making information publicly available. The preliminary vision for oversight of REDD+ implementation includes a National Monitoring and Mediation Structure that is responsible for monitoring of REDD+ implementation, coordination and technical planning, as well as a Technical Monitoring and Information

## MADAGASCAR

(R-PP dated 8 October 2010)

Management Unit (p55), although it is not clear whether the Monitoring and Mediation Structure functions as an independent body.

A specific system for governance monitoring is also proposed and will consider the issues identified in the REDD+ strategy options, as well as monitor the transparency and accountability of the different institutions and actors involved in REDD+ implementation (p84). An indicator matrix for assessing these governance components will be created through a consultation process.

### **Recommendations:**

- Clarify the roles and responsibilities for information management and dissemination across the different technical and coordinating bodies discussed in the R-PP
- Clarify whether the National Monitoring and Mediation Structure is an independent body or part of an existing institution

## GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS

*To what extent does the R-PP consider key forest governance challenges for achieving REDD+?*

### **Land and forest tenure**

+ *Discusses the situation regarding land and forest tenure, including for indigenous peoples*

– *Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens*

Links identified governance challenges to proposed REDD+ strategy options and implementation framework

The tenure situation in Madagascar is generally described as insecure, thus incentivizing forest clearing for agriculture and other purposes. Forest land belongs to the state, and recognition of property ownership is contingent on a process of registration that requires proof of “obvious and permanent personal hold” such as land clearing (p28). A National Tenure Program is in its initial phase, but aims to improve tenure security by improving the quality of tenure services such as tenure mapping, decentralizing tenure management and administration services to the commune level, and reviewing the legal framework for tenure (p35). While specific tenure challenges are not explicitly addressed in the preliminary REDD+ strategies, the overarching strategy options identified include efforts to improve forest governance and manage access to forest areas that may need to consider tenure security. The R-PP does classify existing strategy options as “provisional” and outlines a process for developing these strategies further once needed assessments and consultations have been conducted (p47).

### **Recommendations:**

- Discuss the existence of judicial or other systems to resolve tenure-related conflicts
- As part of the process of developing a more detailed set of REDD+ strategy options, outline potential strategies to address tenure-related drivers of deforestation

### **Forest Management**

+ *Discusses the ability of forest agencies to plan and implement forest management activities*

+ *Considers the role of different stakeholders, including communities, in forest management*

Links identified governance challenges to proposed REDD+ strategy options and implementation framework

The R-PP describes some of the existing initiatives and ongoing challenges faced by forest management activities in Madagascar that will need to be addressed in the readiness phase. The Forest Administration’s lack of resources, corruption, ineffective decentralization policies, and unreliable forest information contribute to a forest management system that is susceptible to corruption and weak governance (p38).

There have been some attempts to diversify the suite of actors involved in resource management by transferring responsibilities for forest resource management to local groups. Enhancement of some of the existing efforts to improve forest management through transfer of management responsibilities to a more decentralized management structure is part of the REDD+ strategy being



## MADAGASCAR

(R-PP dated 8 October 2010)

developed. These efforts attempt to delegate forest management responsibilities to non-government actors such as local communities, civil society and the private sector (p48).

### **Recommendation:**

- Provide more detail on why past efforts to improve forest policy and administration have not been successful

### **Forest Law Enforcement**

+ *Discusses the ability of law enforcement bodies to effectively enforce forest laws*

+ *Discusses efforts to combat corruption*

+ *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The R-PP identifies a range of existing law enforcement challenges such as poor enforcement of regulations, poor surveillance systems, lack of human and financial capacity, and gaps in regulations that impose penalties for forest crimes (p37). Furthermore, since the 2009 political crisis illegal logging of valuable timber species such as rosewood has increased. Some input from regional consultations also identified weaknesses in the judicial system, citing instances of forest crime in which the cases of offenders were discharged when they arrived in court, although specific reasons for this are not discussed. Corruption is also identified as a cross-cutting issue in the forest sector. Specific types of corruption are not discussed, but several existing structures for fighting financial corruption are listed (p86).

Improving law enforcement, particularly surveillance systems that could help in monitoring of forest crime, is a priority for carrying out a REDD+ strategy, but specific mechanisms for addressing the types of capacity, enforcement, and corruption issues discussed in the R-PP are not clarified.

### **Recommendation:**

- Propose a study to examine gaps in the existing legal and regulatory frameworks for forest law enforcement and forest crime

### **Other Forest Governance Issues Relevant for REDD+**

+ *Discusses other forest governance issues that are relevant for REDD+*

+ *Links identified governance challenges to proposed REDD+ strategy and implementation framework*

The R-PP identifies forest governance as a major constraint for REDD+ implementation due to poor enforcement of existing laws and the long process of reforming the legal framework (p43). Capacity of the forest administration, insufficient numbers of forest agents, and corruption all negatively impact governance of the forest sector, and planned reforms are still in a beginning stage. Improving forest governance is one component of the three major strategy options proposed, and the need for improved legal and administrative frameworks will be assessed as part of the process of refining the REDD+ strategy.

### **Recommendation:**

- Conduct a more detailed assessment of why attempts to improve forest governance have been implemented slowly and how REDD+ strategies can improve on these past efforts

## TANZANIA

(R-PP dated 12 October 2010)

## GOVERNANCE OF REDD+

*To what extent does the R-PP promote good governance within REDD+ systems and processes?***Stakeholder participation in REDD+ planning and implementation**+ *Identifies relevant stakeholders for REDD+*+ *Specifically considers how to engage vulnerable groups*+ *Establishes procedures to ensure a transparent process and accountability for stakeholder input*+ *Establishes a grievance / dispute resolution mechanism*- *Considers how to learn and build from other relevant participatory processes*

The R-PP's consultation and participation plan indicates that Tanzania has taken steps to carry out an inclusive stakeholder process, but could be more thorough in enumerating the process moving forward. A first round of consultation meetings was carried out nationwide to raise awareness about REDD and to develop a consultation and participation plan, resulting in an analysis of strengths and weaknesses for REDD (p22). These inputs were incorporated in the REDD strategic options for addressing deforestation and forest degradation. Alongside national consultations held in the initial R-PP formulation phase, the territory of Tanzania was divided into eight zones and workshops were held in each zone with participants from regional and district governments and NGOs (p21). A village was also selected from each zone, based on criteria such as forest resources and potential to undertake REDD activities, for a more local level consultation that included local communities, village leaders and extension staff. While the R-PP authors do not identify the relevant stakeholder groups in a lot of detail, they do recognize the need to do so, including 'minority or disadvantaged groups' and propose a study that will specifically consider forest dependent communities, organizations that represent them and effective mechanisms for community participation in REDD (p23). A more detailed stakeholder analysis is identified as one of the next activities needed to finalize a consultation plan (p22).

The R-PP notes the importance of incorporating principles of good governance such as transparency and accountability in the consultation process, as well as the necessity of dispute resolution, although specific procedures for ensuring these principles or creating a dispute resolution mechanism are not discussed. The authors also do not clarify the steps that will be taken for consultation and participation processes moving forward.

**Recommendations:**

- Propose a clearer process for conducting consultations and ensuring participation moving forward, including how stakeholder feedback will be incorporated into decision-making
- Clarify how a mechanism for resolving disputes will be established

**Government coordination in REDD+ planning and implementation**+ *Considers REDD+ in the context of other sector policies, land use plans, and national development plans*+ *Proposes a process to reconcile potential conflicts between REDD+ strategies and other policies/plans*+ *Proposes effective mechanisms to coordinate REDD+ across sectors*+ *Proposes effective mechanisms to coordinate REDD+ across levels of government*

The R-PP recognizes the importance of a cross-sectoral approach for REDD and states that the national REDD strategy will be closely linked to current national growth and development strategies (p40). The R-PP states that a legal and institutional review for REDD is being carried out to understand how to improve cross-sectoral coordination and policy synergies (p41). The R-PP recognizes competing interests in regards to land use, land use change and forests, and identifies other land use activities such as agricultural expansion and livestock grazing that are currently contributing to deforestation and forest degradation (Annex 2b-1, p52).

The R-PP states that Tanzania has set up a cross-sectoral National Climate Change Steering Committee (NCCSC) under which an interim National REDD Task Force and Secretariat will operate (p14). Various relevant ministries, government institutions, civil

## TANZANIA

*(R-PP dated 12 October 2010)*

society and the private sector are represented on the NCCSC (p12). The REDD Task Force is comprised of representatives from the Forestry and Beekeeping Division, the Division of Environment and sub-national government officials, and it is recognized that its composition will need to be widened to include civil society organizations and representation from other sectors – such as agriculture. At the sub-national level, a Regional Administrative Secretariat is intended to coordinate regional REDD activities, as well as provide a link between national Ministries and district level councils. Environmental Committees originally established by the Environmental Management Act in 2004 will coordinate REDD activities at district and municipal scales (p15). The R-PP acknowledges that coordination of REDD across sectors and levels of government poses a significant challenges, and underscores the need to do needs assessments as well as build institutional capacity of the various committees and agencies tasked with REDD management and coordination (p16).

The R-PP identifies the need for conflict resolution, noting that conflicts should be addressed at the lowest possible level, typically local, and lists some existing structures that typically handle resolution of conflict such as District and Village councils (p16). Conflicts that cannot be resolved using these structures will be referred to higher levels, but the R-PP does not discuss how these existing mechanisms might need to be adapted or supported in order to address the types of issues that may be raised by REDD, or how high level cross-sectoral conflicts related to prioritization of land uses will be resolved.

**Recommendation:**

- Elaborate options to facilitate a multi-stakeholder process to harmonize policies across sectors

**Transparent and accountable REDD+ revenue management & benefit sharing**

*Proposes a transparent system to track and coordinate international financing of activities related to REDD+*

*Considers measures to promote fiscal transparency and accountability for REDD+ revenue management*

*Proposes a transparent process for deciding who should benefit from REDD+ and how benefits will be targeted*

*Reviews lessons from past and/or existing systems for managing and distributing forest revenues*

A national framework for REDD is expected to provide for the coordination of financial support from development partners for REDD activities (p20). The R-PP makes a broad commitment to developing a transparent and equitable revenue/benefit sharing mechanism and supports the development of national best practices for fiscal transparency (p44). Specific modalities have not been provided for doing so. The R-PP proposes the establishment of a national REDD Fund that would operate nationally under the National Climate Change Technical Committee (p14-15,48).

