

UN-REDD

PROGRAMME

Participatory Governance Assessment (PGA) for REDD+ National Program implementation in Ecuador

CONCEPT NOTE

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INTRODUCTION

As part of the preparatory phase of REDD+ National Program, the Ministry of Environment (MAE) has decided to carry on, with the support of UN REDD Program, a Participatory Governance Assessment (PGA). PGA's main objective is to analyze, in consensus with relevant stakeholders, the state of the art of the most relevant forestry governance issues for the future implementation of a REDD+ mechanism in Ecuador. But it seeks to go beyond the purely descriptive analysis and to become an instrument that provides advices for public decision making.

In this context, this concept note is a first approximation to the planning of PGA's implementation. As such, it aims to define a road map that will allow in the future an adequate PGA implementation. It was constructed in a participatory way with key stakeholders previously selected and the methodology used for its preparation was as follows:

- ✓ Available secondary information review (*annex 1* details the consulted bibliography).
- ✓ PGA's construction process socialization with 16 key stakeholders and consultation with these same actors about the main concept note aspects: areas that could be addressed in the PGA, scope, participation mechanisms and organizational structure of the implementation. *Annex 2* lists the interviewed stakeholders. These actors were selected for being part of previous participatory platforms (UN REDD Monitoring Board and Standards National Committee) or for having relevant experience in REDD+ issues (in *annex 3* are enlisted the members of the UN REDD Monitoring Board and of the Standards National Committee).
- ✓ Systematization of the information obtained from primary and secondary sources, and elaboration of the concept note's first version.
- ✓ Presentation of the concept note and inputs gathering to enrich the PGA's planning process, in the workshop "Preparation of the Participatory Governance Assessment for REDD+ Process", undertaken in Quito, on august 24, 2012 (*annex 4* enlists the participants of the workshop).

This document is structured into three main sections. The first one briefly describes the environmental and forestry situation in Ecuador, its legal framework, the main existing programs to fight deforestation and climate change, and the public institutions related to the subject.

The second section details the contents of Ecuador's REDD+ National Program, the importance for the Program of the PGA's implementation, and the construction process of the PGA, based on the work previously conducted in the country.

The third section develops the PGA's implementation proposal through its objectives, expected results, thematic scope, geographical targeting, main activities, methodology, schedule, initial budget and organizational structure.

A. BACKGROUND

A.1 Brief approximation to the environmental and forestry situation of Ecuador

Ecuador is a relatively small country (283.561 km²), divided into four regions: the Amazon, the Highlands, the Coast and the Galápagos Islands. Even though it only represents 0,2% of the world's surface, it's one of the 19 mega diverse countries of the world and home to 18% of world birds species, 18% orchids, 10% amphibians and 8% mammals. It also counts 66 different ecosystems and two hotspots, the "Tropical Andes" and "Tumbez-Chocó-Magdalena". Ecuador is not only biologically mega-diverse but also culturally since it harbors 16 different indigenous nationalities (CONAIE, 2012)¹.

Ecuador's forest cover reaches approximately 10 million hectares² (rainforest, montane, high Andean and dry), and mangroves, among others. Four of these 10 million hectares belong to the National System of State Protected Areas (SNAP) and around six million overlap with afro-Ecuadorian communities and indigenous peoples³. Most of the forest biomass is found in the Amazon (80%), around 13% in the Coast and the remaining 7% in the highlands⁴.

These remnant forests are threatened by one of the highest deforestation rates of South America. At the beginning of the 2000s, the deforestation was estimated at 198.000 hectares per year⁵, namely an annual deforestation rate of 1,5% that involved the loss, every year, of 2% of the country's woody vegetation and caused around 55 million tons of CO₂ emissions per year⁶.

According to a recent research of the Ministry of Environment (MAE), the deforestation rate for the year 2008 was at approximately 0,66%. This means that in Ecuador are destroyed around 77.647 hectares of forests each year. There is an information gap in this subject of 4%.

Deforestation in Ecuador has been mainly caused by agricultural frontier expansion, illegal logging, and activities such as agroindustry, mining and infrastructure construction. Most of the coastal region has already been deforested for agriculture, and the dry forests, the mangroves and other wetlands have been lost or have suffered severe degradation. In the Amazon, large areas have been affected by oil extraction and human colonization⁷.

¹ Shuar, Achuar, Siona, Secoya, Cofán, Waorani, Zapara, Shiwiar, Andoa, Kichua, Tsáchila, Epera, Chachi, Awa, Manta and Wankavilka.

² Clirsen, 2000.

³ National Development Plan, 2009.

⁴ Stern & Kernan 2011.

⁵ Clirsen, 2003.

⁶ Socio Bosque Program.

⁷ Stern and Kernan 2011. Taken from "The REDD Countries Database - 2012".

A.2 Legal framework and main existing programs to fight deforestation and climate change

In order to fight the trends described in section A.1, Ecuador has adopted a series of legal instruments and policies. Their main components are detailed as follows:

The Forestry and Conservation of Natural Areas and Wildlife Law

It was promulgated in 1982 in order to grant government full control of land tenure, conservation and use of the country's forestry resources. This law determined the general guidelines of the forestry policy. It is currently being updated.

The National Strategy for Sustainable Forest Development

Established in 2000, it sought to implement a new management model of forests, focused in the maintenance and restoration of the environmental goods and services that forests provide to local communities and the society in general, without losing sight of biodiversity conservation.

The new Constitution

Launched in 2008 and still valid, it recognizes nature as a subject of rights, emphasizing its conservation, sustainable use and recovery. Forests were declared fragile ecosystems requiring a special treatment, as well as highlands, wetlands and mangroves. Its article 414 points out that "the State will adopt appropriate and transversal measures to mitigate climate change, limiting IEG emissions, deforestation and atmospheric pollution; will take measures for the conservation of forests and vegetation, and will protect the population at risk".

