

## Getting Ready:

# A Review of the World Bank Forest Carbon Partnership Facility Readiness Preparation Proposals

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**This working paper is part of a series of regular updates on the FCPF readiness process. It reviews documentation detailing national REDD initiatives emerging from the FCPF in order to assess how these efforts are dealing with fundamental issues of forest governance that underpin deforestation and forest degradation problems in REDD countries. Without addressing these issues it will be difficult, if not impossible, to reduce deforestation and degradation at the national level and deal with risks of leakage. We recommend improvements to the FCPF process that will support these objectives.**

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Suggested Citation: Davis et al. Getting Ready. A Review of the World Bank Forest Carbon Partnership Facility Readiness Preparation Proposals, v 1.3. WRI Working Paper. World Resources Institute, Washington DC. Online <http://www.wri.org/gfi>

**March 2010, Version 1.3**

### *Major Recommendations:*

- The Readiness Preparation Proposals (R-PPs) submitted by REDD+ Country Participants should be regularly updated to reflect countries' efforts to address comments by the FCPF Technical Advisory Panel, Participant Committee, and domestic stakeholders; and reflect evolving strategies and priorities for readiness that result from the Strategic Environmental and Social Assessment process. Changes should be easy to identify and the updated R-PPs should be publicly disclosed.
- The FCPF should support countries to collect results and conclusions of consultations completed, disclose these results in real time, and explain how stakeholder input has been incorporated into the readiness package.
- The FCPF should establish a clear and transparent process for monitoring and reporting all elements of R-PP as they are implemented, with clear guidance on how standards and criteria will be applied by the Facility Management Team or the Participant's Committee at different stages of the readiness process.

### INTRODUCTION

World Bank's Forest Carbon Partnership Facility (FCPF) is a leading multilateral effort underway to prepare developing countries to reduce emissions from deforestation and forest degradation and broader efforts to improve forest management (REDD+). More than US\$150 million has been committed to the Facility. The FCPF is shaping international understanding about what it means to be "ready" for REDD+ and what types of activities and support are needed. Experiences from the Facility are also informing negotiations under the UN Framework Convention on Climate Change (UNFCCC) about a phased approach to REDD+.

This working paper is part of a series of regular updates on the FCPF readiness process. We analyze two types of documents. First, the FCPF program documents to understand the evolving goals and requirements of the Facility. Second, the first nine Readiness Preparation Proposals (R-PPs) submitted by REDD+ Country Participants in order to determine whether key forest governance issues are

receiving adequate consideration. This version of the paper includes reviews of newly posted R-PPs from Argentina, DRC, Madagascar, and Mexico, in addition to revised R-PPs from Ghana and Suriname, all of which will be reviewed at the upcoming meeting of the governing Participant Committee of the FCPF in Gabon. These detailed reviews are included as an annex to this paper.

We find that while the R-PPs reviewed do identify forest governance challenges critical to REDD+, the level of analysis varies significantly across countries and issues. In all cases deeper analysis of relevant governance challenges and potential solutions will be needed to develop transparent, equitable, and effective REDD+ strategies and programs. For example, all countries identify unclear tenure as a driver of deforestation and key challenge facing the design of a REDD+ revenue distribution system. Most R-PPs do not, however, describe existing or proposed processes to clarify tenure, or clearly articulate how lessons learned from past efforts to implement and enforce tenure rules will be used to inform REDD+ strategy development. Most countries would benefit from a more rigorous and systematic review of this issue, although only a few countries propose to do this within their R-PP budgets. In addition, while consultation plans are generally becoming more robust on paper, it is still difficult to understand from reading the R-PPs how concerns raised during consultations have been or will be addressed. Given that REDD+ strategies need to address difficult issues like tenure, building confidence in consultation processes will be vital to building stakeholder trust needed for effective implementation. Clearer and more transparent processes facilitated by the FCPF's Facility Management Team (FMT) for monitoring and reporting on countries' readiness preparation would help ensure progress on these crucial issues.

## OVERVIEW OF THE READINESS MECHANISM

The FCPF consists of a Readiness Mechanism to build capacity of developing countries to reduce emissions from deforestation and forest degradation, followed by a Carbon Finance Mechanism to test a program of performance-based incentive payments for REDD+ in a small number of pilot countries. These two mechanisms are financed by the FCPF Readiness Fund and Carbon Fund, respectively.

The Readiness Mechanism is supporting 37 countries to assess their situation with respect to deforestation and degradation, develop a REDD+ strategy for reducing emissions and a framework for implementation, adopt a reference scenario of emissions, and design a measurement, reporting and verification

(MRV) system. It is proceeding in two phases:

- (i) During the *Proposal Preparation* phase, countries develop a Readiness Preparation Idea Note (R-PIN) containing a preliminary assessment of obstacles and strategies for realizing REDD+. Upon approval of the R-PIN, countries are invited to develop a Readiness Preparation Proposal (R-PP) describing the studies and activities that must be undertaken to become ready for REDD+, and the multi-stakeholder consultation process that will be used. Both documents are 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 then carries 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. Countries must submit a mid-term progress report – subject to assessment and review by the TAP and PC – before any final disbursement beyond \$2 million is made. 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.

## METHOD FOR REVIEWING R-PPs

In this working paper we review R-PPs developed by REDD+ Country Participants in order to determine whether key issues of forest governance are receiving adequate consideration. Our analysis is based primarily on the contents of the proposals and some limited desk research. Specifically, we assess the extent to which the R-PPs recognize and discuss issues pertinent to six key governance processes, which we believe are vital for any country wishing to achieve the objectives of REDD+ to consider:

- law and policy development
- land tenure administration and enforcement
- forest management
- forest monitoring
- law enforcement
- revenue distribution and benefit sharing

The FCPF does not expect countries to complete a detailed analysis of all governance challenges and potential solutions within their R-PPs. The R-PPs are more likely to help countries achieve REDD+ objectives, however, if they provide a robust foundation for a comprehensive and systematic approach to

tackling critical governance challenges as readiness preparation proceeds. Although the list above is not exhaustive and may not be pertinent in the same ways in all countries, it provides an initial framework to identify and highlight key governance issues.<sup>1</sup>

## THE SHIFTING LANDSCAPE OF READINESS PREPARATION

The concept of REDD+ readiness is rapidly evolving as the FCPF takes a “learning by doing” approach to readiness preparation. In light of early experiences from the first three R-PP submissions and outstanding questions about how the World Bank’s operational safeguards should apply, the FCPF proposed three key changes to the Readiness Mechanism. First, the term Readiness Preparation Proposal was introduced to replace the term Readiness Plan, and the corresponding proposal template was revised. This was to make the purpose of the R-PP clearer; i.e., a document that describes the process by which countries would get to a final plan for readiness, rather than the Readiness Plan itself. The new template is simpler and more flexible yet provides more detailed guidelines for each component. Some of these guidelines seek to ensure that forest governance issues are addressed. For example, the new template asks countries to link identified governance challenges to proposed REDD+ strategy options and to consider how non-carbon impacts (including impacts on governance) will be monitored. It also puts greater emphasis on the role of multi-stakeholder consultation in R-PP formulation, including for the assessment of the role of Land Use, Forest Policy and Governance in driving deforestation and forest degradation (see component 2a of the R-PP template).

R-PPs that have been developed using the new template indeed have greater clarity. However, countries are still struggling to come to terms with the full suite of governance challenges that underpin deforestation and forest degradation. As the Facility management team (FMT) reasonably states, REDD+ countries cannot be expected to fully understand and have answers for all issues relevant to REDD+ readiness prior to receiving any readiness funds. Nonetheless as many of the relevant governance issues have been raised in conjunction with previous initiatives to reduce deforestation, national and local stakeholders need some assurance that these key issues will be recognized and addressed.

To this end, consultation and participation plans should be strengthened and a clear process for transparently monitoring R-PP implementation should be established. This, in turn, will require standards and criteria for mid-term or final review, which will be necessary to hold countries accountable for addressing concerns highlighted during the proposal preparation phase.

The second proposed change concerns the role of the R-PP with respect to the decision to allocate a readiness grant. Originally, the PC was expected to approve or reject an R-PP based on the *Standards to be Met by R-PP Components*<sup>2</sup>, which would determine a country’s eligibility to receive readiness funding. The PC is now only expected to review and assess R-PPs and, with reference to these standards, make recommendations on how to move forward. This is based on the concept that the R-PP provides a framework to present preliminary ideas and plans that will continuously evolve as readiness preparation proceeds. Nonetheless, the PC is still empowered to decide whether or not to allocate a readiness grant. This decision will presumably be based on some assessment of the adequacy of a country’s R-PP, even though the connection between the R-PP, associated standards, and the allocation of readiness grants is no longer explicit. As a result, there is now less transparency and clarity regarding the decision-making criteria and process for allocating readiness grants.

Lastly, the FCPF has proposed to incorporate a Strategic Environmental and Social Assessment (SESA) into the readiness process to demonstrate compliance with World Bank safeguards. The SESA is meant to be an iterative process of research and consultation to integrate key environmental and social considerations into REDD programs at the earliest stage of decision-making. The choice to use a SESA process rather than standard safeguard application stems from the assumption that readiness activities are limited to early planning and analytical work rather than concrete investments on the ground. It is not yet clear, however, how the SESA process will be monitored and independently assessed, and how safeguard compliance will be ensured for those readiness activities that go beyond planning (e.g. pilot project implementation or legal reform).

<sup>1</sup> This analytical framework builds on the WRI-IMAZON-ICV Governance of Forests Indicator Framework available online at <http://www.wri.org/gfi>

<sup>2</sup> Program Document FMT 2009-1-Rev.3. September 4, 2009. Online at: <http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/FCPF%20FMT%20Prog%20Doc%202009-1-Rev.3%20R-PP%20Assessment%2009-04-09.pdf>

**Recommendation:**

The FCPF should clarify the minimum standards that must be met by REDD+ Country Participants before the PC can approve readiness funding. These standards should be explicitly linked to the agreed *Standards to be Met by R-PP Components* set out in Program Document FMT 2009-1-Rev.3. The justifications for PC decisions concerning fund allocation should also be made transparent.

**GUYANA, INDONESIA AND PANAMA APPROVED FOR READINESS FUNDING**

In a previous version of this working paper, WRI reviewed the first three R-Plans (now R-PPs) submitted by Indonesia, Panama and Guyana. Our analysis recognized where governance issues had been dealt with constructively, and identified those that require deeper consideration. The three R-Plans were considered at the third meeting of the PC in Montreux, Switzerland from 16-18 June 2009. At the meeting, members of the PC and of the TAP presented several concerns regarding the R-Plans, which were largely consistent with the conclusions of WRI's analysis. Some of the major areas for improvement identified by the TAP included<sup>3</sup>:

- discussion of governance issues pertinent for REDD implementation
- addressing land tenure and ownership issues in the context of REDD
- clarity on the intended outcome and practical implications of the consultation process

The PC requested that the countries address outstanding issues. The PC also decided, however, that the R-Plans provided a “sufficient basis for funding to move ahead with preparation for readiness.”<sup>4</sup> The basis for this decision – particularly with respect to the application of the agreed R-PP Standards – was not transparent. Guyana, Indonesia and Panama are subsequently eligible to receive readiness grants contingent upon successful completion of World Bank due diligence, although no grant agreements have been signed as of March 2010 and the reasons for delay are not publicly disclosed.

<sup>3</sup> “R-Plan Highlights.” Presentation by the TAP at the PC 3 Meeting. Montreux: June 16-18 2009. Online at:

<http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/2.a%20TAP%20Highlights.ppt>

<sup>4</sup> Resolutions PC/3/2009/2, PC/3/2009/3 and PC/3/2009/5 on the Panama, Guyana and Indonesia R-PPs. Online at: <http://www.forestcarbonpartnership.org/fcp/Node/243>

There is currently little clarity about the process to “address” outstanding issues identified during R-PP review and assessment. Specifically there is no definitive timeline, reporting format, or accountability mechanism to ensure that issues are adequately addressed. At the fourth PC meeting in Washington, D.C. from 26-28 October 2009, only Guyana submitted a revised R-PP. Any steps that Indonesia or Panama has taken to address outstanding issues have not been publicly documented. Increasing the transparency and consistency in how countries report on their progress towards addressing these issues – including those that have been raised by domestic stakeholders – will support more responsive and effective readiness preparation.

**Recommendations:**

- The FCPF should specify a timeline and reporting format for REDD+ Country Participants to address major comments made by the PC and the TAP from their review of the R-PPs, and as a result of World Bank due diligence. Timelines could be tailored to the issue being addressed.
- The FCPF should support countries to regularly update their R-PPs to reflect new directions and evolving priorities for readiness and make them publicly available on the FCPF website in a timely manner.

**TRENDS FROM THE FIRST NINE R-PPs****The process of R-PP preparation and review is becoming more iterative**

Although not required by the FCPF, it is becoming more common for countries to submit multiple iterations of R-PPs for TAP and PC review. This gives stakeholders the opportunity to monitor progress on key issues and gives REDD+ Country Participants an opportunity to incorporate feedback before implementation gets underway. Guyana submitted a revised R-PP in October 2009 even though the PC had already approved its readiness funding, while Ghana and Suriname presented draft R-PPs to the PC in October and have now submitted updated versions for the PC meeting in March 2010. While it is not clear that there have been further consultations on the R-PPs or efforts to incorporate domestic stakeholder concerns, all three revised R-PPs take some initial steps towards addressing the issues identified in the TAP and PC assessment.

It is often difficult to see, however, if and how some recommendations were addressed and certain issues remain outstanding. For example, both Ghana and Suriname's revised R-PPs provide additional clarity on the roles and responsibilities of institutions involved in various REDD+ working groups and

coordination bodies. Less progress has been made, however, in demonstrating that these bodies will have the authority and clout necessary to achieve effective coordination and buy-in across sectors. In particular, Suriname's revised R-PP does not yet address the TAP's recommendation to include more than one civil society representative in its REDD Working Group, and Ghana's revised R-PP is not yet explicit about the involvement of the Ministry of Energy despite the country's heavy reliance on wood fuel.

#### **Recommendation:**

Countries should consider re-submitting R-PP drafts to the FCPF, who should post the documents to their website, to facilitate the monitoring of the readiness process in country and by the Participants Committee and the TAP. Re-submitted drafts should be explicit about where changes have been made, including where and how TAP, PC, and domestic stakeholder concerns have been addressed. They should also provide an explanation when they have chosen to disregard certain recommendations or to delay addressing them until a later point in the readiness process. This will facilitate PC and TAP review of the revised proposals.

**REDD+ strategies are more clearly linked to identified drivers of deforestation.** Successful strategies to achieve REDD+ will need to directly tackle underlying drivers of deforestation and forest degradation, including fundamental governance considerations. The most recent round of R-PP submissions are relatively explicit about the links between the drivers of deforestation identified in the Assessment of Land Use, Forest Policy, and Governance (component 2a) and the proposed REDD+ strategy options (component 2b). Gaps remain, however. Ghana's R-PP, for example, identifies weak public engagement in forest policy development as one of the policy drivers of deforestation, but does not yet suggest potential strategies to resolve this problem. Similarly, Suriname's R-PP mentions that weak law enforcement is a problem but does not target law enforcement systems as an area of focus for identifying potential REDD+ strategy options.