The R-PP does not significantly discuss past performance of forest revenue management and distribution in Tanzania, although it does recognize that joint forest management benefit sharing agreements between government and communities exist but are not yet operational (p32). It proposes an in-depth study on establishing and operationalizing this REDD fund that will include how to ensure transparency and accountability as well as an assessment of the performance of past systems of forest revenue management or benefit sharing schemes (p14).

The R-PP also states that local communities will be important beneficiaries, and several pilot projects are being carried out to explore REDD options including how equitable benefit distribution could be targeted to local communities (p42).

**Recommendations:**

- Describe how stakeholders will be consulted in designing the national REDD Fund
- Propose a mechanism for tracking management and distribution of REDD benefits
- Examine lessons learned from existing programs with benefit sharing mechanisms; an analysis of why some existing benefit sharing agreements are not yet operational may help pinpoint issues that will need to be addressed for REDD

**Transparent monitoring and oversight of REDD+**

*Proposes to establish information management systems for REDD+ that guarantee public access to information*

## TANZANIA

*(R-PP dated 12 October 2010)*

– *Proposes mechanisms for independent oversight of the implementation of REDD+ activities*

– *Proposes mechanisms to monitor efforts to address governance challenges*

The R-PP recognizes the need for an efficient communication and information sharing mechanism (p51) The R-PP states that a study will be carried out to understand information, communication and knowledge management needs for REDD (p41), and that a REDD networking mechanism, internet-based REDD Database and a web portal will be developed as part of the implementation framework (p51).

The R-PP proposes to develop a monitoring system that will cover carbon, social and environmental impacts, and key governance factors (p67). However, it does not indicate what types of non-carbon impacts and governance factors would be monitored, and it does not provide a clear statement on public access to information. Rather, it states that the monitoring system will “provide opportunities for participatory and transparent operation of the strategy and information sharing” without elaborating on what this might entail (p74). While the R-PP does recognize the need for independent verification of forest carbon measurements (p71), it does not propose any mechanism for independent oversight of the implementation of REDD activities.

**Recommendations:**

- Propose a mechanism for independent oversight of the implementation of REDD
- Elaborate on what types of governance factors will be monitored, how, and by whom

**GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS**

*To what extent does the R-PP consider key forest governance challenges for achieving REDD+?*

**Land and forest tenure**

– *Discusses the situation regarding land and forest tenure, including for indigenous peoples*

– *Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens*

– *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

While the R-PP provides a summary of the land laws of Tanzania, it does not explain the extent to which they set out clear rights to land, particularly for communities practicing communal forest management regimes. The R-PP identifies unclear land tenure, related to a lack of land-use planning, as a major problem contributing to deforestation and degradation. Tenure is also listed as a key issue under component 2c on the REDD implementation framework. While the R-PP does not go into significant detail, the implementation framework lists lack of secure land ownership as an issue to be addressed through potential actions such as harmonizing the National Land Act with the Village Land Act, registration of village land and conducting an analysis of the factors that cause insecure tenure (p50).

The R-PP discusses some existing local level institutions such as District and Village Councils and Ward Secretariats that are typically involved in maintaining rule of law and resolving conflicts, but does not discuss whether these bodies typically handle tenure conflicts that arise or their capacity to consider REDD tenure-related issues (p16).

**Recommendations:**

- Articulate a preliminary vision for how land, forest and carbon tenure issues will be addressed in the development of the REDD strategy and/or implementation framework
- Discuss the prevalence of land and forest resource related conflicts, and the effectiveness of judicial and non-judicial systems for resolving conflicts and upholding rights

**Forest Management**

– *Discusses the ability of forest agencies to plan and implement forest management activities*

+ *Considers the role of different stakeholders, including communities, in forest management*

– *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

## TANZANIA

*(R-PP dated 12 October 2010)*

The R-PP provides some information on the historical and recent performance of forest agencies with respect to forest management activities (p31), which can be generally described as weak and poorly coordinated across different levels of government. In particular, the R-PP notes weak governance at the local government level, including low capacity for planning, financial management and enforcement (p29).

The R-PP does not definitively set out the roles of different stakeholders in forest management, but it does recognize the important role of communities in forest management, forest monitoring, and reducing deforestation and forest degradation, facilitated by NGOs and research institutions. The R-PP also recognizes the increasing dependency of communities on forests, the links with poverty, and the importance of livelihood-focused forest management approaches as part of incentivizing sustainable forest management and conservation under REDD (p31).

The R-PP proposes a diverse range of strategy options to address the 11 identified drivers of deforestation and forest degradation (p39). Potential strategies include addressing drivers of forest change such as overgrazing and agricultural expansion through improved land use planning and establishment of joint forest management regimes, but specific timelines or steps for taking these strategy options forward are not elaborated.

**Recommendation:**

- Elaborate on the specific capacity constraints of forest management agencies, local government and other involved stakeholders, and how these constraints will be overcome in order to implement REDD

**Forest Law Enforcement**

*Discusses the ability of law enforcement bodies to effectively enforce forest laws*

*Discusses efforts to combat corruption in the forest sector*

*Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The R-PP refers directly to illegal timber (p16,38), charcoal extraction (p26,29) and agricultural encroachment (p27-31) as drivers of forest change. It mentions that low capacity for law enforcement and a weak institutional framework are contributing factors. However, the R-PP does not elaborate on specific causes of weak law enforcement. Similarly, the R-PP does not mention if ongoing institutional reforms supported by the National Forest Program (Annex 2b-1) have helped to address any of these issues. Further, efforts to address law enforcement issues are only briefly mentioned within the REDD strategy as a potential activity to address 'Policy/Governance failures' by improving financial and technical capacity of law enforcement (p39). The R-PP identifies corruption as a critical issue for forest governance (p29) and articulates the need for measures to address corruption in the REDD implementation and monitoring frameworks (p44). However, the R-PP does not discuss any efforts taken to date to combat corruption in the forest sector or plans to identify ways to address these issues.

**Recommendations:**

- Elaborate on the challenges of forest law enforcement, and the effectiveness of recent reforms including those supported by the National Forest Program in addressing these problems
- Clarify how law enforcement challenges will be addressed in the development of the REDD strategy
- Elaborate on how corruption issues will be identified and addressed

**Other Forest Governance Issues Relevant for REDD+**

*Discusses other forest governance issues that are relevant for REDD+*

*Links identified governance challenges to proposed REDD+ strategy and implementation framework*

**TANZANIA***(R-PP dated 12 October 2010)*

The R-PP states that the national Forest Policy is currently at the final stage of a review, and that the policy will aim to scale up programs such as Participatory Forest Management and support for improvements in governance (p28). The R-PP also states that a ten year National Forestry Program has supported reform and improvements in the governance and management of the forestry sector in Tanzania (Annex 2b-1), and that this program will be revised to accommodate REDD issues (p28). However the R-PP does not provide an assessment of the overall outcome of the Program particularly in relation to the continuing challenges for forest institutions at all levels in developing REDD. Finally, the R-PP identifies two long-term programs – the Local Government and the Public Sector Reform Programs – as being important in terms of an improved governance framework (p29). These programs aim to devolve powers to local government and improve service delivery of public institutions, and therefore could play a role in helping address governance weaknesses that will also impact the ability of institutions to implement REDD actions.

**Recommendation:**

- Elaborate on the key areas of inquiry for the proposed legal analysis and institutional review study

## VIETNAM

(R-PP dated 12 October 2010)

## GOVERNANCE OF REDD+

*To what extent does the R-PP promote good governance within REDD+ systems and processes?***Stakeholder participation in REDD+ planning and implementation**

- + *Identifies relevant stakeholders for REDD+*
- + *Specifically considers how to engage vulnerable groups*
- + *Establishes procedures to ensure a transparent process and accountability for stakeholder input*
- + *Establishes a grievance / dispute resolution mechanism*
- + *Considers how to learn and build from other relevant participatory processes*

The R-PP demonstrates a strong commitment to the inclusion of a broad range of stakeholders in the consultation process, though in some cases more detail about future processes needs to be developed. Nonetheless, a comprehensive list of stakeholder groups at national, provincial, district and local levels is identified (19-20), and a detailed stakeholder analysis in Annex 1b-2 identifies the relative interest and influence of each stakeholder group in the REDD-Readiness process (p97-100). A framework consultation plan explains how stakeholders will participate in REDD-Readiness process in the future (p98-102) – a process which to date has largely involved organizations and institutions at the national level (p87-90). The R-PP states that action plans for ‘free and prior-informed consultation’ with communities for each area will be developed based on scaling up an existing methodology developed by UN-REDD already carried out in 78 villages (p22).

The R-PP makes it clear that any organization is free to participate in the National REDD Network and the REDD Technical Working Group and its subgroups (p14,21), and recognizes that to date the participation of local communities and organizations at national level has been limited. While methodologies could be further elaborated, the consultation plan does identify the need to include vulnerable and local groups, including ethnic minorities, and proposes that civil society networks can play a key role in coordinating the involvement of these groups (p20). The need for developing a socially acceptable and credible recourse mechanism with the involvement of Vietnamese civil society, particularly in the context of benefit distribution, is identified, although further details are not provided (p51). Apart from reference to the UN-REDD community consultation process (p22), the R-PP does not explicitly review lessons learnt from previous national policy and program development processes referred to in the document.

