

**Nigeria REDD+ Readiness Programme**

**Participatory Governance Assessment (PGA) for REDD+**

*Updated Concept Note – April 2012*

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**A) Background on the Nigeria UNREDD+ Readiness Programme**

Nigeria’s original forest cover has been dramatically reduced over the past decades. Awareness of this issue is growing in the country. An ambitious nationwide reforestation programme with involvement from local populations has been launched to simultaneously regain forest coverage and enhance community livelihoods across the country. The country has also engaged in exploring the REDD+ mechanism, related to climate negotiations and new climate finance instruments for the forest sector.

Over 50% of the remaining tropical high forests of Nigeria are located in a single state: Cross River State (CRS). In 2009, CRS declared a moratorium on timber extraction, while starting to explore new environmental finance mechanisms to further protect the forests, with a priority focus on enhancing the livelihoods of forest-dependent communities.

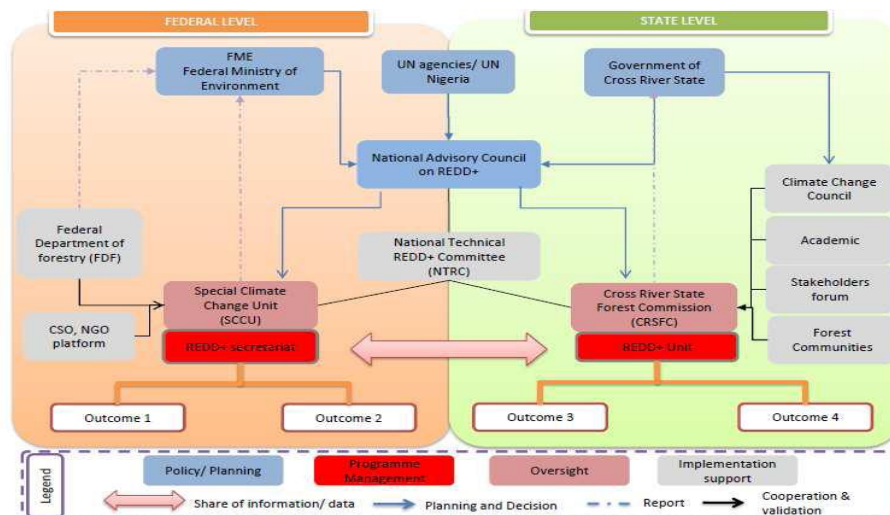
Reinforced with these pioneering efforts from CRS, the Federal Government of Nigeria joined the UNREDD+ Programme in 2010, and then prepared and submitted a national REDD+ readiness programme in March 2011. The Nigeria REDD+ Readiness Programme envisions a two-track approach to achieve REDD+ readiness in Nigeria, with the development of institutional and technical capacities at Federal level and, simultaneously, carrying out intense institutional, strategy-building and demonstration activities in CRS. It is envisioned that state-level progress will in turn inform the national process and guide pragmatically other states interested in REDD+.

Cross River State has been retained as the pioneer state to serve as a 'demonstration model' because of its political leadership and manifest engagement in forest conservation and in exploring the REDD+ mechanism, as well as for its major potential for emissions reduction from the forest sector given that it hosts over 50% of the country's high tropical forests.

The outputs and proposed activities under Nigeria's REDD+ Readiness Programme include support for management of REDD+ readiness (at both federal level and in CRS), stakeholder engagement and learning (from the federal level to communities), a national MRV framework coupled with CRS's forest monitoring capacity, establishment of mechanisms for social and environmental safeguards and the promotion of multiple benefits, coordinated support for REDD+ experimental and field initiatives in CRS, and broad dissemination of the knowledge and best practices that will emerge throughout the implementation of the Programme. Specific outputs also provide for building a preliminary national strategy for expanding REDD+ across Nigeria and a REDD+ Strategy in CRS (to facilitate transition to REDD's phase 2).

The Programme will be implemented by two units: at the federal level, by the National REDD+ Secretariat (under the *aegis* of the Special Climate Change Unit, and the technical support of the Federal Department of Forestry), and in Cross River State by the Forestry Commission (see Figure 1). A national REDD+ advisory council, a national REDD+ technical committee, and stakeholder fora will support and guide the Programme's activities and implementation.

**Figure 1: Overall management of the REDD+ readiness process in Nigeria**



## B) The REDD+ Governance Challenges

Payments under a REDD+ mechanism for forest-based emissions reductions can translate into incentives for sustainable land uses and better stewardship of forest resources. This, however, can only be achieved if the socio-economic drivers of deforestation and forest degradation are addressed and current forest resource users have sufficient confidence in the REDD+ mechanism to change the way they use forest resources. In other words, if the allocation of carbon rights is opaque and uncertain, if the distribution of benefits is unpredictable, untimely or captured by a few, if lack of enforcement allows free riders to exploit the system, or if perceived or experienced corruption is high, stakeholders will not take the risk of foregoing the income they derive from their current uses of forest resources – *and REDD+ will not work*. Both potential donors and beneficiaries need to have sufficient confidence in the REDD+ mechanism to make it function.

Against this backdrop, it is evident that a sound governance system will be central to the success to REDD+ policies and finance. This will not be easy, as REDD+ takes place in forest governance contexts characterized by illegal logging, corruption, corporate and elite capture of forest lands, displacement of forest communities, and other social and governance issues. In many countries, the lack of appropriate policies on forest management, weak law enforcement, ambiguous land tenure as well as poor regulation on the use of forest have all exacerbated the vulnerability of forests and their communities.

