WORKING PAPER

WORLD RESOURCES INSTITUTE

Getting Ready with Forest Governance:

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

Lauren Goers Williams, Gaia Larsen, and Sarah Lupberger, Florence Daviet, and Crystal Davis

Overarching observations:

Our review of the five newest country proposals indicates that R-PP/NPD authors are including more details about governance issues in their documents. As a result, an increasing number of governance criteria are rated as having discussed the issue in some detail and/or provided a process for further investigation of the issues —a green mark (+); or have mentioned the issue but not discussed it in detail or have not provided concrete next steps—a yellow mark (▮). While the scoring to some extent indicates a change in the awareness of authors with regards to these issues and the links to readiness, it does not indicate that the information or plans provided would be sufficient to achieve REDD+ readiness. Discussions of land tenure and stakeholder engagement provide key examples of how additional concrete actions are required to achieve effective implementation of readiness strategies.

The new R-PPs/NPDs include a relatively detailed description of some of the relevant tenure laws and policies and some context as to ownership patterns and potential for conflicts that may exist in-country. While strengthening tenure rights is consistently recognized as a key issue for implementing REDD+, few of the documents put forward a clear process with concrete steps and milestones for how tenure issues will be addressed during readiness. A commitment and strategy for moving forward on tenure issues can only truly be evaluated by country-level stakeholders; thus stakeholder involvement in developing strategies to address tenure before the R-Package is completed is essential.

The content of stakeholder engagement plans is another aspect of the R-PPs/NPD documents that has become more comprehensive. For example, authors are increasingly acknowledging the need for feedback mechanisms and conflict resolution mechanisms. However, equally important is feedback received from in-country civil society that such ideas are not yet being implemented in practice. Since ultimately consultation and participation plans will need to be evaluated based on implementation, rather than their written versions, the R-PP and NPD documents only represent a first step on the way to successful engagement for REDD+. These plans should ultimately be used to track progress toward stated commitments during the readiness preparation process and beyond to engage stakeholders and ensure that governments are held accountable when moving forward with implementing readiness actions.

March 2011, Version 1.6

INTRODUCTION

The World Bank Forest Carbon Partnership Facility (FCPF) and the UN Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD Programme) are two leading multilateral efforts currently supporting developing countries to become "ready" to reduce emissions from deforestation and forest degradation and enhance carbon stocks (REDD+). This working paper is the fifth in a series of regular updates reviewing the Readiness Preparation Proposals (R-PPs) submitted by REDD+ Country Participants to the FCPF and the National Programme Documents (NPDs) submitted by UN-REDD Programme countries. We conduct a desktop analysis of these documents in order to understand how countries are considering fundamental issues of forest governance as they prepare national strategies for achieving readiness. We assess whether the documents identify major governance challenges contributing to forest loss, and whether principles of transparency, accountability, and participation are being applied in the development of the proposed readiness and REDD+ systems and activities.

The 6th meeting of the UN-REDD Programme Policy Board and the 8th meeting of the FCPF Participants Committee will be held in Da Lat, Vietnam, from 21–23 March and 23–25 March, respectively. This paper evaluates R-PPs from Cambodia, Ethiopia, Peru[i] and Vietnam that were submitted for formal consideration by the FCPF Participants Committee. Central African Republic, Liberia, and Uganda each submitted Draft R-PPs for informal review, but these are not analyzed in this paper. We also review Ecuador's NPD, which will be considered for funding allocation by the UN-REDD Programme Policy Board. Analyses of previously submitted R-PPs and NPDs can be accessed online at: http://www.wri.org/publication/getting-ready.

OBJECTIVE FOR REVIEWING R-PPs AND NPDs

The R-PPs and NPDs are only a first step toward becoming ready for REDD+; however, these documents are more likely to help countries to become ready if they provide a robust foundation for a comprehensive and systematic approach to tackling critical governance challenges as readiness activities proceed. Therefore, our analysis documents the extent to which governance issues are addressed within each R-PP or NPD, identifies existing gaps, and makes recommendations for how the R-PPs' analysis of governance issues could be strengthened.

This analysis is not intended to take the place of assessments of R-PPs and NPDs undertaken by local civil society organizations and other actors with in-depth knowledge of each country. Rather, it aims to assess—in general terms—the extent to which R-PPs and NPDs consider key aspects of governance as measured against a consistent set of criteria. We do this to identify where specific governance considerations are not being raised and discern broader trends across countries and over time. Our analysis is based solely on the information presented in the R-PPs and NPDs and does not purport to assess the accuracy or credibility of this information.

THE IMPORTANCE OF FOREST GOVERNANCE TO THE REDD+ READINESS PROCESS

Strengthening forest governance will be an essential component of the activities implemented by countries seeking to achieve significant and lasting emission reductions through REDD+. Poor forest governance is frequently characterized by weak capacity to effectively manage natural resources, lack of decision-maker accountability to impacted stakeholders, and lack of access to information on forest resources and how they are being used. Potential drivers of deforestation and forest degradation such as illegal logging, unplanned forest conversion, and conflicts over access to land and resources are often symptoms of weak forest governance. In order to develop

effective national REDD+ strategies, governments need to better understand these challenges and develop measures to strengthen forest governance in ways that build the trust of domestic and international stakeholders.

Furthermore, when building national REDD+ programs, governments must identify institutions to manage and oversee REDD+ activities and develop systems for monitoring, information dissemination, and REDD+ revenue management. Strengthening the capacity of institutions to design and implement effective, efficient, and equitable systems through transparent and inclusive decision-making processes will therefore be an important part of the readiness phase. Promoting robust foundations of good governance for REDD+ will enhance society's capacity to manage the drivers of deforestation and help safeguard against adverse social and environmental impacts, while advancing broader sustainable development goals.

METHOD FOR REVIEWING R-PPs AND NPDs

The World Resources Institute's Governance of Forests Initiative (GFI) has developed a framework of indicators that uses evidence-based diagnostic questions to assess governance challenges and track changes in forest governance over time. Based on these indicators, we have developed a simplified set of core governance considerations that we regard as vital components of any successful national effort to reduce emissions from deforestation and forest degradation. In particular, we have identified two distinct but related types of governance considerations relevant for REDD+:

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

Addressing aspects of governance that are key to managing the drivers of deforestation and forest degradation, including by:
- Clarifying and securing land and forest tenure
- Building capacity for effective forest management
- Strengthening forest law enforcement
- Addressing other country-specific governance challenges relevant for REDD+

Although the list above is not exhaustive and may not be equally relevant in all countries, it provides a working framework to highlight key governance issues for REDD+. In the tables following this introduction, each R-PP or NPD is analyzed relative to the above list of governance considerations, which in turn include several sub-components. An R-PP or NPD's treatment of the overarching governance consideration is summarized in a brief narrative, and each sub-component is marked green, yellow, or red.

A green mark (+) indicates that the R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues. A yellow mark ( ) indicates that the document has mentioned the issue but not discussed it in detail and has not provided concrete next steps. Finally, a red mark (–) indicates that the issue has not been identified or discussed in the R-PP or NPD.