Finally, several R-PPs identify tenure conflict as a driver of deforestation – including those of Mexico, Argentina and the DRC – but are less clear about if and how REDD+ strategies will address these challenges and the potential implications for clarifying carbon rights. Related to this, only Madagascar's R-PP notes the existence of current mechanisms for resolving tenure conflicts. Most R-PPs propose to develop new conflict resolution mechanisms for REDD+, but often without indicating the scope of potential disputes that would be addressed, how they would

ensure that the mechanism would be accessible to all potentially impacted people – especially the most vulnerable, and if and how it would fit into the broader judicial framework of the country.

#### **Recommendation:**

REDD+ strategies will be stronger if the full spectrum of proximate and underlying drivers is understood and can be addressed. Countries should therefore build strong ties between the research process for identifying drivers of deforestation and the process for developing candidate REDD+ strategies.

**Fundamental governance issues are not yet comprehensively examined.** Countries' Assessments of Land Use, Forest Policy and Governance are still preliminary. Most R-PPs identify specific areas of research and analysis that will be undertaken, including deeper analysis of the implications of existing laws and policies with respect to deforestation. Still, the R-PPs have not adequately recognized several key governance issues, and do not make it clear if there are plans to address these gaps in the future.

Weak enforcement of regulations is mentioned as a problem in all of the R-PPs, but none provide a thorough assessment of the forest law enforcement system. Ghana's R-PP, for example, is not explicit about the agencies responsible for law enforcement, although presumably these actors have been central in the FLEGT-VPA<sup>5</sup> process that is discussed throughout the proposal. And while capacity constraints are the most commonly cited obstacle to effective law enforcement across the R-PPs, few identify specific capacity building exercises that are needed for effective implementation of REDD+ policies and regulations. Only the DRC's R-PP makes reference to the role of the judiciary in the law enforcement system.

Although most R-PPs acknowledge that forest dependent communities are critical stakeholders in the context of REDD+, the proposals are uneven in the depth of their analysis of the current and potential role of communities in forest management. The majority of forests in these countries are owned by the state, but many of the R-PPs are not clear about how communities exercise rights – either formally or informally – over forest resources. The R-PPs of the DRC and Madagascar, for example, state that community claims can be recognized but do not describe any legal process for doing so. A deeper analysis of

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<sup>5</sup> Stands for the Voluntary Partnership Agreement process under the Forest Law Enforcement, Governance and Trade initiative of the European Commission

these roles would help countries achieve stated tenure reform goals, and understand the potential consequences of candidate REDD+ strategies on forest dependent communities.

Finally, more detail is needed from all countries on how land use decisions are currently made, and in particular on the inclusiveness and transparency of the land use planning process. Suriname and Ghana's R-PPs state that developing a more rational land use plan will be a core aspect of their REDD+ strategy, and all of the R-PPs emphasize that REDD+ strategies will need to be integrated into broader land use dialogues. A deeper analysis of past challenges of coordinating policy processes across sectors, and how coordination under REDD+ will be different, would be helpful in this context.

#### **Recommendation:**

The array of governance issues that needs to be considered during readiness preparation is extensive and complex. Countries should identify methodologies to help them systematically and comprehensively address key issues – including during the development and implementation of the R-PP and beyond – with the understanding that certain issues will take longer to understand and address. Among these, forest law enforcement, community forest tenure, and land use planning are critical issues that have been inconsistently addressed in R-PPs to date.

#### **Consultation and Participation Plans are more thorough, but close monitoring will be important.**

The Consultation and Participation Plans of the R-PPs developed to date provide important details of processes to ensure transparent and inclusive stakeholder participation and accountability for input. Suriname's Plan stands out for proposing a two-way and iterative conversation between the Government and indigenous communities. It also states that the principle of Free, Prior and Informed Consent (FPIC) will be used as the basis for the consultation process, although it does not describe how FPIC will be implemented in practice. While Ghana, Mexico and the DRC's Plans in particular do not provide a lot of detail on how the government will interact with forest dependent communities, the Ghana and DRC R-PPs do mention the importance of conflict resolution and grievance mechanisms, though without much detail. The Argentina's R-PP stands out for describing existing consultation platforms operating in the forest sector and specifying how they will be utilized in the context of REDD+. They include details around the process for selecting representatives; the length with representatives can serve, as well as other details about how the consultation process will function.

Given the complexity of the actions likely to be taken to REDD+, and the vulnerability of many of the groups that may be impacted by these actions, a robust consultation process is necessary to assure stakeholders that these decisions will be taken in a fair manner. However, the implementation of well designed consultation processes with appropriate feedback loops will be a significant undertaking, and regular monitoring to ensure that the objectives of the consultation program are achieved will be required. This will require seeking inputs and feedback from the various stakeholders who have been consulted. This process should take place at the national level, but may also need to be supported and monitored by the management team at the FCPF and the Participant's Committee as part of the readiness process, to ensure that processes are fully functioning and effective. The proposed SESA process may provide a useful supporting structure for such consultations and feedback. But the links between the SESA and the process of developing and implementing R-PPs still need to be clarified.

#### **Recommendation:**

The implementation of Consultation and Participation Plans will only be successful if they adhere to principles of transparency, inclusiveness and accountability. Domestic stakeholders will often be in the best position to comment on whether they feel Consultation and Participation Plans are achieving those objectives and able to identify where gaps exist; however such feedback processes may take time to put in place domestically, and the FCPF management team and the Participants Committee will have a responsibility in ensuring that this process is being undertaken in an effective and equitable manner. If the SESA approach is adopted, it will need to be central to the R-PP process, and its results clearly reflected in the Readiness Package considered by the PC. Where there are weaknesses with proposed Consultation and Participation Plans, the PC should seek to ensure that they are addressed before implementation of R-PP activities proceeds.

#### **LOOKING FORWARD**

Readiness support should help countries to complete an honest review of the barriers and challenges to reducing emissions from deforestation and forest degradation and to map out a process for coming to terms with these challenges. Achieving the objectives of REDD+ will require countries to address the underlying governance challenges around issues such as land tenure, land use planning, law enforcement, and the integrity of systems to manage forest revenues and incentives.

Our analysis of the first nine R-PPs and of the evolution of the FCPF process indicates that countries are not addressing these

issues completely or consistently thus far. Much of the work to ensure that the full spectrum of relevant governance issues are recognized and addressed will therefore have to occur as countries implement their R-PPs. It is not yet clear how the FCPF intends to monitor the implementation of R-PPs and to support countries to report regularly on their progress, and to ensure that governance issues are addressed as the process evolves. More clarity will be needed to enable all interested stakeholders to understand how key issues are being addressed and to hold governments to account for the principles and processes laid out in their R-PPs. It will also assist the FCPF and PC to identify where additional technical and financial support may be needed.

#### ***Recommendations:***

- The FCPF PC and FMT should put in place clear and transparent processes with specific milestones and performance standards for monitoring and reporting on countries' progress in implementing their R-PPs, including

with respect to the implementation of the consultation and participation plans in the SESA.

- The Facility Management Team (the World Bank) should support participant countries to collect the results and conclusions of consultations completed, disclose these results in real time. Countries should provide a clear explanation of how stakeholder input collected through consultation processes has been reflected in the readiness preparation process.

#### **AGKNOWLEDGEMENTS**

The authors would like to thank Lauren Goers, Ruth Nogueron, and Sarah Lupberger who helped read and analyze the R-PP documents and provided feedback on the policy brief.

#### **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.

## Annex 1: R-PP Governance Analysis Methodology

### *Law & Policy Development*

Institutions that are responsive to the need for reform

Recognition and consideration of the full suite of stakeholders that are impacted by decision-making

Transparent and inclusive processes for engaging stakeholders in the development of forest laws and policies

### *Land Tenure Administration & Enforcement*

A land tenure system that is non-discriminatory and provides clear rights over land and its associated values.

Legal recognition of indigenous peoples rights to land

Mechanisms for resolving conflicts over tenure rights

Institutions and systems that uphold the rights of forest dependent people

### *Forest Management*

Institutions with the capacity and authority to plan and implement forest management activities

Processes for coordinating forest sector activities with larger national development strategies and land use plans

Recognition of the role of different stakeholders, including local communities, in forest management

### *Forest Monitoring*

Government institutions with the capacity to monitor forests and report information

Independent institutions with the capacity to monitor and verify information

Transparent and coordinated systems for managing information

### *Forest Law Enforcement*

Effective systems for deterring and penalizing illegal activities

Institutions with the capacity and authority to enforce forest laws

### *Forest Revenue Distribution & Benefit Sharing*

Understanding of the relationship between forest ecosystem services and local livelihoods (and potential alternative livelihoods)

Transparent and accountable systems for distributing revenues from forest management

## Annex 2: Country Tables

## ARGENTINA R-PP

<b>LAW AND POLICY DEVELOPMENT</b>
<b>Institutions that are responsive to the need for reform</b>
<p>Argentina's R-PP outlines various reforms that will be undertaken in the context of REDD, including some that are already underway. It focuses primarily on Law 26.331 (2007) on Minimum Standards for the Environmental Protection of the Native Forests, including the operational rules created under National Decree 91 and a related pilot program established in 2009. While the R-PP describes significant public support for the law, including provision of financial resources for its implementation, it notes that implementation remains incomplete. In particular, it notes that provincial governments require further support and resources to become more engaged. The R-PP notes that additional reforms are still needed concerning land tenure systems and conflict resolution mechanisms, although it is difficult to get a clear and holistic picture from the proposal of the broader landscape of policy and regulatory reforms within which the REDD strategy would fit.</p>
<b>Recognition and consideration of the full suite of stakeholders that are impacted by decision-making</b>
<p>The R-PP provides information about the various stakeholders that the Ministry of Environment and Sustainable Development (SAyDS) will need to consult for REDD, including civil society groups, forest dwelling communities, indigenous peoples, private land owners and farmers, local and provincial government, universities, etc. The R-PP states that the 2007 Forest Law was developed with broad civil society participation (p4). Stakeholders involved in the consultation and dissemination efforts included national and sub-national government agencies, NGOs, academia and research organizations, representatives of indigenous communities – including the National Council of Indigenous Women of Argentina (CONAMI) – private sector and trade associations, and consultants (p7, 14, 21). Representatives of the agriculture sector, also involved in the outreach/consultation strategy, are recognized as key actors at the intersection between agriculture and deforestation (p16).</p>
<b>Transparent and inclusive processes for engaging stakeholders in the development of forest laws and policies</b>
<p>The R-PP provides detailed descriptions of past and future strategies for broad-based stakeholder engagement. This is one of the stronger components of the proposal. The R-PP describes a 3-phased approach for systematic consultation in the development and implementation of REDD activities that both builds on existing mechanisms and processes as well as creates new ones. In this process, consultation and engagement will be used to (i) strengthen feedback mechanisms and consultation processes, including reaching out to actors that could not be involved in the R-PP preparation process, and strengthening participation of sectoral working groups (e.g., groups composed of no more than ten organizations, with expertise in the subject, links to the territory and preferably be formed by a partnership of organizations) to ensure that stakeholders understand the process of selecting representatives; (ii) validate the participation/consultation process, including focused discussions on specific topics related to implementation of the REDD pilot activities and results; and (iii) implement the REDD strategies at the national and sub-national levels with stronger emphasis on sub-national activities and actors. A REDD National Group will be established in the third phase building on the REDD-WG membership and will include specific working groups on each component of the REDD strategy. It also includes the establishment of a high-level group to facilitate implementation by coordinating policy and raising awareness at the highest levels of the national government (p15-18).</p> <p>The R-PP also outlines a process for how stakeholders will be engaged. It describes how comments will be made public so that stakeholders know where and how their comments have been taken into consideration, and clarifies who will have final decision making authority. It also has a lot of detail about how representation roles will function, e.g., it provides details about the length of service as a representative, etc. The selection process will be overseen by SAyDS and reviewed and validated by the initial REDD-WG (p9). The R-PP includes a section describing how indigenous peoples will be engaged, based on a past approach, which includes a focus on capacity building to ensure that indigenous peoples are able to make informed decisions. The R-PP states that domestic resources will be used to implement the consultation plan in addition to FCPF resources.</p>
<b>LAND AND FOREST TENURE</b>
<b>A land tenure system that is non-discriminatory and provides clear rights over land and its associated values.</b>
<p>The R-PP states that the majority of the forest lands are privately owned. Many publicly-owned lands (<i>tierras fiscales</i>) are inhabited by people that do not have official titles, but are in position to claim ownership based on the time they have lived on the land. There is a very small amount of communal lands. Forest-land ownership varies within regions in a mosaic of large private properties, small landowners, public lands, and abandoned lands. However, it is unclear if detailed and accurate ownership information exists for all forests in the country (p31-33). The R-PP mentions tenure “irregularities” as one of the challenges for implementing law 26.331 and subsequent REDD laws and programs. Specifically, it is often expensive and difficult for local actors to become “legalized,” even when they have been living on the land for a significant amount of time. If not able to become legal actors are then evacuated. The R-PP does not clarify whether or how these challenges drive deforestation, or which of stakeholder groups are most impacted. The R-PP budget requests funds to conduct a study to evaluate land-tenure and strengthening of provincial land-tenure systems (p48).</p>

<p><b>Legal recognition of indigenous peoples rights to land</b></p> <p>Law 26.160, which tasks the National Institute for Indigenous Affairs (INAI) to regularize and title indigenous lands, legally recognizes communal lands that have been traditionally occupied by indigenous communities (p55). The R-PP proposes to develop a plan to strengthen the institutional capacity of provincial government in relationship with land-tenure systems (p47). It is not clear from the R-PP how secure these rights are in practice.</p> <p>The R-PP describes a series of consultations and participatory meetings since 2004 focused on forest issues and tenure rights. These activities involve actors such as SAyDS, the working Commission for Policy related to Indigenous Peoples (Comisión de Trabajo de Política Indígena) and the Council for Indigenous Peoples Participation (CPI) (p18). The most relevant efforts include a 2008 seminary that launched an effort to map indigenous lands in forested areas, and a series of consultations focusing on land tenure, demarcation and regularization process in the context of implementation of Law 26.160 (p18-19).</p>
<p><b>Mechanisms for resolving conflicts over tenure rights</b></p> <p>The R-PP does not describe any existing conflict resolution mechanisms. It notes the need to strengthen land-tenure systems and to create incentives to resolve land conflicts (p49) as part of the REDD strategy. However, it is not clear what type of conflicts needs to be addressed, or if there have been past efforts to address them. This work is described as a component of the SESA plan, but should perhaps be a more explicit focus within the REDD implementation framework.</p>
<p><b>Institutions and systems that uphold the rights of forest dependent people</b></p> <p>The R-PP mentions the following institutions. Although some of these institutions seem to be central in ensuring participation and consultation, there is not enough information provided to assess their role and effectiveness upholding the rights of forest dependent people.</p> <ul style="list-style-type: none"> <li>- CPI (<i>Consejo de Participación Indígena</i>) – an organization created by INAI to facilitate participation and representation of indigenous peoples in national issues. CPI is made up by 85 members.</li> <li>- INAI (<i>Instituto Nacional de Asuntos Indígenas</i>) – the government agency to address matters and policy related to indigenous peoples.</li> <li>- ONPIA (<i>Organización Nacional de Pueblos Indígenas</i>) - National Organization of Indigenous Peoples.</li> <li>- CTPI (<i>Comisión de Trabajo de Política Indígena</i>) - Working Commission for Indigenous Policy</li> <li>- CONAMI (<i>Consejo de la Mujer Indígena Argentina</i>) – Argentinean Indigenous Women Council</li> <li>- AADI (<i>Asociación de Abogados/as de Derecho Indígena</i>) - Indigenous Law Association</li> </ul>
<p><b>FOREST MANAGEMENT</b></p>
<p><b>Institutions with the capacity and authority to plan and implement forest management activities</b></p> <p>According to the R-PP, authority and jurisdiction over forests in Argentina is shared by federal, provincial and local governments. The Federal government has the authority to regulate and define the minimum requirements for environmental protection while Provincial governments are responsible for complimentary laws. The R-PP notes that this division of responsibilities has been a challenge for effective implementation of environmental law. At the national level, responsibility for forest resources is divided between the Ministry of Agriculture, Fisheries and Food, and the SAyDS. The first is responsible for forest plantations and the second is responsible for natural forests. However, the R-PP states that there is no appropriate coordination between these agencies. The R-PP proposes more coordination between these two agencies in the implementation of the REDD strategy (p28). It also emphasizes the need to strengthen the capacity of provincial authorities to enforce forest management laws. The R-PP also mentions that forest fires are a growing challenge, and although Argentina has developed a decentralized National Plan to Combat Forest Fires, the initiative needs to be strengthened to be effective (p33).</p>
<p><b>Processes for coordinating forest sector activities with larger national development strategies and land use plans</b></p> <p>Argentina is currently developing a climate change strategy through a domestic intergovernmental committee. The REDD strategy is housed in this initiative (p6). Coordination with national and provincial government agencies is expected to occur in the context of the consultation and participation plan (p16). In terms of national development strategies and land use plans, the R-PP proposes to conduct a study to examine the impacts of existing and upcoming infrastructure projects on forests. The study is envisioned to build on Argentina’s experience developing its Strategic Territorial Planning tool, developed in the context of its national development and land-zoning policy and strategy (p33-35). It is less clear from the R-PP whether lack of coordination across ministries, e.g. agriculture, has been a problem in the past, or what pre-existing measures exist to align forest sector planning with broader national priorities.</p>
<p><b>Recognition of the role of different stakeholders, including local communities, in forest management</b></p> <p>The R-PP notes that 10-26% of land belongs to communities. However their role in forest management is not discussed at length.</p>
<p><b>FOREST MONITORING</b></p>
<p><b>Government institutions with the capacity to monitor forests and report information</b></p> <p>SAyDS is the government agency in charge of monitoring forest cover and forest change, and the information is updated every four years. In 2009 SAyDS proposed the establishment of a permanent forest monitoring system (SIP) that will measure and assess</p>