As a response to these concerns, the UN-REDD Programme developed global Social & Environmental Principles and Criteria to guide national programmes and efforts, so as to ensure that its activities promote social and environmental benefits, and reduce unintended risks from REDD+. *Principle 1 on Democratic Governance* states that REDD+ programmes should 'comply with standards of democratic governance', and proposes the following three criteria:

- Criterion 1 – Ensure integrity of fiduciary and fund management systems
- Criterion 2 – Implement activities in a transparent and accountable manner
- Criterion 3 – Ensure broad-based stakeholder participation

*Principle 2 on Stakeholder livelihoods* states that the Programme should ‘carefully assess potential adverse impacts on stakeholders’ long-term livelihoods and mitigate effects where appropriate.’ The following criteria are proposed:

- Criterion 4 – Promote gender equality
- Criterion 5 – Avoid involuntary resettlement
- Criterion 6 – Respect traditional knowledge
- Criterion 7 – Develop equitable benefit distribution systems

### **C) Why a country-owned approach for assessing governance for REDD+**

One way of improving a country’s governance around the REDD+ mechanism may be to improve existing systems for information sharing, or establish new ones, notably on the extent to which the principles and criteria listed above are upheld in the course of REDD+ implementation. Indeed, the Cancun Agreements from the UNFCCC COP 16 meeting in Cancun in December 2010 requests “developing country Parties...to develop... [a] system for providing information on how safeguards referred to in annex 1 to this decision are being addressed and respected” when implementing REDD+.

For the REDD+ community, assessing and enhancing the governance of the forest sector and of the REDD+ mechanism itself is now considered equally important as the system designed to monitor carbon. Broadly speaking, governance data for REDD+ is needed to identify the drivers of deforestation and forest degradation, to help design appropriate interventions to tackle these drivers, and to assess and review the effects of these interventions. More specifically, a national governance information system for REDD+ could disseminate data on REDD+ funding received as well as revenue distribution, cases tried in court, level of perceived corruption, etc. Such information-sharing systems can provide a critical accountability mechanism if the data generated is deemed robust and credible, if indicators are chosen so as to truly reflect and address citizens’ concerns and interests, and if this information is acted upon.

Evidence shows that externally-driven assessments or independent (‘third party’) monitoring rarely bring sustainable and long-term change on the ground beyond a project cycle<sup>1</sup>. There is more resistance (by both civil society and government) to such externally-driven processes which lack the ownership of national and local actors. In spite of the technical expertise that such outfits may bring, there is scant evidence of any long-term policy change or positive outcomes brought by such assessments. Furthermore, they fail to strengthen national capacity to assess governance and to use governance data to inform policies and to hold various stakeholders to account.

### **D) The comparative advantage of Participatory Governance Assessments (PGAs) for REDD+**

For governments to be able to provide credible information on the national REDD+ process, and more specifically on how governance and social safeguards are promoted, addressed and respected, mutual trust in how this information is prepared and mutual appreciation of the relevance of this information is crucial. PGAs are a valuable tool to build such information systems

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<sup>1</sup> See UNDP’s Practice Note on Country-Led Democratic Governance Assessments (2009) [http://gaportal.org/sites/default/files/Practice%20Note\\_Eng.pdf](http://gaportal.org/sites/default/files/Practice%20Note_Eng.pdf)

and to prepare the grounds for qualitative safeguards. PGAs for REDD+ emphasize the inclusion of various stakeholders (government officials, civil society actors, forest-dependent communities, national data and fiduciary control agencies, academia, and the media, among others) from the very beginning of the process to ensure that there is a broad-based agreement on the governance indicator framework developed and on the methodology used to collect data. At the heart of PGAs for REDD+ are four key principles<sup>2</sup>:

- **Accountability:** The assessment process can act as a critical accountability mechanism for local stakeholders with regard to governance performance.
- **Participation:** A broad and representative range of national - and where applicable also local - actors have opportunities to provide input to key stages of the assessment process.
- **Transparency:** National – and where applicable also local - actors have unbiased access to information on the assessment process, and the results of the assessment are made available to the public as a public good.
- **Legitimacy:** National – and where applicable also local - actors agree that the assessment process and its results are legitimate through.

The table below summarizes the key differences between externally-led assessments and country-owned, participatory assessments:

External assessments / independent monitoring on REDD+	Country-owned / Participatory governance assessments
'Technocratic' accountability to donors ('top-down' approach)	Meaningful accountability to <u>domestic stakeholders</u> ('bottom-up' approach)
To maintain the credibility of an international REDD+ mechanism	To maintain the credibility of a <u>national</u> REDD+ mechanism
Using international consultants or third party monitoring	Led by <u>national stakeholders</u> and researchers (incl. local communities, CSOs, etc.)
Alignment to international measuring needs (general indicator set applied to all countries)	Alignment to national measuring needs (indicators <u>specific to country</u> context)
Lack of ownership → lack of follow-up on recommendations	Strong ownership → More likely to <u>follow-up on recommendations</u>
Allows for cross-country comparisons (international rankings)	Allows for <u>sub-national</u> comparisons (peer learning / experience-sharing)

## E) Objectives of PGAs for REDD+ in Nigeria

<sup>2</sup> These four principles are the same key democratic governance principles which underlie the country-led governance assessment approach promoted by the UNDP Oslo Governance Centre. See the UNDP Practice Note on Country-led Democratic Governance Assessments (2009), p. 10-11

This concept note aims to provide a framework for a participatory process at the federal and state levels in Nigeria to collect data in a systematic manner on how governance and social safeguards for REDD+ are promoted, addressed and respected. It is based on a consultation held with key REDD+ stakeholders (from federal and state levels) in Lagos on 20 May 2011 (see participants list in Annex 1), during which a consensus was reached on the value-added of PGAs for REDD+ in Nigeria, on the key governance issues which should be assessed, and on a broad timeline and steps for the first phase of PGA process (initially planned to take place from June until December 2011, but due to the unforeseen delay caused by the unfortunate bombing of the UN House in Abuja in August 2011, the PGA process had to be put on hold. It is now scheduled to start in May 2012, and this first phase will last until the end of the year). The remainder of this concept note is a recapitulation of the action points agreed during this consultation.