The National Development Plan (2009-2013)

It establishes as a national priority the reduction of the deforestation rate. The goal of this plan is to reduce the country's deforestation in 30% by the year 2012 and to increase the areas under conservation. Through its policy 4.5, the Plan seeks to "promote adaptation and mitigation to climate variability with emphasis on the process of climate change".

The National Environmental Policy (PAN)

Released in 2009, it creates the new scheme for environmental management adopted by the current administration. It focuses on three main axes: institutional management of environmental matters, the physical limits of ecosystems and social participation.

Climate change mitigation and adaptation as a state policy

This policy was adopted in 2009 through the executive order 1815. In order to execute this mandate, MAE has initiated the formulation of the Climate Change National Strategy 2010-

2025⁸, which includes a National Plan for Climate Change Mitigation. The objective of the latest is to generate measures to create awareness on the importance of fighting this process, including institutional articulation mechanisms in every level of the State. Through an executive order (495), was created the Climate Change Interinstitutional Committee, a public policy coordination entity related to climate change that developed and validated the Climate Change National Strategy.

The forestry governance model

In order to meet the deforestation reduction goal established in the National Development Plan and as part of the National Strategy for the Sustainable Forest Development, the government developed a new Forestry Governance Model, which aims the sustainable management of forestry resources. Some of the components of this model are:

- Control and sustainable forest management, as a MAE's competence.
- Monitoring and implementation of information systems, as a MAE's competence.
- Rehabilitation of degraded lands in the subsystem of Natural State Areas Patrimony and of lands affected by forestry degradation of protected forests and state forestry patrimony, in charge of MAE.
- Reforestation through Proforestal project, as a competence of the Ministry of Agriculture, Livestock, Aquaculture and Fishing (MAGAP).
- Land legalization, as a competence of the Undersecretary of Land and Agrarian Reform, from MAGAP.
- Plantations aimed to be protected and preserved in river basins, in charge of the National Water Secretary (SENAGUA)

REDD+ mechanism will be articulated with this Model as a mechanism to raise funds that allow the implementation of incentives to preserve forests and mitigate climate change. Through a ministerial decree (231), MAE was designated as REDD+ national authority.

Socio Bosque Programe (PSB)

MAE's five main intervention axes for forestry governance are: forestry incentives; forestry information; forestry control; forestry promotion; and investigation, training and diffusion.

The main program of the forestry incentives system is Socio Bosque, created in 2008. Its objective is to preserve natural forests, "paramos" and other native ecosystems through the provision of financial incentives to forest owners (private and community).

Socio Bosque seeks to preserve four million hectares of forests, "paramos" and native vegetation, in order to benefit one million persons and to significantly reduce greenhouse gases

⁸ Acuerdo Ministerial 095 del 19 de julio de 2012

emissions from deforestation and forestry degradation. Until June 2011, under this Program were signed conservation agreements for more than 800 thousand hectares, benefiting more than 60 thousand persons.

A.3 Institutions

Both forestry management and climate change are MAE's competence, through two of its four undersecretaries: the Natural Heritage one and the Climate Change one. In the first one, the National Forestry Direction is in charge of the forestry sector, and in the second one, The Climate Change Mitigation Direction is the one that promotes REDD+ mechanism in Ecuador.

Other related public entities are the Heritage Coordination Ministry; the Strategic Sectors Coordination Ministry; MAGAP; The Industry and Productivity Ministry (MIPRO), The Nonrenewable Natural Resources Ministry; the Planning and Development National Secretary (SENPLADES); the Peoples, Social Movements and Citizen Participation Secretary; and SENAGUA, among others.

On the other hand, in this sector coexist a number of related institutions such as: local governments; international cooperation; Ecuadorian and international NGOs; private companies; federations, associations or grassroots; and union entities.

It is important to point out the importance of peoples and nationalities, who are the main owners of forests in Ecuador, a plurinational and multicultural State.

B. ECUADOR'S NATIONAL REDD+ PROGRAM AND ITS LINK WITH PGA

B.1 National REDD+ Program

In an international level, REDD+ mechanism was officially adopted by the United Nations Framework Convention on Climate Change during the Sixteenth Conference of the Parties undertaken on December 2010. REDD+ was conceived as an alternative to contribute to climate change mitigation through the reduction of greenhouse gases caused by deforestation and forest degradation, recognizing the role of conservation, sustainable forest management and the increase of forest carbon reservoirs.

Previous to this final approval, three United Nations agencies – Food and Agriculture Organization (FAO), the United Nations Program for Development (UNDP), and the United Nations Environment Program (UNEP) – created globally in 2008 the UN-REDD Program with the aim of helping developing countries technically and financially during their preparation phase for the application of the REDD+ mechanism.

Ecuador started through MAE its participation in the UN-REDD Program on October 2009, when it was formally accepted as an observer country. In September 2010, MAE initiated a socialization process with different social society stakeholders and representatives of indigenous nationalities and peoples, in order to receive inputs on the technical proposal draft of the UN-REDD Joint National Program (PNC).

On March 2011, its UN-REDD Joint National Program was approved and the country thus became beneficiary of the UN-REDD Program, together with other 12 countries that are implementing preparation activities for REDD+. The UN-REDD Joint National Program for Ecuador officially started on July 2012 with the aim to help the country, until 2012, to complete its preparation phase for the implementation of the REDD+ mechanism nationwide.

As part of this readiness phase, Ecuador is designing its REDD+ National Program, which will serve as a reference to implement the REDD+ mechanism in the country. This Program is fully aligned with the Ecuadorian policies and programs previously described: it is part of the National Strategy for Climate Change and of the National Plan for Climate Change Mitigation, and its components are articulated with the Forestry Governance Model. The design and implementation of REDD+ National Program is thus a way to meet two national objectives: reduce the deforestation rate and mitigate climate change.

Components

The design and implementation of REDD+ National Program are led by MAE, through the Undersecretary of Climate Change, in close coordination with the Undersecretary of Natural Heritage and other related entities. At the moment, REDD+ National Program scheme has identified the following four main components⁹:

⁹ REDD+ National Program is under construction and its scheme as well as its components may vary according to the country's needs for REDD+ implementation.