**Recommendations:**

- Clarify how the consultation process will ensure mechanisms for incorporating stakeholder feedback
- Provide greater detail on the stakeholder consultation process moving forward and how it will build on the efforts of the UN-REDD Vietnam Programme

**Government coordination in REDD+ planning and implementation**

- + *Considers REDD+ in the context of other sector policies, land use plans, and national development plans*
- + *Proposes a process to reconcile potential conflicts between REDD+ strategies and other policies/plans*
- + *Proposes effective mechanisms to coordinate REDD+ across sectors*
- + *Proposes effective mechanisms to coordinate REDD+ across levels of government*

There is clear recognition in the R-PP of the critical need to incorporate REDD into existing national and sectoral policies (p28,43,71,72). Examples identified in the R-PP include the Five Year Socio-economic Development Plans at national, provincial and district levels (p71) as well as the Agricultural Sector Strategy (p43). However, there are numerous potential conflicts listed between land use priorities that will make this difficult, such as expansion of agricultural exports such as rubber into forested areas and infrastructure development that are competing with REDD+ priorities and forest restoration goals discussed in the R-PP (p29-31). The stakeholder consultation plan identifies the need for the Ministry of Agriculture and Rural Development (MARD) to internally resolve the conflicts within its own departments responsible for forestry and agriculture, but no specific mechanisms for achieving this are proposed (p95). The R-PP also identifies the need for improving the coordination between MARD and the

## VIETNAM

*(R-PP dated 12 October 2010)*

Ministry of Environment and Natural Resources responsible for land and forest area allocation (p40).

A National REDD Network and a REDD Technical Working Group have been established as entities with an open membership policy, and a wide range of government institutions are currently participating in both groups (p12). These readiness management arrangements are attempting to also make use of existing programs and mechanisms. The Coordination Office of the Forest Sector Support Partnership, which was formed in 2001 to support and coordinate implementation of the Forest Strategy, will serve as Secretariat for the REDD Network and Working Group (p12). A sub-working group on REDD+ Governance lists improving cross-sectoral linkages as one of its key tasks (p14). A sub-working group on Local Implementation is tasked with examining REDD+ issues for implementation at the district and community level. While the R-PP states that there has been some discussion of developing a Technical Working Group at the sub-national level to facilitate REDD+ discussions at the more local level and provide more access to communities likely to be affected by REDD+, specific mechanisms for coordinating across levels of government are not currently in place. Furthermore, despite the clear intent expressed by the R-PP of ensuring sufficient cross-sectoral coordination and buy-in at all levels, it remains unclear as to how the formal decision-making mechanisms will be structured.

**Recommendation:**

- Provide greater clarity on formal decision-making structures and processes in developing and integrating REDD-readiness across levels and sectors of government

**Transparent and accountable REDD+ revenue management & benefit sharing**

+ *Proposes a transparent system to track and coordinate international financing of activities related to REDD+*

+ *Considers measures to promote fiscal transparency and accountability for REDD+ revenue management*

+ *Proposes a transparent process for deciding who should benefit from REDD+ and how benefits will be targeted*

+ *Reviews lessons from past and/or existing systems for managing and distributing forest revenues*

The R-PP identifies the need for a mechanism that meets international standards of transparency, equity and performance for management of REDD+ funds and examines some potential options for development of a REDD+ fund, building from some existing forest revenue fund examples (p48). The R-PP notes that participatory governance is a key principle in fund management, and suggests that the REDD+ Fund should be governed by a broad-based multi-stakeholder board and subject to independent external audit. The need for piloting revenue management arrangements is identified as necessary for gaining practical insights into the costs, efficiency and effectiveness of REDD+ revenue management at different levels (p48).

The R-PP states the government is committed to forest-using communities having real and reliable incentives to conserve forests through an effective benefit distribution system (BDS) (p42) although it is recognized that existing BDS arrangements have been inadequate and have not provided sufficient incentives for local communities (p27). It states that local payment levels should be set to reflect opportunity costs through a robust formula that takes into account local factors (p48). In contrast to the current payment for ecosystem services scheme which pays protected management area boards and households, the R-PP recognizes the need for targeting payments at village communities in order to avoid conflicts and overlaps over carbon rights, despite a current limitation in the civil code on the recognition of communities as a legal entity (p50). A BDS for REDD+ is also being developed and piloted by the UN-REDD Vietnam Programme, but it is not clear how the R-PP's proposed activities will link to this other effort (p71).

**Recommendations:**

- Clarify how the proposed REDD+ fund will interface with the UN-REDD Vietnam Programme's efforts to develop a BDS in order to ensure an efficient, coordinated approach to developing revenue management systems
- Elaborate on how key stakeholders will be involved in the design and governance of the proposed REDD+ fund

**Transparent monitoring and oversight of REDD+**

+ *Proposes to establish information management systems for REDD+ that guarantee public access to information*

+ *Proposes mechanisms for independent oversight of the implementation of REDD+ activities*



## VIETNAM

*(R-PP dated 12 October 2010)****Proposes mechanisms to monitor efforts to address governance challenges***

The R-PP recognizes the importance of designing of a central MRV system that is accessible to all relevant stakeholders, integrated to include provincial and local level information, and provides access to information on REDD+ implementation (p65). The R-PP states the MRV system that is under development will enable local participants and the international community to assess the transparency, accountability and equity of the National REDD Program through open access policies. At the provincial and national level, it is proposed that a separate REDD+ monitoring body oversee and coordinate all REDD+ monitoring, being comprised of government, independent civil society and auditing organizations (p49). The R-PP sets out a range of options for public involvement in the oversight of REDD+ implementation through including existing institutions such as People's Committees and farmers' associations. The R-PP does not discuss specific efforts to monitor efforts to address governance-related drivers of deforestation, although this would presumably occur as part of the monitoring of REDD+ implementation efforts.

**Recommendations:**

- Provide more information on how information management systems will be developed, including who will have oversight and the types of data that will be publicly available
- Propose options for how governance issues will be monitored, specifically addressing any governance challenges related to implementing REDD+ strategies

**GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS***To what extent does the R-PP consider key forest governance challenges for achieving REDD+?***Land and forest tenure**+ *Discusses the situation regarding land and forest tenure, including for indigenous peoples*- *Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens*+ *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The R-PP describes some of the past and ongoing efforts to address tenure and land allocation in Vietnam. Since 1993 the government has enacted a series of laws and programs designed to allocate forest lands to households and other entities and protect 10 million ha of natural forests through contracts with smallholder households (p26-27). The R-PP describes the significance of the passage of laws clarifying the forestry land tenure framework and different categories of forest ownership and associated rights and responsibilities for communities and households. Despite these efforts, the R-PP notes that large areas of forest are still under state and local authority control, despite a renewed effort to speed up the Forest Allocation Program that has been hampered by a lack of funding and an overly complex and unimplemented policy defining the forest rights and responsibilities of individuals and households (p28). Supporting the process of allocating forest use rights to households or communities that is already ongoing is a core REDD+ strategy option discussed in the R-PP, noting that further efforts to improve execution of this program and provide support for local communities should be explored as part of a REDD+ strategy. Activities to investigate and improve land use rights allocation and benefits through improvements in forest policy, legislative and administrative reforms are also proposed (p41). It also identifies actions to better understand the conversion process of forest land to industrial agricultural production (p115-116).

The R-PP notes that issues such as allocation of land or usage rights can frequently cause conflict, and note the need for an independent mechanism for resolving disputes. However, the R-PP does not provide any information on the significance and types of disputes that exist, how the allocation program has resolved past disputes or if the judicial system has played a role.

**Recommendation:**

- Describe existing mechanisms for conflict resolution, including judicial systems and their capacity to play a role in conflict resolution for REDD+

**Forest Management**+ *Discusses the ability of forest agencies to plan and implement forest management activities*

## VIETNAM

*(R-PP dated 12 October 2010)*+ *Considers the role of non-government stakeholders, including communities, in forest management*+ *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The R-PP describes Vietnam's substantial efforts to reverse the severe national deforestation trend and provides summary information on the successes and failures that the government has encountered thus far (p26-28). Challenges include weak planning, lack of capacity, and poor management and coordination between relevant agencies at national and local level (p27). The R-PP also recognizes the increasingly important role that communities, households and individuals have in forest management as part of ongoing state forest land transfers, and notes the potentially useful role that communities could play in participatory forest and carbon monitoring (p50,67). The R-PP does not discuss the role of other stakeholders such as the private sector and state forestry enterprises in forest management in significant detail (p27). The REDD+ strategy options listed in the R-PP are still relatively preliminary. While they identify some administrative and forest policy reform efforts that could be developed as strategies, they do not explicitly discuss strategies to improve identified challenges in forest management or capacity of forest agencies.

**Recommendation:**

- Clarify and provide great detail on the underlying institutional issues behind poor forest planning, management and coordination identified in the R-PP and how these can be more fully addressed in the REDD+ Strategy

**Forest Law Enforcement**+ *Discusses the ability of law enforcement bodies to effectively enforce forest laws*+ *Discusses efforts to combat corruption*+ *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The R-PP discusses the situation with respect to law enforcement capacity in Vietnam, noting that enforcement is often compounded by ambiguity and loopholes in the laws and needs to be strengthened. The government has taken steps to improve anti-illegal logging legislation, has recently decided to prepare a Voluntary Partnership Agreement (VPA) with the EU's Forest Law Enforcement, Governance and Trade (FLEGT) program, and has established a new Forest Protection Department Task team that takes a more strategic approach to law enforcement and to addressing illegal forest conversion (p32-33). Strengthening forest law enforcement and improved enforcement of environmental regulations are proposed as key issues for REDD+ implementation. The potential to include local communities in enforcement efforts via community-based law enforcement or participatory monitoring approaches are also put forth as potential implementation options (p50). The R-PP identifies the need for combating corruption in designing REDD+ benefit distribution systems (p48), and it acknowledges the role of corruption during the approval process of small and medium scale hydro-projects (p30). However, the R-PP does not explicitly discuss initiatives to address corruption.

**Recommendation:**

- Elaborate on initiatives underway or required to combat corruption in the forestry and related sectors

**Other Forest Governance Issues Relevant for REDD**+ *Discusses other forest governance issues that are relevant for REDD+*+ *Links identified governance challenges to proposed REDD+ strategy and implementation framework*

Component 2a of the R-PP identifies some underlying governance challenges in the forest sector that contribute to activities such as illegal logging in Vietnam. Poor management of financial resources in the forest sector administration and past difficulties with participatory approaches to decision-making are both cited as existing issues that undermine attempts to alleviate poverty and bring greater benefits to local communities (p33).