The PGA process envisaged in Nigeria will have two phases:

1. **Phase one** (from May to December 2012) will be a preparatory phase focused on the development of a PGA methodology tailored to the Nigerian context, through consultations with a broad range of stakeholders.
2. **Phase two** (from January 2013 onwards) will be a piloting phase during which the methodology developed in phase one will be rolled-out in CRS and perhaps in a second state.

Ultimately (i.e. at the end of phase two), the **expected outcomes** of the PGAs in Nigeria are as follows:

1. Baseline governance information about the level of Nigeria's preparedness in implementing REDD+;
2. A policy paper on the critical governance issues that need to be addressed for the effective implementation of the REDD+ Programme in Nigeria, with specific targets agreed upon (based on the PGA indicator framework);
3. An online information platform established to disseminate PGA results, and other communication tools developed to reach out to all stakeholders (including those who are illiterate, or living in remote areas, etc.);
4. Consultative fora established at local, state and federal levels to discuss governance issues related to REDD+ (based on the evidence collected);
5. A capacity development programme developed to address the findings of the PGAs (e.g. aimed at strengthening mechanisms for uptake of data into policymaking, aimed at strengthening mechanisms for stakeholders to hold authorities to account on agreed targets, etc.)

As a diagnostic tool, the PGAs in Nigeria will help achieve the following objectives:

1. To assess the existence and implementation of adequate policies and legislations necessary for the effective implementation of REDD+ and more generally, for the sustainable management of forests;
2. To assess the institutional capacity of government agencies at federal, state and local levels to implement the REDD+ Programme and sustainable forest management (SFM) policies;

3. To assess the existence and effectiveness of an anti-corruption strategy specifically designed for REDD+;
4. To assess the existence and effectiveness of mechanisms established for meaningful participation by forest-dependent communities in the implementation of REDD+;
5. To assess the existence and implementation of the benefit distribution system for REDD+ in terms of its transparency and fairness in distribution of benefits to the concerned stakeholders.

## **F) Overview of governance issues to be assessed**

The PGA process will 'start small', by focusing initially on a limited number of priority issues to be assessed with a limited number of key indicators. This indicator set can then be expanded over time when sufficient capacity is available amongst both data producers and data users. Other governance assessments recently conducted in Nigeria have revealed significant capacity constraints for regular data collection by both state and non-state actors, an aspect that should be strongly considered when designing PGAs in the context of REDD+. Caution will therefore be exerted from the outset to avoid the (common) mistake of starting with a wide indicator set only to realize, through field testing of the methodology, that it is unwieldy and therefore unsustainable.

On the basis of the Social Principles & Criteria mentioned above (on Democratic Governance and Stakeholder Livelihoods) as an overarching framework, the following thematic areas have been identified as priority areas to be assessed by the PGAs. For a more detailed description of the specific issues to be assessed under the PGAs, as proposed by REDD+ stakeholders, see Annex 2. For examples of how to convert such 'issues' into measurable indicators, see Annex 3.

### **1. Policy and legislation concerning REDD+ and democratic governance**

The assessment will seek to examine the quality of existing policies and legislations which are directly related to the implementation of REDD+<sup>3</sup>, the legislative and/or policy gaps which need to be filled, and the extent to which these policies and regulations are implemented in practice. It will address questions such as:

1. Are there adequate policies and legislation, both at the national and state levels, to regulate REDD+ readiness and REDD+ activities in general?
2. Are these policies and legislations harmonised with one another?
3. Is there a perceived gap between the policies and legislations and their actual implementation?
4. Are these policies and legislation gender sensitive or do they include provisions for women's empowerment?
5. Do these policies and legislations recognise forest-dependent communities as legitimate stakeholders to be involved in the design and implementation of REDD+?

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<sup>3</sup> These may include the following: Ministry of Forestry regulations ensuring public access to forestry data, concession and revenue information, whistleblower protection legislation, freedom of the press legislation, regulations requiring the publication by the police and the judiciary of enforcement activities, regulations requiring annual audits throughout forestry-related ministries, merit-based hiring and firing policies in forestry-related ministries, etc.

6. Do these policies and legislations take into account tenure rights and feasible reforms of tenure rights by forest-dependent communities?

## **2. Institutional capacity of government agencies at federal, state and local levels**

The assessment will also seek to examine the institutional capacity of federal-, state- and local-level government agencies to implement the REDD+ Programme. It will address questions such as:

1. Are needs related to REDD+ implementation reflected in the planning and budgeting documents at the state and local levels?
2. Are there institutions in the state and local governments specifically dedicated to REDD+, with sufficient mandate, authority, budget, and personnel?
3. Do the officials and staff of the above-mentioned institutions have sufficient technical skills and knowledge about REDD+?
4. What is the appreciation of citizens regarding the manner in which state and local government agencies manage REDD+?
5. Do institutions have a clear strategy to ensure compliance with forestry regulations which fall under their authority, and the means to implement it? What are the main factors that hinder compliance?
6. Are federal-, state- and local-level governments adequately equipped to conduct effective oversight and monitoring (including the imposition of administrative sanctions when required)?