progress in the implementation of forest-conservation policy (p74). The R-PP notes the need to improve forest monitoring capacity in several instances, specifically around the need to improve enforcement capacities of the provincial agencies. The need to have better information about the implementation of forest laws and the capacity to audit the information is noted in several parts of the proposal.

#### **Transparent and coordinated systems for managing information**

As noted above, this capacity is lacking. In the context of land-use planning, the R-PP requests funds to establish an information-management system, as well for monitoring new information on GHG emissions and sequestration and the impact impacts of activities (p48, 84).

#### **Independent institutions with the capacity to monitor and verify information**

The R-PP notes the importance of universities and other institutions in the R-PP process; however, it is not clear the extent to which these entities gather independent information about forest activities. The MRV section of the R- PP does note the need to have information generated in a way that can be available to the public and independently verified.

### **FOREST LAW ENFORCEMENT**

#### **Effective systems for deterring and penalizing illegal activities**

The R-PP clearly states that one of the likely candidate activities under the REDD strategy will be to address capacity issues related to law enforcement. Specifically the capacity of provinces is emphasized. The R-PP also notes that institutional reforms may be required to ensure effective decentralization of forest management.

#### **Institutions with the capacity and authority to enforce forest laws**

The 1948 Law to Defend Forest Richness is deemed to be an excellent, advanced, and technically-sound law to sustainably manage forests in the country. However, it is considered to be one of the most “frustrating experiences” in terms of law enforcement. Although it is a national law, implementation and enforcement is carried out only in areas under federal jurisdiction and in places where the provincial government has adopted the law. This means that implementation at the provincial level depends heavily on the capacity of each province. As a result, the law has not been effectively enforced in practice, and in some cases, deforestation is most severe in provinces that have adopted the law (p26, 27). The R-PP does not yet explore potential solutions to these law enforcement challenges.

### **FOREST REVENUE DISTRIBUTION AND BENEFIT SHARING**

#### **Understanding of the relationship between forest ecosystem services and local livelihoods (and potential alternative livelihoods)**

This issue is not explored by the R-PP in great detail. However, in the R-PP’s discussion of social and environmental impacts, monitoring for poverty alleviation and job creation is specifically noted. The R-PP requests funds to assess and design measures to increase the financial viability of the forests, and to promote the environmental services forests provide (p47).

#### **Transparent and accountable systems for distributing revenues from forest management**

The forest sector contributes to only 2% of Argentina’s GNI (p25). Existing redistribution mechanisms are regulated by Law 26331 on Native Forests. The Law established the National Fund for the Enrichment and Preservation of Native Forests, of which 70% of the fund is to compensate directly public and private landowners for the preservation of forest resources. The R-PP provides some initial thoughts on how this law may impact a REDD system. For example, the law recognizes the government as a potential beneficiary for compensation as public land owner (p59). It is unclear, however, if and how the law established specific mechanisms and processes for the redistribution of forest revenues. The R-PP mentions that one of the strategies to implement a REDD-program is to develop a program to increase forest revenues (p62) and proposes studies to identify “the most effective systems in terms of equity and benefit sharing, particularly considering the situation of vulnerable social groups and their relationship with the national plans to reduce the poverty.” The R-PP budget request funds to clarify the current legal situation as well as to develop a system for disbursement of international funds (p62).

## DEMOCRATIC REPUBLIC OF CONGO

### LAW AND POLICY DEVELOPMENT

#### **Institutions that are responsive to the need for reform**

According to the R-PP, readiness preparation in the DRC is unfolding in a complex environment of past and active reform processes. It describes, for example, a \$70 million World Bank project to support implementation of the 2002 Forest Code (p12), the ongoing decentralization process, and efforts to regularize land use, forest zoning, and the wood industry taxation system. The R-PP notes that not all reforms have achieved desired outcomes for various political and/or capacity-related reasons. This observation supports concerns raised by experts working in DRC that the 3 year time frame proposed for achieving the activities in the R-PP may be overly ambitious, which is also noted by the TAP review<sup>6</sup>. The creation of 11 provincial focal point positions is also an interesting proposal to address the decentralization issue, though how to ensure the sustainability of such an institutional framework past the initial support for these activities should be considered. Given these concerns, the “analysis of past experiences” proposed on page 36 of the R-PP, including reasons for success, failure or delay, will be critically important to REDD strategy design. However, the TOR for this study (annex 2a-2) is much less detailed than the TOR for the study of the drivers of deforestation (annex 2a-1). Additional details on the particular past experiences that will be investigated would be useful, including whether they will look at reform processes beyond the forest sector such as those relating to land use planning. The R-PP also suggests that new legal and institutional reforms will be necessary in the context of REDD, and that these must be consistent with ongoing processes. It lays out a preliminary vision of an institutional framework for REDD, including bodies for decision-making, coordination, data management, fund management, etc (p50). When it comes to legal frameworks, however, there is less detail on the types of reforms that are anticipated, although “writing of draft texts of reform” is an activity within the proposed budget (p67).

#### **Recognition and consideration of the full suite of stakeholders that are impacted by decision-making**

The R-PP includes a consultation plan for 2010-2012 that targets six key stakeholders groups – the media, civil society, opinion leaders, forest populations, indigenous populations, the State and the private sector – with particular emphasis on engaging local communities (p23). It does not, however, break down the specific stakeholders comprising each group, which will be necessary to develop appropriately targeted outreach strategies. Government stakeholders are described in more detail in other sections of the R-PP. The National Committee on REDD (NC-REDD), for example, will have 14 members from government ministries, as well as representatives from environmental NGOs, the forest industry, and community forestry groups. The R-PP could still be more specific about which non-governmental actors will be invited to participate in readiness preparation, with specific emphasis on including grassroots and national-level Congolese organizations. The government expects the recently formed REDD Climate Work Group of civil society (GTCR) to serve as the “primary interlocutor” for civil society on REDD (p20). The R-PP mentions, however, that the GTCR has been faced with “natural shortcomings” that relate to its representativeness, legitimacy, transparency, etc. It insinuates that these issues are being addressed, but does not give a clear sense of the nature of the problem or how it is being solved.

#### **Transparent and inclusive processes for engaging stakeholders in the development of forest laws and policies**

The R-PP does not explain how stakeholders have been involved in forest policy issues in the past, or describe any existing mechanisms to support participation in forest sector decision-making. Given there are clearly some important past experiences to learn from this sort of analysis, including a description of past barriers to effective participation, would provide useful context for the proposed REDD consultation and participation plan.

Annex 1b-1 of the R-PP summarizes the consultations that have been conducted on REDD to date. These include direct consultations at the national and provincial levels on R-PP formulation as well as more general awareness-raising about REDD. Stakeholders from government ministries, the FCPF and UN-REDD, the GTCR, and other NGOs have been involved. Although the R-PP does not disclose the names of specific individuals (or sometimes of the organizations) consulted or provide details on workshop results, it states that this information is available “upon request” (p29). It is not clear how or from whom one would request this documentation. Nor is it clear how the information from these discussions has influenced the R-PP draft.

With respect to consultations planned for the remainder of the readiness phase, the R-PP proposes a wide range of tactics for disseminating information and building capacity at all levels, and emphasizes the importance of communication channels that are lasting and bidirectional. However, there is not yet much detail on how feedback loops will operate in practice. The R-PP should provide a clearer sense of how information will be disseminated than how it will be collected and utilized. Furthermore, the R-PP could provide more examples of how transparency and accountability will be ensured throughout the process (i.e. rules on

<sup>6</sup> See **Synthesis Review of R-PP of Democratic Republic of Congo**, page at [http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/Mar2010/DRC\\_TAP\\_Synthesi\\_s\\_Review\\_of\\_R-PP\\_3-08-10.pdf](http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/Mar2010/DRC_TAP_Synthesi_s_Review_of_R-PP_3-08-10.pdf)

disclosure of documents, selecting participants/representatives, monitoring use of feedback, etc). These details should be clarified in order to ensure that the R-PP's objectives with respect to inclusiveness and accountability will be achieved.

#### **LAND AND FOREST TENURE**

##### **A land tenure system that is non-discriminatory and provides clear rights over land and its associated values.**

The R-PP lists “imperfectly defined rights to resources” as one of the drivers of deforestation in the DRC (p41), although the scope of tenure-related problems is only briefly described. Most forest land is owned by the state and use rights are granted to companies and/or communities. In general there seems to be a lack of clarity around the rules that govern forest tenure, stemming in part from a lack of coordination and capacity in land management. The R-PP notes that little effort has been made to clarify the legal framework and procedures for land management—currently four different entities are able to issue property titles for land or for natural resources use, and there is no process for coordination. As a result, overlapping concessions (e.g. for forestry and mining) are common. The R-PP acknowledges that these issues must be resolved to allow for the implementation of REDD. Before this can happen, however, a much deeper analysis of the challenges and potential solutions relating to forest tenure (including those that can be implemented in the near term and those that will require a more long term commitment) is needed. It is not clear from the R-PP how much emphasis the “analysis of the causes of deforestation in DRC” (Annex 2a-1) will place on tenure issues. More thorough terms of reference for this study would be helpful.

##### **Legal recognition of indigenous peoples rights to land**

According to the R-PP, state-owned forest areas that have not been claimed for active management (concessions) or conservation (protected areas) can be “considered as local community property: in accordance with their rights as customary users” (p41). The 2002 Forest Code indicates that communities can freely harvest resources or convert forest for agriculture (up to two hectares) without a license in lands falling under their “possession.” However, it is not clear how possession is formally determined, or if communities have any means to document or enforce their customary rights. The R-PP does not describe what happens, for example, when the claims of communities and concession-holders conflict.

##### **Mechanisms for resolving conflicts over tenure rights**

There does not appear to be an existing mechanism for resolving conflicts over tenure rights, even though the R-PP does acknowledge that conflicting claims to land for farming, timber concessions and mining do exist (p41). R-PP states that the DRC intends to create a new authority for resolving disputes associated with REDD implementation, but does not specify whether tenure disputes would fall under the domain of this body. It is likely that conflicts relating to tenure and carbon rights will need to be resolved upfront to enable implementation of REDD strategies.

##### **Institutions and systems that uphold the rights of forest dependent people**

The R-PP does not discuss how the rights of forest dependent people are protected or enforced in the DRC.

#### **FOREST MANAGEMENT**

##### **Institutions with the capacity and authority to plan and implement forest management activities**

The R-PP does not go into detail about the administrative and operational structure of forest management in the DRC but notes that capacity for forest management needs to be improved. By many accounts from people working in the DRC this is a challenge that should not be underestimated. Some capacity building is already underway via the World Bank funded PNFoCo project (p56), which is specifically targeted towards the implementation of the 2002 Forest Code. The successes and challenges of this experience could be useful to understand in thinking about new activities. The R-PP proposes additional capacity building efforts specifically relating to the implementation of REDD, mostly in the form of trainings and workshops. More information would be useful on which capacity constraints will be particularly problematic for REDD, which of these are already being addressed through existing programs such as PNFoCo, and which will require additional support.

##### **Processes for coordinating forest sector activities with larger national development strategies and land use plans**

The National Committee on REDD, the Interministerial Committee, and the National Coordination body have been established to coordinate REDD activities across sectors. The National Committee is to be the primary decision-making body on REDD in the DRC, including the monitoring and evaluation of REDD implementation, oversight of revenue management, and approval of work plans of the other bodies. The Interministerial Committee will be responsible for executing decisions made by the National Committee. The National Coordination body is intended to support daily management of REDD activities and ensure coherence with other government initiatives. Although the R-PP is fairly clear about the responsibilities of each body, it is not entirely clear – even from the organizational diagram on page fifteen – how these bodies will communicate and function relative to each other.

Starting on page 46, the R-PP proposes a series of studies to determine the relationship between ongoing reform processes (e.g. relating to decentralization, land use planning, etc) and potential REDD strategies, in order to promote coordination and to understand how REDD could potentially put life back into processes that have slowed or stalled. Overall, while the R-PP does acknowledge the importance of mainstreaming REDD within existing reform processes and proposes several mechanisms and bodies to facilitate coordination, it is not yet clear that the magnitude of the coordination challenge has been adequately considered. For example, the R-PP does not discuss potential mechanisms for donor coordination, assess past challenges or successes in cross-sector coordination, or provide a holistic picture of how REDD fits into DRC's overarching development goals.