It is important to note that the scoring system has been created in the context of evaluating preliminary steps toward readiness preparation (i.e., R-PP or NPD development), rather than readiness itself. Therefore, a green mark should not be interpreted as "readiness," but rather as an indication that, according to the information provided in the R-PP/NPD, the country has at least begun to consider that governance issue during the early phases of readiness preparation. Additional efforts to address identified issues will be required moving forward. In some countries, in-country experts may assess that even further clarity is needed based on their knowledge of current issues. However, we hope that our tables will help to facilitate this type of in-country assessment of readiness proposals.

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

---

[i] The analysis of the Peru R-PP is forthcoming.

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

THE FCPF READINESS MECHANISM

The FCPF became operational in 2008 and provides grants to countries to develop REDD+ strategies. The FCPF has 37 member countries, and more than US$150 million has been committed to the Facility. Experiences from the FCPF are helping to shape international understanding about what it means to be "ready" for REDD+. While the FCPF has not finalized a definition of readiness, potential elements of the Readiness-Package as elaborated in the most recent R-PP template draft include: (i) results of studies, consultations and actions implemented to date (in the context of the execution of the R-PP); (ii) actions still being planned: a forward-looking part, which specifies what remains to be done to achieve the state of REDD-plus readiness; (iii) preliminary identification of potential emissions reduction activities, potentially including a proposed set of specific land parcels, land use activities and practices, policies, institutional arrangements, estimates of emissions reductions, and estimated financing and costs; (iv) a draft Environmental and Social Management Framework that will provide the framework for managing environmental and social risks and to mitigate potential adverse impacts; and a summary of SESA activities and outcomes.[ii]

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

(i)   During the *Proposal Formulation* phase, REDD+ Country Participants develop an R-PP in consultation with relevant domestic stakeholders that outlines a roadmap of preparation activities necessary for REDD+. The R-PP is reviewed by an independent Technical Advisory Panel (TAP) and by the FCPF Participants Committee (PC), which is composed evenly of members selected by REDD+ Country Participants and by Donor Participants. Based on its review of the R-PP, the PC has the authority to allocate a readiness grant of up to US$3.6 million. The World Bank must carry out its own due diligence in the country before a grant agreement is signed.

(ii)   During the *Preparation* phase, countries use the readiness grant to carry out the studies and activities described in their R-PPs. Governments will submit a midterm progress report based on a timeframe and requirements to be stated in the grant agreement. The final outcome of this phase is a "Readiness Package," which describes the current state of REDD+ readiness and is subject to review and assessment by the TAP and PC.

THE UN-REDD PROGRAMME

The UN-REDD Programme was launched in 2008 as a collaboration of the United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), and the Food and Agriculture Organization (FAO). The UN-REDD Programme's work leverages the in-country experience of these three organizations to provide support and technical assistance to developing countries as they create national REDD+ strategies. The UN-REDD Programme's activities also include a Global Programme that focuses on knowledge sharing and development of common approaches and tools for REDD+. Approximately $92 million has been committed to the UN-REDD Programme to date, of which nearly $75 million has been allocated to support pilot and partner country National Programmes and the UN-REDD Global Programme. As of February 2011, nearly $50 million has been disbursed for program implementation.

The UN-REDD Programme began with 9 original pilot countries and has expanded its membership to include 29 additional partner countries, many of which are also participants in the FCPF. UN-REDD Programme countries submit NPDs that include an overview of the country's situation with regard to forest laws and management and identify major outcomes to be achieved using UN-REDD Programme funds. Funds can be requested either for full national programs that span multiple years of implementation, or for initial quick start programs that help countries build initial capacity and make progress toward developing a national REDD+ strategy, typically over a 12–18 month timeframe. Governments submitting NPDs are required to have an ongoing stakeholder consultation process that includes a documented validation meeting before the draft NPD is submitted to UN-REDD for review. The UN-REDD Programme's review process for NPDs is led by the Programme Secretariat, which assesses the submitted plans and submits approved NPDs to the Programme Policy Board for a final decision and budget allocation. To date, the National Programmes of 12 pilot and partner countries have been approved, with 7 countries currently in the implementation phase.

[ii] Forest Carbon Partnership Facility. "Readiness Preparation Proposal Draft Template v. 5." (December 22, 2010).

ANNEX 2: REVIEW METHODOLOGY

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

ANNEX 3: R-PP REVIEW TABLES

CAMBODIA   *(R-PP dated 4 March 2011)*

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

	Stakeholder participation in REDD+ planning and implementation
+	*Identifies relevant stakeholders for REDD+*
+	*Specifically considers how to engage local stakeholders*
+	*Proposes a transparent process for stakeholder participation*
+	*Proposes a process to ensure accountability for stakeholder input*
	Proposes a grievance/dispute resolution mechanism
	Considers how to learn and build from other relevant participatory processes

The R-PP's discussion of stakeholder participation demonstrates a commitment to developing methods for engaging a range of stakeholders in the development of REDD+ in Cambodia. Key stakeholders are identified (p. 22–24, 109–110), and the R-PP specifically considers the different capacities and needs of stakeholder groups. For example, the R-PP cites the need to develop materials that are appropriate for local consultation, noting that many indigenous peoples do not have written languages and that local outreach efforts must also consider the high levels of illiteracy among rural populations (p. 25). Development of appropriate capacity building and informational materials will prioritize use of visual images and verbal communications in order to bridge these communication barriers (p. 32).

The R-PP elaborates a tentative timeline for awareness raising, focus group, and national-level phases of consultation (p. 31–33). Concrete activities that should take place in each phase are listed, including development of a Web site to facilitate access to information about the REDD+ process and consultations in Cambodia and development of a monitoring and feedback mechanism for the consultation process (p. 31, 33). According to the R-PP, thus far stakeholder feedback has been incorporated into the process through creation of an e-mail address to receive comments and creation of tables detailing how comments were addressed, although where this information is disclosed is not stated in the R-PP (p. 27–28). It is also unclear how the current R-PP changed as a result of these comments. A conflict resolution or grievance mechanism will also be developed by one of the technical working groups "in consultation with local communities and indigenous peoples" (p. 32), but the R-PP does not provide additional detail on the mechanism.

The R-PP makes some effort to discuss lessons from other consultation processes, notably from a consultation process for a REDD+ pilot study (p. 25). However, the lessons elaborated are general and it is not clear how they will be built upon in the future.

Recommendation:
- Develop a clear process with an allocated budget for creating the conflict resolution mechanism

	Government coordination in REDD+ planning and implementation
+	*Considers REDD+ in the context of other sector policies, land use plans, and national development plans*
+	*Proposes mechanisms to coordinate REDD+ across sectors*
	Proposes mechanisms to coordinate REDD+ across levels of government

The R-PP situates the REDD+ strategy within the context of existing forest policy and provides some details on other sectoral policies and national plans that are relevant for REDD+ (p. 115–125). Most notably, much of the REDD+ strategy options are based on scaling-up implementation of the National Forestry Programme (NFP) and elaborating the National Protected Area Strategic Management Plan (p. 53–54). The R-PP provides few details on the role of mining and rubber policies as drivers of deforestation and notes that addressing extra-sectoral drivers is challenging (p. 45). Nevertheless, consideration of these drivers is identified as a part of the analysis of potential REDD+ strategies (p. 46), and measures have been taken to incorporate actors from these sectors into the REDD Taskforce.