## **3. Anti-corruption strategy for REDD+**

The assessment will examine the existence and effectiveness of an anti-corruption strategy and mechanism specifically designed for REDD+. It will diagnose the various corruption risks related to REDD+ at all levels, and will identify the necessary anti-corruption mechanisms to mitigate these risks. It will address the following questions:

1. In states that have REDD+ frameworks, does this framework recognise corruption risks and incorporate effective anti-corruption policies and mechanisms?
2. Does the federal/state-level REDD+ framework include institutional collaboration with the national anti-corruption commission or any other state-level oversight body having the authority and powers to undertake investigations and prosecutions regarding corruption cases related to REDD+?
3. Does the REDD+ framework include a provision for and a functioning mechanism to ensure free and easy access to information regarding all key aspects of REDD+, for instance on applications for re-zoning, on issuance of REDD+ licences, on benefit distribution?
4. Does the REDD+ framework contain provisions for capacity building of civil society (CSOs, community-based organisations, REDD+ civil society platforms) to enable them to play an effective oversight role throughout the implementation of REDD+?
5. Is there an independent, effective and easily accessible complaint and recourse mechanism available to the public, and more specifically to forest-dependent communities?



#### **4. Opportunities for civil society and forest-dependent communities to participate in decision-making processes related to REDD+**

The assessment will examine the existence and effectiveness of mechanisms established for meaningful and broad stakeholder participation, with emphasis on forest-dependent communities and local CSOs in the implementation of REDD+, and will investigate the challenges faced in this connection. The following questions will be addressed:

1. Are local CSOs and forest-dependent communities sufficiently organised (notably through national- and state-level civil society platforms for REDD+) to be able to aggregate and convey their interests?
2. Do these organisations possess sufficient capacity to articulate their demands clearly and convey them effectively in policy- and legislation-making processes?
3. Similarly, do they effectively communicate their positions to their constituencies?
4. Do these organisations have sufficient access to legal resources and do they have sufficient technical skills to document rights violations, and to report them to the relevant authorities and to the public?
5. Are women in forest-dependent communities – a particularly vulnerable segment of REDD+ stakeholders – actively engaged in these organisations?

#### **5. Benefit distribution system for REDD+**

In this REDD+ Readiness phase, the assessment will examine the *design* of a) the fund mechanism that will channel REDD+ investments (in phase II: 'Implementation of REDD+ Strategy: Reforms and investments') and the *design* of b) the 'benefit distribution system' to be established in order to administer and distribute REDD+ credits and revenues to relevant stakeholders (in phase III), in a transparent and equitable manner. The following questions will be addressed:

1. Is the management of public REDD+ programmes and investments, and the financial arrangements underpinning those, conducted on the basis of transparent and accountable decision-making?
2. Is the entity mandated with the administration and distribution of REDD+ investments and revenues enjoying a fair level of trust by the public with regards to its perceived level of integrity, fairness and independence from powerful lobbies?
3. Is the financial mechanism that links national REDD+ funds to local beneficiaries transparent and easily accessible to all stakeholders?
4. Does it have a governance structure that involves all relevant stakeholders, and can these stakeholders monitor the administration and expenditure of REDD+ funds?
5. What is the perception of local communities on the risks of misappropriation of REDD+ investments and revenues by powerful groups, such as logging companies, political elites responsible for the management of REDD+ funds, the military, and project developers?

#### **G) Participating states**

This preparatory phase (May – December 2012) of the PGAs may involve up to five states (see table below of potential states for PGA/REDD+ work and the justification) in order to ensure broad-based participation in the design of the methodology, and to secure ownership of the process

beyond Cross River State (which is the lead REDD+ state in Nigeria for the moment). While other 'REDD candidate states' prepare the grounds for REDD+, this initiative will provide them with a valuable knowledge- and experience-sharing platform which may contribute to accelerating their 'REDD readiness'.

The piloting of the assessment methodology (planned for 2013) will nonetheless initially be carried out in a limited number of states, namely in Cross River State (the pioneer 'demonstration model' for REDD+) and perhaps in one other state to allow for a comparative analysis. The scaling-up of PGAs in other states will be considered thereafter, further to some fine-tuning of the methodology and assessment process in light of the lessons which will have emerged from the first pilot.

<b>States</b>	<b>Justification</b>
<b>Cross River State</b>	It is the state where REDD+ pilot activities will first be implemented in Nigeria for subsequent replication in the remaining states, as indicated in Nigeria's REDD+ Readiness Programme.
<b>Taraba State</b>	This is the second state to come on board the Nigeria REDD+ programme. It has already initiated the establishment of its REDD+ governance structures. It has substantive forests and risks of deforestation (i.e. preventing leakage when CRS implements REDD+)
<b>Ogun State</b>	This state is well endowed with natural tropical forests located in the south west geopolitical zone of the country and has formally expressed its desire to participate in the REDD+ programme.
<b>Lagos State</b>	Although not much natural tropical forests exist in the state, Lagos is very important as a net emitter. It has shown political will and taken innovative steps towards climate change mitigation. Participation by Lagos State will also allow for some experience-sharing and learning with the ongoing Good Urban Governance assessment piloted in this state. Lagos is also the major intellectual and entrepreneurial hub of Nigeria and therefore a source of ideas and innovations for REDD+.
<b>Nasarawa State</b>	This state lies in the North Central geopolitical zone and is characterized by motane forests located in areas with rich biodiversity, which typifies the massive forest degradation of the north. Its inclusion is in line with the National REDD+ Readiness programme which envisages the expansion of the scope of REDD+ to other states in Nigeria, and for geopolitical balance.