1. Measurement, Reporting and Verification Forestry information system. It is integrated by a unique accounting system and report of reduced emissions. This component has information inputs from two current projects – The National Forestry Evaluation (ENF)¹⁰ and the Historical Deforestation Map (MHD)¹¹- and two future projects – The Reference Scenario of Deforestation Emissions (ERED)¹² and the development of a Greenhouse Gases Monitoring System for the Forestry Sector, with MRV characteristics¹³.
2. Incentive system. It will seek to implement coordinated incentive policies for conservation, sustainable forest management and reforestation/forestation, among others. A successful example of it can be the Socio Bosque Program.
3. Forestry control. It is necessary to have a forestry control system that counts with fixed and mobile control checkpoints in strategic places in order to apply forestry use practices, as well as a subcomponent of wood demand management.
4. Land tenure regularization. This component will seek to offer legal guaranties on land tenure rights to local populations that live in forest areas and thus enlarge the universe of potential beneficiaries of the REDD+ implementation mechanism.

Additionally, REDD+ National Program has six transversal components that pursue to guaranty the long term sustainability of REDD+ mechanism: legal, financial and institutional framework; financial sustainability; safeguards and multiple benefits; intersectorial planning and interinstitutional coordination; research and stakeholders involvement.

Level of progress

Currently, Ecuador is in the readiness phase of REDD+ National Program, through which it is developing the regulatory and institutional national level frame that will allow its correct application. At the subnational level, different institutions and organizations have started studies and socializations for potential REDD+ projects.

As part of this readiness process, Ecuador is one of the 11 pilot countries voluntarily developing REDD+ Social and Environmental Standards (SES), an initiative promoted by the Climate, Community and Biodiversity Alliance (CCBA) and CARE International.

¹⁰ ENF's aim is to characterize the country's forestry resources and to determine the carbone contents by type of forest, among other analysis variables.

¹¹ MHD determines the historical and actual deforestation rate in Ecuador through a multi-temporary analysis in three periods: 1990 – 2000 – 2008

¹² It tries to determine the base line for IEG emissions caused by deforestation and to determine, if necessary, future projected emissions related to this activity nationwide. The historical reference scenario will be constructed based on information produced by ENF and MHD projects.

¹³ It will allow to evaluate IEG emissions and removals associated to the change processes of land use in the forestry sector.

The goal of this process is to ensure the implementation of a high quality REDD+ mechanism that allows the fulfillment of the safeguards established in Cancun Agreements¹⁴ and the obtaining of multiple social and environmental benefits such as conservation of biodiversity and respect for human rights.

REDD+ SES work has three phases. During the first one, carried out from March 2009 to June 2010, MAE participated in the construction of a series of principles, criteria and indicators at an international level. Once these standards were defined, consultation processes were undertaken in the five countries selected to implement REDD+SES pilot. In Ecuador, the second phase of the initiative, undertaken between July 2010 and July 2012, consisted in consultations with government representatives, civil society, indigenous populations and other stakeholders related to forest for the national interpretation of the standards indicators. The comments received were included in a version of the national interpretation that displayed a total of 86 indicators and that was approved by the Standards National Committee (see “stakeholders participation” section).

Later was carried out a field validation of REDD+SES indicators in a sample of nine communities belonging to Socio Bosque Program, with the aim to analyze the indicator’s applicability, their utility and versatility. As a result of this validation, the number of indicators was reduced from 86 to 61, avoiding duplications and trying to simplify their conceptualization, phrasing and vocabulary. This process also allowed to identify existing or needed sources of information or means of verification for the fulfillment of indicators as well as their scope. Further information is displayed in the web page <http://www.ambiente.gob.ec/?q=node/924&page=0,3>

During the third phase, the goal is to institutionalize REDD+SES in REDD+ National Program, through the development of a national monitoring system for the fulfillment of Cancun’s safeguards, which will allow to ensure the implementation of a high quality REDD+ mechanism nationwide.

Stakeholder participation

During the preparation process of REDD+ National Program for Ecuador, the government has tried to involve diverse key actors and created two participation platforms that have already concluded their work: the UN REDD+ Monitoring Board and the Environmental and Social Standards National Committee.

The government has also undertaken a series of events and information, dialogue and capacity building workshops.

The UN REDD+ Monitoring Board was in charge of ensuring transparency in the socialization phase of UN REDD National Joint Program, while the Standards National Committee was created to monitor and validate the national interpretation process of social and environmental standards in Ecuador. Both spaces were integrated by public entities representatives, international organisms, indigenous organizations, youth networks and NGOs. Annex 4 details the members of these platforms.

¹⁴ They emphasize on indigenous peoples and local communities rights, biodiversity conservation, environmental services and other social and environmental benefits.

In order to monitor the processes related with REDD+ mechanism and to maintain the participation platforms, MAE made a public call, in May 2012, to the conformation of REDD+ Working Board. To this date, this space is still being structured.

B.2 Ecuador's REDD+ National Program link with PGA

Brief introduction to the concept of PGA

A Participatory Governance Assessment (PGA) is an instrument that allows analyzing the state of art of governance in a determined place, with the specificity that the analysis is conducted by the country, in a participatory and inclusive manner. In this sense, PGA is a process owned by the country stakeholders, who identify and prioritize their governance problems, and determine how to measure, monitor and evaluate them, as well as ways to solve them. The PGA thus seeks to be more than a simple governance diagnosis of a sector and to become a true democratization process that, by including different related actors, allows their participation, joint interaction, capacity building and gives legitimacy to the results reached by the analysis.

Usually, a PGA is developed through the following four components, which are implemented in every case in a participatory manner:

- To identify and convene interested parties and participants.
- To define objectives and indicators for priority concentration areas.
- To analyze the governance structures and systems to support the recommendations of policies reform.
- To build capacities, both for the supply as well as for the demand of accountability.