(+) – *The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*
( ) – *The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*
(–) – *The issue has not been identified or discussed in the R-PP or NPD.*

Existing mechanisms for coordinating across sectors include the National Climate Change Committee; the Council for Land Policy and Technical Working Groups responsible for coordinating activities across government, donors, NGOs; and the private sector in areas such as Forests and Environment and National Strategic Development Planning (p. 59, 111). For REDD+, an interim REDD+ Taskforce composed of representatives from relevant actors, such as the Ministry of Agriculture, Forests and Fisheries, the Ministry of Environment, the Ministry of Land Management, and some international civil society and implementing agency representatives was developed to help guide REDD+ development. A terms of reference is proposed for a permanent REDD+ Taskforce that will include membership of additional government agencies representing interests such as mining, indigenous peoples, and financial management (p. 18–19).

The discussion of coordination across levels of government is less robust. There is some mention of the importance of land use planning at sub-national scales, and the National Committee for Sub-National Democratic Development (NCDD) will form part of the REDD+ Taskforce. However, the NCDD is part of the Ministry of Interior and is not described in detail; thus, it is difficult to determine whether there is a concrete mechanism for coordination with sub-national actors.

Recommendation:
- Discuss the capacity of sub-national actors with respect to forest and land management and any existing/proposed mechanisms for increasing coordination

	Transparent and accountable REDD+ revenue management & benefit sharing
	Proposes a transparent system to track and coordinate international financing of activities related to REDD+
	Considers measures to promote fiscal transparency and accountability for REDD+ revenue management
+	*Proposes a participatory process to develop systems for REDD+ revenue distribution, including benefit-sharing mechanisms*
	Reviews lessons from past and/or existing systems for managing and distributing forest revenues

The R-PP's discussion of revenue management and benefit sharing is preliminary at this stage. The R-PP notes the need to build on existing examples of fund management and revenue sharing in Cambodia before developing a system and espouses a general commitment to transparent fund management. A REDD+ Trust Fund is proposed as an option for managing performance-based financial flows, but is not discussed in detail (p. 61). Conducting an analysis of existing funds in Cambodia is proposed, but further details of potential governance arrangements or who would administer the fund are not discussed (p. 63).

A Benefit-Sharing Technical Team that includes government, development partner, and civil society representatives will be established under the REDD+ Task Force and will be tasked with analysis of existing examples of revenue-sharing schemes, such as community forestry projects and REDD+ pilot projects (p. 61, 63). The modalities for who will be participating and how decisions will be made, however, have not been included in the R-PP. The R-PP notes the importance of elaborating benefit-sharing arrangements using a participatory process and sets out a tentative timeline for forming the Technical Team, completing the analysis by 2012, and completing the consultation on options for revenue sharing in 2013 (p. 62, 100).

Recommendations:
- Include an analysis of existing capacity for forest revenue management as part of the proposed study on revenue sharing
- Elaborate on how a proposed REDD+ Trust Fund would promote principles of transparency and accountability

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

The development of a National REDD+ Registry and independent review mechanism is part of the R-PP's implementation framework. The R-PP states the need to consider how independent review of REDD+ will be conducted and be incorporated into existing government agencies and activities (p. 64). Furthermore, currently the Programme Executive Board (PEB) of UN-REDD is responsible for oversight of progress within the UN-REDD Programme, and it is proposed that the same arrangement be put in

(+) – The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.
( ) – The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.
(–) – The issue has not been identified or discussed in the R-PP or NPD.

place for R-PP implementation. The board includes representatives from key Cambodian government agencies, U.N. implementing agencies, other bilateral development partners, and at least one civil society representative will be invited to join (p. 19). The role of the PEB is to provide overall guidance as well as monitoring and evaluation (p. 20).

The R-PP proposes to establish a national monitoring, reporting, and learning system that includes indicators on governance aspects of REDD+ implementation. Implementation of "REDD-specific governance bodies" and law enforcement efforts will be monitored with respect to transparency and accountability, although more specific indicators are not proposed (p. 94). These monitoring systems will be developed by the Consultation and Safeguards Technical Team through a transparent, consultative process (p. 92–94).

Recommendation:
- Propose a transparent system for managing REDD+ information that facilitates public access to information

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

Land and forest tenure

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

The R-PP states that, while clear legal procedures for land titling and registration exist in Cambodia, including for indigenous peoples and private ownership, in practice these procedures have not been widely implemented. Tenure security in Cambodia is described as being weakest in forested areas and other land outside of residential or farming zones, and local groups are also vulnerable to relocation for economic development (p. 23, 38). Other tenure-related challenges include land grabbing, poor implementation of land registration, inadequate land-use planning, and overlapping jurisdictions (p. 38). The R-PP does not identify whether some of the risks, such as land grabbing, will be increased if REDD+ is to move forward, and if so, how such risks would be mitigated. The R-PP states that there is a history of land conflict in Cambodia; yet, while conflict resolution measures exist in the legal framework, they have not yet been put into practice (p. 62).

Proposed REDD+ strategy options include scaling-up efforts to register and demarcate land boundaries, improving implementation of land policies such as titling of indigenous communal lands, and improving conflict resolution mechanisms. The need to build capacity of relevant local authorities and the judiciary to better understand the legal framework for tenure and offenses related to land clearance is also acknowledged in the R-PP (p. 49).

Recommendations:
- Clarify what concrete steps are required to implement the identified strategies to address tenure weaknesses
- Review the existing capacity and effectiveness of relevant actors to resolve tenure conflicts

Forest management

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

The R-PP discusses which government agencies are responsible for forest management efforts in Cambodia, but does not systematically discuss the capacity of these institutions to manage forest resources. The R-PP does describe recent dynamics of forest management in Cambodia, which has undergone numerous shifts in the past 10 years since the institution of a logging ban in 2002 that significantly reduced the amount of land under the forest concession system. The R-PP notes that in some cases concessions have been granted in contravention with existing forest regulations and the logging ban, but does not elaborate on the issue (p. 39). Implementing regulations for community forest management were developed in 2006. Although the processes for establishment of community forests take time due to issues of coordination, the R-PP states that some positive effects of

(+) *– The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*
(🟧) *– The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*
(−) *– The issue has not been identified or discussed in the R-PP or NPD.*

community management have been observed (p. 40).

Efforts to improve forest management through the National Forestry Programme form the basis of many REDD+ strategy options elaborated in the R-PP. Potential options include achieving a target of 2 million hectares under community forest management, completing a strategic plan for protected areas management, and piloting local forest protection contracts with local communities (p. 48, 50).

Recommendation:
- Conduct an analysis of the capacity constraints of relevant forest management institutions

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

The R-PP's discussion of law enforcement identifies challenges and potential strategy options for addressing them as part of the national REDD+ strategy. Weak law enforcement is described as leading to illegal activities including logging, poaching, and encroachment on protected area boundaries. Inability of forest law enforcement agencies to carry out their duties, specifically for monitoring protected areas, is attributed to absence of management plans, lack of demarcated boundaries, and inadequate personnel and financial resources to carry out law enforcement activities (p. 41). Corruption is also described as an existing challenge for good governance in Cambodia that is not specific to the forest sector. A recent anti-corruption law and Anti-Corruption Authority have been established to combat corruption, although the R-PP does not discuss whether there are specific efforts needed to address potential corruption issues related to REDD+ implementation.