**Recommendation:**

- Propose a study or survey to identify specific capacity building needs for forest sector administration

## ANNEX 4: NPD REVIEW TABLES

## CAMBODIA

*(Full NPD dated October 2010)***GOVERNANCE OF REDD+***To what extent does the R-PP promote good governance within REDD+ systems and processes?***Stakeholder participation in REDD+ planning and implementation**

- + *Identifies relevant stakeholders for REDD+*
- + *Specifically considers how to engage vulnerable groups*
- + *Establishes procedures to ensure a transparent process and accountability for stakeholder input*
- + *Establishes a grievance / dispute resolution mechanism*
- + *Considers how to learn and build from other relevant participatory processes*

The NPD contains a strong commitment to effective stakeholder consultation processes. A detailed analysis of key stakeholder groups identifies government, civil society and NGOs, the private sector, knowledge institutions, international networks and donors is provided (p44-50), with particular emphasis on the need to engage potentially vulnerable groups, such as women and indigenous groups, and the importance of grassroots communication.

The NPD states that development of the Cambodia Readiness Plan Proposal, or Roadmap (the NPD clarifies that this document is similar to an R-PP but that Cambodia has not yet officially submitted an R-PP to the FCPF), was an important milestone in achieving effective stakeholder engagement (p9). The NPD provides a list of lessons learned from past consultation processes such as the one conducted on the National Forestry Programme. These lessons include the need for early engagement of stakeholders, making information available and easily understandable, use of well-trained facilitators and ensuring responses to comments raised in meetings (p71). Finally, the NPD clearly outlines the process and timeline used for stakeholder consultations to develop the Roadmap, including stakeholder mapping and initial awareness raising activities and a phase of small scale consultations that culminated in a national workshop in September 2010.

The NPD notes that the government has responsibility for conflict resolution, and there are some dedicated mechanisms for resolving land and forest management disputes; however, it is not clear whether these specific mechanisms are only for resource-related conflict or would also be used for stakeholder grievances.

**Recommendation:**

- Clarify whether a dispute resolution mechanisms are accessible for resolving stakeholder conflicts

**Government coordination in REDD+ planning and implementation**

- + *Considers REDD+ in the context of other sector policies, land use plans, and national development plans*
- + *Proposes a process to reconcile potential conflicts between REDD+ strategies and other policies/plans*
- + *Proposes effective mechanisms to coordinate REDD+ across sectors*
- + *Proposes effective mechanisms to coordinate REDD+ across levels of government*

The NPD clearly outlines the need to integrate REDD+ into other ongoing national strategies such as the National Forestry Programme, and includes a thorough discussion of some of the initiatives that are relevant to REDD+ activities (p19-24). The NPD states that the development of the REDD+ Roadmap represented an important standard for inter-ministerial cooperation and was led by a group of government agencies that include relevant departments from the Ministry of Agriculture, Forestry and Fisheries and the Ministry of the Environment (p9). Coordination across government sectors as well as other stakeholder groups is a high priority for the NPD, which notes that in order to improve coordination some capacity building efforts will be necessary to improve effectiveness.

Some potential conflicts exist with other priorities such as agricultural expansion and infrastructure development, but a range of

## CAMBODIA

*(Full NPD dated October 2010)*

institutions already exist to help handle intersectoral coordination and conflict. A list of these existing coordinating bodies that may be relevant to REDD+ is provided in the NPD, and many of these entities play a role in managing conflicts over land and could therefore be important to managing conflicts between sectors with competing land use agendas (p42). An interim REDD+ Taskforce has been created to lead coordination efforts and ensure “balanced discussion” between government agencies (p45). The NPD also stressed the importance of coordinating across different levels of government, although it does not go into significant detail about proposed mechanisms for achieving this.

**Recommendation:**

- Provide more detail on proposed processes or mechanisms for coordinating across levels of government

**Transparent and accountable REDD+ revenue management & benefit sharing**

+ *Proposes a transparent system to track and coordinate international financing of activities related to REDD+*

+ *Considers measures to promote fiscal transparency and accountability for REDD+ revenue management*

+ *Proposes a transparent process for deciding who should benefit from REDD+ and how benefits will be targeted*

+ *Reviews lessons from past and/or existing systems for managing and distributing forest revenues*

Existing pilot projects in Cambodia have already begun to develop transparent benefit-sharing arrangements with forest communities (p8), and the NPD states that there are other examples of benefit distribution mechanisms that are not specific to REDD+ that should be studied such as an existing Protected Area Trust Fund. The NPD proposes to further explore financing models and revenue sharing arrangements as part of its key outputs (p80,91). The NPD suggests the need to create models for revenue distribution at three different levels: mechanisms for funds entering the country, mechanisms to disburse funds to line agencies, and methods for making performance-based payments to local communities for reducing deforestation and forest degradation (p91). The NPD proposes establishment of a Benefit-Sharing Technical Team that will carry out documentation of existing examples and explore potential options for REDD+ revenue sharing, which will also be consulted on with stakeholders (p91). The establishment of a REDD+ fund is also put forth as a potential strategy, noting the importance of ensuring that fund management is transparent and governance responsibilities are clear (p91).

**Recommendation:**

- Provide more detail on any lessons learned from implementation of existing funds and pilot projects

**Transparent monitoring and oversight of REDD+**

+ *Proposes to establish information management systems for REDD+ that guarantee public access to information*

+ *Proposes mechanisms for independent oversight of the implementation of REDD+ activities*

+ *Proposes mechanisms to monitor efforts to address governance challenges*

The NPD plans to establish a transparent national monitoring system, and providing access to information on REDD+ and the readiness process is an important planned output of the National Joint Programme (p89). The NPD states that training and awareness-raising was requested by stakeholders for more effective participation in REDD+ strategy development, therefore development of more effective communication tools is foreseen as an activity to be completed. Development of knowledge-sharing mechanisms such as a website is also proposed by the NPD.

The NPD develops a REDD+ implementation framework that will help clarify roles and responsibilities for REDD+ activities; a Cambodia REDD+ Taskforce comprised of representatives from multiple government agencies will be responsible for some coordination and technical support activities, as well as the overall management of the REDD+ readiness process (p88). Plans to monitor REDD+ activities include the need to measure impacts and benefits of REDD+ implementation, including safeguards. The NPD identifies the need to develop social-, environmental- and governance-related indicators that can be used to monitor implementation impacts (p95).

## CAMBODIA

*(Full NPD dated October 2010)***Recommendation:**

- Clarify whether civil society, indigenous peoples or other non-government stakeholders could have membership on the REDD+ Taskforce

**GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS***To what extent does the R-PP consider key forest governance challenges for achieving REDD+?***Land and forest tenure**

- + *Discusses the situation regarding land and forest tenure, including for indigenous peoples*
- + *Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens*
- + *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The NPD provides a thorough assessment of the current tenure situation in Cambodia. Tenure arrangements include private forest areas, which can include lands that have been transferred to indigenous populations through communal land titling procedures (p13), as well as the Permanent Forest Reserve, which is state land and comprised of Conservation, Protection and Production forest areas. The NPD also notes that some Community Protected Areas have co-management arrangements with local communities (p14). The 2001 Land Law created a system of land titling, including a specific procedure for registration of land for indigenous communities (p28). Despite the existence of titling programs and co-management arrangements, the NPD states that in some places landlessness has increased in Cambodia. Furthermore, migration of populations back to rural areas and an open access mentality with respect to forest resources further contribute to insecure tenure and forest clearing. Lack of clear boundaries, limited implementation of land registration processes and poor land use planning are all governance weaknesses that contribute to these problems.

A variety of mechanisms exist in Cambodia for dealing with land disputes, and the NPD states that a Sub-Decree on State Land Management outlines a process for determining clear ownership of any land, including processes to resolve disputes. Various land conflict resolution mechanisms are also catalogued, although more information could be provided on the accessibility and effectiveness of these mechanisms.

The REDD+ strategy outline in the NPD suggests that prioritizing activities such as Community Forests, Community Protected Areas and other forms of community management are intended to support tenure reform. The NPD proposes to further investigate drivers for forest loss, including investigating how to integrate REDD+ into community forest regulations and how to link REDD+ with land use planning, but could provide more detail on whether legal frameworks for tenure need to be clarified.

**Recommendations:**

- Clarify whether any legal or policy review of tenure arrangements is necessary for REDD+
- Indicate whether existing mechanisms for resolving land disputes are effective accessible to a range of stakeholders

**Forest Management**

- + *Discusses the ability of forest agencies to plan and implement forest management activities*
- + *Considers the role of different stakeholders, including communities, in forest management*
- + *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The NPD notes that lack of implementation of laws and policies for forest management contributes to the rapid pace of deforestation in Cambodia (p8). A new National Forest Programme has been developed to manage the permanent forest estates, and the NPD states that REDD+ could provide an important source of financing for this program. Some community forestry has been attempted as a way to manage forest resources more sustainably, although these initiatives are still relatively new and the process for registration and approval of community forests tends to be time-intensive (p17). Attempted reforms in 2000s

## CAMBODIA

*(Full NPD dated October 2010)*

introduced a moratorium on logging, and many concessions have been cancelled or are not currently operating.

The NPDs identify existing forest management challenges, including lack of management plans for protected areas, lack of financial and human resources, low institutional capacity, and lack of incentives for sustainable forest management. The NPD states that efforts have been made to address poor management and capacity constraints by enhancing cooperation between local communities, protected area managers and other partners (p18). The NPD also describes ongoing efforts to improve sub-national governance through decentralization and deconcentration (p20). The NPD outlines several activities for addressing some of the identified challenges through enhancing activities of the National Forestry Programme, integrating REDD+ into management plans and building capacity for REDD+ at sub-national levels through pilot activities and a province-wide capacity building scheme (p90-92).

### Forest Law Enforcement

+ Discusses the ability of law enforcement bodies to effectively enforce forest laws

Discusses efforts to combat corruption

+ Links identified governance challenges to proposed REDD+ strategy options and implementation framework

Improving law enforcement and governance to address issues such as illegal logging is identified as an ongoing priority for the forest sector and some efforts have already been established (p17). For example, a logging moratorium and a new monitoring system for domestic wood have been implemented by the Forest Administration. The NPD states that efforts to improve law enforcement will depend on the Forest Crime Monitoring Unit and their capacity to implement enforcement activities. Nonetheless, capacity to monitor and enforce still need to be strengthened, and these are priorities of the current National Forestry Programme, which has Forest Law Enforcement and Governance as one of its six programmatic objectives (p21). Specific law enforcement strategies are not thoroughly discussed in the NPD's proposed outputs, although it suggests that forest law enforcement and governance improvements could be part of pilot projects and capacity building efforts.