PGA's methodology is based in an approach established by the UNDP Oslo Governance Center for governance assessments and FAO's experience in data collection and forestry sector supervision through its World Forestry Resources Assessment Program.

Justification of PGA's implementation for Ecuador's REDD+ National Program

Since PGA is a process that analyses the state of governance, it can be applied to any type of sector. In this case, the aim is to assess the state of governance in subjects related to forestry management in Ecuador and thus promote an effective and transparent governance structure in order to deal with some of the challenges related to the planning and implementation of REDD+ mechanism. The PGA will also generate recommendations and inputs to contribute to improve the current Forestry Governance Model.

It is key to take into account governance aspects for the implementation of REDD+ National Program since in countries with a weak governance, the lack of accountability mechanisms, the low levels of transparency and the non-participatory processes of decision making open the door to corruption

problems, conversion and illegal and non-planned use of forests, conflicts about land and forests ownership, and lack of sustainability of the program, among other aspects.

A fundamental PGA characteristic is that it seeks to be participatory, namely involve from the beginning all related actors, in order for them to appropriate the topic and turn sustainable the improvements that will be implemented in the future around governance in general and forestry management in the specific case of this work. The involvement of a large number of actors is precisely one of the main mandates of the Forestry Governance Model of Ecuador.

The participatory focus of PGA will also allow to develop the local capacities of stakeholders and will provide actors involved with REDD+ in Ecuador an internal and legitimate accountability mechanism, with recommendations for policy reforms and with a monitoring of the promotion and respect of Cancun agreed safeguards.

PGA's construction based on REDD+SES work

PGA in Ecuador will be built from the experience acquired with REDD+SES implementation and its principles, since many of these principles take into account different aspects of governance such as equity, human rights, participation, respect of local communities and indigenous peoples rights, transparency and access to information, and law enforcement.

These principles are detailed below.

- ❖ Principle 2: REDD+ National Program benefits are equitably shared among all right holders and pertinent stakeholders.
- ❖ Principle 4: REDD+ National Program contributes to the general objectives of sustainable development, human rights respect and protection, and good governance.
- ❖ Principle 6: Every right holder and pertinent stakeholder participates fully and effectively in REDD+ National Program.
- ❖ Principle 7: Every right holder and actor has timely access to adequate and precise information to allow an informed decision making and the good governance of REDD+ National Program.
- ❖ Principle 8: REDD+ National Program respects all local and national laws and the international treaties, conventions and other applicable instruments.

All these principles already count with a series of indicators that were reviewed during the participatory process of national interpretation in order to adapt to the national context.

Since UNDP advises to find a balance between existing indicators and the new ones to be developed, some of the existing REDD+SES indicators could be considered for PGA implementation.

On the other hand, it is important for PGA to be settled on existing participation platforms, such as the under construction REDD+ Working Board, and that it integrates participants from previous platforms such as the UN REDD+ Monitoring Board and the Standards National Committee, whose capacities related with governance topics and construction of indicators can contribute to the identification of priority topics to be assessed by PGA.

PGA could contribute to the third phase of the REDD+SES initiative, helping to implement and fulfill governance aspects. In a specific way, PGA could help Ecuador to strengthen the issues related with transparency, responsibility, effective participation and good governance, all considered in REDD+SES, while building capacities at a national and local level.

C. PROPOSAL FOR PGA IMPLEMENTATION IN ECUADOR

C.1 Conceptual Framework

The document Governance Forestry in Ecuador (MAE, 2011) adopts as a definition for forestry governance the following: forestry governance is defined as the modus operandi by which key stakeholders and institutions exercise authority in forestry resources management, allowing to improve the quality of life of actors that depend of the sector.

According to this definition, a good forestry governance is characterized by: quality law enforcement; low levels of corruption; transparency; decentralization; strengthen institutions; committed officials that enforce the law; political will to attend critical forestry sector elements; the attention to essential elements such as the assurance of property rights; social participation; and equity.

C.2 Objectives

General objective

To contribute to the optimal implementation of REDD+ mechanism in Ecuador and to provide inputs to support the strengthening of forestry governance.

Specific objectives

- To analyze the main elements of governance related to REDD+ mechanism, such as:
 - The existence and implementation of an adequate legal and political framework.
 - Public and private institutional capacity.
 - The effective participation of key stakeholders and democratic decision making processes.
 - Information and transparency.
 - Others defined in a participatory way.
- To contribute to the development and implementation of an information system that monitors the fulfillment of safeguards related to social, environmental and governance issues.
- To support the creation of an optimal governance structure for REDD+.

C.3 Expected results

The expected results of PGA implementation in Ecuador are the following:

- A series of specific indicators, built through participation, that allow to monitor governance for REDD+, as part of an information and accountability system about the fulfillment of social and environmental safeguards.
- A group of relevant actors trained and informed about REDD+ and governance, who participate in PGA's implementation and work together in order to make it sustainable.
- A policy document about the critical governance topics that should be addressed for the effective implementation of a REDD+ mechanism in Ecuador and a series of recommendations to improve governance.
- A document proposal of a specific governance structure for the implementation, monitoring and assessment of REDD+ mechanism in Ecuador, which includes the participation methodology, and private and public sector roles.
- An adequate diffusion of PGA results among relevant stakeholders, using appropriate communication tools.
- The institutionalization of PGA to ensure the process sustainability.

C.4 Thematic scope

Given the participatory approach with which UNDP promotes governance assessments, 16 relevant stakeholders of the forestry sector were directly consulted about the topics they consider priority to be analyzed, and a workshop was conducted with the participation of the main stakeholders (see annexes 2 and 4). The principal issues mentioned by these actors were the following:

- Legal and political framework
- Law enforcement and control
- Institutional management and coordination
- Participation
- Information and transparency
- Governance systems and decision making
- Peoples and communities rights

Other topics also mentioned, in lesser extent, were: land tenure, deforestation causes, sustainable forest management, biodiversity, compensations and multiple benefits.