Improvements in forest law enforcement and governance is a major tenet of the National Forestry Programme, which also forms the basis for much of the REDD+ strategy. Potential activities listed in the R-PP include building capacity of the forest crime monitoring unit, creating a forest crimes database, creating a working group to propose revisions to the legal framework for law enforcement, and capacity building for the Forest Administration, the judiciary, and other key agencies on pertinent forest law enforcement issues (p. 48).

Recommendation:
- Describe any forest-specific corruption issues that are pertinent to REDD+ and propose a corresponding REDD+ strategy to address the problem

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

Forest governance challenges such as weak capacity are described as contributing to non-implementation of the forest legal framework. The R-PP proposes that an analysis of the "legal, policy, regulatory, institutional and capacity gaps to address key environmental, social and governance issues associated with the underlying causes of deforestation" should be undertaken as part of the Strategic Environmental and Social Assessment (SESA; p. 67).

Recommendation:
- Elaborate a clear process or terms of reference for conducting the analysis of capacity gaps identified in the SESA

(+) – *The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*
( ) – *The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*
(−) – *The issue has not been identified or discussed in the R-PP or NPD.*

ETHIOPIA *(R-PP dated 7 March 2011)*

GOVERNANCE OF REDD+

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

	Stakeholder participation in REDD+ planning and implementation
+	*Identifies relevant stakeholders for REDD+*
+	*Specifically considers how to engage local stakeholders*
+	*Proposes a transparent process for stakeholder participation*
+	*Proposes a process to ensure accountability for stakeholder input*
	Proposes a grievance/dispute resolution mechanism
	Considers how to learn and build from other relevant participatory processes

The R-PP's detailed stakeholder consultation plan indicates a commitment to developing a clear and inclusive REDD+ consultation process. The plan identifies a wide range of stakeholder groups that need to be involved in the REDD+ consultation process and categorizes them according to level of influence (p. 34–37). In addition, the R-PP describes current status and desired status at the end of REDD+ strategy development for each stakeholder group, taking into consideration the need to bring forest dwellers to a higher level of influence since they are the most impacted group (p. 34). The R-PP presents summary information on the outcomes of consultations carried out thus far with government institutions, civil society organizations, and communities (p. 27–31). In addition, the R-PP sets out detailed methodologies to be used for consultation on the different components of the R-PP (p. 37–39), responding to identified needs for training, awareness raising, and empowering forest communities and marginalized forest stakeholders to engage with policymakers directly.

The R-PP proposes eight phases of consultation, which include initial capacity building and stakeholder mapping stages, consultation at different geographic scales, and a feedback mechanism (p. 41–49). Participatory monitoring and evaluation of the process will be ongoing as well (p. 40). As part of the consultation process, regional and other forums bringing together a range of stakeholders, including forest communities, will be set up, which the R-PP states will also provide avenues for airing grievances and managing conflict (p. 46). However, the R-PP does not provide significant detail about how conflict resolution will function in practice.

The consultation plan proposes to use a time/trend line tool to highlight historical trends regarding participation and deforestation in Ethiopia (p. 38). While these efforts are not fully described in the R-PP, Annex 1b-2 includes a list of questions for evaluating past multi-stakeholder approaches from which lessons can be learned (p. 171).

Recommendations:
- Provide a review of the lessons learned from relevant participatory processes in the forestry sector in Ethiopia using the set of questions identified on page 171
- Provide additional details on how grievance resolution will be conducted as part of the consultation process

	Government coordination in REDD+ planning and implementation
	Considers REDD+ in the context of other sector policies, land use plans, and national development plans
+	*Proposes mechanisms to coordinate REDD+ across sectors*
+	*Proposes mechanisms to coordinate REDD+ across levels of government*

The R-PP cites the importance of integrating REDD+ into broader development policies, although it does not discuss specific sectoral programs or policies in detail. It does, however, mention aligning the REDD+ institutions with a new national Climate Resilient Green Economy Initiative (p. 11) that coordinates eight key sectors of the economy to achieve an environmentally sustainable economy. The R-PP also notes potential conflicts between REDD+ goals and other land uses more generally, citing agricultural expansion and food security policies as taking precedence over efforts to preserve forest cover. In addition, the R-PP identifies national priorities relating to food security, biofuels, and rural electrification that have the potential to impact forests (p. 70).

The R-PP suggests development of cross-sectoral coordination mechanisms, such as a high-level steering committee that would include representation from regional government, relevant sectoral ministries, an NGO umbrella organization, and other

(+) – *The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*

( ) – *The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*

(−) – *The issue has not been identified or discussed in the R-PP or NPD.*

relevant non-government actors such as the private sector or trade unions (p. 19–20). Regional steering committees and technical working groups will also be established, and working groups at the district level will be created in areas with REDD+ pilot activities (p. 19). A REDD Secretariat will serve as a liaison with regional administration level offices to provide coordination and management support, and the R-PP notes that the tiered structure of working groups is designed to promote access at each respective level of engagement (p. 20).

Recommendation:
- Discuss in further detail how REDD+ will be considered in the context of existing strategies to scale-up biofuels, develop hydropower, and promote food security

	Transparent and accountable REDD+ revenue management & benefit sharing
	Proposes a transparent system to track and coordinate international financing of activities related to REDD+
+	*Considers measures to promote fiscal transparency and accountability for REDD+ revenue management*
+	*Proposes a participatory process to develop systems for REDD+ revenue distribution, including benefit-sharing mechanisms*
	Reviews lessons from past and/or existing systems for managing and distributing forest revenues

The R-PP considers some measures to promote accountability and transparency of REDD+ revenue management, such as creating publicly displayed posters of bookkeeping records on REDD+ financial support and monetary flows (p. 39). The R-PP implementation framework also proposes the development of a transparent, performance-based system of revenue management that will include an audit system to promote accountability (p. 93). Based on the proposed outcomes, the system of revenue management should include managing financial flows and also management of benefit sharing (p. 93). A multi-stakeholder review of existing institutions and policies related to financial management will inform development of this system. Which institutions could be in charge of revenue management and benefit sharing or the types of capacity that will be needed to develop these systems is not discussed.

There are a few existing examples of agreements between the government and community organizations over rights to forest resources that have included some benefit-sharing arrangements, and while the R-PP notes that these agreements could provide some precedent for developing REDD+ benefit-sharing mechanisms, it does not elaborate on the effectiveness or design of these systems (p. 54). Furthermore, the R-PP notes that the 2007 Federal Forest Development, Conservation, and Utilization Proclamation provides a legal basis for supporting benefit sharing for forest management but is not currently being implemented.

Recommendation:
- Given the information provided that current benefit-sharing regulations related to forestry are not being implemented, provide more detail on the capacity of existing financial management and benefit-sharing systems, and consider how development of REDD+ systems can avoid problems of non-implementation

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

The R-PP places great emphasis on raising awareness about REDD+ and provides an information development, dissemination, and communications outline for the general public (p. 44, 171). This includes the development of a stakeholder information management system, which includes an accessible stakeholder consultation database; however, the breadth of information that will be included in this system is not specified.

The R-PP notes that a coordinating body such as a steering committee will be necessary to link measurement, reporting, and verification (MRV) and information systems to the national REDD+ policy and to oversee monitoring (p. 147), but it does not explicitly mention a mechanism for the independent oversight of REDD+ implementation.