<b>Recognition of the role of different stakeholders, including local communities, in forest management</b>
The R-PP states that “in an ideal situation” (p81) the relevant government agencies would work with local communities, NGOs and the private sector to implement REDD. It states that local communities could potentially verify data and field activities, and that NGOs could play a role in training and implementing data systems. However, there is little discussion, of how this might work in practice (including the types of capacity building needed to enable broader community participation), or of how local stakeholders have been engaged in forest management activities in the past.
<b>FOREST MONITORING</b>
<b>Government institutions with the capacity to monitor forests and report information</b>
Based on the summary of existing data in the R-PP, much of the forest monitoring that has occurred to date in the DRC has been conducted by international or regional agencies, such as CARPE-OSFAC, WRI, WWF and others. Many of these groups have also been working to increase the government’s capacity. The R-PP doesn’t clarify what the actual current capacity is, though by all accounts capacity is still very limited, but does list the agencies responsible for forest monitoring and describes their responsibilities for monitoring of REDD. The <i>Direction de l’Inventaire de L’Amenagement Forestier</i> (DIAF), which is part of the Ministry of the Environment, Nature Conservation and Tourism (MECNT), is responsible for conducting forest inventories. DIAF, in partnership with the <i>Direction Developpement Durable</i> (DDD), form the implementation agencies for creating and implementing an MRV system for REDD. These two government agencies will also partner with the Universities of Kisangani and Kinshasa. The role of the universities will be to help train qualified staff, as institutional capacity building is a crucial step to ensuring that these agencies can carry out their mandates with respect to MRV for REDD.
<b>Transparent and coordinated systems for managing information</b>
The R-PP does not mention any existing systems for managing forest-related information. However, it proposes to create a centralized body to gather and manage data for REDD, and suggests that rules will be created for transparency and database access for public authorities (p64). The R-PP does not specify if information will also be available to non-government stakeholders.
<b>Independent institutions with the capacity to monitor and verify information</b>
The R-PP identifies the need for verification, expecting that DIAF and DDD will work in conjunction with other national and international research organizations and universities to improve capacity on monitoring and verification, as well as gathering data. The R-PP also states the need for an independent mechanism or body that will verify data (although it has not yet decided what form this entity will take) as well as hiring of international auditors for MRV of non-carbon attributes.
<b>FOREST LAW ENFORCEMENT</b>
<b>Effective systems for deterring and penalizing illegal activities</b>
The R-PP states that capacity for forest law enforcement in the DRC is low, and effective deterrents and penalties for illegal activities do not exist (p41). Staff capacity, low salaries, corruption, difficulty of monitoring remote locations, and lack of incentives to enforce laws are cited as major obstacles to effective enforcement. Efforts to strengthen enforcement capacity are underway through programs such as PNFoCo, and can provide lessons. The R-PP states that the National Committee on REDD is expected to coordinate with other programs on these issues. It is not clear, if larger reforms – such as reforms to the legal framework or to the major enforcement bodies including the judiciary – are needed in addition to capacity building. The R-PP does not describe relative roles and responsibilities of the major actors in the law enforcement system.
<b>Institutions with the capacity and authority to enforce forest laws</b>
Capacity for law enforcement in the DRC is low (see above) and a significant ongoing target for reform.
<b>FOREST REVENUE DISTRIBUTION AND BENEFIT SHARING</b>
<b>Understanding of the relationship between forest ecosystem services and local livelihoods (and potential alternative livelihoods)</b>
The R-PP recognizes that forest-dependent communities and indigenous populations in the DRC are highly dependent on forest resources and are potentially subject to both positive and negative impacts from REDD. However, the potential REDD strategies proposed within the R-PP contain relatively little emphasis on creating alternative livelihoods for local communities. The geographic pilot projects described on page 60 mention microfinance and small business projects. Overall, more information is needed on how local communities might benefit from proposed REDD strategies.
<b>Transparent and accountable systems for distributing revenues from forest management</b>
According to the R-PP, the revenue allocation system created by the 2002 Forest Code has not been implemented and continues to be a source of tension between the central government and the provinces. Authors identify confusion over the interpretation of legal texts dictating methods for revenue distribution and allocation, but do not provide any deeper insight into the problem. With respect to REDD, the R-PP proposes to create a national fund to oversee and manage all public and private REDD funding received. It states that the fund will be managed by an independent organization that will adhere to revenue management rules set by the National Committee. Division of a national fund into provincial funds is noted as potential method for channeling funds, but little detail is provided on how funds will be divided between local, provincial and national governments. Given ongoing problems with existing revenue sharing arrangements, this issue will require much greater consideration than it has been given in the R-PP.

## GHANA

<b>LAW AND POLICY DEVELOPMENT</b>
<b>Institutions that are responsive to the need for reform</b>
<p>The R-PP describes several ongoing initiatives seeking to bring about forest sector reform, most notably the FLEGT/VPA process. There appears to be high level political buy-in for these processes and for REDD. Currently, the Ministry of Lands and Natural Resources (MLNR) is reviewing the existing Forest and Wildlife Policy (1994) and the Forest Development Master Plan (1996). The R-PP states that it will be important to integrate REDD activities and institutions into these ongoing reform processes, utilizing existing consultations platforms and policy processes to the extent possible. The success of REDD in Ghana will likely depend on the ability of the Government to successfully exploit these synergies. More detailed plans on how REDD and existing reform processes will be linked in practice will be an important first step as readiness preparation proceeds.</p> <p>Component 2 of the R-PP acknowledges that additional legal and policy reform will be necessary to achieve REDD, particularly concerning incentives for forest management and tree tenure. The R-PP describes future tracks of research and analysis to identify the necessary legal reforms. The document acknowledges that political will and divergent stakeholder interests will need to be grappled with in order to execute reforms, but it does not contain a detailed analysis of potential risks at this stage.</p>
<b>Recognition and consideration of the full suite of stakeholders that are impacted by decision-making</b>
<p>The R-PP acknowledges a broad range of stakeholders in general terms, including government actors across different sectors, the private sector, and civil society (p27). A more detailed breakdown of stakeholders within each of these groupings is provided in Annex 1b-4. The R-PP identifies forest fringe communities as a major focus of the future consultation process. A more detailed socio-economic analysis of these communities, as well other key stakeholder groups, would add useful context to the proposed Consultation and Participation Plan.</p>
<b>Transparent and inclusive processes for engaging stakeholders in the development of forest laws and policies</b>
<p>Ghana has committed significant time and resources to developing multi-stakeholder platforms for participatory policy-making in the past, including through the FLEGT VPA. Consultations on REDD are expected to build upon these platforms. Several consultations were held during the development of the R-PP, which focused primarily on awareness-raising in addition to some consultations on specific components of the draft R-PP. The draft R-PP was also subject to a “validation” process with key stakeholders (p24). Annex 1b-1 provides documentation of these consultations, including names of participants and topics covered. There is no documentation, however, on the outcomes of consultations or how feedback was integrated into the final R-PP draft.</p> <p>The R-PP’s proposed Consultation and Participation Plan demonstrates a relatively strong commitment to the principles transparency, accountability and participation in planning and decision-making processes. It calls for the creation of indicators to monitor the implementation of these principles in practice. The Plan appears to be somewhat biased towards national level consultation, and could be strengthened by providing more details on how local communities will be engaged. It could also benefit from greater emphasis on participatory approaches, which need to be more clearly distinguished from consultation.</p>
<b>LAND AND FOREST TENURE</b>
<b>A land tenure system that is non-discriminatory and provides clear rights over land and its associated values.</b>
<p>In Ghana tree rights are held by the state in trust for the nation, and revenues from forest resources are distributed to subnational actors according to a Constitutional revenue distribution formula. The R-PP acknowledges that this regime fails to incentivize small farmers to conserve trees (p45). It states that tree tenure reform is widely viewed as necessary, and that reforms will be considered as a part of the REDD strategy through targeted research and consultations. While it mentions that carbon rights will have to be addressed in the context of land rights, the R-PP does not provide a description of the overarching land tenure system. Overall, the description of strengths and weaknesses of the tenure system is not detailed at this stage, and a deeper analysis will be needed as a part of readiness preparation. Yet when the R-PP describes “initial activities” to address “gaps in research” (page 40), tenure is not explicitly addressed.</p>
<b>Legal recognition of indigenous peoples rights to land</b>
<p>The R-PP states that the concept of “indigenous peoples” does not really apply in Ghana (p71).</p>
<b>Mechanisms for resolving conflicts over tenure rights</b>
<p>The R-PP does not indicate whether conflict over land and/or resource rights is a problem in Ghana. However, it consistently emphasizes the importance of effective conflict resolution and access to redress in the context of REDD. It proposes to establish conflict resolution structures that will operate at the most localized level as appropriate, including REDD specific training for lawyers, judges, etc. (p19, 63). At this stage it is unclear how these conflict resolution structures for REDD will relating to existing structures, or whether they will address tenure related conflicts.</p>
<b>Institutions and systems that uphold the rights of forest dependent people</b>
<p>The R-PP states that conflict resolution structures will be established for REDD (see above). There is no broader discussion of the accessibility or effectiveness of the existing justice system or of other mechanisms for redress.</p>
<b>FOREST MANAGEMENT</b>
<b>Institutions with the capacity and authority to plan and implement forest management activities</b>

The R-PP calls for numerous capacity building activities for institutions and agencies that will be involved with REDD design and implementation, and particularly the Forestry Commission. At this point, however, the R-PP lacks a detailed analysis of existing capacity constraints with respect to some of the deforestation drivers identified in the document, including weak enforcement of regulations and weak public engagement in forest policy development. The capacity needs described in the R-PP include physical capacity as well as expertise and training.

#### **Processes for coordinating forest sector activities with larger national development strategies and land use plans**

The R-PP demonstrates strong commitment to coordinating REDD activities across sectors, including agriculture, mining, and energy. It describes several cross-sectoral committees for achieving this, including the National Climate Change Committee and the National REDD Steering Committee. There also appears to be fairly high level government buy-in for coordination in terms of the Natural Resources Environmental Advisory Council, which reports to the Cabinet. The revised version of the R-PP contains a more thorough discussion of the effectiveness of coordination in forest policy planning and development in the past, or of the existing land use planning process. Cocoa is a major driver of land use change, so coordination with the agricultural sector will be critical.

#### **Recognition of the role of different stakeholders, including local communities, in forest management**

The R-PP states that forest fringe communities are important stakeholders for REDD, and that community farming and forest use are an important driver of deforestation and forest degradation. It is unclear, however, what role communities currently play in forest management in Ghana. The R-PP discusses potential REDD strategies to work with local communities to improve fire management and proposes new studies and consultations to investigate alternative livelihoods. It proposes to create new policy frameworks that enable local communities to benefit from sustainable management (p36), as well as to strengthen decentralized management of natural resources (p51). It also suggests, however, that there “may be little to gain from attempting to impose major behavioral changes on poor people who have no other options for their livelihoods” (page 47).

### **FOREST MONITORING**

#### **Government institutions with the capacity to monitor forests and report information**

The R-PP outlines numerous capacity building, staffing and technological upgrades to support the Forestry Commission and related research organizations. The R-PP does not discuss how governance, biodiversity or livelihoods will be monitored.

#### **Transparent and coordinated systems for managing information**

The R-PP proposes to create a central database to compile historical data and monitoring information. The R-PP states that the monitoring system for REDD will clearly document all procedures used for monitoring and reporting and allow complete transparency so as to be open for verification and peer review. There is no discussion of how forest data has been managed in the past, or how transparency was encouraged in that system.

#### **Independent institutions with the capacity to monitor and verify information**

The R-PP mentions several research institutions that will contribute to forest monitoring, including FORIG and the Cocoa Research Institute. It states that all REDD monitoring information will be made transparent in order to promote independent verification; however, there is no indication of who might conduct this verification.

### **FOREST LAW ENFORCEMENT**

#### **Effective systems for deterring and penalizing illegal activities**

The R-PP describes weak enforcement of forestry regulations is as a driver of deforestation, but does describe the circumstances leading to this problem. There is no detailed description of the law enforcement system in general.

#### **Institutions with the capacity and authority to enforce forest laws**

The R-PP does not discuss law enforcement agencies.

### **FOREST REVENUE DISTRIBUTION AND BENEFIT SHARING**

#### **Understanding of the relationship between forest ecosystem services and local livelihoods (and potential alternative livelihoods)**

The R-PP recognizes the dependence of forest fringe communities on forests for their livelihoods, although it does not contain a detailed description of this dynamic. It suggests that REDD strategies must be sensitive to these relationships, but it is not yet clear how communities might be involved in or impacted by these strategies.

#### **Transparent and accountable systems for distributing revenues from forest management**

Forest revenues are distributed by the state according to Constitutionally-mandated formulas, which share the revenues between District Assemblies, Stool and Traditional Authorities. The R-PP does not indicate if this system is effectively implemented in practice. Recipients of REDD benefits will include both public and private entities and may take the form of monetary payments or non-cash benefits. The R-PP states that the revenue distribution system should be transparent, with audits and compliance management systems in place. It suggests that the NREG platform provides a potential option for fund coordination, and that financial support should be monitored via jointly agreed indicators and reported on through annual rolling assessments (p61).

## GUYANA R-PP

### LAW AND POLICY DEVELOPMENT

#### **Institutions that are responsive to the need for reform**

The National Forest Policy was modified in 2008 and forest laws are being reviewed and updated to support this new policy. According to the R-PP's Assessment of Land Use, Forest Policy and Governance, the new policy promotes sustainable forest management using a broader range of forest resources and allows fair returns to local and foreign entrepreneurs and investors, environmental and ecosystem conservation, environmental protection, and the development of a financially and economically viable forest industry while considering the forests' capacity for sustainable management.

With regard to REDD, the government seeks to improve and harmonize legislation and national land use policy, in particular land use planning and zoning as a part of the readiness process. However, at this stage there are no details regarding the specific changes sought, or the processes that will be put in place to bring about such alignment. In collaboration with the German government, the government of Guyana has produced a draft land use plan for a pilot area. The project to produce the plan included the use of Geographic Information Systems (GIS) technology, participatory planning processes, supporting policy guidelines and adequate legislation, and institutional capacity for natural resources management agencies. Efforts to develop a national land use plan are now underway building on this experience.

#### **Recognition and consideration of the full suite of stakeholders that are impacted by decision-making**

A diverse range of stakeholders are identified throughout the R-PP. The main emphasis and focus of consultation to date has been on Amerindian and other forest dependent communities. In the revised version of the R-PP, the private sector has been added as a stakeholder to target. Guyana has also established a working group (REDD Secretariat) under the Guyana Forestry Commission to facilitate REDD activities and coordinate all consultation and outreach. The Secretariat includes representatives from various government agencies, communities, the private sector, conservation groups and civil society organizations.

#### **Transparent and inclusive processes for engaging stakeholders in the development of forest laws and policies**

The R-PP explains that the existing National Forest Plan and related forest legislation were developed through a stakeholder consultation processes, although it does not provide any details or evidence of the process. The REDD Secretariat is in charge of coordinating all consultation and outreach activities, engaging stakeholders from indigenous and community groups and representatives from the mining sector. In addition, a REDD Consultation and Outreach Committee will be established with representation from government and civil society and community groups. The intent of the Committee will be to engage indigenous peoples and other forest dependent communities represented during the implementation of the REDD activities. A mechanism will be set up to resolve conflict at the level of the Committee as well as a process to address complaints.

Consultation processes will be established to discuss and determine the advantage and disadvantages of REDD activities with government agencies responsible for land use management and administration and with a wider variety of stakeholders ensuring that policies and projects respond to the concerns of all relevant stakeholders. Because indigenous and local communities will be directly affected, the plan states that efforts will be made to protect their land use rights and tenure, and to mitigate potential negative impacts – but does not spell out how these mechanisms will be put in place. Representatives from indigenous groups will be selected through village councils and through the regional and national focal agency for governmental and regional stakeholders.

One of the strengths of the consultation and outreach plan provided is its attention to process, with a focus on careful documentation to promote transparency at all stages of the consultation process and accountability for stakeholder input into decision-making. Stakeholder sensitization is a major emphasis of the consultation process, although there are also aspects of gathering stakeholder feedback to inform REDD strategy development and implementation.