The matrix that follows describe in more detail the main topics proposed by the persons interviewed and the participants of the workshop, as well as their arguments and the questions that, based on these arguments, could guide the future PGA implementation.

During the PGA implementation phase, involved actors should select the most relevant topics for the country in order to implement REDD+ mechanism.

ASSESSMENT TOPICS	MAIN PROBLEMS MENTIONED BY STAKEHOLDERS	POSSIBLE GUIDING QUESTIONS FOR PGA
<p>Legal and political framework</p>	<ul style="list-style-type: none"> - PGA should analyze local, national and international legal framework related with REDD+, specially the instruments on which there is not much information, such as the Environment Code, the Forestry Law and the Environment Management Law. - PGA should conduct a global and transversal analysis of all laws and policies related with REDD+ mechanism, including the Food Sovereignty Law, the Organic Code of Production, the Special Amazonia Territorial Circumscription and the National Productive Agenda. - A specific norm for REDD+ that establishes the rules for the implementation of this mechanism should be designed: rights, obligations, objectives, decentralization of powers... - Norms should be updated: even though there is progress regarding sustainable forestry management and climate change, there is still work to do with the Environment Code, the Forestry Law (in force since 1981), the norms for the use of forests, for dry and wet forests, the ones concerned with record subjects and the Land Law. - Article 74 of the Constitution declares that “environment services are not susceptible of appropriation and their production, provision and use should be regulated by the National Government”. It indicates that carbon sequestration by forests, considered an environmental service, will not be susceptible to be sold. This could be contradictory with the idea of a market for environment services underlying REDD+. No norm regulates this article. - There is an apparent contradiction between the different national development policies: some are based in the natural resources exploitation model (development of mining and petroleum rounds, infrastructure, promotion of African palm production, biofuels and livestock), and other promote the conservation of these resources. For instance, zonal agendas of productivity promote the production of palm in Ecuadorian Amazonia where REDD+ mechanism could be implemented. - Economic order based in extraction threatens the integrity of conservation. - It is important to evaluate national and local competences in the forestry sector. In some issues, the division line is fine and it is difficult to establish them. - PGA should include in its analysis the life plans developed by some peoples and nationalities. 	<ol style="list-style-type: none"> 1) What is the existing legal framework in forestry and climate change at an international, national and local level? 2) How does REDD+ mechanism relate with productive and territorial development laws? 3) How updated is the existing legal framework? Does it allow implementing a REDD+ mechanism? 4) Is there a specific norm for REDD? How does it work? 5) MAE’s norms are related with Territorial Plans of the local level or with environment departments of local governments? 6) How are REDD+ policies related coordinated among the different ministries? Are they contradictory? 7) In which level will REDD+ be positioned in relation to other State programs? Will it be a priority? Will it have a real incidence on deforestation? 8) Is there an interconnection between national, sectorial and territorial forestry policies? 9) National and local competences in the forestry sector are well defined? 10) Is REDD+ mechanism adapted to the life plans of peoples and nationalities?

<p>Law enforcement and control</p>	<p>- Forestry norms are not followed for multiple reasons such as: lack of knowledge from local populations; the fact that producing illegal wood can be easier than entering a long and expensive bureaucratic process; the lack of state capacity to control and sanction; lack of resources and technical capacity; the discretion with which control is undertaken; an insufficient presence of the State in the forests; and the disconnection with field reality.</p> <p>- Loggers are not effectively controlled. There is a high illegal exploitation of forests and the places where massive deforestation processes take place become “no man’s lands”.</p> <p>- In some areas where informal or illegal loggers operate, for instance in the northern regions of the province of Esmeraldas, there are more problems such as corruption and delinquency. Another problematic zone is the northeast of the Pichincha Province.</p>	<p>11) Why many stakeholders do not follow forestry norms? 12) Why MAE is not able to enforce the law? 13) Which institutions are in charge of implementing different controls? What are their competences and their different control levels? 14) How does local governments and civil society participate in law enforcement control? 15) Are there enough capacities to exercise this control? 16) How do complaints mechanisms work? Is the judiciary effective? 17) What economic and political interests produce illegal logging? 18) Do peoples and nationalities fully follow the intern regulations of their organizational structures? 19) In which way are related the enforcement of laws and REDD+ safeguards? 20) How will REDD+ distribution of benefits be monitored and controlled? 21) What mechanism will exist to measure the reduction of carbon emissions?</p>
<p>Institutional management and coordination</p>	<p>- MAE’s internal structure in relation with REDD+ implementation is not very clear. - MAE’s staff capacities seem insufficient in certain areas. - Sometimes, it seems that there is no coordination between the different ministries related to the subject. - Forestry competences distribution between MAGAP and MAE is not clear enough. - Local governments have certain competences given by the Constitution and the Organic Code of Territorial Planning, Autonomy and Decentralization, but in many cases they only have one or two persons working in environmental issues. - Local government’s role in the implementation of REDD+ mechanism is not clear. - More field technical assistance and of better quality is needed. There are few local technicians and many of them are not aware of the regional potentialities.</p>	<p>22) What competence owns each ministry related with forestry resources and how they interact? 23) How do Climate Change and Natural Heritage undersecretaries interact? 24) Do national and local MAE officials have enough experience and knowledge about social processes, indigenous rights and climate change? 25) Does MAE have enough financial resources for REDD+? How will the budget be structured? 26) How does MAE connect with other public entities related with the sector? Is there coordination? 27) What coordination exists between national and local governments? 28) What capacities have local governments to assume the local management of a REDD+ mechanism? 29) How does MAE establish connections with peoples and nationalities? Do these actors participate in decision making processes or are they just seen as beneficiaries and data providers? 30) How will REDD+ mechanism operate in each level (national and local)?</p>
<p>Participation</p>	<p>- The government is not favoring enough spaces of dialogue among actors. In the forestry sector, the only existing participation platform is the one concerning REDD+. - Participation platforms have not been institutionalized or formalized. - In certain occasions, criticisms are not taken into account and some perceive an</p>	<p>31) What is understood as participation and what kind of participation is expected in REDD+ processes carried out by MAE? 32) What kind of participation exists within the topics related to REDD+? 33) What real opportunities exist for civil society, including peoples and</p>