Discussion of monitoring efforts to address governance challenges remains vague, with the R-PP stating that drivers of

(+) – The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.
( ) – The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.
(−) – The issue has not been identified or discussed in the R-PP or NPD.

deforestation and forest degradation will be monitored, including non-carbon variables such as forest governance (p. 136). Specific indicators for monitoring governance are not discussed.

Recommendations:
- Propose a process for developing a system to monitor forest governance challenges
- Clarify whether there will be a mechanism or institution for independent oversight of REDD+ implementation

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

Land and forest tenure

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

According to the R-PP, private and state ownership of forests is recognized in Ethiopia, but the situation with respect to community rights to ownership or forest use varies depending on the region. For example, devolvement of some forest management responsibilities to the regional level has allowed regions such as Oromia—which is cited as having comparatively higher capacity on forest issues than elsewhere in Ethiopia—to pass its own Regional Proclamation that recognizes community ownership as well as state and private ownership (p. 53). In general, the situation with respect to tenure and rights to use forest resources is summarized as unclear for many forest-dependent groups, thus contributing to an "open access" mindset that does not incentivize forest management (p. 59). The R-PP does not elaborate on whether there are any existing tenure conflicts that will need to be addressed in order to implement REDD+. Strengthening long-term user rights of forest-dependent stakeholders is listed as an important component of a REDD+ strategy and will require a review of laws and policies and stakeholder outreach. This work is designed to result in clearer use rights and carbon ownership, but the R-PP does not clarify what steps will be taken in order to achieve these goals (p. 88).

Recommendations:
- Describe any relevant existing mechanisms for conflict resolution, and review the strengths and weaknesses of the judicial system in terms of upholding forest laws and mediating disputes
- Elaborate a process or set of activities for clarifying forest use and carbon rights

Forest management

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

The R-PP notes that there is currently no dedicated federal forestry institution in Ethiopia that is responsible for forest management. As a result, forestry services are administered by personnel from institutions with broader mandates and a lack of forestry expertise. For example, federal forestry responsibilities fall to the Sustainable Land and Watershed Management team of the Ministry of Agriculture and Rural Development, and only 3 of 10 staff members on this team are qualified foresters (p. 54). Lack of resources also impacts capacity to manage forest areas, such as an inability to delimit and gazette protected areas (p. 68).

The R-PP also reviews past and current strategies to address deforestation and forest degradation, many of which discuss different forest management regimes, such as development of plantation forestry, agroforestry systems, participatory and traditional forest management schemes, and Clean Development Mechanism (CDM) projects (p. 65–71). The R-PP recognizes that a successful regulatory environment will need to focus on "local people's rights, developing a dedicated forestry institution and better coordinating land use planning" (p. 13). The creation of a forest institution that will be responsible for management and oversight at the federal and regional levels is envisioned as part of an eventual REDD+ strategy, and a study on legal, institutional, and policy gaps is proposed to help identify appropriate institutional arrangements for REDD+ (p. 63). Efforts to strengthen

(+) – *The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*
(🟧) – *The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*
(–) – *The issue has not been identified or discussed in the R-PP or NPD.*

community-level institutions for participatory forest management are also identified as necessary for effective REDD+ implementation (p. 90).

Recommendation:

- Elaborate on the concrete steps, capacity needs, and division of roles and responsibilities that will be required to develop a functional institution that is responsible for forest management activities

Forest law enforcement

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

The lack of a federal institution responsible for forest management and oversight in Ethiopia, coupled with gaps in the legal framework, leads to ineffective implementation and enforcement of laws (p. 59–60). Ensuring compliance with forest laws will require actions such as designation of forest inspectors and clarification of the legal framework. The R-PP proposes to establish a federal and regional-level institution dedicated to providing forest services and to conduct a needs assessment of the types of activities this body should perform, including enforcement and monitoring activities (p. 89–90). The R-PP briefly states there is a need for respecting anti-corruption laws and measures, but does not analyze or elaborate on specific instances of corruption in the forest sector (p. 94–95).

Recommendation:

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

Other forest governance issues relevant for REDD+

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

The Land Use, Forest Policy, and Governance assessment does not explicitly discuss forest governance issues that are relevant for REDD+. The R-PP does propose a pilot project on "Good REDD+ Governance mechanisms" that will inform the development of the implementation framework for REDD+, but it does not provide a definition of "good REDD+ governance" or elaborate on the types of issues that should be addressed through this pilot (p. 79–80). A study of the enabling environment for REDD+ is also proposed, and will identify policy, legal, and institutional gaps that could impact the effectiveness of REDD+ and develop strategies to address these challenges (p. 63).

Recommendation:

- Include an explicit discussion of how strategies to address existing forest governance strengths and weaknesses might be developed and improved through the pilot project on good REDD+ governance

(+) – *The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*

( ) – *The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*

(–) – *The issue has not been identified or discussed in the R-PP or NPD.*

VIETNAM *(R-PP dated 4 March 2011)*

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

	Stakeholder participation in REDD+ planning and implementation
+	*Identifies relevant stakeholders for REDD+*
+	*Specifically considers how to engage local stakeholders*
+	*Proposes a transparent process for stakeholder participation*
	Proposes a process to ensure accountability for stakeholder input
	Proposes a grievance/dispute resolution mechanism
	Considers how to learn and build from other relevant participatory processes

The R-PP demonstrates a commitment to the inclusion of a broad range of stakeholders in the consultation process, though in some cases more detail about future processes needs to be developed. A comprehensive list of stakeholder groups at national, provincial, district, and local levels is identified (p. 22–23), and a detailed stakeholder analysis in Annex 1b-2 identifies the relative interest and influence of each stakeholder group in the REDD-Readiness process (p.105–107). The R-PP includes some specific measures and has allocated a budget for targeting local groups, including translating materials to ethnic languages, creating audiovisual materials, and training local-level facilitators (p. 26–27). In addition, the R-PP states a commitment to integrate of stakeholder feedback throughout the consultation process (p. 21), although specific modalities are not mentioned.

A framework consultation plan explains how stakeholders will participate in the REDD-Readiness process in the future (p. 110–114). The R-PP states that action plans for "free and prior-informed consultation" (FPIC) with communities for each area will be developed based on scaling-up an existing methodology UN-REDD developed that was already carried out in 78 villages (p. 25); however, a clear timeline for achieving this is not elaborated in the R-PP. The R-PP also highlights an UN-REDD–funded study that analyzed the effectiveness of the National REDD Network. The R-PP does not go into detail about key findings or areas for improvements, except to note that the study identified options for promoting participation by local stakeholders in REDD Network activities, such as creation of sub-regional Networks (p.14). The need for developing a socially acceptable and credible recourse mechanism with the involvement of Vietnamese civil society, particularly in the context of benefit distribution, is identified, although further details are not provided (p. 53). Apart from reference to the UN-REDD community consultation process (p. 25), the R-PP does not explicitly review lessons learned from previous national policy and program development processes referred to in the document.