### LAND AND FOREST TENURE

#### **A land tenure system that is non-discriminatory and provides clear rights over land and its associated values.**

The R-PP's Assessment of Land Use, Forest Policy and Governance describes Guyana's policy and regulatory framework, which recognizes and protects the collective rights of Amerindian Villages and Communities in the granting of lands to these actors. The government transfers land rights to a designated Village Council, which in turn is responsible for allocating land to its residents. The Guyana Forestry Commission (GFC) also issues leases of state forests to community and indigenous groups for logging. The revised R-PP provides a much more thorough description of how these tenure systems have been implemented and enforced, although it is still not clear if there are outstanding tenure security problems or conflicts in the country. A recent report from iied<sup>7</sup> describes the strength of the local tenure system in Guyana as much higher "on paper" than "in practice."

The R-PP also proposes activities to collaborate with Government agencies working to clarify land tenure arrangements. It

<sup>7</sup> Cotula, L. and Mayers, J. 2009. *Tenure in REDD – Start-point or afterthought?* Natural Resource Issues No. 15. International Institute for Environment and Development. London, UK.

includes a review of agency roles, policy and legislation, and processes relating to land tenure arrangements as aspects of implementation. No further information is provided as to why these activities are important or what they might entail specifically.

#### **Legal recognition of indigenous peoples rights to land**

See above.

#### **Mechanisms for resolving conflicts over tenure rights**

Although a discussion on the prevalence of tenure conflict in the country is not included in the R-PP, a recent IIED report<sup>8</sup> suggests potential conflicts between special rights of Amerindians under the Amerindian Act 2006 and the non-discrimination provision of the 1980 constitution. Although Guyana is mostly forested, and nearly all of the forest is inhabited, only a small fraction is formally recognized as Amerindian land. The Quick Assessment states that land use issues and conflicts are discussed and resolved by the Land Use Committee. The Committee includes representation from the Guyana Lands and Surveys Commission, the GFC, the Guyana Geology and Mines Commission and the Environmental Protection Agency. The draft R-PP does not list the Ministry of Amerindian Affairs as a member of the Committee. However, several land claims by indigenous peoples to ancestral lands have not been addressed, even though it has been many years since initial claims were filed. Such unresolved conflicts are likely to become quite relevant if REDD is implemented.

#### **Institutions and systems that uphold the rights of forest dependent people**

The Ministry of Amerindian Affairs is a key agency in addressing land titling issues for indigenous communities. There are, however, other agencies involved in land use management. The Guyana Lands and Surveys Commission manages public lands, and the Environmental Protection Agency—within a broader mandate—approves environmental management plans and environmental impact assessments of forest concessions. The Guyana Geology and Mines Commission oversees mining activities.

### **FOREST MANAGEMENT**

#### **Institutions with the capacity and authority to plan and implement forest management activities**

The Guyana Forest Commission (GFC) is responsible for regulating forestry activities within government (public) lands and also has a coordination function to engage with other natural resources agencies. There is little discussion within the R-PP of the major institutional capacity constraints and past track record of the GFC with regard to forest management. However, an objective of the REDD strategy is to strengthen the capacity of the GFC and the REDD Secretariat as the main institutions responsible for forest management standards, monitoring and enforcement. The R-PP outlines a general capacity building strategy, including an analysis of current capacity needs, identification of capacity building activities, estimation of required financial resources and potential funding sources, and development of a timeline for implementation. The R-PP also emphasizes the importance of capacity building, particularly training and education, for sustainable forest management at the community level, and especially for Amerindian communities.

#### **Processes for coordinating forest sector activities with larger national development strategies and land use plans**

Guyana has established a REDD Secretariat that will be responsible for defining and overseeing the implementation of REDD activities and related consultation processes, and it includes representatives from government agencies, academic and scientific organizations, indigenous groups, civil society organizations, and the private sector. The R-PP lists all relevant institutions that they intend to integrate into the process, including agencies responsible for land administration and land use. However, the Secretariat itself will be coordinated by the Guyana Forestry Commission, and input from non-forest sector institutions will depend largely on coordination between the REDD Secretariat and the National Climate Committee, which is a multi-sector body. The plan does not clearly state how this coordination will be brought about in practice.

#### **Recognition of the role of different stakeholders, including local communities, in forest management**

The role of local and Amerindian communities as key to the successful reduction of emissions from forest degradation and deforestation is recognized in the R-PP. The main emphasis is on Amerindian communities, which account for 9.1 percent of the population.<sup>9</sup> Information about the socio-economic status and influence of other forest dependent communities is not provided, although they are mentioned. The R-PP also proposes to improve the capacity of the forest and mining industries to better comply with laws and regulations and execute more sustainable practices, as well as the capacity of forest dwellers to engage in sustainable forest management activities.

### **FOREST MONITORING**

#### **Government institutions with the capacity to monitor forests and report information**

The establishment of a monitoring and verification system is a part of the R-PP. The Guyana Forestry Commission has completed a quick forest cover assessment for 2008 using wall-to-wall medium resolution satellite imagery. Current REDD country strategy includes the establishment of a monitoring system that will include forest carbon monitoring using GIS and remote sensing technologies, field work, and an information management system. Provides detailed technical/methodological information.

<sup>8</sup> *Ibid*

<sup>9</sup> *Ibid*

Capacity building activities also include the establishment of an independently verified chain of custody for all forest products.
<b>Transparent and coordinated systems for managing information</b>
While the plan proposes to set up an internal information management system, the plan does not provide details on whether and how this information will be made transparent and shared with the public.
<b>Independent institutions with the capacity to monitor and verify information</b>
Through the implementation of the R-PP, independent monitoring of activities in forest concessions will be explored. The R-PP does not, however, describe what institutions might conduct this independent monitoring and verification, nor why this would be the only aspect of the REDD strategies that would be monitored and what exactly would be monitored. Given past issues with corruption and illegal activities by various actors, independent forest monitoring could be a significant method to reassure stakeholders that transparency and accountability are being directly being built into implementing REDD.
<b>FOREST LAW ENFORCEMENT</b>
<b>Effective systems for deterring and penalizing illegal activities</b>
See below.
<b>Institutions with the capacity and authority to enforce forest laws</b>
The R-PP describes several capacity building activities to improve monitoring and enforcement of illegal activities. These include training in remote sensing techniques, access to current and high quality satellite imagery, enhanced on the ground monitoring capacity through improvements in transportation, establishing a log tracking system, establishing an independently verified chain of custody for forest products, and designing policies to coordinate law enforcement agencies.
<b>FOREST REVENUE DISTRIBUTION AND BENEFIT SHARING</b>
<b>Understanding of the relationship between forest ecosystem services and local livelihoods (and potential alternative livelihoods)</b>
There is general recognition throughout the document of the importance of forests for the provision of ecosystem services and community livelihoods. The new Forest Bill of 2009 allows communities to “manage and benefit from their local forests”.
<b>Transparent and accountable systems for distributing revenues from forest management</b>
The R-PP describes intentions to create a benefit sharing system that is transparent and accountable and that promotes equitable distribution of benefits. It also states that the system should respect traditional social structures and reach vulnerable groups. No further details are provided beyond these statements at this time, so it is not yet clear how vulnerable groups might potentially be targeted in practice, and what best practices would be required to achieve transparency and accountability.

## INDONESIA R-PP

### LAW AND POLICY DEVELOPMENT

#### **Institutions that are responsive to the need for reform**

The forest sector in Indonesia has undergone significant reform in recent decades. The R-PP references several new laws and regulations that have been developed recently, including regulations concerning spatial planning, licensing for environmental services, community rights in forest management, and guidance on REDD activities. However, there are significant gaps in implementation, and the plan does not practically address these gaps or discuss how they might be bridged. The R-PP also mentions that the State Ministry for Administrative Reforms has a goal to apply a “nationwide system of good governance at the local government level by 2008.” It is now 2009, and the R-PP does not provide any evidence of progress in meeting this goal. The quick assessment paper and the additional information provided in Annex 1 describe many critical governance issues relating to forest tenure, law enforcement, community forest management, spatial planning and zoning, etc. However, the R-PP does not detail ongoing efforts to address these issues, and complementary new approaches that might be attempted to achieve the REDD strategy outlined. The R-PP would be significantly strengthened if it proposed concrete elements of REDD implementation that might enable Indonesia to make progress on some of its critical underlying governance issues, especially where past progress has been difficult or blocked.

#### **Recognition and consideration of the full suite of stakeholders that are impacted by decision-making**

The R-PP recognizes a full suite of key stakeholders throughout the document, and includes an Annex with more specific stakeholder information.

#### **Transparent and inclusive processes for engaging stakeholders in the development of forest laws and policies**

The R-PP does not mention any stakeholder engagement in the development of the new REDD regulations. Regarding the development of the R-PP itself, it states that a series of meetings have been carried out in March and April 2009 at the national and sub-national level (relative to the “availability of GoI funding for that purpose”). A list of major comments received is included on page 19. There is no other documentation of this engagement, however. The R-PP also makes reference to “extensive” stakeholder consultation/communication on REDD through the Indonesia Forest and Climate Alliance (IFCA) process in 2008. Several types of consultation forums are mentioned, including group discussions, workshops, training, etc, and a full suite of stakeholders are detailed in an Annex. The R-PP documents the consultation process in Table 1 on page 13, including a summary of stakeholder comments and the responses to those comments. However, the R-PP does not document if and how comments were actually reflected in the final output and only states that “all comments and suggestions will be accommodated wherever possible.” Many comments were not even addressed within the given responses, such as the concerns raised about the rights of indigenous peoples (p18). Indonesian civil society groups have filed formal requests to the government of Indonesia expressing dissatisfaction with the stakeholder engagement process to date, and requesting the government to engage in a meaningful and transparent readiness plan development process. From reading the document, one gets a strong sense that mechanisms for accountability and transparency will be needed to ensure the quality of these consultation processes moving forward.

### LAND AND FOREST TENURE

#### **A land tenure system that is non-discriminatory and provides clear rights over land and its associated values.**

The Government of Indonesia controls the national forest estate. Until recently, the rights of local communities and indigenous peoples to forest resources were not recognized by the law. Four new regulations have been created over the past decade to strengthen the rights of communities to use and manage forest resources (described in Annex 1 of the R-PP). In practice, however, most of these regulations have not been implemented in any significant way, and most forest dwellers continue to access forest resources outside of the formal system. Most notably, the regulation recognizing customary ownership (now 10 years old) has not been implemented due to conflicts at the local level as well as between the Ministry of Forestry (who claims ultimate authority over national forests) and customary institutions (refer to Annex 1 of the R-PP). The R-PP does not describe any strategy to address this fundamental problem.

#### **Legal recognition of indigenous peoples rights to land**

A new law in 1999 recognized the rights of local communities to manage the land and forest resources where they claim customary ownership. Annex 1 of the R-PP notes that implementation has been poor, although it does not fully explain what the obstacles to progress have been, or how they might be overcome. Improving the implementation of this law is not mentioned as a part of the national REDD strategy, even though progress on this count would seem to be key to addressing REDD,

#### **Mechanisms for resolving conflicts over tenure rights**

The R-PP makes limited references to conflict in Annex 1, although there are many cases of such conflict. It does not detail whether or how tenure conflicts are dealt with at present, or could be addressed in the future.

#### **Institutions and systems that uphold the rights of forest dependent people**

The R-PP mentions in Annex 1 that the Ministry of Forestry is working with the Indigenous People’s Alliance (AMAN) to compile an inventory of customary tenure claims. It does not describe any other institutions or systems to uphold the rights of forest dependent people. It notes in general terms that judicial corruption is a major problem.

## FOREST MANAGEMENT

### **Institutions with the capacity and authority to plan and implement forest management activities**

The R-PP states that sustainable forest management is at the heart of Indonesia's REDD strategies. REDD-related financial resources are hoped to make a significant contribution to the costs of implementing SFM for communities, the private sector, and provincial and district governments. The REDD strategy described in component three reads as a laundry list of many critical priorities. Much more detail is needed before we can understand how these goals might be achieved (e.g. "enforcing laws against illegal logging"), and specifically what will be required at the institutional level. The problem of overlapping and unclear mandates between national and sub-national government entities is a theme throughout the R-PP and will need to be dealt with.

### **Processes for coordinating forest sector activities with larger national development strategies and land use plans**

The R-PP does not respond to the question posed on page 4: "how would the result of the [R-PP] process change current land use and other sectoral behavior, policies, or governance, so that reductions in deforestation and degradation can occur?" The Quick Assessment Paper mentions that implementation and enforcement of spatial planning might help reduce forest conversion into oil palm plantation (p5). However, local government agents are also involved in the implementation of spatial planning laws, and the capacity, commitment, and progress in advancing implementation of these laws varies greatly from region to region. Ideally, the R-PP should chart a process by which various local and federal governments will make progress in implementing the law. The importance of cross-sectoral coordination on REDD is emphasized throughout the document, and institutions are proposed to support this objective. But the R-PP does not explain how enhanced coordination can be designed to explicitly address the major tensions between, for example, agricultural and forested land uses. The National REDD Working Group will involve representatives from 14 different government ministries and agencies. Other coordinating bodies also exist, such as the National Council on Climate Change. The interests, priorities, and jurisdiction of these various bodies overlap and conflicts are inevitable. The R-PP needs to chart a process that will allow coordination between these bodies, and ideally designate an arbitrating authority.

### **Recognition of the role of different stakeholders, including local communities, in forest management**

The R-PP promises that local communities must and will be involved in REDD activities. However, the ability of forest dwellers and indigenous peoples to play an active role in REDD activities (based on the new REDD regulation), is dependent upon their ability to secure legitimate forest use rights within the national forest estate (p26). Annex 1 of the R-PP describes several relatively new regulations that allow communities to engage in the management of protected areas and to apply for conditional use rights over production, protection and plantation forests. However, these regulations are in the early stages of implementation: their impact in practice is not clear, and there are few systems in place to monitor such impact. Without forest use rights, communities will be limited to smaller roles in REDD implementation, such as monitoring activities. It seems that strengthening and supporting the implementation of these regulations should be a central piece of the REDD strategy, but currently there is little to no emphasis on local communities within the REDD strategy summary table presented on page 27. The only real reference to communities within the REDD strategy falls under "demonstration activities" at the provincial and district level to "enhance the capacity of local community groups, including adat communities to engage in forest management through REDD activities" (p30). To date, there has been very limited public consultation on the R-PP. Much more effort will be made to engage a full suite of stakeholders in this process, particularly as implementation proceeds.

## FOREST MONITORING

### **Government institutions with the capacity to monitor forests and report information**

The R-PP requests significant support to develop a national and provincial level MRV system. The emphasis of the system is on monitoring and reporting and includes many capacity building activities around technology and information. Operationalizing the Ministry of Forestry's recently adopted disclosure policy regarding forest maps and information will be important if R-PP implementation proceeds. Thinking about how to monitor social and biodiversity impacts should also be considered, given the importance of both for the permanence of emission reductions.

### **Transparent and coordinated systems for managing information**

The relatively new Forest Monitoring Assessment System (FOMAS/FRIS/NCIS) has been designed to increase transparency and accountability in forest information (page 7).

### **Independent institutions with the capacity to monitor and verify information**

This is not discussed in the R-PP, but arguably is one of the important components of readiness. Independent forest monitoring is an essential tool to address transparency and accountability concerns and build confidence in the ability of countries to supply credible emission reductions. Given that independent forest monitoring is already a part of the FLEGT process, in which Indonesia is a partner, a clear description of this capacity and actions to strengthen it would be useful to include in the R-PP.