Corruption is mentioned as an issue that exacerbates problems in the forest sector, but the NPD notes that these issues have largely been unaddressed and does not propose further efforts to do so as part readiness.

#### Recommendations:

- Provide more detail on potential strategies for improving law enforcement efforts
- Discuss problems of corruption in the forest sector more thoroughly and how these issues might be effectively addressed

### Other Forest Governance Issues Relevant for REDD+

+ Discusses other forest governance issues that are relevant for REDD+

+ Links identified governance challenges to proposed REDD+ strategy and implementation framework

The NPD provides a thorough and thoughtful analysis of the existing situation regarding forest governance and management in Cambodia, and clearly links identified forest governance challenges for REDD+ to the ongoing efforts to address forest governance as part of existing strategies such as the National Forestry Programme. Moving forward, further efforts to identify concrete strategies for improving governance could further strengthen readiness planning efforts.

#### Recommendation:

- As the REDD+ Roadmap is further developed, develop more concrete strategy recommendations around improving forest governance such as targeted capacity-building strategies or specific ways to promote accountability and transparency in the forest sector.

## PAPUA NEW GUINEA

(Full NPD dated October 2010)

## GOVERNANCE OF REDD+

*To what extent does the R-PP promote good governance within REDD+ systems and processes?***Stakeholder participation in REDD+ planning and implementation***Identifies relevant stakeholders for REDD+**Specifically considers how to engage vulnerable groups**Establishes procedures to ensure a transparent process and accountability for stakeholder input**– Establishes a grievance/ dispute resolution mechanism**– Considers how to learn and build from other relevant participatory processes*

The NPD provides an overview of the objectives of the stakeholder consultation processes, but few details are provided about how these processes will be undertaken, the timeline for developing methodologies or the challenges that are likely to arise. The authors recognize that this need as the NPD summarily identifies relevant stakeholders and states that a set of guidelines will be developed and agreed on for stakeholder engagement for technical, advisory, and public consultation levels (p37). The NPD also recognizes that a ‘large scale consultation exercise’ is needed (p4); that the freedom and strength of civil society will be a key factor in determining an equitable outcome for REDD+; and that consultation efforts will need to seek to enhance understanding of the needs of local stakeholders, test community interest to participate in REDD+ and to develop relationships between the OCCD, local government, civil society and the private sector.

The NPD does state that the Technical Working Group and its subgroups will have participants from the government, private sector, civil society and development partners, thus ensuring that a broad range of perspectives is considered by the Office of Climate Change and Development’s (OCCD), which acts as the secretariat for the REDD+ program (p15). However, it provides few details on how these groups will function. Also, the NPD recognizes the unique cultural and ethnic diversity of the country (p5) and acknowledges the need to establish a clear framework for effective community outreach and awareness building (p48), as part of an Interim Action Plan (p24).

**Recommendations:**

- Elaborate the guidelines for stakeholder consultation processes, including how the consultation process will ensure mechanisms for incorporating stakeholder feedback and approaches for managing potential conflicts that may arise
- Carry out a review of the lessons learned from other relevant participatory processes in the forestry sector, for example those used to develop the NPD itself or the REDD+ project guidelines if relevant, to inform the new processes being developed
- Provide details on the national consultation process as part of the Climate-Compatible Development Strategy (CCDS) and how the consultations will be integrated or linked with the REDD+ readiness process
- Provide details on how the Technical Working groups and subgroups will function

**Government coordination in REDD+ planning and implementation***+ Considers REDD+ in the context of other sector policies, land use plans, and national development plans**+ Proposes a process to reconcile potential conflicts between REDD+ strategies and other policies/plans**Proposes effective mechanisms to coordinate REDD+ across sectors**Proposes effective mechanisms to coordinate REDD+ across levels of government*

The NPD recognizes the importance of cross-sector coordination and the need to ensure political support for policy harmonization. For example, the NPD notes potential land use conflicts between projects such as logging concessions, agricultural leases and REDD+ projects (p50). The NPD provides a summary of the main elements of Papua New Guinea’s Climate-Compatible Development Strategy, which includes the need to integrate REDD+ readiness with other national development plans and strategies such as the Medium Term Development Plan (2011-2015) and the National Agricultural Development Plan. The NPD notes the importance of ensuring that these existing plans do not impinge on efforts to promote climate change adaptation, mitigation and low carbon growth (p21). REDD+ project guidelines that include social, environmental and safeguard criteria have

## PAPUA NEW GUINEA

(Full NPD dated October 2010)

been developed by the REDD+ Technical Working Group and aim to ensure that REDD+ incorporates broader development objectives of the country (p24).

The R-PP notes that the Office of Climate Change and Development is embedded in the National Climate Change Committee which includes the participation of GoPNG departments, the private sector, civil society and development partners and should therefore ensure that a broad range of perspectives are considered in the OCCD's work (p15).

The NPD cites the need for strong coordination that ensures interaction between stakeholders at both national and local levels. The details on how national entities will liaise with sub-national groups are limited however. The R-PP does not indicate that further deliberations will occur.

### **Recommendation:**

- Identify how coordination across tiers of government will be ensured, including a discussion of sub-national level institutions that will need to be involved

### **Transparent and accountable REDD+ revenue management & benefit sharing**

- + *Proposes a transparent system to track and coordinate international financing of activities related to REDD+*
- + *Considers measures to promote fiscal transparency and accountability for REDD+ revenue management*
- + *Proposes a transparent process for deciding who should benefit from REDD+ and how benefits will be targeted*
- + *Reviews lessons from past and/or existing systems for managing and distributing forest revenues*

The NPD raises the need to establish an independent, equitable and verifiable payment distribution system for REDD+ funds that is monitored by a multi-stakeholder board as well as donors (p48). The NPD states that the Technical Working Group has developed a ToR to review models of benefit sharing implementation in the forest and mining sectors at a domestic and international level, and to subsequently design principles and a framework specific to REDD+ (p 24). The NPD notes both the challenges and the importance of developing a transparent and equitable revenue sharing system. The NPD does not elaborate on which institution might be responsible for management and tracking of funds, nor does it propose a process for deciding on how benefits should be shared.

### **Recommendations:**

- Identify which institution is likely to have oversight of REDD+ financing and discuss any existing challenges related to transparent and accountable fund management
- Outline a process for deciding how benefits should be targeted among REDD+ stakeholders

### **Transparent monitoring and oversight of REDD+**

- + *Proposes to establish information management systems for REDD+ that guarantee public access to information*
- *Proposes mechanisms for independent oversight of the implementation of REDD+ activities*
- *Proposes mechanisms to monitor efforts to address governance challenges*

The NPD states that all data used for the MRV system will be publically available through a web-based portal (p32, 47) and that the MRV system will be developed learning from other countries' experiences (p27). Although the NPD states that independent in-country audits to verify the transparency, accuracy, consistency, comparability and completeness of the MRV data will be commissioned by the National Climate Change Committee (p27,32), there is no specific consideration given to the overall independent oversight of REDD+ activities. There is no discussion of the importance of monitoring efforts to address governance challenges in the NPD.

### **Recommendations:**

- Clarify how information on the progress and management of REDD+ activities will be made publically available



## PAPUA NEW GUINEA

*(Full NPD dated October 2010)*

- Provide information on how the independent oversight of REDD+ activities will be developed within the overall institutional framework for REDD+
- Propose a mechanism to monitor efforts to address governance challenges, either as part of or linked to the overall MRV system

**GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS***To what extent does the R-PP consider key forest governance challenges for achieving REDD+?***Land and forest tenure**+ *Discusses the situation regarding land and forest tenure, including for indigenous peoples*- *Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens*+ *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The NPD provides a brief situational analysis of land and forest tenure, stating that land ownership is primarily governed by customary law. Only approximately 3 percent of land belongs to the government or is privately held under a 99-year lease. In many cases land is owned by groups rather than individuals and cannot be parcelized or used as collateral; therefore, the tenure system is seen as impeding development, but efforts to register land and promote development opportunities have been unpopular (p7). The NPD notes that large-scale agricultural leases are currently being approved by the Department of Lands and Physical Planning commercial plantations and ranching; therefore, it is not clear whether there are conflicts between customary tenure and government priorities with respect to increasing agricultural production (p9). The NPD notes that uncertainties over land tenure may lead to tensions linked with benefit sharing, which will need to be carefully managed in the context of REDD+ (p47). The NPD's proposed outcomes do not include potential strategies to address tenure challenges at this time, nor do they discuss judicial systems or capacity.

**Recommendations:**

- Elaborate on the current formal and informal dispute resolution mechanisms, particularly for forest dependent communities, and how these mechanisms might be strengthened
- Clarify how agricultural leases are likely to impact customary tenure systems and whether conflicts are likely to increase

**Forest Management**+ *Discusses the ability of forest agencies to plan and implement forest management activities*+ *Considers the role of non-government stakeholders, including communities, in forest management*+ *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The NPD outlines the series new forest policies and legislation that have been introduced over the course of the last 20 years. The NPD states that the reform process has led to increasing government control of forest areas aimed at enhancing the sector's overall sustainability and efficiency. It notes that the implementation of the reforms have often met with difficulty because of governance problems resulting from relationships between the forest industry, officials and politicians, also leading to reduced transparency (p10). The NPD states that there are major weaknesses in governance, particularly at the level of local government, and a strong need for human resource development (p49). The NPD recognizes that close cooperation will be required with landowners, civil society organizations, the private sector and development partners (p22, 27) in moving towards REDD-Readiness. The NPD mentions the Forestry and Climate Change Framework for Action (FCCFA) as comprising a set of interim actions to address some of the governance challenges identified in tackling deforestation and forest degradation, but does not elaborate on what these actions are, nor does there seem to be any plans to do so in the future as part of the readiness process.