Recommendations:
- Propose a clear process or timeline for developing the recourse mechanism
- Provide additional detail on how stakeholder engagement will scale-up the UN-REDD FPIC methodology or otherwise build on lessons from other processes

	Government coordination in REDD+ planning and implementation
	Considers REDD+ in the context of other sector policies, land use plans, and national development plans
+	*Proposes mechanisms to coordinate REDD+ across sectors*
	Proposes mechanisms to coordinate REDD+ across levels of government

The R-PP recognizes the critical need to incorporate REDD+ into existing national and sectoral policies (p. 30, 47, 74). Examples identified in the R-PP include the Five Year Socio-Economic Development Plans at national, provincial, and district levels (p. 77), as well as the Agricultural Sector Strategy (p. 47). However, there are numerous potential conflicts listed between land use priorities, such as expansion of agricultural exports (like rubber) into forested areas and development of hydropower projects that could have an impact of 20,000 hectares of natural forest (p. 33–39). The R-PP notes the importance of developing mitigation and compensation measures to deal with potentially adverse social and environmental impacts from these sectors, but it is not clear whether these efforts are sufficient to address the scale of potential deforestation.

A National REDD Network and a REDD Technical Working Group have been established as entities with an open membership policy, and a wide range of government institutions are currently participating in both groups (p. 13–14). The

(+) – *The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*
( ) – *The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*
(–) – *The issue has not been identified or discussed in the R-PP or NPD.*

Coordination Office of the Forest Sector Support Partnership, which coordinates implementation of the Forest Strategy, will serve as Secretariat for the REDD Network and Working Group (p. 13). A sub-working group on REDD+ Governance lists improving cross-sectoral linkages as one of its key tasks (p. 15), and a sub-working group on Local Implementation is tasked with examining REDD+ issues for implementation at the district and community level, although it is not clear the extent to which sub-national actors will actually be members of this group. In addition to these bodies, a REDD+ Steering Committee and REDD+ Office have recently been created to coordinate REDD+ activities between central and local government agencies, and between these entities and members of civil society. However, specific mechanisms for coordinating across levels of government are not currently in place. In addition, despite the clear intent expressed in the R-PP of ensuring sufficient cross-sectoral coordination and buy-in at all levels, it remains unclear as to how the formal decision-making mechanisms will be structured.

Recommendations:
- Clarify how sub-national actors will be included in relevant working groups
- Provide additional detail on how REDD+ objectives may differ from existing plans in energy and agriculture sectors and how potential conflicts will be resolved

	Transparent and accountable REDD+ revenue management & benefit sharing
+	*Proposes a transparent system to track and coordinate international financing of activities related to REDD+*
+	*Considers measures to promote fiscal transparency and accountability for REDD+ revenue management*
	Proposes a participatory process to develop systems for REDD+ revenue distribution, including benefit-sharing mechanisms
+	*Reviews lessons from past and/or existing systems for managing and distributing forest revenues*

The R-PP identifies the need for a mechanism that meets international standards of transparency, equity, and performance for management of REDD+ funds and examines some potential options for development of a REDD+ fund, building from existing forest revenue fund examples (p. 50–51). The R-PP notes that participatory governance is a key principle in fund management, and suggests that the REDD+ fund should be governed by a broad-based multi-stakeholder board and subject to independent external audit. The need for piloting revenue management arrangements is identified as necessary for gaining practical insights into the costs, efficiency, and effectiveness of REDD+ revenue management at different levels (p. 53).

The R-PP states the government is committed to forest-using communities having real and reliable incentives to conserve forests through an effective benefit distribution system (BDS; p. 45), although it is recognized that existing BDS arrangements have been inadequate and have not provided sufficient incentives for local communities (p. 30–31). A BDS for REDD+ is also being developed and piloted by the UN-REDD Vietnam Programme, but it is not clear how the R-PP's proposed activities will link to this other effort (p. 76).

Recommendation:
- Describe how the proposed BDS will be developed using a participatory process and how the system proposed in the R-PP links to the work being done by the UN-REDD Vietnam Programme

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

The R-PP recognizes the importance of designing a central MRV system that is accessible to all relevant stakeholders, integrated to include provincial and local-level information, and provides access to information on REDD+ implementation (p. 69). The R-PP states the MRV system that is under development will enable local participants and the international community to assess the transparency, accountability, and equity of the National REDD Program through open access policies (p. 77). The R-PP also notes the importance of avoiding any conflicts of interests between recipients of REDD+ financing and the entity responsible for monitoring (p. 52). At the provincial and national level, it is proposed that a separate REDD+ monitoring body oversee and

(+) – The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.
( ) – The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.
(−) – The issue has not been identified or discussed in the R-PP or NPD.

coordinate all REDD+ monitoring, and this body should be composed of government, independent civil society, and auditing organizations (p. 52). The R-PP also sets out a range of options for public involvement in the oversight of REDD+ implementation through inclusion of existing institutions such as People's Committees and farmers' associations. The R-PP lists monitoring of the benefit distribution system for REDD+, the UNFCCC safeguards, and the overall effectiveness of REDD+ implementation as key elements of the monitoring system. A study is proposed to explore options for integrating social safeguards and standards into the general MRV system, but there is no explicit mention of how efforts to address forest governance challenges will be monitored either as a safeguard or as a key ingredient to effective REDD+ implementation (p. 76–77).

Recommendation:
- Propose options or a clear process for investigating how governance challenges will be monitored as part of REDD+ implementation

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

Land and forest tenure

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

The R-PP describes some of the past and ongoing efforts to address tenure and land allocation in Vietnam. Since 1993 the government has enacted a series of laws and programs to allocate forestlands to households and other entities and protect 10 million hectares of natural forests through contracts with smallholder households (p. 29–30). The R-PP notes that large areas of forest are still under state and local authority control, despite a renewed effort to speed up the Forest Allocation Program, which has been hampered by a lack of funding. Supporting the already ongoing process of allocating forest use rights to households or communities is a core REDD+ strategy discussed in the R-PP, which notes that further efforts to improve execution of this program should be explored as part of a REDD+ strategy. The R-PP also notes that in some cases even once communities receive land use rights they have not always been able to benefit from them; therefore a study to analyze the land allocation process and make recommendations to improve the system to benefit local communities is proposed as a future activity (p. 37). Activities to investigate and improve land use rights allocation and benefits through improvements in forest policy and legislative and administrative reforms are also proposed (p. 43–44).

The R-PP notes that issues such as allocation of land or usage rights can frequently cause conflict and points to the need for an independent mechanism for resolving disputes. However, the R-PP does not provide any information on the significance and types of disputes that exist, how the allocation program has resolved past disputes, or if the judicial system has played a role. Annex 2b lists an effective judicial system as a priority area and notes the need to implement changes to the current system in order to effectively punish perpetrators and implement carbon rights. No details are provided, however, as to how this is to be implemented (p. 132–33).

Recommendation:
- Propose a more in-depth analysis of constraints in the judicial system that will need to be addressed as part of REDD+

Forest management

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

The R-PP identifies a range of challenges and ongoing initiatives related to forest management in Vietnam. Challenges include weak planning, lack of capacity to implement plans, and poor management and coordination between relevant agencies at national and local levels (p. 34). In addition, responsibilities for forest management in Vietnam have been in the process of shifting from State Forest Enterprises (SFEs) to State Operating Companies (SOCs; p. 30). The goal of the reform is to separate management of public goods, such as watershed protection, from the business of logging. In addition, shifts toward greater inclusion of

(+) – *The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*
( ) – *The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*
(−) – *The issue has not been identified or discussed in the R-PP or NPD.*

communities in forest management have been developed through a Community Forestry Pilot Program that was established in 2006, although the program's complexity and lack of incentives to participate have hampered its implementation (p. 31). The R-PP notes that there is also some traditional management of forests done by ethnic groups in Vietnam (p. 37), and the R-PP recognizes the potentially useful role that communities could play in participatory forest and carbon monitoring (p. 53, 71).