## H) Data collection methodology

A robust governance assessment methodology draws from multiple data sources, including both administrative sources (to assess the 'supply' of good governance for REDD+) and citizen sources (to assess the 'demand' for good governance for REDD+). Administrative sources include budgets, plans, official statistics, and reports, among other administrative tools. Citizen sources may provide data based on people's experiences (i.e. fact-based), and data based on peoples' opinions (i.e. perception-based).

To collect these various types of data, both quantitative methods (e.g. surveys) and qualitative ones (e.g. focus group discussions, in-depth interviews) will be used. By combining these, the results generated by the assessment are likely to be more comprehensive, and thus to be seen as more legitimate and credible by the various stakeholders. This is of critical importance if results are to be used after the assessment, for different purposes (in policymaking, in planning/budgeting, in advocacy and awareness-raising, etc.)

More specifically, the following data collection methods will be used:

1. *Document review.* A document review will be conducted at the outset of the PGA process, for the initial mapping of governance issues of relevance to REDD+ (this 'mapping' will include a REDD+ stakeholder analysis, a review of relevant assessment methodologies, and a compilation of key governance risks for REDD+ in Nigeria based on existing studies – see section below on 'Assessment process'). During the data collection phase, administrative sources will also be consulted (e.g. budget data, official statistics, data from land tenure registration system, etc.)
2. *Stakeholder surveys.* Surveys designed for different stakeholder groups (e.g. for government officials, forest-dependent communities, women's groups, private companies, etc.) can generate quantitative data on the experiences and opinions of these various stakeholders on governance issues related to REDD+. The experience of the National Bureau of Statistics (NBS) in conducting such a governance survey for the Good Urban Governance ('GUG') Assessment recently carried out in 9 urban centres of Nigeria could be usefully leveraged for the PGAs. An institutional partnership with the NBS could also be an important aspect of the broader institutionalization and sustainability strategy for the PGAs.
3. *Focused Group Discussions (FGDs).* FGDs can be useful to confirm the preliminary findings emerging from the document review and the survey, and to deepen the analysis of the causes and consequences of any particular issue. Different focus groups (7-10 participants in one group) could be held to investigate subsets of issues of particular relevance to certain stakeholders (e.g. one FGD with local government officials, one FGD with community leaders, one FGD with representatives from the private sector, etc.)
4. *In-depth interviews.* Semi-structured interviews of key 'informants' who hold in-depth knowledge about certain issues may be useful both during the initial mapping of governance issues relevant to REDD+, and during the data collection phase, to 'verify' the information obtained from the document review, the survey, and FGDs. Interviews with

key respondents are also useful to deepen the analysis of why any given issue arises, and what measures could be taken to tackle it.

In summary, the proposed methodology could include the following data collection methods, applied in the following sequence:

<b>Preliminary research to inform the PGA indicator framework</b>	➔	<b>Initial round of (mainly quantitative) data collection to measure the PGA indicators</b>	➔	<b>'Verification' of data in the initial round &amp; deepening of analysis (qualitative data)</b>
<i>Document review (existing studies, laws, policies, etc.)</i>		<i>Administrative data collection (admin data, official statistics, etc.)</i>		<i>Focus Group Discussions</i>
<i>In-depth interviews</i>		<i>Stakeholder surveys</i>		<i>In-depth interviews</i>

## I) Stakeholder involvement in the PGAs

### Management structure

At the federal level, a "Governance Working Group" will be created as part of the existing multi-stakeholder National Technical REDD+ Committee. This Working Group will provide overall coordination and championship of the PGA process. It is proposed to give it the broad appellation of "Governance Working Group" (instead of calling it a "PGA Working Group") to make clear that the ultimate objective of conducting PGAs is to enhance governance safeguards for REDD+. As such, the data collection activities to be undertaken under the PGAs are only the first step in a broader governance reform strategy, which the Working Group would also be responsible for. (Since the initial focus of PGA activities in the first phase will be on Cross River State, this federal-level Governance Working Group can be established at a later stage, in early 2013, once the first pilot in CRS is completed. It is at this stage that this Federal-level Governance Working Group will have an important role to play, to champion and support the replication of PGA processes in other states.)

At the state level, similar "Governance Working Groups" will be established to ensure appropriate buy-in from the state-level end-users of this assessment tool. Since the first pilot will be in CRS, the PGA can capitalize on the existing CRS Forestry Commission to provide overall coordination and championship of the process in CRS. Through its existing sub-committees on legal aspects, on MRV and on stakeholder engagement, the CRS Forestry Commission offers a strategic pool of staff already dedicated to a broad range of issues of high relevance to the PGA. Some representatives from the CRS Stakeholders Forum will also be invited to join this CRS-level "Governance Working Group", in order to ensure a balanced representation of civil society, private sector and government.

