

ANNEX 4: NPD REVIEW TABLES

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(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

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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).

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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+

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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

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