**Recommendations:**

- Discuss the challenges encountered in developing and implementing forestry reforms and how REDD+ can learn from these processes
- Provide more information on the role of communities to date in formal and informal forest management, together with an analysis of the key challenges in developing sustainable forestry

## PAPUA NEW GUINEA

(Full NPD dated October 2010)

- Provide more information on the FCCFA, including the extent to which it addresses the major governance issues underlying deforestation and forest degradation and how REDD+ could bolster these efforts

### Forest Law Enforcement

*Discusses the ability of law enforcement bodies to effectively enforce forest laws*

*Discusses efforts to combat corruption*

*Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The NPD only tangentially addresses law enforcement issues in alluding to governance challenges in the forestry reform process (p10) and in acknowledging that enforcement mechanisms to control future ‘undesired’ changes in land cover will require considerable attention to be effective (p29). The National Joint Programme will support capacity development in the enforcement of forestry ‘abatement levers’ among all relevant stakeholders and it states that the EU is in discussions with forest stakeholders about the possibility of implementing a Forest Law Enforcement, Governance and Trade (FLEGT) mechanism (p33). Corruption is not addressed in the NPD.

#### **Recommendations:**

- Provide an synopsis of the capacity of law enforcement agencies to effectively enforce laws, and discuss potential efforts to improve
- Clarify what actions the government is undertaking to combat corruption, and how these actions relate to needed governance and anti-corruption improvements in the forestry sector

### Other Forest Governance Issues Relevant for REDD

*Discusses other forest governance issues that are relevant for REDD+*

*Links identified governance challenges to proposed REDD+ strategy and implementation framework*

The major proposed outputs of the NPD in this stage are primarily focused on issues of MRV, putting management structures into place and building stakeholder awareness; therefore, existing forest governance weaknesses that will impact the ability of institutions to implement REDD+ activities are not thoroughly discussed in the document.

#### **Recommendations:**

- Clarify whether future phases of readiness will include a more in depth assessment of forest governance constraints and subsequently identify strategy options

## PARAGUAY

(Full NPD dated October 2010)

## GOVERNANCE OF REDD+

*To what extent does the R-PP promote good governance within REDD+ systems and processes?***Stakeholder participation in REDD+ planning and implementation**

- + *Identifies relevant stakeholders for REDD+*
- + *Specifically considers how to engage vulnerable groups*
- + *Establishes procedures to ensure a transparent process and accountability for stakeholder input*
- *Establishes a grievance/ dispute resolution mechanism*
- + *Considers how to learn and build from other relevant participatory processes*

The NPD provides a detailed stakeholder list of government institutions, civil society organizations, the private sector and indigenous peoples' organizations (p13-14), together with a stakeholder matrix setting out each stakeholder's interests and potential role (p50-55). A detailed set of guidelines is provided in the NPD for engaging with indigenous peoples that complies with United Nations Declaration on the Rights of Indigenous Peoples, as well as other international guidelines such as those from the United Nations Development Group (p14-16,18). The NPD states that the principle of Free and Prior Informed Consent will underpin engagement with indigenous peoples (p23). The NPD also identifies the need for a national awareness-raising campaign for the country as a whole (p7,23,33). A consultation and training process for all stakeholders including rural communities will be undertaken to increase their knowledge of REDD+ while providing the opportunity for them to engage on issues of concern to them in the development of REDD+ policies and regulations (p17,18,33). The NPD also discusses some lessons learned for strengthening participatory processes, particularly the need to mainstream gender and human rights issues (p17) and to enhance participation of rural communities and indigenous peoples in a way that considers their organization and knowledge (p17). In this regard, consultation and participation protocols for REDD+ will be developed for indigenous and other rural communities, as well as for small, medium and large scale producers (p24). There is no discussion of a grievance or dispute resolution mechanism in the NPD.

**Recommendations:**

- Clarify whether a grievance mechanism exists and how conflicts relating to REDD+ will be handled
- Elaborate on how the stakeholder representation in the National REDD+ Committee will be decided when it is established and provide information on the likely composition of the Committee

**Government coordination in REDD+ planning and implementation**

- + *Considers REDD+ in the context of other sector policies, land use plans, and national development plans*
- + *Proposes a process to reconcile potential conflicts between REDD+ strategies and other policies/plans*
- + *Proposes effective mechanisms to coordinate REDD+ across sectors*
- + *Proposes effective mechanisms to coordinate REDD+ across levels of government*

In providing a detailed overview of the policies and laws for the forestry and environment sectors, the NPD acknowledges that these instruments, particularly in regard to forests, biodiversity and climate change, are not mainstreamed into the public policies of other sectors, such as agriculture, livestock, mining and rural development programs (p12,16,17). The NPD states that in addressing these barriers (p17) a primary outcome will be improved cross-sectoral coordination and mainstreaming of REDD+ issues in the social and rural development sectors, enhancing pro-poor and human rights policies (p18,19). A National Action Plan for REDD+ (REDD-Plan) is a key output of the NJP that will address the mainstreaming of REDD into other sector policies, as well as requisite decentralization strategies (p19). The NPD indicates a strong commitment to supporting the improvement of coordination and harmonization, and is creating its own mechanisms for achieving this (p35-36), with the aim of mainstreaming progress in REDD+ readiness into government institutions and processes for sustained outcomes (p18). However at this time there are few details for how this will be done, and there is no discussion in the NPD for when such issues will be considered.

**Recommendations:**

## PARAGUAY

*(Full NPD dated October 2010)*

- Clarify the mechanism(s) for resolving conflicts between REDD+ strategies and other policies and initiatives and the level of high-level political support required
- Elaborate the institutional arrangements under development and necessary for coordinating REDD+ development across sectors and different levels of government

**Transparent and accountable REDD+ revenue management & benefit sharing***Proposes a transparent system to track and coordinate international financing of activities related to REDD+**+ Considers measures to promote fiscal transparency and accountability for REDD+ revenue management**Proposes a transparent process for deciding who should benefit from REDD+ and how benefits will be targeted**+ Reviews lessons from past and/or existing systems for managing and distributing forest revenues*

The NPD describes several established forest and environmental funds that are designed to create payment and benefit sharing mechanisms, but states that the majority of these funds have not yet been designed and made operational (p20). A few functioning payment systems exist for afforestation/reforestation, social welfare and agriculture schemes, and lessons for REDD+ can be drawn from these mechanisms (p21). The NPD proposes a payment system to be developed with the participation of forest dependent populations that will include a registry of areas, including carbon stocks and ownership. This will provide a mechanism for receiving international REDD+ funds and transferring payments. The NPD further states that the legal, political and institutional issues relating to the ownership of forest resources and carbon will be assessed as part of developing an equitable and transparent system of REDD+ payments and benefit sharing (p31).

**Recommendations:**

- Elaborate on the likely institutional framework for managing, distributing and tracking international REDD+ funds
- Provide a more explicit mechanisms for developing and managing transparent and accountable REDD+ funds through a participatory process

**Transparent monitoring and oversight of REDD+***Proposes to establish information management systems for REDD+ that guarantee public access to information**Proposes mechanisms for independent oversight of the implementation of REDD+ activities**Proposes mechanisms to monitor efforts to address governance challenges*

The NPD states that a National Forest Information System (SNIF) will be implemented which will support REDD+ (p20). The SNIF will be linked to the National Environmental Information System in order to monitor forest and land-use changes. SNIF will also be linked to information systems in the agriculture and social development sectors as part of promoting cross-sectoral coordination (p20). Although the NPD states that information sharing activities will be carried out with all stakeholders, it does not specifically consider the issue of public access to information.

The NPD proposes a high level political committee within the NJP to provide oversight as well as a multi-stakeholder National REDD Committee (p35-36) and includes a monitoring and evaluation plan for the NJP (p25-27) that includes the implementation of governance activities. The NPD acknowledges that currently there is a lack of monitoring of initiatives to promote sustainable forest management as well as a lack of information on ecosystem services and forests (p17).

**Recommendations:**

- Clarify how information generated for REDD+ will be made publically accessible
- Clarify the degree to which independent monitoring and evaluation will be carried out and the results made publically available
- Elaborate on the types of information that need to be collected by the forest and environment information management systems as part of tracking the effectiveness of efforts to address key drivers of deforestation
- Elaborate arrangements in the MRV system that can be developed to track governance challenges related to addressing drivers of deforestation and degradation

## PARAGUAY

(Full NPD dated October 2010)

**GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS***To what extent does the R-PP consider key forest governance challenges for achieving REDD+?***Land and forest tenure**

- + *Discusses the situation regarding land and forest tenure, including for indigenous peoples*
- *Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens*
- Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The NPD provides an analysis of the historical and current land tenure situation including a snapshot of the underlying political and social processes that have driven forest loss, tenure insecurity and the concentration of land among a relatively wealthy minority (p9-10). The unequal agrarian reform process, coupled with inadequate zoning, has facilitated loss of lands by poor rural and indigenous communities and incentivized large land owners to deforest in order to assert their property rights (p10). In addressing these issues, the NPD suggests that REDD+ could facilitate the application of hitherto unimplemented laws that provide the regulatory and policy incentives to enable indigenous peoples and peasants to conserve and restore their forests (p10). The NPD also identifies an opportunity for the participatory design of a mechanism for formalizing land tenure at local level with rural communities and indigenous peoples (p20), although there is lack of capacity at the Directorate of Cadastres and the National Institute of Rural Development and Lands for effectively supporting the resolution of land tenure problems (p13).

**Recommendations:**

- Review the capacity and awareness of the judiciary in up-holding forestry-related laws and the related rights of citizens
- Assess the effectiveness and need for improving formal and informal dispute resolution mechanisms

**Forest Management**

- + *Discusses the ability of forest agencies to plan and implement forest management activities*
- Considers the role of non-government stakeholders, including communities, in forest management*
- Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The forests of Paraguay have undergone a steep decline over the last 20 years, which has been partially arrested by new 'zero deforestation' legislation (p8). The NPD recognizes that there is insufficient capacity for socio-environmental zoning and planning at the national, departmental and municipal levels, compounded by centralized and complex bureaucratic procedures as well as insufficient resources for sustainable forest, land and protected areas management (p13). In addition, the NPD acknowledges a lack of coordination between the agencies charged with implementation of the forest policy and legal framework, a weakness that is repeated at departmental and municipal levels and which is also experienced by grassroots organizations (p12). A further elaboration of these constraints is not provided. The legal framework also has deficiencies in terms of a lack of subsidiary instruments necessary for implementing the corresponding laws (p12). The NPD states that the National Environment Secretariat has pioneered cooperative natural resource agreements with communities (p12), but notes a general lack of overall participation by communities, particularly indigenous peoples, in sustainable development processes (p13). The reasons for this lack of participation are not elaborated.