## FOREST LAW ENFORCEMENT

### **Effective systems for deterring and penalizing illegal activities**

The R-PP lists "five priority policies" in the forestry sector, including "combating illegal logging and its associated illegal trade." The REDD strategy described in the R-PP does not have a strong component relating to reducing illegal activities, although there are a few references to ongoing FLEG and other initiatives. The most specific activity mentioned is "voluntary adoption by

private sector companies of anti timber theft measures.” Investments and capacity building requirements are necessary to improve the law enforcement system, and are being supported by many actors including donors, but these are not mentioned in the document.

#### **Institutions with the capacity and authority to enforce forest laws**

Little detail is provided on how institutions and processes to improve law enforcement might be supported through the REDD strategy.

### **FOREST REVENUE DISTRIBUTION AND BENEFIT SHARING**

#### **Understanding of the relationship between forest ecosystem services and local livelihoods (and potential alternative livelihoods)**

The plan notes that communities are a source of pressure on forest land in Indonesia, and that schemes to improve livelihoods of forest-dependent people have failed in the past because they have failed to pull people *away* from livelihoods where they are dependent on forest resources (p6). It suggests that a larger scale solution to the problem is needed. The R-PP also states that “REDD-related financial resources can make it possible to finance programs that will help to create alternative and sustainable livelihoods” (p28). The R-PP does not yet begin to suggest what these programs might entail in any detail. One possibility that is mentioned is to “engage low income communities and small holders as outgrowers of pulpwood, timber and oil palm, thereby contributing to rural incomes.” This is the most specific suggestion. One key aspect of the REDD strategy outlined in the R-PP will be to assess the socio-economic impacts of REDD, including on local people (p39). The quality of this analysis will be an important input into the design of livelihood improvement programs.

#### **Transparent and accountable systems for distributing revenues from forest management**

The R-PP lists several “action plans” for improving forest governance (p7), including to require disclosure and divestiture by cabinet members of forest-related financial holdings to reduce conflict of interest, to eliminate the use of forestry revenue as a source of funding for political parties, to make corporate and local government eligibility to participate in REDD conditional on meeting standards and indicators of good governance, and to adopt national financial sector regulations requiring enhanced due diligence procedures. Robust systems of implementation for these action plans will be important as well as monitoring whether standards are being met and good governance practices undertaken.

The revenue distribution system for REDD is yet to be developed, and there appear to be several different existing fund models that could serve as a basis. The R-PP also mentions three potential ways that funds could be redistributed (p36), and proposes to develop a registry to encourage transparency and accountability in payment distribution. At this stage it is not clear how local communities might be able to receive revenues or other benefits through REDD, especially as they generally possess no legal rights to the forests they inhabit and use. This question still needs to be dealt with more fully. An important activity in this regard is “defining roles and responsibilities of institutions involved including government agencies, communities and the private sector in managing carbon assets” (p38).

## MADAGASCAR R-PP

<b>LAW AND POLICY DEVELOPMENT</b>
<b>Institutions that are responsive to the need for reform</b>
The Madagascar R-PP describes a need for reforms to achieve REDD+ strategies. For example, in the section on REDD+ implementation frameworks, the R-PP mentions the need to reduce corruption and improve budgetary transparency in relevant government sectors (p40). It also notes that while existing land sector reforms have started being successful, additional efforts are needed in the forest area (p32). With respect to forest management, the R-PP notes that the forest administration often lacks necessary resources to manage forests well and that private and civil sector management needs to be strengthened and encouraged (p31). There is little discussion in the R-PP about how these reforms will be undertaken, but there are clear budget lines for consultation on potential new regulations.
<b>Recognition and consideration of the full suite of stakeholders that are impacted by decision-making</b>
The R-PP mentions that a diversity of stakeholders needs to be involved in the R-PP and REDD+ process in Madagascar. This includes forest-dependent peoples, indigenous peoples, vulnerable and minority populations, universities, the private sector, and others. However, the stakeholders are not described in much detail.
<b>Transparent and inclusive processes for engaging stakeholders in the development of forest laws and policies</b>
The R-PP states that there is a history of consultation and stakeholder involvement in the development of environmental laws in Madagascar. However, it is also noted that these processes have not always successfully resulted in improved coordination or ownership of the process (p30). The R-PP does not explain how the consultation process that is being proposed for the readiness phase will differ from past experiences or address past problems. It does, however, propose processes to disseminate information amongst different stakeholders, including those who may be illiterate. While the R-PP states that consultations on REDD pilot project have led to the creation of an informal technical group called the CT-REDD, which helped in development of the R-PIN and R-PP (p13), there are no details on the composition of this group. Finally, while the documentation in the Annex Ib provides some documentation of the stakeholder feedback received thus far, the R-PP could go further in responding to the questions posed by the consulted groups. Furthermore, it is not clear how these consultations were done, e.g. whether the discussions were open to the public and well-advertised. The consultation and participation plan could be strengthened by full disclosure of the schedule of consultations held thus far, the stakeholders involved in the writing and consulting on the R-PP—including the CT-REDD—and the process by which key stakeholders are being identified and consulted.
<b>LAND AND FOREST TENURE</b>
<b>A land tenure system that is non-discriminatory and provides clear rights over land and its associated values.</b>
The majority of land in Madagascar is owned by the state, with the exception of some privately owned plantation forests (p23). The R-PP implies that the state is therefore also the owner of carbon rights. However, the R-PP notes that tenure clarity is a challenge (p32), and specifically that land title ownership vs. usage rights must be clarified with respect to carbon rights, especially in the context of different management regimes such as forest product use, community forests, forest concessions and co-management (p40-41). In general land rights must be established through some type of “improvement” to the land, which creates an incentive for forest conversion. The R-PP states that a consultative process will be needed to address the question of carbon rights.
<b>Legal recognition of indigenous peoples rights to land</b>
Although some customary usage rights are recognized, the R-PP does not specify whether these rights are recognized by law.
<b>Mechanisms for resolving conflicts over tenure rights</b>
The R-PP cites multiple existing mechanisms for addressing tenure conflicts at various levels, although the effectiveness of these mechanisms in practice is not described (p11-12). The R-PP notes that 80% of cases handled by the courts of Madagascar concern land (p31). It proposes to strengthen existing mechanisms as well as create a new one related specifically to REDD plus, which is reflected clearly in their budget.
<b>Institutions and systems that uphold the rights of forest dependent people</b>
The R-PP mentions several platforms that are designed to address the rights of forest dependent people. The R-PP references the Environment Charter of 1990 and the Malagasy constitution as defining rights to participation and environmental management, but neither elaborates on what specifically these rights entail, nor on whether or how they are enforced (p11). They do not appear to relate to specific rights to land beyond customary usage rights. The R-PP does not discuss specific systems or groups within the country, led by NGOs or other institutions that specifically represent the rights of forest dependent peoples. The inclusion of civil society representatives in the PCPR does not explicitly include a representative of indigenous or forest dependent communities.
<b>FOREST MANAGEMENT</b>
<b>Institutions with the capacity and authority to plan and implement forest management activities</b>
The R-PP notes that forest management institutions require strengthening. The R-PP states that as most forest lands are owned by the state and managed by the forest administration. Unilateral administration and management of forest resources without the involvement of other stakeholders is common. According to the R-PP, this practice results in a forest management system that is susceptible to corruption and weak governance (p30). The R-PP emphasizes the need to address this issue as part of the REDD

strategy.
<b>Processes for coordinating forest sector activities with larger national development strategies and land use plans</b>
The R-PP demonstrates that coordination will be a challenge in Madagascar. It describes a general lack of coherence across various sectoral goals, stating that each sector pursues its own strategies regardless of the implications for other sectors (p30). Furthermore, past efforts to improve coordination between ministries have been unsuccessful (p30). The R-PP cites political problems, conflict and lack of respect between sectors such as mining, land and forestry as a major hurdle (p7,28,30). An Interministerial committee was created to resolve conflict between the forest and mining ministries; however, the committee has not been effective (p30). The R-PP proposes to create a new coordination platform (the PCPF), which will include different ministries as well as civil society representatives. It also proposes to formalize the informal REDD Technical Committee that has been in existence for two years. The R-PP would benefit from a clearer sense of how this new effort at interministerial coordination will differ from past efforts, including the specific responsibilities and authorities of the PCPF and Technical Committee.
<b>Recognition of the role of different stakeholders, including local communities, in forest management</b>
According to the R-PP, the government has historically been responsible for forest management. There have been past attempts, however, to diversify the suite of actors involved in resource management. For example, programs such as Gestion Contractualisées des Forêts de l'Etat (GCF) and Gestion Locale Sécurisée (GeLoSe) have attempted to transfer responsibilities for forest resource management to local groups. The R-PP notes that further devolvement of management responsibilities to private operators, NGOs or other associations may be a potential solution to improving forest management as a part of the REDD strategy (p29).
<b>FOREST MONITORING</b>
<b>Government institutions with the capacity to monitor forests and report information</b>
The R-PP describes forest monitoring capacity as low and something that will need to be significantly improved as a part of the REDD strategy. Current systems are a constraint on effective monitoring, and particularly of illegal activities (p29). More information on specific capacity building needs, and how they should be prioritized, would be helpful.
<b>Transparent and coordinated systems for managing information</b>
The R-PP provides relatively little detail about systems of information management aside from a brief list of institutions that could potentially be involved in gathering data for REDD: the National Environment Office (ONE), Etablissement Supérieur des Sciences Agronomiques (ESSA-Forets) and Foibe Tao-saritanin'I Madagasikara (FTM). The R-PP suggests that these organizations could be brought together by the PCPR to harmonize methodologies and divide responsibilities for REDD monitoring, but more information is needed about the specific role of each group and how they will work together (p51).
<b>Independent institutions with the capacity to monitor and verify information</b>
Since forest monitoring capacity in Madagascar is low, most monitoring activities to date have been carried out by international organizations. The R-PP does not discuss domestic capacity for independent monitoring or verification.
<b>FOREST LAW ENFORCEMENT</b>
<b>Effective systems for deterring and penalizing illegal activities</b>
The R-PP states that illegal activities are a significant problem within the forest sector, as well as mining and energy sectors, and will present a barrier to REDD implementation. It also notes that weak capacity is a major problem, particularly when it comes to monitoring small scale illegal activities, such as artisanal mining, in forests (p29). At this stage, however, the R-PP provides little information about the existing systems used for deterring or penalizing these activities, and the types of reforms that might be needed to improve the effectiveness of law enforcement.
<b>FOREST REVENUE DISTRIBUTION AND BENEFIT SHARING</b>
<b>Understanding of the relationship between forest ecosystem services and local livelihoods (and potential alternative livelihoods)</b>
The R-PP acknowledges that many communities in Madagascar are highly dependent upon forest ecosystem services for their livelihoods, and particularly the production of charcoal to supply household energy needs. It states that REDD strategies will need to address this issue by developing more sustainable long term energy alternatives.
<b>Transparent and accountable systems for distributing revenues from forest management</b>
The R-PP does not describe existing institutional arrangements that currently manage and distribute forest revenues in Madagascar. It does, however, begin to outline the organizational oversight and basic principles that will need to be part of a revenue distribution system for REDD. The R-PP notes that funds will need to be distributed both to governmental and non-governmental actors—including rural communities, REDD project developers, and private sector companies operating in the forest, agriculture and mining sectors—to act to reduce deforestation (p42). The R-PP acknowledges the need for transparent management of these funds and that revenue management should be externally monitored and verified, but does not yet provide details as to how this will be ensured. The PCPF will be responsible for ensuring that information about revenue generated and disbursed is made public (p42).

## MEXICO R-PP

### LAW AND POLICY DEVELOPMENT

#### **Institutions that are responsive to the need for reform**

The R-PP provides a thorough history of forest sector reform in Mexico. Most recently, starting in the 1990s, new government institutions and policies were created including the Strategic Forest Plan 2025. This Plan provided for the current institutional arrangements and regulatory framework for the Mexican forest sector, gave more authority to the National Forestry Commission (CONAFOR), prompted the creation of the general law for sustainable forest development that incorporated the forest sector within the national environmental agenda, and recognized the need to coordinate and complement efforts related to forest protection and environmental law enforcement (p88-89). However, it is not clear from the R-PP if there are any ongoing reform processes in Mexico -that may be relevant for REDD implementation.

The R-PP requests funds to establish institutional, legal and political frameworks to enable REDD implementation, although it provides no information as to what this might entail (p36). It also requests funds to conduct a study to review and assess the regulatory framework (federal and state) related to forestry, natural resource management and conservation. The study is anticipated to help define the legal framework for REDD, identify possible adjustments needed to implement REDD, and identify capacity building requirements (p40).

#### **Recognition and consideration of the full suite of stakeholders that are impacted by decision-making**

The R-PP recognizes a wide range of stakeholders that will need to be involved in the development and implementation of the REDD strategy at the national, state and property levels (p30). In particular it emphasizes (i) landholders, as the actors that will be directly impacted by REDD activities; and (ii) indigenous and marginalized groups.

#### **Transparent and inclusive processes for engaging stakeholders in the development of forest laws and policies**

The R-PP describes several existing mechanisms that are currently used to support stakeholder participation at the national, state and local levels (p17). These existing platforms are anticipated provide the basis for REDD consultations, and special attention will be given to indigenous communities and marginalized groups as potential beneficiaries of the REDD scheme. A discussion of the effectiveness of these existing mechanisms, including any past challenges faced, would strengthen this R-PP.

The R-PP was prepared by Federal Government officials (CONAFOR) in collaboration with staff from two research institutions (ECOSUR and COLMEX). The R-PP states that stakeholder input (civil society organizations, government agencies, academia and financial institutions) was compiled at the national and sub-national levels for the development of the R-PP (p15-16). At the sub-national level, the R-PP mentions consultations at the state level, but overall the document gives more emphasis to efforts by the Federal Government. The extent to which indigenous and local community representatives were consulted is unclear.

The R-PP proposes to carry out consultations in four phases: (i) preparation and dissemination for consultation – the design of a consultation plan; (ii) pilot consultation exercises to adjust methodologies; (iii) consultation at the national level stratified in three geographic regions; and (iv) dissemination of results to obtain improvements through feedback (p18). The R-PP provides a comprehensive and detailed plan for future interactions that includes a methodology to identify target stakeholder audiences based on a series of criteria that include level of power (or influence), representation, stake, and vulnerability (p63-80). It proposes to develop criteria and indicators for monitoring consultation (p18), although it is not clear who will carry out this monitoring role.

### LAND AND FOREST TENURE

#### **A land tenure system that is non-discriminatory and provides clear rights over land and its associated values.**

The R-PP states that land rights are relatively secure in Mexico, although disputes persist in some areas (p24). It also proposes to address the lack of security on user rights to timber and carbon by improving related policies (p29). The R-PP mentions a tendency in the past to marginalize rural/community landowners (p89). Although there has been a renewed recognition of rural landowners as important actors in development activities in national policies, it is unclear if this change of perspective is reflected on the ground.

#### **Legal recognition of indigenous peoples rights to land**

According to the R-PP, about 55% of lands are property of ejidos or communities (either agrarian or indigenous) (p22). The R-PP does not elaborate on the legal framework recognizing indigenous land rights. About 85% of land properties have been geo-referenced and titled. In the remaining 15%, owners have not taken the initiative to have their lands titled, or are areas of drug or organized crime activities. Some of areas of tenure disputes are located within indigenous communities (p24).