### Research Team

A "Research Team" will be established at the national level which will be responsible for designing the PGA methodology, in close consultation with the Governance Working Groups at federal and state levels. This Research Team will be constituted by experts from universities, independent

research institutions, the National Bureau of Statistics, etc. as well as from representatives from CSOs with relevant skills.

A national PGA coordinator will be hired to coordinate the work of the Research Team internally, and to coordinate consultations between the Research Team and the federal- and state-level Governance Working Groups.

Members of the Research Team will have strong research skills (quantitative and qualitative) and, collectively, will provide a rich pool of expertise in thematic areas of relevance to the PGA, including REDD+, the institutional architecture for forest management in Nigeria, local governance and decentralization reforms, the legislative framework, the judicial system, gender aspects, etc.

### **Data collection**

Data will be collected at federal, state and local government levels. Special emphasis will be placed from the outset of the PGA in developing internal capacity (i.e. within the concerned ministries/agencies, at all administrative levels) for administrative data collection. Some capacity building programmes will be specifically designed for the relevant M&E units (especially the forest charge offices, at the local level), in an effort to invest early on into the sustainability of the PGAs.

Meanwhile, FGDs and interviews will be facilitated by independent experts, and surveys could be undertaken by the National Bureau of Statistics. Local community participation in data collection will also be facilitated in CRS by the existence of 45 active Forest Management Committees (75 such Committees should be established across CRS in the near future). These Committees can play a key role in both primary data collection (notably regarding the facilitation of FGDs) and in exerting oversight over data collection by other stakeholders (e.g. on-site verification of administrative data submitted by government agencies).

### **J) Assessment process**

The below timeline is focused on **phase 1** of the PGA process (from May until December 2012.)

<b>Date</b>	<b>Activities</b>	<b>Focal points</b>
<b>Mid-April until end of May</b>	<p><b>A) Recruitment of two national consultants in support of the PGA:</b></p> <ul style="list-style-type: none"> <li><b>a. National PGA coordinator, responsible for overall coordination of the PGA process</b></li> <li><b>b. National researcher to conduct preliminary research for the PGA (see below)</b></li> </ul> <p><b>B) Drafting of Terms of Reference and selection of members who will constitute:</b></p>	<p><b>TORs to be developed jointly by UNDP Nigeria, Dakar Regional Centre and Oslo Governance Centre</b></p> <p><b>Recruitment to be handled by the UNDP Nigeria Office</b></p>

	<p><b>a. The Governance Working Group at CRS level</b></p> <p><b>b. The Research Team (with experts from CRS as well as from other states and the federal level)</b></p>	
<b>June-August</b>	<p><b>Mapping of governance issues of relevance to REDD+ in Nigeria, which will include three outputs:</b></p> <ul style="list-style-type: none"> <li>✓ REDD+ stakeholder analysis: Who (key institutions &amp; actors) will be affected negatively or positively by REDD+ activities, and who should therefore participate in the PGA process, at local, state and federal levels?</li> <li>✓ Mapping of traditional means of communication in use at community level, to help develop a comprehensive communication strategy for the PGA which would actively engage trusted figures at local level (elders, village chiefs, social clubs, legislators at local government level, etc.)</li> <li>✓ Identification of key 'governance issues &amp; risks' for REDD+ and identification of possible safeguards (based on interviews &amp; focus group discussions at local, state and federal levels, and building on studies recently conducted, notably the "Preliminary Assessment of the Context for REDD in Nigeria" and the Nigeria REDD+ Readiness Programme.)</li> </ul>	<p><b>National researcher (consultancy) and PGA coordinator, with technical support from the Dakar Regional Centre &amp; Oslo Governance Centre</b></p>
<b>Early September</b>	<p><b>Training workshop on governance assessment methodologies relevant to REDD+</b></p> <p><b>Participants:</b></p> <ul style="list-style-type: none"> <li>✓ National level: PGA Research Team, key representatives from the National Technical REDD+ Committee, representatives from the national CSO platform</li> <li>✓ State level: CRS Governance Working Group, other representatives from the CRS Forestry Commission and from the CRS Stakeholders Forum; stakeholders from other states involved in</li> </ul>	<p><b>International consultant, national PGA coordinator &amp; national researcher, in close coordination with UNDP's Regional Centre (Dakar) &amp; Governance Centre (Oslo)</b></p>

	<p>this preparatory phase of the PGA (Taraba, Ogun, Lagos and Nasarawa)</p> <p><b>Objectives:</b></p> <ul style="list-style-type: none"> <li>✓ To secure understanding and interest for PGAs across stakeholders</li> <li>✓ To debrief on, and review the governance mapping (above)</li> <li>✓ To learn about relevant assessment methodologies</li> <li>✓ To reach a consensus on critical issues to be assessed in the PGAs, and on a first cut of possible indicators</li> </ul>	
<b>September</b>	<b>Refining the draft indicator set developed at the workshop</b>	<b>Research Team, with support from international consultant, the PGA coordinator, the Dakar Centre, OGC and the UN-REDD (Regional/ Global) Programme</b>
<b>October</b>	<p><b>Stakeholders' consultations at the state level (CRS) to seek feedback on the draft indicator set</b></p> <p><b>Indicator set revised based on the feedback received</b></p>	<b>Research Team, with support from international consultant, the PGA coordinator, the Dakar Centre, OGC and the UN-REDD (Regional/ Global) Programme</b>
<b>November-December</b>	<p><b>Developing data collection instruments</b> (survey questionnaires, administrative data collection forms, guidelines for focus group discussions, checklists for site observation, etc.)</p> <p><b>Field-testing of data collection instruments in CRS and possibly one other state</b> (verifying availability of data sources, identification of alternative sources, formulation of questions, etc.)</p>	<b>Research Team, with support from international consultant, the PGA coordinator, the Dakar Centre, OGC and the UN-REDD (Regional/ Global) Programme</b>

	<b>Assessment of training needs of data collectors</b>	
<b>January 2013</b>	<b>Piloting of the PGA methodology in CRS and possibly one other state</b> <ul style="list-style-type: none"> <li>✓ Training of data collectors</li> <li>✓ Data collection</li> </ul>	<b>Research Team and the PGA coordinator, with data collectors at national and state levels</b>

### **C) Budget**

This preparatory phase to the PGA will cost about USD **75,000**. See detailed budget in Annex 3.