**Recommendations:**

- Clarify the resource and capacity constraints faced by the agencies charged with forest management and how these need to be addressed in relation to ensuring REDD+ readiness
- Elaborate on the types of collaborative arrangements available for improving forest management with different stakeholders, and how these can be best developed to improve participation in forestry and REDD+ development.

**Forest Law Enforcement**

- Discusses the ability of law enforcement bodies to effectively enforce forest laws*
- *Discusses efforts to combat corruption*
- Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

## PARAGUAY

(Full NPD dated October 2010)

The NPD acknowledges that law enforcement authorities are unable to monitor and enforce compliance with forest and environmental laws, leading to deforestation and forest degradation (p10). In addition to conversion to agriculture, the high deforestation rate has been brought about by the ‘mining’ of forests for timber, fuel wood and charcoal, much of which is exported illegally to Brazil (p9,10). The NPD states that enforcement challenges will be addressed through updating, harmonizing and identifying gaps in the existing legal framework (p10); however, there is little discussion on the capacity needs for implementing existing or new laws that may be developed.

### **Recommendations:**

- Provide further detail on law enforcement challenges and potential strategies to address these weaknesses as part of the REDD+ strategy
- Provide information on the significance for the forestry sector of any efforts to combat corruption and how they might need to be improved as part of wider forest law enforcement and governance development

### **Other Forest Governance Issues Relevant for REDD+**

+ *Discusses other forest governance issues that are relevant for REDD+*

+ *Links identified governance challenges to proposed REDD+ strategy and implementation framework*

The NPD is particularly strong in its approach to including indigenous people and rural communities in REDD+ Readiness activities, and in achieving wider stakeholder buy in and ownership of the REDD+ process. It is clear from the NPD that the government’s aim is to ensure that the national legal framework and administrative actions regarding the rights of indigenous peoples, communities and the environment, which is consistent and harmonized with international law (p16). In this regard the government has committed to implementing legal and administrative reforms to comply with international standards before implementing or approving REDD activities that may affect the lands and resources of indigenous peoples and forest-dependent communities (p16).

## PHILIPPINES

(Initial NPD dated October 2010)

## GOVERNANCE OF REDD+

*To what extent does the R-PP promote good governance within REDD+ systems and processes?***Stakeholder participation in REDD+ planning and Implementation**+ *Identifies relevant stakeholders for REDD+*+ *Specifically considers how to engage vulnerable groups*+ *Establishes procedures to ensure a transparent process and accountability for stakeholder input*- *Establishes a grievance / dispute resolution mechanism*+ *Considers how to learn and build from other relevant participatory processes*

The NPD suggests that multi-stakeholder models that include national agencies, local units, civil society, indigenous peoples, and academia have been used in past participatory approaches, and therefore serve as useful models for REDD+ (p7). While not specific to National Joint Programme development, a civil society-led process to create a multi-stakeholder REDD+ strategy, in collaboration with the Forest Management Bureau of the Department of Environment and Natural Resources, was begun in 2009 and has brought together these stakeholder groups from local, regional and national levels (p7). The NPD specifically notes the importance of ensuring sufficient participation of women as well as local communities, although it does not clarify specific procedures for doing so.

The NPD mentions that terms of reference will be developed to create a mechanism for stakeholder coordination and that broad consultation will be carried out, but does not propose clear procedures or a timeline for achieving these outcomes. The NPD also does not establish a mechanism for resolving disputes.

**Recommendations:**

- Clarify mechanisms for engaging potentially vulnerable populations, including an analysis of their existing capacity to engage in REDD+ consultations
- Propose a clear process and timeline for achieving the consultations and stakeholder coordination mechanisms proposed in the NPD

**Government coordination in REDD+ planning and implementation**+ *Considers REDD+ in the context of other sector policies, land use plans, and national development plans*- *Proposes a process to reconcile potential conflicts between REDD+ strategies and other policies/plans*+ *Proposes effective mechanisms to coordinate REDD+ across sectors*- *Proposes effective mechanisms to coordinate REDD+ across levels of government*

The NPD states that the roles of governance institutions for REDD+ have yet to be clarified, although it does list a few national entities with responsibilities relating to climate change or management of natural resources (p7). A recent Executive Order gave implementation responsibilities for REDD+ to the Department of Environment and Natural Resources, and tasked the Climate Change Commission (CCC) with coordination of policies. However, specific modalities for coordinating REDD+ across sectors or levels of government are not clearly defined.

From the NPD, it is not clear how REDD+ will be integrated into other sectoral policies, although attempts at decentralization and the development of an integrated system of protected area management are mentioned as ongoing programs to improve management of resources that are likely to overlap with REDD+. Additionally, major national plans such as the Medium Term Philippine Development Plan and the Updated Forestry Master Plan are listed as existing initiatives, although clear links to REDD+ strategies or strategies for integrating REDD+ are not discussed.

**Recommendations:**

- Provide an analysis of existing strategies and potential conflicts that are likely to impact REDD+

## PHILIPPINES

*(Initial NPD dated October 2010)*

- Clarify mechanisms to coordinate across sectors and levels of government and include an identification of key actors

**Transparent and accountable REDD+ revenue management & benefit sharing**

- *Proposes a transparent system to track and coordinate international financing of activities related to REDD+*
- *Considers measures to promote fiscal transparency and accountability for REDD+ revenue management*
- + *Proposes a transparent process for deciding who should benefit from REDD+ and how benefits will be targeted*
- + *Reviews lessons from past and/or existing systems for managing and distributing forest revenues*

The NPD briefly notes that communities will need to be able to develop projects that tap into REDD funds, and also states the necessity of pilot-testing funding systems (p14). It further mentions the need to review existing legislation, such as benefit sharing mechanisms to identify key gaps. Finally, it suggests that the Climate Change Commission (CCC) conduct future consultations about benefit-sharing. Otherwise, systems to track revenue or lessons from past processes are not part of the proposed scope of the initial NPD outputs.

**Recommendations:**

- Clarify at what stage in the readiness process a revenue tracking and distribution system will be proposed or what pilot projects will be developed to begin consideration of appropriate revenue management systems for REDD+
- Provide information on existing systems and capacity to manage forest revenues

**Transparent monitoring and oversight of REDD+**

- + *Proposes to establish information management systems for REDD+ that guarantee public access to information*
- + *Proposes mechanisms for independent oversight of the implementation of REDD+ activities*
- + *Proposes mechanisms to monitor efforts to address governance challenges*

The Department of the Environment and Natural Resources is responsible for overall implementation of REDD+. The NPD notes that the implementation of REDD+ will unfold in phases, beginning with capacity development. The need for public access to information is discussed, the Results Framework states indicates that development and implementation of a Communication and Advocacy Plan and creation of information and educational materials are part of initial strategies to ensure stakeholder access to information (p18). The importance of REDD+ safeguards in the development of criteria and indicators to monitor both governance and environmental safeguards is also supported by the NPD (p17), although a specific process or system for doing so is not discussed.

**Recommendations:**

- Discuss the information systems that will be necessary to ensure public disclosure of REDD+ information
- Provide more detail on how monitoring of safeguards will be done and if monitoring will include overall implementation of REDD+ activities, at least at a later stage

**GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS***To what extent does the R-PP consider key forest governance challenges for achieving REDD+?***Land and forest tenure**

- + *Discusses the situation regarding land and forest tenure, including for indigenous peoples*
- *Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens*
- *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The NPD discusses a variety of existing tenure arrangements in the Philippines that reflect a range of management regimes (p6). Near 6 million ha of forest land is covered by some form of community management programs such as Ancestral Domain Claims, Community-Based Forest Management Agreements, and People's Organizations. Other examples of tenure arrangements include



## PHILIPPINES

*(Initial NPD dated October 2010)*

leases for grazing, agroforestry, plantations and timber management. Most of the tenure information discusses management rights rather than ownership; therefore, the types of rights provided under the various management arrangements could be clarified, particularly with respect to indigenous peoples. The NPD also does not provide significant detail on existing challenges for tenure, although it does note that unplanned forest conversion and logging are issues (p5). Capacity of judicial actors and specific strategy options for addressing tenure challenges are not covered in the NPD.

**Recommendations:**

- Provide more detail on existing tenure issues and propose a process to identify any necessary strategies for addressing tenure challenges
- Discuss the capacity of the judiciary or other mechanisms to resolve conflicts arising from land disputes

**Forest Management**

+ *Discusses the ability of forest agencies to plan and implement forest management activities*

*Considers the role of different stakeholders, including communities, in forest management*

- *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The NPD states that Sustainable Forest Management (SFM) is the prescribed method for forest management in the Philippines, as decreed in Executive Order No. 318 in 2004 (p6). The NPD states that the government's policies include promoting sustainable management practices in forests and also places a special emphasis on watersheds, including those in forested areas. Principles of multi-use are part of the management regime, and participation of Local Government Units is an important part of the policy to decentralize and strengthen capacity for local management. The NPD lists several other principles that govern management of forest resources, including "Institutional Support for SFM, Community-Based Forest Conservation and Development, and Delineation, Classification and Demarcation of State Forestlands" (p7). Given the diversity of management arrangements discussed in the land tenure section above, it is clear that a range of stakeholders, including communities, the government and private sector, all have a stake in forest management activities.

Explicit activities related to forest management are not enumerated in the NPD, but a major output of the program is an emphasis on national capacity building. This program is designed to build capacity of various stakeholders to fulfill their respective roles for REDD+, and could include capacity of actors to carry out sustainable forest management activities.

**Recommendation:**

- Provide more information on the capacity-building program discussed in the results framework, such as identifying how capacity of forest management stakeholders could be built as part of this strategy

**Forest Law Enforcement**

- *Discusses the ability of law enforcement bodies to effectively enforce forest laws*

- *Discusses efforts to combat corruption*

- *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

Forest law enforcement capacity is not part of the scope of the NPD document. Brief mention of a UNDP project related to biodiversity that will improve monitoring and surveillance is mentioned. While unplanned conversion and "indiscriminate" logging are cited as drivers of deforestation and forest degradation, there is no discussion of how weak enforcement enables these activities or development of strategy options to improve enforcement. Corruption is also not addressed.