	<p>adverse ambiance towards different opinions.</p> <ul style="list-style-type: none"> - Civil society contributions are not always taken into account. In the building process of the UN REDD+ National Program, for instance, there were many discussions around indigenous rights and only a few were incorporated. - There is not always good representativeness in participation platforms and sometimes, some stakeholders are excluded. - Some grassroots stakeholders feel that communication is mostly unilateral, that decisions are imposed and that many community members accept what they are told without really understanding it. - Sometimes, the government considers information socialization as a consultancy process, when it is not. 	<p>nationalities, to participate in the decision making processes?</p> <p>34) Is the existence participation of good quality? Do communities have enough capacities to participate? Have all relevant actors been included? Participant actors are representative?</p> <p>35) Are the agreements achieved in consensus respected?</p> <p>36) Is the government accountable about forestry ant REDD+ topics?</p> <p>37) What accountability mechanisms exist among the different groups of actors?</p> <p>38) Is there participation in the construction of policies and forestry legislation?</p> <p>39) Is it possible to expect the existence of an independent monitoring instance for REDD+? How should it work? Civil society contributions around REDD+ will be binding?</p> <p>40) Invited stakeholders really participate? Is there co-responsibility in participation?</p> <p>41) Is participation considering the gender approach?</p> <p>42) What more permanent and systematic participation mechanisms can be established?</p>
<p>Information and transparency</p>	<ul style="list-style-type: none"> - There is not a good actor mapping of all stakeholders and their role in relation to REDD+¹⁵. - There is not enough adequate information about REDD+ issues or forestry norms, which causes distortions and don't allow an effective participation. - The language used in participative workshops is very technical and difficult to understand for all audiences, so it is not reaching communities. Communication is a challenge for MAE. It is difficult to find trained communicators for this subject. - Some NGOs have made part of their work to detract everything around REDD+ and they have confused people. Not all of them have enough knowledge about sustainable forestry management. - There are many taboos in the forestry sector, such as the causes of deforestation. - There is a divorce among actors: universities produce investigations that don't have synergies with the proposals of the environmental authority, certain MAE's norms don't consider local experiences or the information produced by universities, and companies and forest owners are not familiar with MAE o universities work. 	<p>43) What do information holders do to ensure that populations are informed and have a true capacity to take decisions?</p> <p>44) Is disseminated information accessible and useful? Does it take into account local cultural contexts? Is it differentiated by groups (women, youth, indigenous)?</p> <p>45) What information should be first disseminated?</p> <p>46) What level of information on REDD+ has each stakeholder?</p> <p>47) What is MAE's staff level of knowledge on social issues and local realities?</p> <p>48) How do training and field technical assistance strategies work?</p> <p>49) What role will local governments play in REDD+ implementation?</p> <p>50) Will communities involved in Socio Bosque be part of REDD+?</p> <p>51) What will be the benefits of REDD+ and how will they be distributed?</p> <p>52) What are the local costs implied in the design, formulation and implementation of REDD+ projects.</p> <p>53) Do peoples and nationalities know the carbon market operation?</p>

¹⁵ GIZ and EcoDecisión just launched a publication that provides inputs: "Actors Mapping and REDD+ Experiences in Ecuador" – Quito, 2012. However, this document only maps institutions or organizations that auto define themselves as related with REDD+ mechanisms and that are developing activities pertaining to REDD+.

	<ul style="list-style-type: none"> - The current deforestation rate is not real since 30% of the universe was not evaluated. Information about the sector should be more transparent¹⁶. 	
Governance systems and decision making	<ul style="list-style-type: none"> - There is rupture and distrust among rulers and governed actors, as a consequence of the lack of formal dialogue channels, the lack of capacity to tolerate and accept minimums required from both parties, and resistance, in occasions, from civil society to participate and make more proposals, and to accept that government has to take decisions, which doesn't imply a lack of participation. - Even though second and third degree level rural organizations are strengthened, the ones from the first level are still very weak, which difficult REDD+ implementation. Socio Bosque Program has proved that where there are no strong organizational processes, the delivery of financial incentives for the conservation of forests exacerbates certain problems such as inequity or corruption. - It is not clear how governance for REDD+ will be structured. It could be conceived through three platforms that interact but are separated and formed by different actors: a first one as a citizen oversight in which civil society members observe the process, a second one integrated by actors who directly participate in REDD+ mechanism, and a third one conformed by the government and the donors. REDD+ Working Board currently under construction mixes actors, their roles and attributions are not well delimited and it doesn't ensure transparency. - There is not enough congruence between REDD+ National Program and local projects that implement REDD+ mechanism¹⁷. 	<p>54) What is the organizational level of the indigenous institutions related with forests?</p> <p>55) How do the different governance systems from communities, federations and government interact?</p> <p>56) What level of knowledge exists among REDD+ stakeholders about community governance and their natural resources management?</p> <p>57) Are plans of life, working agendas and peoples and nationalities worldview taken into account in MAE's actions?</p> <p>58) Decision making processes are based on minimum requirements with all involved parties?</p> <p>59) How will governance for REDD+ be structured?</p> <p>60) How will decisions be taken at the local and national level?</p>
Peoples and communities rights	<ul style="list-style-type: none"> - There is more deforestation in protected areas and their buffer zones, than where indigenous territories are. - There hasn't been enough analysis of how to incorporate specific indigenous nationalities and people's rights such as consultation respect and previous consent mentioned in REDD+ and in the safeguards. - The government forms of these communities, their organizations, the way they take decisions and their timing are not always respected. 	<p>61) Peoples and communities rights are taken into account in forestry decisions related to REDD+? What rights are fulfilled and which not?</p> <p>62) How does the state guarantee peoples and communities rights on natural resources?</p> <p>63) How will the issue of free, previous and informed consent be handled?</p> <p>64) What guarantees will the State give to implement territories autonomy and self-determination processes?</p>
Others	<p>It is important to include other topics in the PGA, such as: biodiversity, deforestation causes, multiple benefits, land tenure, and compensations for the care of forests. In the future, the PGA could also include the issue of sustainable forestry management.</p>	

¹⁶ Recently, MAE concluded its project Historical Deforestation Map, with which the gap of deforestation information at a national level was reduced at 14% for the three analyzed periods. For the year 2008, the coverage deforestation information at a national level is 96%

¹⁷ As the REDD+ National Authority, MAE has still not registered or officially validated any REDD+ project. A number of early REDD+ initiatives have started an initial phase of development; however, none of these have been officially recognized by the National Authority.