## Annex 1

### Suggested issues to be assessed by the PGAs

*(As identified by REDD+ stakeholders during an initial Brainstorming Workshop in Lagos, 20 May 2011)*

	Suggested issues
<b>1. Policies &amp; legislations</b>	<ul style="list-style-type: none"> <li>• National forest policy already in place (which specifies the roles of each stakeholders)</li> <li>• BUT: No forestry law at national level yet (status of draft law at the moment)</li> <li>• State: Forest / sustainable forest mgt laws exist (weak enforcement &amp; in many states, the laws are obsolete)</li> <li>• State-level laws need to be harmonized (with national level &amp; btw states)</li> <li>• Need to step up advocacy at national level to ensure that laws are put in place</li> <li>• Advocacy to expedite action on adoption of the law (draft currently in Ministry of Justice)</li> <li>• Gaps between policies/laws (at national level) and actual implementation (at state level)</li> <li>• Gap btw international frameworks &amp; national laws</li> <li>• Lack of awareness by law enforcement agencies</li> <li>• Need to promote networking btw states (e.g. prosecution for illegal logging) – experience-sharing</li> <li>• Increase collaboration btw states through inter-state task forces</li> <li>• Strengthen enforcement of laws (corruption, weak political will – also )</li> <li>• State laws are not gender-sensitive: need for amendments (but in practice, gender sensitive implementation)</li> <li>• Provisions recognize rights of FDC to participate /</li> <li>• but policies/laws needed for tenure rights, benefit-sharing need to be recognized / collective planning / land-sharing</li> <li>• Need to create Urban forestry policy frameworks at LG level</li> <li>• Power to domesticate int'l law to be given to states</li> <li>• Incentives to encourage more participation in REDD (tariffs, etc.)</li> </ul>
<b>2. Institutional capacity of state governments</b>	<ul style="list-style-type: none"> <li>• Forest policy (under review) &amp; Forestry law (sept. 2010) exists at state level</li> <li>• CRS Forestry Commission: full-time board members, staff (spread across state – but under control of state organ) --- but need to build capacity of this Commission (ongoing capacity-building)</li> <li>• Public perception of local govt efforts/capacity to handle SFM/REDD: could be improved (public suspicion)</li> <li>• Capacity of state govts / LGs to implement FPIC</li> <li>• Local officials still familiarizing themselves with REDD</li> <li>• Need to decentralize forest management system from State to LG level</li> <li>• Benefit-sharing mechanism exists, but LG excluded from the system (currently: btw state govt &amp; local communities)</li> <li>• Compliance strategy (with forestry regulations) does not exist at LG level</li> <li>• LGs to be involved in 'ecological restoration' programmes</li> <li>• Need to enhance LG capacity to conduct oversight/monitoring (no organ in LG in charge of forestry matters; need to create forestry unit in LGs)</li> <li>• Increase law enforcement capacity</li> </ul>

<b>3. Anti-corruption strategy for REDD+</b>	<ul style="list-style-type: none"> <li>• Presence of policy / framework for tackling corruption</li> <li>• Public awareness of anti-corruption framework &amp; anti-corruption mechanisms</li> <li>• Existence of information-sharing mechanism</li> <li>• Budgeting &amp; monitoring &amp; evaluation</li> <li>• Code of conduct</li> <li>• Existence of guidelines for accessing forest resources</li> <li>• No. of cases investigated by anti-corruption agency</li> <li>• No. CSOs able to monitor / detect corruption</li> <li>• Conviction rate of corruption cases</li> <li>• Time taken to investigate complaints</li> <li>• Rate of concession &amp; conversion from forest land to plantation land</li> </ul>
<b>4. Participation of forest-dependent communities in REDD+</b>	<ul style="list-style-type: none"> <li>• Access to information</li> <li>• Capacity-building of FDC (need to carry out capacity assessment to see how to fill the gaps)</li> <li>• FPIC</li> <li>• Conflict-resolution mechanisms</li> <li>• Transparency in local organizations</li> <li>• Internal performance oversight &amp; evaluation (to assess community performance in implementing REDD)</li> <li>• Gender equity</li> <li>• Policy/legislation to promote / regulate community participation</li> <li>• Enforcement of provisions related to community-based participation</li> <li>• Need for incentives to enhance community empowerment in the interim (before implementation of REDD)</li> </ul>
<b>5. Equitable benefit distribution systems</b>	<ul style="list-style-type: none"> <li>• Need for national REDD legislation to define distribution at various levels (Fed/state/private sector/LG &amp; local communities)</li> <li>• Establish a fair &amp; equitable distribution formula (benefits which fall beyond ABS)</li> <li>• Need for a common pool for distribution of benefits</li> <li>• Effective accountant system (reporting, collecting, disbursement of revenues)</li> <li>• Need for civil society oversight of the system</li> <li>• Need for external auditing</li> <li>• Proper budgetary processes &amp; planning processes</li> <li>• Awareness-raising about the BDS (transparency)</li> <li>• Capacity-building for all stakeholders (all levels)</li> <li>• Measure equitable distribution of benefits – disparities at community level</li> <li>• Participatory measurement of REDD benefits (at local level)</li> </ul>