The REDD+ strategy options listed in the R-PP are still relatively preliminary, although they do emphasize the need to formulate these strategies with additional stakeholder input that will likely include relevant groups that manage forests (p. 47). While they identify some administrative and forest policy reform efforts that could be developed as strategies, these strategies tend to focus on technical management (such as amending policies on harvesting rates or fire management) rather than identified challenges in forest management or capacity of forest agencies (p. 131–132).

Recommendation:
- Propose a process to develop more specific REDD+ strategies related to strengthening forest management capacity within relevant government agencies as well as local stakeholders

Forest law enforcement

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

Issues such as weak law enforcement and illegal logging are described as major factors that underpin deforestation and forest degradation in Vietnam. The R-PP notes that because Vietnam is a major export hub for timber, illegal trade is also a significant issue (p. 36). Law enforcement attempts in Vietnam have focused on forest detection and transport from point of extraction, and the R-PP notes that this strategy requires significant staff and resources. Low wages and remote locations for law enforcement efforts can facilitate vulnerability of enforcement personnel to taking bribes (p. 36). In addition, the R-PP states that monitoring is insufficient and handling of forest crimes frequently suffers from inaccurate or incomplete reports (p. 35).

Efforts to address issues of illegal timber, including the issue of trade, include development of a new Law on Forest Protection and Development. This law that establishes a task force that will adopt a more strategic approach to law enforcement that focuses on points of sale. The government has also recently decided to prepare a Voluntary Partnership Agreement (VPA) with the EU's Forest Law Enforcement, Governance, and Trade (FLEGT) program. Strengthening forest law enforcement and improving enforcement of environmental regulations are proposed as key issues for REDD+ implementation. For example, the R-PP's implementation framework suggests that development of operational enforcement structures should be prioritized, such as a Central Forest inspectorate with a reporting hotline for illegal activities (p. 54). The R-PP also lists improving the legal framework, learning from recent community-based law enforcement efforts, amending the forest crime penalty system, and building capacity for district- and province-level forest protection units (p. 53, 128).

Recommendation:
- Provide further detail on how corruption issues may impact REDD+

Other forest governance issues relevant for REDD+

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

Poor management of financial resources in forest sector administration and past difficulties with participatory approaches to decision making are both cited as existing issues that undermine attempts to alleviate poverty and bring greater benefits to local communities (p. 37). The R-PP proposes establishment of a sub-working group on REDD+ governance as part of the Technical Working Group on REDD+ that will cover issues of "REDD+ governance, government structures and capacity building," although it does not elaborate further on the mandate or activities of the group (p. 15).

Recommendation:
- Clarify the composition and mandate of the Technical Working Group on REDD+ governance and how it will address identified capacity and institutional gaps as part of REDD+ implementation

(+) – *The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*

( ) – *The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*

(−) – *The issue has not been identified or discussed in the R-PP or NPD.*

ANNEX 4: NPD REVIEW TABLES

ECUADOR *(NPD dated March 2011)*

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

	Stakeholder participation in REDD+ planning and implementation
	Identifies relevant stakeholders for REDD+
+	*Specifically considers how to engage local stakeholders*
	Proposes a transparent process for stakeholder participation
+	*Proposes a process to ensure accountability for stakeholder input*
	Proposes a grievance/dispute resolution mechanism
−	*Considers how to learn and build from other relevant participatory processes*

The NPD describes preliminary efforts to map stakeholders and engage key groups in consultations on design and implementation of REDD+. The NPD identifies "key, primary and secondary" stakeholder groups, but notes that the initial stakeholder mapping focused on forest and environmental sector stakeholders (p. 31).

The NPD outlines a process for engaging indigenous peoples, local communities, and Afro-Ecuadorian and Montubio populations through the "Civil Society Involvement Plan in REDD+." The four components of the plan include (1) dissemination of information; (2) consultation; (3) effective involvement; and (4) capacity building (p. 53). Initial efforts to disseminate information have already begun, and there will be a parallel process to convene stakeholders and develop a plan for implementation of the other plan components (p. 54). Planned activities include training events, workshops, and development of materials that are specifically targeted to local stakeholders such as indigenous peoples, communities, Afro-Ecuadorian people, and Montubio communities (p. 53–54).

A monitoring system to assess the effectiveness of stakeholder engagement is also proposed. Specific indicators will be developed using a participatory methodology, and the NPD notes that implementation could include creation of citizen oversight committees or other mechanisms of community involvement in evaluating efforts to engage stakeholders (p. 55). In addition, the monitoring system will establish a mechanism to monitor complaints and resolve conflicts related to REDD+.

Recommendations:
- Given the NPD's discussion of other sectors that impact forests in Ecuador, the mapping should be expanded to include stakeholders in these other sectors
- Provide more concrete activities and a clearer timeline for the "Civil Society Involvement Plan in REDD+"

	Government coordination in REDD+ planning and implementation
	Considers REDD+ in the context of other sector policies, land use plans, and national development plans
+	*Proposes mechanisms to coordinate REDD+ across sectors*
	Proposes mechanisms to coordinate REDD+ across levels of government

The NPD identifies and describes several national policies in Ecuador as being relevant to REDD+, including the National Environmental Policy, which has goals relating to both sustainable management of natural resources and specific goals about climate change and reducing deforestation and forest degradation (p. 15). In addition, Table 1 on pages 19–20 lists relevant laws and policies from other sectors such as mining, energy, and agriculture that have impacts on forests, but it does not discuss whether current sectoral development plans are likely to conflict with REDD+ goals. The NPD also proposes additional work to analyze and compare REDD+ benefits and costs with those of other land uses (p. 56).

The NPD outlines several mechanisms for coordination of REDD+ across sectors, including an "Inter-Agency Committee on Climate Change" to harmonize the design and implementation of policies relating to REDD+ (p. 17). Additionally, the Ministry of Environment of Ecuador (MAE) has requested that relevant institutions in the process of preparing for REDD+ implementation designate focal points to facilitate coordination (p. 32). The NPD also proposes a National Advisory Committee (COASNA) to ensure REDD+ is coordinated properly between different levels of government (p. 76). The COASNA will include representatives

(+) – *The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*

( ) – *The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*

(−) – *The issue has not been identified or discussed in the R-PP or NPD.*

ECUADOR *(NPD dated March 2011)*

from relevant government agencies, civil society, indigenous organizations, social organizations, and the private sector. While the NPD mentions many avenues for inter-sectoral and inter-institutional coordination, it also mentions that this coordination is still limited and will require additional capacity building to be effective (p. 32, 42, 45).

