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*(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

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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

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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

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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

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