**Recommendation:**

- Describe the situation with respect to forest law enforcement and identify specific capacity building needs that should be carried out

**PHILIPPINES***(Initial NPD dated October 2010)***Other Forest Governance Issues Relevant for REDD***Discusses other forest governance issues that are relevant for REDD+**Links identified governance challenges to proposed REDD+ strategy and implementation framework*

The proposed initial program of activities in the NPD notes the importance of governance and the need to create an “enabling environment” for REDD+ implementation. The focus of this initial NPD, therefore, is building capacity among stakeholders to participate in REDD+ in the future. However, the NPD could provide further detail on the specific capacity building that will be needed in this initial phase in order to subsequently begin developing REDD+ strategies that address governance more thoroughly.

**Recommendation:**

- Propose a strategy for identifying specific capacity needs of the various stakeholders identified in the NPD

## SOLOMON ISLANDS

*(Initial NPD dated October 2010)***GOVERNANCE OF REDD+***To what extent does the R-PP promote good governance within REDD+ systems and processes?***Stakeholder participation in REDD+ planning and implementation**+ *Identifies relevant stakeholders for REDD+*+ *Specifically considers how to engage vulnerable groups*+ *Establishes procedures to ensure a transparent process and accountability for stakeholder input*- *Establishes a grievance / dispute resolution mechanism*+ *Considers how to learn and build from other relevant participatory processes*

Generating support for REDD+ readiness through transparent and accessible efforts to conduct education and consultation efforts is one of the key outcomes envisioned as part of initial Joint Programme efforts. Key outputs will include a process to ensure that the right of free, prior and informed consent (FPIC) is respected, and the NPD stresses the need for this engagement to be ongoing rather than a discrete event. The NPD lists key stakeholders for REDD+, including government agencies, development partners, and international and national level NGOs—including groups that represent human rights of indigenous peoples. Respect for human rights and a special emphasis on education and awareness-raising for women stakeholders is also stressed (p16). One proposed output of the NPD is a multi-stakeholder national REDD+ working group, which it states will be led by the Ministry of Environment, Climate Change, Disaster Management and Meteorology and/or the Ministry of Forestry (p18). The working group will have balanced stakeholder representation, including other government agencies, NGOs, customary land owners and the private sector.

Initial efforts to engage stakeholders focus on improving understanding of the potential benefits and risks posed by REDD+, therefore the NPD does not explicitly discuss procedures or timelines for stakeholder engagement or feedback mechanisms in detail. It does propose to build on expertise from AusAID and stakeholder processes in other UN-REDD Programme countries. Finally, a grievance or dispute resolution mechanism for stakeholders is not discussed.

**Recommendations:**

- Outline a clear process for implementing the proposed efforts for awareness raising and for ongoing engagement of stakeholders
- Create a grievance or dispute resolution mechanism that will address stakeholder concerns during the process of developing and implementing readiness efforts and REDD+ activities

**Government coordination in REDD+ planning and implementation**+ *Considers REDD+ in the context of other sector policies, land use plans, and national development plans*+ *Proposes a process to reconcile potential conflicts between REDD+ strategies and other policies/plans*+ *Proposes effective mechanisms to coordinate REDD+ across sectors*+ *Proposes effective mechanisms to coordinate REDD+ across levels of government*

The NPD emphasizes the need to integrate REDD+ plans into existing national programs, and many of the challenges to be addressed in the initial national program are in line with the existing goals listed as part of the UN Development Assistance Framework for the Pacific Island States, as well as the Forestry Development Strategy (p6,8).

The R-PP recognizes that competing land uses such as industrial plantations, mining development, infrastructure and timber extraction all impact forest land in ways that are unlikely to be compatible with REDD+ goals and strategies (p7). The multi-stakeholder REDD+ working group is designed to help oversee the REDD+ process and coordinate efforts by including a range of government agencies and other stakeholder groups, however the NPD does not elaborate on specific mechanisms for managing the conflicts that may arise in this group (p18). The NPD does not specifically address whether coordination across levels of government is a necessity.

## SOLOMON ISLANDS

*(Initial NPD dated October 2010)***Recommendations:**

- Clarify whether further methods of coordinating readiness efforts across levels of government is necessary
- Discuss how land use allocation decisions are typically made and what process might be developed for discussing competing goals such as expanding oil palm and reducing forest loss

**Transparent and accountable REDD+ revenue management & benefit sharing**

- *Proposes a transparent system to track and coordinate international financing of activities related to REDD+*
- *Considers measures to promote fiscal transparency and accountability for REDD+ revenue management*
- *Proposes a transparent process for deciding who should benefit from REDD+ and how benefits will be targeted*
- *Reviews lessons from past and/or existing systems for managing and distributing forest revenues*

The development of a transparent system for monitoring REDD+ revenues or deciding on sharing of benefits is not one of the key outputs of the initial National Joint Programme as described in the NPD. However, the NPD does raise some issues that will likely need to be considered if the Solomon Islands move forward with readiness processes with regards to the development of revenue management systems; weak governance structures and poor coordination of customary ownership groups are cited as challenges that contribute to elite capture or unequal sharing of benefits from logging agreements (p4). The NPD notes the need to build capacity of these customary ownership groups to apply their rights to a larger share of benefits from timber harvesting (p14). These issues could have important lessons in the future for deciding on who will benefit from REDD+ revenues and how these funds will be shared.

**Recommendation:**

- As a full NPD is developed in the future, discuss how REDD+ funds will be managed in a transparent and accountable manner, and consider lessons learned from any existing revenue sharing arrangements

**Transparent monitoring and oversight of REDD+**

- + *Proposes to establish information management systems for REDD+ that guarantee public access to information*
- *Proposes mechanisms for independent oversight of the implementation of REDD+ activities*
- *Proposes mechanisms to monitor efforts to address governance challenges*

The NPD proposes a comprehensive communication and education plan to help build stakeholder awareness and build the capacity of both government officials and local communities to be informed about REDD+. The NPD states that some mis-information about carbon trading has begun to circulate and intends to design an education program that will provide stakeholders with accurate information about REDD+. The specific systems or processes that will be used to ensure transparent and accessible information dissemination are not discussed in significant detail, although the commitment to informing stakeholders is clear. Specific mechanisms for oversight of REDD+ implementation, including monitoring of efforts to address governance, are not discussed at this initial stage in the program development.

**Recommendations:**

- Clarify how the communication program will make information publicly available and whether a system for managing and sharing information—including on overall implementation and efforts to address governance challenges—will be created

**GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS***To what extent does the R-PP consider key forest governance challenges for achieving REDD+?***Land and forest tenure**

- + *Discusses the situation regarding land and forest tenure, including for indigenous peoples*
- *Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens*

## SOLOMON ISLANDS

*(Initial NPD dated October 2010 )***-** *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

Local communities own 87% of the land area of the Solomon Islands based on customary tenure rights. Due to the high level of community ownership, the tenure situation discourages large-scale development efforts or setting aside of lands for public goods such as watershed management or conservation. The NPD notes that conflict can arise between landowners and developers over land development, although the capacity of the judiciary or existence of other mechanisms to deal with these conflicts is not discussed. Specific weaknesses or issues related to tenure and land administration systems that should be addressed as part of REDD+ readiness efforts are not identified.

**Recommendations:**

- Clarify whether judicial or other systems exist to help address conflicts between landowners and developers
- Discuss any weakness in the tenure rules or practice that would need to be addressed as part readiness efforts

**Forest Management**

**+** *Discusses the ability of forest agencies to plan and implement forest management activities*

**+** *Considers the role of different stakeholders, including communities, in forest management*

**+** *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

The NPD identifies a series of issues that prevent the sustainable management of forests, including out-of-date legislation, uneven enforcement of laws and penalties, weak coordination and elite capture of revenues (p7). The dominant forest management activity in the Solomon Islands is commercial logging. Since 87% of land is owned by local communities, negotiations occur between logging companies and local communities or tribes. The current Forest Development Strategy for 2009-2013 attempts to promote more sustainable management practices through efforts such as monitoring compliance with prescribed logging practices, updating log export databases, implementing a national forestation program, reviewing forest legislation and developing timber milling and other processing facilities to assist local stakeholder groups in management activities (p8). The NPD proposes some additional future plans to address forest management weaknesses by improving forest data such as concession boundaries and creating a REDD+ “roadmap” that will in part identify forest governance gaps and document activities to improve them (p18).

**Recommendation:**

- Provide more detail on which institutions or groups have forest management responsibilities and identify whether capacity building efforts will be required as part of a REDD+ strategy

**Forest Law Enforcement**

**+** *Discusses the ability of law enforcement bodies to effectively enforce forest laws*

**-** *Discusses efforts to combat corruption*

**+** *Links identified governance challenges to proposed REDD+ strategy options and implementation framework*

Among the governance challenges discussed in the NPD is the current weak application of rule of law and ineffective law enforcement (p4). The NPD notes that penalties for infractions such as poor management or illegal logging are rarely imposed on offending companies, enforcement is not able to curb smuggling or mislabeling of products that leads to loss of revenue from the forest sector, and legal proceedings have prohibitively high costs. The NPD states that improving efforts to enforce existing laws, as well as the need to update out of date legislation, will be significant components of the REDD+ strategy as it is developed in more detail. Issues of corruption are not discussed in the NPD.

**Recommendation:**

- Clarify whether corruption is an ongoing challenge for forest law enforcement efforts that is linked to identified problems such as smuggling or loss of revenue

## SOLOMON ISLANDS

*(Initial NPD dated October 2010 )***Other Forest Governance Issues Relevant for REDD+**

- + *Discusses other forest governance issues that are relevant for REDD+*
- + *Links identified governance challenges to proposed REDD+ strategy and implementation framework*

The NPD clearly recognizes the importance of improving governance as part of readiness efforts and identifies a series of forest governance challenges including out of date legislation and poor enforcement. Planned outputs such as development of a REDD+ roadmap will help clarify the types of reforms and activities that are needed to address these challenges.

**Recommendation:**

- Clarify the process that will be used to develop the roadmap for REDD+ and the types of background studies that may be necessary to help formulate concrete REDD+ strategies to address forest governance challenges