#### **Mechanisms for resolving conflicts over tenure rights**

About 2 million hectares are in dispute among indigenous groups or between indigenous and non-indigenous communities (p24). Illegal logging is thought to be higher in these areas, although the R-PP states that no published studies exist (p22). The R-PP does not specify how tenure disputes are handled in Mexico. It is not clear if any efforts are currently

being made to resolve these disputes, or if such efforts would be a part of the proposed REDD strategy. The R-PP does propose to create any special system for conflict resolution for REDD.

#### **Institutions and systems that uphold the rights of forest dependent people**

The R-PP mentions various organizations that play a role in ensuring participation, consultation and coordination. However, there is not enough information to assess their role and effectiveness in upholding the rights of forest dependent people.

- *Confederación Nacional Campesina* (a national organization that represents rural communities – CNC)
- *Unión Nacional de Organizaciones Regionales Campesinas Autónomas* - (a national union of regional, autonomous, peasant organizations – UNORCA)
- *Congreso Nacional Indígena* (the national indigenous congress – CNI)
- *Instituto Nacional de la Mujer* (the national women institute – INM)
- *Comisión de Derechos Indígenas* (the indigenous rights commission, CDI)

These institutions are expected to be key vehicles to incorporate vulnerable groups (indigenous peoples and women) into the consultation and participation process (p77). The R-PP states that the national commission for indigenous development (CDI) will guarantee that REDD incentive programs will distribute the financial or capacity building resources fairly among communities with forests, with special emphasis on indigenous groups and marginalized communities (p17).

### **FOREST MANAGEMENT**

#### **Institutions with the capacity and authority to plan and implement forest management activities**

According to the R-PP, the Ministry of Environment and Natural Resources (SEMARNAT) is responsible for formulating and implementing the national policy for sustainable forest development, and also, ensuring coordination and coherence with national natural resources management and rural development policies (p89). These functions are carried out in coordination with the commission for protected areas (CONANP) and the federal authority tasked with environmental law enforcement (PROFEPA). SEMARNAT delegates forest sector planning to CONAFOR, which will also be the implementing agency for REDD, and keeps control over forest management plans (p89). It is not clear from the R-PP if there are any major capacity constraints within CONAFOR that might inhibit effective forest management. However, it notes that not all forests are under management plans, and those without plans are generally subject to higher rates of deforestation (p22).

REDD planning and implementation is expected to be carried out by CONAFOR in collaboration with the REDD Working Group and the REDD Task Force (p11). It is somewhat unclear from the R-PP what relative roles and responsibilities these three organizations will have, how coordination will be achieved, and who will have ultimate authority over key implementation decisions. These details need to be clarified, perhaps using the organizational chart on page 12.

#### **Processes for coordinating forest sector activities with larger national development strategies and land use plans**

CONAFOR's board is made up by the heads of the following ministries: National Defense; Economy; Finance; Treasury; Social Development; Agriculture, Livestock, Rural Development, Fishing and Food; Agrarian Reform; Tourism; SEMARNAT (president), and the National Water commission. The objective of this composition is to facilitate coordination, but the R-PP states that this has been extremely difficult to accomplish in practice (p89). The R-PP states that the most urgent task is to integrate forest policy with agricultural policy, particularly in the context of REDD. It does not propose any concrete strategies at this stage for how this might be achieved, although it does propose several studies to examine the impacts of past land use policies on deforestation and forest degradation (p27). It is not clear how the results of this study will be utilized.

Inter-agency coordination in the design and implementation of a REDD strategy will be handled through the REDD Working Group (REDD-WG) and the Inter-Secretarial Commission on Climate Change (CICC). CICC is comprised of various federal ministries: Environment and Natural Resources (CICC chair); Agriculture, Livestock, Rural Development, Fisheries and Food; Energy; Communications and Transport; Economy; Tourism; Social Development; Internal Affairs; Finance and Public Credit; Health; Foreign Affairs; and the Institute of Statistics, Geography and Information. CICC is responsible for formulating policy and climate change strategies, including REDD. The CICC structure will help ensure the REDD strategy will be incorporated into a broader national land-use policy directed towards mitigating and adapting to climate change (p10).

#### **Recognition of the role of different stakeholders, including local communities, in forest management**

The R-PP recognizes local stakeholders (landowners, indigenous groups) as key players in the conservation and management of forest resources, as well as key actors in the implementation of any REDD strategy (p17). Most of forests in México are either community forests (55%) or privately owned (35%). Although there are good examples of sustainable community forestry management, most *ejidos*, communities and private forest owners are not well organized for sustainable forest management. Part of the REDD strategy proposed in the R-PP is therefore to build community capacity (p22). Specifically, the R-PP identifies the following areas of improvement: social organization within communities towards

forestry-related activities, leadership training, participatory approaches, transparency, and local consensus building mechanisms (p7). The R-PP notes that inequalities and power disparities at the community level is a challenge and driver of deforestation (p24), although it is not clear if and how this problem will be addressed as a part of the REDD strategy.

#### **FOREST MONITORING**

##### **Government institutions with the capacity to monitor forests and report information**

R-PP indicates that CONAFOR will contract relevant organizations to help set up an independent monitoring and verification system (p7). It is unclear how/if the capacities and the system will be transferred to a government agency (or an independent actor) once they are set up. The R-PP identifies a number of challenges related to forest monitoring. The challenges include establishing a national reference emissions scenario, developing a national monitoring system, monitoring the effectiveness of individual activities within the implementation framework. Ground-truthing and verifying data gathered in remote areas with governance risks are two activities that are identified as being especially challenging.

The forest monitoring system envisioned for Mexico will be a nested-- national, state and local--system with coordinated national, state and local carbon inventories. There are a number of government and research institutions with some level of capacity to conduct forest monitoring: CONABIO, INEGI, CONAFOR, the Mexican Carbon Program (PMC), and INE (p45-49).

##### **Transparent and coordinated systems for managing information**

This issue is not discussed within the R-PP.

##### **Independent institutions with the capacity to monitor and verify information**

The R-PP states that the Federal Government will contract relevant organizations to help set up an independent monitoring and verification system (p7). There are various research institutions with some level of capacity to conduct forest monitoring including: El Colegio de la Frontera Sur (ECOSUR), Colegio de Postgraduados (COLPOS) and Colegio de Mexico (COLMEX) (p45-49). The R-PP also suggests that communities could play a role in local carbon monitoring (p51).

#### **FOREST LAW ENFORCEMENT**

##### **Effective systems for deterring and penalizing illegal activities**

The R-PP states that the Mexican Forest Law establishes measures to punish unauthorized land-use change and illegal logging. It does not provide additional detail on this legal framework or the penal system.

##### **Institutions with the capacity and authority to enforce forest laws**

Forest law enforcement is carried out by PROFEPA. Although government law enforcement capacity has increased, the R-PP states that there are not enough human and financial resources to enforce laws (p24). Furthermore, illegal logging, drug trafficking and guerrilla activity limit access of law enforcement personnel in certain areas. Another complication for effective law enforcement is that it is often impossible to identify the actor(s) that clears the forests. The majority of the forest is community-owned and clearance occurs often in the informal sector without official permit. The R-PP does not propose any options for how law-enforcement capacity might be enhanced, and this does not seem to be a major emphasis within the proposed REDD strategies.

#### **FOREST REVENUE DISTRIBUTION AND BENEFIT SHARING**

##### **Understanding of the relationship between forest ecosystem services and local livelihoods (and potential alternative livelihoods)**

The R-PP recognizes that landowners are key actors for the successful implementation of any REDD strategy and key beneficiaries of ecosystem services. It also recognizes that the rural poor are particularly dependent on these services and that poverty alleviation should be a goal of REDD. The R-PP proposes to support demand of forest products and ecosystem services “so that a market development can be set up at both community and national levels” (p30). It also proposes to develop a valuation index on ecosystem services at the community level (p29).

##### **Transparent and accountable systems for distributing revenues from forest management**

Four relevant revenue distribution mechanisms are mentioned without providing specific details about disbursement. These mechanisms include the Pro-Arbol system (p30-31); a system for payment for hydrological environmental services (p92); a conservation, carbon sequestration and agroforestry management program (p92); and the Mexican Forest Fund (p10). The R-PP suggests that experiences from these mechanisms will be used to inform the development of a REDD revenue system. It is envisioned that the REDD strategy will set up a payment distribution system that, at the property level, will optimize emission reductions, biodiversity conservation, and poverty alleviation. At the national level, the system will include, among other things:

- a national accounting system and a REDD payment distribution system perhaps modeled after the Pro-Arbol system;
- payment mechanisms to compensate landowners to keep livestock activities outside of the forests;
- a compensation mechanism for landowners that maintain their lands as forested;
- a valuation index for ecosystem services at the community level (p30-31).

## PANAMA R-PP

### LAW AND POLICY DEVELOPMENT

#### **Institutions that are responsive to the need for reform**

The R-PP describes existing policies and laws in great detail, and focuses primarily on implementation of the new National Environment Strategy as the basis for REDD rather than on policy/institutional reform. It does, however, acknowledge that certain existing policies, including the Agrarian Code, create perverse incentives for deforestation and therefore need to be amended (p10).

#### **Recognition and consideration of the full suite of stakeholders that are impacted by decision-making**

The R-PP identifies a full suite of relevant stakeholders. One of the main goals of the REDD strategy is to involve the indigenous farming communities living in ecosystems of interest for conservation and provision of environmental services. Further, one of the strategic objectives of the Forest Policy aims to include civil society in land use planning and forest management.

#### **Transparent and inclusive processes for engaging stakeholders in the development of forest laws and policies**

According to the R-PP, environmental management is carried out through three entities: (i) ANAM, responsible for creating and enforcing environmental policy, (ii) Various Environmental Advisory Commissions, and (iii) the Interagency Environment System. The last two include representatives from different stakeholder groups at the national and sub-national levels while ANAM is also responsible for inter-agency and public coordination. Additional stakeholder engagement processes occur through other policy instruments such as the General Indicative Land Use Plan (PIGOT) and Environmental Impact Assessments.

The R-PP document stresses that indigenous and other forest dependent communities need to be at the heart of the REDD strategy, and the National Environmental Agency (ANAM in Spanish) has already established dialogue with farming and indigenous communities to inform them about REDD developments. However, little information is provided on how the dialogue was carried out, and if it went beyond simple information sessions.

The REDD Consultation and Outreach Plan has three components. First, a communication campaign focusing on raising awareness on REDD in Panama both internationally and at national and local levels. Second, public consultations to diagnose the state of public knowledge about REDD and to gather information about the socio-economic and needs of involved stakeholders. Third, a training component to train both government and non-government actors on REDD strategies.

It is very concerning that the plan lacks any clear sense of how stakeholders will be engaged constructively in major decision-making processes – specifically in the development and implementation of REDD strategies – and does not define any measures to ensure transparency in participation and accountability for stakeholder input. Rather, the plan focuses primarily on capacity building activities such as awareness-raising and information dissemination on REDD. The plan states that public consultations will take place to “review” the R-PP, but it is not clear whether this would be a real opportunity for stakeholder input, or whether it is simply an opportunity to inform stakeholders of the R-PP components (p27).

More clarity on how the consultation process will work is vital – details could include how stakeholders will know when and how they can engage, how comments will be taken into consideration, and what information will be publically reported. Such detail is needed to build more trust in the process and allow for monitoring that the process is being undertaken as described.

### LAND AND FOREST TENURE

#### **A land tenure system that is non-discriminatory and provides clear rights over land and its associated values.**

The law recognizes indigenous peoples and other forest dependent communities’ rights to land. By law, the government should “respect, preserve and maintain the knowledge, innovations and practices of the indigenous and local communities which involve traditional ways of life related to the conservation and sustainable use of biological diversity, promoting their widest application, with the participation of the communities, and will promote equitable sharing with them of the resulting benefits. Any natural resource exploration, exploitation and development studies authorized on land occupied by *comarcas* or indigenous peoples should not cause harm to their cultural, social and economic integrity or spiritual values, according to the same law” (p14). However, all forest carbon is owned by the State, based on the legal premise that natural resources pertain to the public domain and are public benefit (p42). This presents a potential conflict of interests that will need to be clearly addressed, including conflict resolution bodies that are seen as independent by the potential parties – the State and indigenous peoples and forest dependant communities.

#### **Legal recognition of indigenous peoples rights to land**

Indigenous peoples’ rights to land are recognized under the law. The country is divided into nine provinces and five indigenous *comarcas*. The lands comprising the *comarcas* are collectively owned (p14).

<b>Mechanisms for resolving conflicts over tenure rights</b>
The R-PP does not mention the existence of any tenure conflicts, nor identify mechanisms for resolving potential conflicts. However, external studies suggest that overlapping tenure regimes, particular with regard to subsoil rights and mining, pose a source of conflict and present a serious risk to tenure security in Panama. <sup>10</sup>
<b>Institutions and systems that uphold the rights of forest dependent people</b>
Other than the legal framework which protects the rights of forest dependent people, there is no discussion of any institutions or systems to uphold those rights, such as the judiciary or other bodies that are seen as independent by all potential parties.
<b>FOREST MANAGEMENT</b>
<b>Institutions with the capacity and authority to plan and implement forest management activities</b>
One of the objectives stated in the draft R-PP is to build capacity in environmental management – including forest management – and environmental business as part of the readiness process to promote the REDD strategy. Yet it also states that ANAM, which is the primary agency responsible for forest management, has the “institutional permanence, territorial coverage, and a budget to carry out the duties entrusted to it” (p13). The R-PP lists capacity building needs in good detail with regard to monitoring and enforcement activities, but is otherwise not specific.
<b>Processes for coordinating forest sector activities with larger national development strategies and land use plans</b>
The REDD strategy and related activities are being designed to align with the wider environmental policy and regulatory framework of the country, including the National Environmental Strategy and the National Forest Policy (p1,2), which include an objective to promote a “flexible and indicative land use planning [and] the adoption of forest land use planning” (p12). However, the R-PP does not respond to the template question on how the REDD process would change current land use and other sectoral behavior, policies or governance, so that reductions in deforestation and degradation can occur (p7). ANAM will encourage the establishment of a REDD Steering Committee that will be responsible for defining and overseeing the implementation of REDD activities (p20). The R-Plan identifies a wide range of government and non-government stakeholders to be involved in the Committee, but at this point does not describe any tangible process for coordinating or promoting collaboration between these various interests. The document includes broad statements about the importance of cross-sectoral coordination.
<b>Recognition of the role of different stakeholders, including local communities, in forest management</b>
The R-PP states that REDD implementation has to be “as communal as possible” to succeed (p7), and the REDD strategy is based on the premise that rural communities, indigenous populations and others living in the forests need to be included in forest management plans/projects in order to address deforestation (p50). Further, there is a general recognition throughout the document of the various relevant stakeholders within the different policy and regulatory frameworks under which REDD activities will be implemented. For instance, the strategic objectives of the Forest Policy aim to include civil society in land use planning and forest management (p7). The document does not, however, provide a sense of how these various stakeholders might be engaged in REDD activities in practice.
<b>FOREST MONITORING</b>
<b>Government institutions with the capacity to monitor forests and report information</b>
There is a lack of information about recent forest cover (the latest is from 2000 and a 2008 forest cover is being developed and will be updated every 3 years from here on out), effectiveness of reforestation and restoration efforts, community forest management, disturbances (fires and natural disasters), and lack of information management system to integrate and analyze the data. ANAM is the agency responsible for monitoring. One of the draft R-PP objectives is to develop a forest monitoring system (“system of intensive monitoring”) that will include: building staff, technical and methodological monitoring and surveillance capacity, improve inter-agency coordination, establish information and analysis systems, conduct public outreach, and others. Because of the ongoing decentralization process, monitoring and enforcement capacity will need to be built at the sub-national level including indigenous <i>comarcas</i> . Most of the funds requested for monitoring and enforcement capacity building in the REDD implementation section are dedicated to environmental disaster prevention, control, response, monitoring and evaluation, and the restoration of areas affected by these disasters. In the assessment for capacity building requirements, however, (assuming funds from the World Bank and others) about a third of the funds are budgeted for monitoring activities (satellite imagery, forest inventory, monitoring, etc). These efforts will become the basis of a new monitoring system to report and verify the