Recommendations:
- Provide additional detail on how COASNA will coordinate across levels of government and identify relevant sub-national stakeholders that will need to be included
- Explain whether the identified sectors that impact forests are likely to scale-up activities in a way that could influence REDD+

Transparent and accountable REDD+ revenue management & benefit sharing

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

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

Proposes a participatory process to develop systems for REDD+ revenue distribution, including benefit-sharing mechanisms

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

The NPD states that a consultancy was put in place to develop a proposal for a REDD+ financial architecture that would manage international REDD+ financing (p. 38). The proposal is in the process of being validated by the MAE and the Ministry of Finance, and details of this proposal are not included in the NPD.

Outcome 6 of the National Joint Programme (NJP) is the design and implementation of a benefits distribution system for REDD+ (p. 60). Creation of an independent body responsible for audits and oversight is suggested as a measure to ensure transparency. Additional activities related to developing this system include review of alternative systems for distributing benefits, implementation of a pilot project to test the system once it is designed, and a study to define criteria for guaranteeing equitable benefit distribution (p. 61). These activities will draw lessons from the existing Socio Bosque Program (PSB), an incentive program that creates conservation agreements with communities (including indigenous communities) and private landowners (p. 36–37). The NPD also states that development of benefit distribution mechanisms should define procedures for accountability and monitoring, although it does not elaborate a specific set of activities or timeframe for doing so.

Recommendation:
- Clarify how the activities to develop benefit distribution will be conducted using a participatory process that includes local stakeholders

Transparent monitoring and oversight of REDD+

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

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

Proposes mechanisms to monitor efforts to address governance challenges

The NPD proposes the establishment of a tracking and monitoring module for REDD+ within a national registration system that provides publicly available information about relevant projects. The system, as framed in the NPD, is specific to projects and includes a provision requiring project developers to document that communities have knowledge of and have granted support for the project (p. 57).

Mechanisms such as an Executive Board (ExB) with implementing agency and government members, a National Advisory Committee (COASNA) with a broad range of stakeholders, and a Program Management Unit are all mentioned as actors involved in monitoring and oversight of REDD+ activities (p. 76–77). However, there is a lack of clarity as to whether these groups represent oversight for UN-REDD Programme–specific activities or for REDD+ implementation more broadly.

Additionally, the NPD proposes a monitoring system to assess good governance and effectiveness of engaging key stakeholders, which would be created through a participatory process. This system will include periodic evaluations of the process of engagement and good governance and will develop specific indicators to monitor the process (p. 55).

(+) – *The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*
( ) – *The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*
(–) – *The issue has not been identified or discussed in the R-PP or NPD.*

ECUADOR   *(NPD dated March 2011)*

Recommendations:
- Consider broadening the scope of the proposed tracking and monitoring module to include overall REDD+ implementation rather than projects
- Clarify whether there will be independent oversight of Ecuador's REDD+ strategy beyond the oversight put in place by the UN-REDD Programme

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

Land and forest tenure

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

The NPD describes the tenure situation for Ecuador's forests, noting that tenure can be either individual or collective and that the majority of land is owned by the state or by indigenous peoples and nations (p. 20). The NPD cites tenure insecurity as a major challenge in the forest sector and states that land tenure conflicts exist in approximately 50 percent of state-owned areas (p. 21). One underlying cause is the delimitation of protected areas that was completed using maps rather than physical surveys of land. As a result, tenure conflicts arise within protected areas over issues such as boundaries or land claims that were not settled prior to delimitation. Outside of the protected area system, land conflicts exist due to land invasions and unclear procedures for converting the forest estate to ancestral community property (p. 21). Lack of technical instruments to facilitate regularization of tenure, such as a cadastre, and long processes for resolving land claims, exacerbate tenure weaknesses (p. 22). The NPD references some figures on the amount of land that has been adjudicated in recent years, but it is not clear from the discussion whether the NPD is referring to addressing tenure in conflict areas or allocation of other land (p. 22–23).

The NPD identifies "reorganization of land tenure" as one of the six components of the National REDD+ Strategy (ENREDD+). The objective of this overarching component is to "increase the number of potential recipients from the implementation of the REDD+ mechanism and to ensure legal certainty over land tenure for local populations that live in forest areas" (p. 48). Despite this recognition of tenure as a key element of REDD+, the NPD does not outline concrete activities or outputs related to tenure that will be undertaken as part of the NJP.

Recommendations:
- Propose a set of steps or activities designed to address the "reorganization of land tenure" component of the REDD+ strategy, or clarify if these activities will be undertaken with funding from additional sources
- Provide more detail on the implications of existing tenure conflicts for REDD+ and the capacity of national and local actors to resolve the conflicts

Forest management

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

The NPD does not provide significant detail on forest management capacity or activities in Ecuador. The NPD mentions the need to build capacity of MAE on REDD+ issues, and notes that currently there are few staff working on REDD+ at MAE; however, the issue of general forest management capacity is not addressed (p. 73). Both the private sector and civil society are noted as playing roles in forest management activities. In the case of the private sector, timber extraction is the primary activity, and for civil society, many organizations play a role in implementing management or conservation activities (p. 33). The role of communities in forest management is not discussed in detail, although the need for participation of rural populations, indigenous peoples, and nationalities in decision making and implementation of forestry programs is noted as a goal of the Sustainable Forest Strategy (p. 24–25).

Sustainable forest management and afforestation/reforestation represent two of the six components of National REDD+

(+) – *The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*
( ) – *The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*
(–) – *The issue has not been identified or discussed in the R-PP or NPD.*

ECUADOR   *(NPD dated March 2011)*

Strategy in Ecuador. While the NPD lists some strategies for implementing forest policy in Ecuador in Annex V, such as encouraging certification and promoting development of management plans, these strategies do not form part of the outcomes and outputs elaborated as part of the NJP (p. 95).

Recommendation:

- Clarify how the components of the REDD+ strategy related to forest management objectives will be put into practice through concrete activities

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

The NPD contains little background discussion of law enforcement in Ecuador or the capacity of enforcement agencies to fulfill their mandates. The text references "difficulties in implementing adequate forest control" as a risk that can lead to illegal logging, but does not elaborate further (p. 85). The need to strengthen law enforcement and compliance is one of the six objectives of the Forest Governance Mode created by MAE, but the NPD does not list the specific activities to be conducted or how this could be linked to the REDD+ strategy (p. 11).

Recommendation:

- Discuss the underlying factors that contribute to illegal activities and other law enforcement challenges in Ecuador, including issues such as enforcement capacity and weak tenure

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

The NPD discusses the Forest Governance Model, which was developed by MAE and sets six broad objectives related to forest governance. These objectives are: "(1) promoting forestry development in Ecuador; (2) ensuring rational and equitable access to forest resources through land regularization; (3) strengthening forestry law enforcement and standards compliance through an effective control on illegal forestry activities; (4) promoting sustainable forest management at social and economic levels by reducing pressure on native forests; (5) preserving forestry environmental services; (6) strengthening capacity and knowledge to create a forestry culture through information and communication production" (p. 11).

While the NPD references this model and several of the objectives are linked to objectives of the REDD+ strategy in Ecuador, specific activities and concrete timelines for achieving these objectives are not clear.

Recommendation:

- Explain how the Forest Governance Model will be implemented in practice and how the activities envisioned will be linked to the national REDD+ strategy

(🟩) – *The R-PP or NPD has, in our view, discussed the issue in some detail and/or has provided a process for further investigation of the issues.*

(🟧) – *The document has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*

(🟥) – *The issue has not been identified or discussed in the R-PP or NPD.*