## Annex 2

### From identifying 'governance/corruption risks' to measuring the effectiveness of mechanisms designed to prevent those risks: Some examples

Risk areas for 'bad governance' / corruption	'Bad governance' / corrupt practices	Matching mechanisms / measures to prevent these practices & possible indicators
<b>Design of benefit distribution system</b>	Undue influence (e.g. kick backs) on BDS which influences who receives REDD+ revenues & benefits	Multi-stakeholder body to oversee design and implementation of BDS  <i>(Staffed? Funded? No. complaints filed? No. investigations initiated? etc.)</i>
<b>Land administration</b>	Bribery of land administration officials to overlook competing customary claims to land titles, or to create fraudulent land titles	Existence and effective functioning of a recourse mechanism  <i>(no. of complaints filed, no. of complaints treated, average response time, satisfaction of claimants, etc.)</i>
<b>Spot rezoning of land to permit (or exclude) REDD+ activities in specific areas</b>	Bribery of public sector officials to change the zoning of an area to allow or exclude REDD+	Public notification & call for public submissions of all rezoning applications and rezoning decisions  <i>(Existence of such a system, comprehensiveness of info, ease of access, etc.)</i>
<b>Carbon rights</b>	Bribery resulting in the loss of carbon rights for forest-dependent communities (e.g. to fraudulently create/register carbon rights)	All applications to register carbon rights and decisions to register rights to be made publicly available  <i>(Existence of such a system, comprehensiveness of info, ease of access, etc.)</i>

### Annex 3

#### REDD+ and Governance Linkages: Proposed work plan and budget for 2011

Tasks	Dates	Objectives	Key actors	Estimated budget <i>(US\$ &amp; Nigerian N) (*)</i>
<b>1. Participation by three representatives of the Nigerian PGA team in the PGA International Exchange Meeting in Bogor, Indonesia</b>	17-18 April	<ul style="list-style-type: none"> <li>To facilitate knowledge-sharing amongst 9 countries (from Africa, Asia and Latin America) have started and/or embarking on a PGA.</li> </ul>		US\$5,000
<b>2. Recruitment of a national PGA coordinator (9 months)</b>	By end of May	<ul style="list-style-type: none"> <li>provide overall coordination for the PGA process (according to ToR developed)</li> </ul>	<b>By UNDP Nigeria</b>	US\$20,000
<b>3. First governance mapping for REDD+:</b>  <i>Stakeholder analysis, traditional means of communication at local level &amp; governance issues</i>	June - August	<ul style="list-style-type: none"> <li>To conduct a REDD+ stakeholder analysis To map traditional means of communication in use at community level, to help develop a comprehensive communication strategy for the PGA which would actively engage trusted figures at local level (elders, village chiefs, social clubs, legislators at local government level, etc.)</li> <li>To identify key governance issues and risks for REDD+ and examine potential response actions/measures</li> </ul>	<b>National consultant</b>	US\$ 12,000 N 1,860,000  (a 2-month consultancy plus local travel & local consultations/interviews)
<b>4. Training workshop on governance methodologies</b>  (Calabar or	Last week of August or first week of September	<ul style="list-style-type: none"> <li>To debrief of the first governance mapping for REDD+ (above)</li> <li>To train stakeholders on governance methodologies relevant to REDD+</li> <li>To reach a consensus on 'critical issues' to be closely followed in</li> </ul>	<b>National and state-level REDD+ stakeholders involved in the PGAs (training facilitated by</b>	US\$ 8,000 N 1,240,000  (venue; DSA/travel of participants)

Tasks	Dates	Objectives	Key actors	Estimated budget (US\$ & Nigerian N) (*)
Abuja)		the PGA and what information is seen as relevant for various stakeholders	the int'l consultant below)	
<b>5. Drafting of an indicator-based framework for the PGA for REDD+</b>	September-October	<ul style="list-style-type: none"> <li>To prepare a draft indicator-based framework for the PGA for REDD+</li> </ul>	<b>Consultant (nat'l and/or int'l) in consultation with the national Research Team</b>	US\$ 15,000 N 2,325,000 (1-month expertise, plus travel and DSA) (consultative meetings in Abuja and Calabar)
<b>6. Stakeholders' consultations at state-level</b>  (1 or 2 states)	October-December (**)	<ul style="list-style-type: none"> <li>To present the draft framework and seek feedback from stakeholders at state-level</li> <li>To revise the draft framework on the basis of the feedback received</li> <li>Field-testing of instruments in CRS (&amp; possible one more state) &amp; assessment of training needs for data collectors</li> </ul>	<b>Research Team, with CRS Governance Working Group</b>	US\$ 15,000 N 2,325,000 (travel to states, local consultations)
<b>Total Budget</b> (provided by UNDP Oslo Governance Centre, channeled via UNDP-Nigeria)				<b>US\$ 75,000</b> <b>N 11 797 000</b>

(\*) Naira costs is an estimate based on exchange as of 26<sup>th</sup> of April 2012.

(\*\*) Perhaps after inception of Nigeria REDD+ Programme

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