C.5 Geographical scope

Even if some of the topics that will be prioritized for the PGA could be national, the ones concerning local subjects should be focused, in order to simplify the work and provide learned lessons from which to improve future processes.

Interviewed actors mentioned different ways to carry out this focalization, which should latter be discussed in a larger group of stakeholders. These options, described as follows, propose to start the PGA in one or more of the following pilot territories:

- Those that have already started early REDD+ non official initiatives or that work with Socio Bosque Program, to not start from zero.
- Those that show conflict in relation with REDD+ mechanism and Socio Bosque Program.
- Those potentially important for REDD+.
- Those with the higher deforestation rates: north and southeast Amazonia, and Esmeraldas.
- Those with strong forestry activities:
 - Norwest, with Esmeraldas as the center, and Imbabura.
 - The Ecuadorian Chocó zone, including Manabí.
 - The dry zone, south of Manabí and Santa Elena.
 - Zone 7 (provinces of Loja, Zamora Chinchipe and El Oro), that has important planning processes around environment topics.
 - From the north of Orellana to Sucumbíos provinces, a dynamic zone in some processes.
 - The south center of Amazonia, which includes Morona Santiago, a dynamic territory that has taken advantage of the forest and possesses incentive schemes.
 - The metropolitan district of Quito, with 500 thousand hectares of forests. This territory has experienced an important environmental development in the last two years, although in a divorced way with MAE's processes.
- Those with strong organizational levels, such as Cofán territory, in the Amazonia, in comparison with those that have organizational problems.

C.6 Main activities and methodology

PGA's aggregate value relies in its participatory dimension. Thus, all its activities will be conducted through the involvement of the most relevant stakeholders. These are:

- Public entities: MAE; MAGAP; MIPRO; the Strategic Sectors Coordination Ministry; Heritage Coordination Ministry; The Nonrenewable Natural Resources Ministry; the Transparency Secretary; the Peoples, Social Movements and Citizen Participation

Secretary; the Planning and Development National Secretary (SENPLADES); the National Water Secretary, and local governments.

- Civil society organizations: NGOs, international organisms, social groups, youth and women group's representatives.
- Private sector: loggers, merchants and project developers.
- Academic sector.
- Indigenous communities and peoples.

The **activities** that should be carried out to implement PGA are described as follows, in a chronological order:

- 1) Conformation of the coordinator and investigator team in charge to implement PGA.
- 2) Selection, among the groups mentioned at the beginning of this section, of the most suitable stakeholders to participate in the entire process and of the best way to implicate them. For that, an actor mapping and an institutional context analysis¹⁸ will be undertaken.
- 3) Training of the previously selected stakeholders, in order to level everyone's knowledge and to make an effective future participation possible. These actors will participate in all of the following activities. In order to pursue effective trainings, the participant's capacities will be previously assessed¹⁹.
- 4) Selection of the priority topics to be analyzed in the PGA, as from those preliminarily identified in this concept note. This selection can be undertaken through representative surveys, workshop in forestry zones and debates in the REDD+ Working Board.
- 5) Definition of how to geographically target the PGA for local topics.
- 6) Development of indicators for each one of these topics (national and local), taking into account the existent REDD+SES indicators. This construction should specially involve actors belonging to the territories in which work will be done.
- 7) Determination of the methodology that will be used to gather information on field: review of secondary information, surveys, interviews, focal groups, workshops...
- 8) Compilation of information, with the monitoring and advice of a local university previously selected.
- 9) Collected data processing.

¹⁸ UNDP counts with instruments such as "Institutional and Context Analysis (ICA)" or "Stakeholder Engagement" (SE)

¹⁹ UNDP has developed the "Capacity Evaluation Methodology"

10) Implementation of a communication strategy to disseminate information at a local and national level, in a differentiated way according to the type of actors: web pages, press conferences, communicational material, academic documentation, working meetings, political lobby, etc. This strategy will include capacity building for the information users and for the entity that will manage it.

11) Development of a governance proposal for REDD+.

12) Design and implementation of a sustainable strategy to institutionalize the PGA, amplify its scope and ensure that it will be undertaken in a periodic way.

C.7 Basic activities schedule (tentative)

ACTIVITIES	DEADLINES			
	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Conformation of the coordinator and investigator team				
Actors mapping, institutional context analysis and participants selection				
Assessment of selected participant's capacities and leveling through trainings				
Selection of priority topics to be assessed				
Definition of geographical focalization for PGA				
Indicators development				
Determination of the methodology that will be used to gather information				
Training of local actors for the information gathering				
Field information gathering				
Information systematization and processing				
Design of a communication strategy that includes capacity building for the correct use of information				
Communication strategy implementation				
Design and implementation of a sustainable implementation strategy				

C.8 Initial estimated budget

	Unit	Amount	Unit cost	Total
MAIN ITEMS				
1 general coordinator	Monthly salary	12	2500	30000
1 governance specialist	Monthly salary	3	2000	6000
1 environment specialist	Monthly salary	3	2000	6000
1 research and information management specialist	Monthly salary	6	2000	12000
1 strategic communication specialist	Monthly salary	4	2000	8000
5 local technicians	Monthly salary	3	3000	9000
Participatory workshops and work meetings	Workshops	8	3000	24000
Trainings	Workshops	4	3000	12000
Design and publication of audiovisual communication material	Communication material	1	15000	15000
Presentations and press conferences	Meetings	3	1500	4500
Information system implementation	System	1	8000	8000
Transport		1	15000	15000
Lodging and per diem		1	15500	15500
Office material		1	5000	5000
Incidentals		1	10000	10000
TOTAL				180000

C.9 Organizational structure

PGA implementation will be in charge of two structures:

- **A working team**
 - Characteristics: multidisciplinary group of experts with experience in environment, governance, participation, communication and research topics, whom will count with the support, at a local level, of communities' inhabitants previously trained. This group will be led by a general coordinator.
 - Role: to select the most relevant actors to participate in the process and train them; to coordinate the definitive selection process of the priority topics and the corresponding indicators development; to gather the necessary information to feed the indicators; to design and implement the information strategies and sustainability for the PGA; and to propose a governance structure for REDD+.

- **REDD+ working board**
 - Characteristics: currently under structuring by MAE in order to count with a unique stakeholder involvement platform for the preparation and implementation of REDD+ National Program. It will be integrated by 8 civil society representatives and 7 representatives of communities, peoples, and indigenous communities.
 - Role: to be an observer that monitors and gives advice to the governance assessment process.

According to the suggestions made by the consulted actors to elaborate this concept note, it is important in the future to submit this structure to a new validation, with the aim to avoid criticisms and to count with the stakeholder's consented commitment to participate in this process.

ANNEXES

ANNEX 1

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ANNEX 2

LIST OF INTERVIEWED PERSONS FOR THE CONCEPT NOTE PREPARATION

Public entities

- Secretaría de Pueblos, Movimientos Sociales y Participación Ciudadana
Teresa Mosquera
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- Ministerio del Ambiente
Tania Villegas
Natural Heritage Undersecretary
- Ministerio del Ambiente
Carola Borja
Climate Change Undersecretary

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Juan Carlos Jintiach
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Member of the UN REDD Monitoring Board
- Confederación de Nacionalidades Indígenas de la Amazonía (CONFENIAE)
Máximo Cuji
Technician
Member of the Standards National Committee

Academy

- Universidad Nacional de Loja
Nikolay Aguirre
Research Professor at Facultad Agropecuaria y de Recursos Naturales Renovables.
Member of the Standards National Committee

Civil society organizations

- Comité Ecuatoriano de la Unión Internacional para la Conservación de la Naturaleza (UICN)
Susan Poats
Member of the UN REDD Monitoring Board
- Unidad de Apoyo Iniciativa para la conservación en la Amazonía Andina (ICAA)
Marcho Chiu
Financial incentives coordinator
- Programa Face de Forestación del Ecuador S.A (PROFAFOR)
Luis Jara
General Manager
Member of the Standards National Committee
- GEO RED
Sebastián Cárdenas
Member of the Standards National Committee
- Fundación Pachamama
Belén Paez
Director
Member of Coordinadora Ecuatoriana de Defensa de la Naturaleza y el Ambiente (CEDENMA)
Member of the UN REDD Monitoring Board
Member of the Standards National Committee
- Fundación Pachamama
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Member of Coordinadora Ecuatoriana de Defensa de la Naturaleza y el Ambiente (CEDENMA)
- Centro de Planificación y Estudios Sociales (CEPLAES)
Lourdes Barragán
Member of the Board
- CARE
Belén Cordovez
Climate Change Advisor
REDD+ focal point

International organisms

- Organización de las Naciones Unidas para la Alimentación y la Agricultura (FAO)
Kelvin Cueva
Forestry Inventories Advisor

Private sector

- Asociación de Industriales de la Madera (AIMA)
Christian Riofrío
Executive director

ANNEX 3

INSTITUTIONS REPRESENTED AT THE UN REDD MONITORING BOARD
Ministerio Coordinador de Política y GADs
Secretaría de Pueblos
SENPLADES
Ministerio Coordinador de Patrimonio
PNUMA
PNUD
FAO
CONFENIAE
FEI
FEINE
COICA
CNC
CONFUNASSC
Comité Ecuatoriano de la UICN
Comité Ecuatoriano de la UICN
CEDENMA
CEDENMA
Coordinadora Nacional de Estudiantes Universitarios
Asociación de Jóvenes Planeta Azul

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Comunidad Ríos Guacamayos
CONFENIAE
FECHE
UNOCYPP
Comunidad Nueva Todondolique
Universidad Nacional de Loja
Geojuvenil
Cedenma
Profafor
ARA
SENPLADES
Secretaría de Pueblos, Movimientos Sociales y Participación Ciudadana



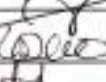


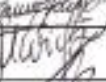

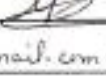




ANNEX 4: PARTICIPANT'S LIST – PGA PLANNING WORKSHOP





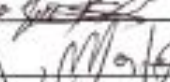
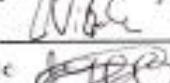

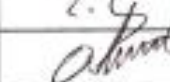
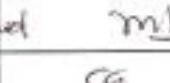
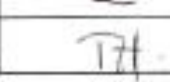




PROGRAMA
ONU-REDD



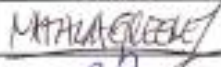


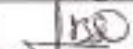

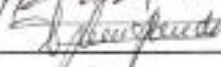
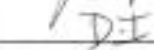
TALLER DE PREPARACIÓN DEL PROCESO DE EVALUACIÓN PARTICIPATIVA DE GOBERNANZA 24 Agosto 2012, Quito

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TALLER DE PREPARACIÓN DEL PROCESO DE EVALUACIÓN PARTICIPATIVA DE GOBERNANZA
24 Agosto 2012, Quito

INSTITUCIÓN	NOMBRE	CARGO	TELEFONO	CORREO ELECTRONICO	FIRMA
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**TALLER DE PREPARACIÓN DEL PROCESO DE EVALUACIÓN PARTICIPATIVA DE
GOBERNANZA**
24 Agosto 2012, Quito

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