<sup>10</sup> Larsen, A. 2008. LLSL Country Case Study: Panama. Online at:  
[http://www.rightsandresources.org/publication\\_details.php?publicationID=943](http://www.rightsandresources.org/publication_details.php?publicationID=943)

<p>implementation of REDD activities. This new system will complete and monitor carbon stocks using the latest remote sensing technology paired with field work.</p> <p>The R-PP does talk about the need for social monitoring systems – e.g., tracking the impacts of programs in meeting the social or other environmental goals that will be decided on as part of the REDD strategies – but notes these need work.</p>
<p><b>Transparent and coordinated systems for managing information</b></p>
<p>Not discussed.</p>
<p><b>Independent institutions with the capacity to monitor and verify information</b></p>
<p>The draft R-PP recognizes public participation in monitoring activities (p46). It also mentions that an activity of the “post 2012 phase” of the consultation and outreach plan will be “strengthening the ability of society to monitor, audit, and evaluate the development of the REDD strategy and compliance with objectives” (p33). It is not clear, however, that an independent forest monitoring system would be allowed in Panama as a way to address questions of transparency and accountability of all government activities, including revenue distribution, as no further details are provided.</p>
<p><b>FOREST LAW ENFORCEMENT</b></p>
<p><b>Effective systems for deterring and penalizing illegal activities</b></p>
<p>By law, ANAM is in charge of supervision, control and inspection of forestry activities, and it has the authority to confiscate forest products and to impose sanctions in cases of illegal activity. Proposed activities under R-PP include developing mechanisms and criteria for inter-institutional collaboration (customs, police authorities) and integrated programs to address illegal activities (p47). However, illegal logging or other forest crime is NOT listed as a major cause of deforestation in the Quick Assessment Paper (p16).</p>
<p><b>Institutions with the capacity and authority to enforce forest laws</b></p>
<p>Some on-the-ground monitoring and enforcement activities occur (inspection of forest permits, etc), but according to the R-PP, they are not standardized, and in many cases, monitoring and enforcement activities occur only in direct response to complaints. Further, there is currently no information available on the extent of compliance (p44). Therefore, monitoring tools, procedures and protocols, methodologies and strategies will need to be developed as a part of the REDD strategy. These include capacity building activities relevant to law enforcement focusing on staff training (e.g. park rangers), establishing protocols to define competence and authority between the different agencies involved, inter-institutional coordination, enforcing forest protection in protected areas and forest production areas, and the establishing analysis and information systems to determine the degree of law compliance (p47).</p>
<p><b>FOREST REVENUE DISTRIBUTION AND BENEFIT SHARING</b></p>
<p><b>Understanding of the relationship between forest ecosystem services and local livelihoods (and potential alternative livelihoods)</b></p>
<p>According to the R-PP, the main aspect of REDD will be to provide opportunities for community investments and environmental business that enable local communities to coexist with the forest ecosystem (p1, 2). One of the principal activities proposed by the draft R-PP is to promote “environmental business” (small/medium-size community enterprises) to increase the technical capacity of and generate revenues for local communities.</p>
<p><b>Transparent and accountable systems for distributing revenues from forest management</b></p>
<p>An objective of the draft R-PP is to “design a financing mechanism to promote fair, equitable and transparent distribution of revenues generated by the provision of environmental services, with direct benefits for communities” (p7). The R-PP states that forest carbon is owned by the State, even on indigenous lands. Therefore, receipts received from the sale of emissions in the REDD market will belong to the State. The R-PP proposes a REDD fund, to be managed by ANAM, for administering these funds (p42). One major line of financing will include activities relating to the production of environmental goods and services. The other will relate to supporting environmental management of indigenous comarcas (p43). No further details are given regarding mechanisms to promote transparency or accountability in the distribution of REDD revenues, or how particular stakeholder groups will be targeted in practice.</p> <p>The R-PP describes that several other forest-related funds already exist and will serve as a basis for the REDD fund, including funds that provide direct support to 250 grassroots organizations to develop social capital and business opportunities in conservation, restoration and forest management projects. A review of the success of these funds and their governance would help all stakeholders understand where these have been successful or where improvements are needed to ensure their transparency, accountability and ability to deliver the promised outcomes.</p>
<p><b>Transparent and coordinated systems for managing information</b></p>
<p>Not discussed.</p>
<p><b>Independent institutions with the capacity to monitor and verify information</b></p>
<p>The draft R-PP recognizes public participation in monitoring activities (p46). It also mentions that an activity of the “post 2012 phase” of the consultation and outreach plan will be “strengthening the ability of society to monitor, audit, and evaluate the development of the REDD strategy and compliance with objectives” (p33). It is not clear, however, that an independent forest</p>

monitoring system would be allowed in Panama as a way to address questions of transparency and accountability of all government activities, including revenue distribution, as no further details are provided.

#### **FOREST LAW ENFORCEMENT**

##### **Effective systems for deterring and penalizing illegal activities**

By law, ANAM is in charge of supervision, control and inspection of forestry activities, and it has the authority to confiscate forest products and to impose sanctions in cases of illegal activity. Proposed activities under R-PP include developing mechanisms and criteria for inter-institutional collaboration (customs, police authorities) and integrated programs to address illegal activities (p47). However, illegal logging or other forest crime is NOT listed as a major cause of deforestation in the Quick Assessment Paper (p16).

##### **Institutions with the capacity and authority to enforce forest laws**

Some on-the-ground monitoring and enforcement activities occur (inspection of forest permits, etc), but according to the R-PP, they are not standardized, and in many cases, monitoring and enforcement activities occur only in direct response to complaints. Further, there is currently no information available on the extent of compliance (p44). Therefore, monitoring tools, procedures and protocols, methodologies and strategies will need to be developed as a part of the REDD strategy. These include capacity building activities relevant to law enforcement focusing on staff training (e.g. park rangers), establishing protocols to define competence and authority between the different agencies involved, inter-institutional coordination, enforcing forest protection in protected areas and forest production areas, and the establishing analysis and information systems to determine the degree of law compliance (p47).

#### **FOREST REVENUE DISTRIBUTION AND BENEFIT SHARING**

##### **Understanding of the relationship between forest ecosystem services and local livelihoods (and potential alternative livelihoods)**

According to the R-PP, the main aspect of REDD will be to provide opportunities for community investments and environmental business that enable local communities to coexist with the forest ecosystem (p1, 2). One of the principal activities proposed by the draft R-PP is to promote “environmental business” (small/medium-size community enterprises) to increase the technical capacity of and generate revenues for local communities.

##### **Transparent and accountable systems for distributing revenues from forest management**

An objective of the draft R-PP is to “design a financing mechanism to promote fair, equitable and transparent distribution of revenues generated by the provision of environmental services, with direct benefits for communities” (p7). The R-PP states that forest carbon is owned by the State, even on indigenous lands. Therefore, receipts received from the sale of emissions in the REDD market will belong to the State. The R-PP proposes a REDD fund, to be managed by ANAM, for administering these funds (p42). One major line of financing will include activities relating to the production of environmental goods and services. The other will relate to supporting environmental management of indigenous comarcas (p43). No further details are given regarding mechanisms to promote transparency or accountability in the distribution of REDD revenues, or how particular stakeholder groups will be targeted in practice.

The R-PP describes that several other forest-related funds already exist and will serve as a basis for the REDD fund, including funds that provide direct support to 250 grassroots organizations to develop social capital and business opportunities in conservation, restoration and forest management projects. A review of the success of these funds and their governance would help all stakeholders understand where these have been successful or where improvements are needed to ensure their transparency, accountability and ability to deliver the promised outcomes.

## SURINAME

### LAW AND POLICY DEVELOPMENT

#### **Institutions that are responsive to the need for reform**

The R-PP outlines the legal and institutional frameworks that govern Suriname's forest sector, such as the Forest Management Act of 1992 and the National Forest Policy of 2006 (p29). The R-PP does not provide detail on whether or not these laws and policies have been successfully implemented on the ground.

Within the context of REDD+, the National REDD+ Committee coordinated by the Ministry of Physical Planning, Land and Forest Management (RGB) led the development of Suriname's R-PP. The Committee consists of representatives from a number of government ministries, the president's cabinet and two observer organizations (Conservation International-Suriname and Tropenbos International-Suriname). In the future this REDD+ Committee will be expanded into the National REDD+ Working Group, which will be tasked with coordination and supervision of all activities conducted by the National Forest Carbon Unit (NFCU). This Unit will be the main implementer of the activities outlined in the R-PP and will be divided into an administrative department, a technical department, and a consultation and outreach department.

#### **Recognition and consideration of the full suite of stakeholders that are impacted by decision-making**

The R-PP emphasizes that a wide range of stakeholders will need to be consulted to develop and implement REDD+ strategies in Suriname, including government, civil society and traditional structures of indigenous and Maroon communities. This includes the establishment of a National REDD+ Working Group that consists of representatives from relevant ministries (such as finance, agriculture, natural resources, public works, regional development, defense, planning and development), as well as the president's cabinet, representatives of indigenous and Maroon communities, academia, the timber industry, and civil society (p10). The R-PP notes that past consultations in Suriname have been criticized for taking place entirely in the capital. It therefore proposes to engage the estimated 234 indigenous and Maroon villages at the village level, and to distribute all documents in relevant languages.

#### **Transparent and inclusive processes for engaging stakeholders in the development of forest laws and policies**

The R-PP states that stakeholder consultations conducted to inform the development of the National Forest Policy and National Biodiversity Strategy and the Climate Change Action Plan had some weaknesses. The authors especially note the importance of criticisms for not adequately taking into account traditional structures of Indigenous and Maroon communities, as well as for not ensuring adequate time and resources for consultation. The R-PP proposes to learn from these past experiences to construct a more inclusive and transparent process for consultations throughout the readiness phase. Most notably, the R-PP proposes to establish a feedback loops to address stakeholder concerns and to hold consultations in remote areas in addition to the capital. The second version of the R-PP (released January 2010) goes on to establish an independent body to monitor and report on consultations. It is not yet clear what actors will be a part of this independent body.

To date, three stakeholder meetings have been held to consult on R-PP development, and have included representatives from government ministries, district commissioner offices, indigenous and Maroon communities, and NGOs. There no evidence of additional consultations being held between October 2009 and January 2010 when the second version of the R-PP was submitted to the FCPF. The R-PP summarizes eight overarching comments received from these meetings (a more thorough documentation of stakeholder feedback is not provided), which are mostly addressed in the consultation plan, including the need for consultations based on free, prior and informed consent (FPIC) (p22). However, the R-PP does not yet describe how FPIC would be implemented in practice. For example, some groups in Suriname are advocating for the adoption of a Consultation and Consent Law. Several civil society organizations in Suriname have also voiced concern that these consultations were primarily focused on disseminating information rather than meaningful consultation and capacity building. In particular, the consultations did not address issues pertaining to Indigenous Peoples' rights, which these organizations feel is a violation of Suriname's international obligations.

### LAND AND FOREST TENURE

#### **A land tenure system that is non-discriminatory and provides clear rights over land and its associated values.**

In Suriname all forests that are not privately owned are the property of the state. The R-PP states that the government can grant tenure for a number of purposes to private individuals, private enterprises and organizations, or communities, but that the Constitution does not provide for collective ownership rights of land. However, the R-PP states that wood cutting licenses are granted in community forests. Under the Suriname Forest Management Act, the types of tenure that are granted include: i) timber concessions to companies or individuals; ii) Communal Wood Cutting Licenses granted to forest-based communities and community forests; iii) incidental cutting licenses granted to individuals and companies for salvaged logging (p33).

#### **Legal recognition of indigenous peoples rights to land**

While the R-PP discusses the types of tenure recognized under the Forest Management Act (as outlined above), its discussion of any additional recognition of indigenous lands rights is limited to the mention of a 2008 project launched by the Ministry of Regional Development called "Support for sustainable development of the interior" (p28). The 'Collective Rights' component of this project focuses on mapping the land use of Indigenous and Maroon communities. The R-PP further states that a full assessment should be conducted as part of the REDD+ strategy in order to further clarify land uses. However, there is no assessment or discussion in the R-PP of the legal frameworks for recognizing indigenous land or resource use rights. Civil society

organizations in Suriname argue that this reflects the continued failure of the Government of Suriname to recognize and respect the collective rights of indigenous and tribal peoples in accordance with international obligations. For example, the Inter-American Court of Human Rights ruled in the 2007 Saramaka People v. Suriname case that indigenous and tribal peoples in Suriname have “rights to manage, distribute, and effectively control such territory, in accordance with their customary laws and traditional collective land tenure system” and rejected “community forests” as an adequate means to secure indigenous tenure rights. In January 2008, the Government of Suriname publicly declared that it would fully implement the judgment of the Court, which is a legally binding body of which Suriname is a member.

#### **Mechanisms for resolving conflicts over tenure rights**

There is no discussion in the R-PP of any current mechanisms that exist for resolving tenure conflicts. The list of REDD+ strategy options does include a proposal to develop a forest carbon rights regulatory framework (p47), but there is no explicit mention of a conflict resolution mechanism.

#### **Institutions and systems that uphold the rights of forest dependent people**

The R-PP identifies the Ministry of Regional Development (RO) as having the role of ensuring that all forest dependent groups, specifically indigenous, Maroon and forest-dependent communities, are effectively informed and consulted on the implementation of the R-PP and the REDD+ strategy (p10). This ministry will be represented on the National REDD+ Working Group. The role of the Ministry for Regional Development is further enumerated in the Consultation and Participation Plan. According to the R-PP, the actors in the decentralized structure of the RO – consisting of district commissioners, sub-regional coordinators and administrative officers – will act as liaisons with forest dependent, indigenous and Maroon communities. The R-PP does not elaborate on the assessment procedures of effective involvement, but rather emphasizes the role of district and sub-regional administrators in conducting meetings and facilitating outreach. Civil society groups in Suriname are highlighting the fact that the Inter-American Court of Human Rights ruled in 2007 that Suriname's legal framework is insufficient to provide protection to indigenous and tribal peoples rights, and ordered that amendments be made; however, this is not referenced within the R-PP.

### **FOREST MANAGEMENT**

#### **Institutions with the capacity and authority to plan and implement forest management activities**

The Forest Service (LBB) of the Ministry of Physical Planning, Land and Forest Management (RGB) is the agency responsible for oversight of all forest management in Suriname, including nature conservation and law enforcement. Under the new National Forest Policy created in 2006, there is a Strategic Action Plan for the forest sector that needs to be implemented. The R-PP does not elaborate on whether or how the Plans would be implemented or what the capacity of the Forest Service is to carry out its mandate.

#### **Processes for coordinating forest sector activities with larger national development strategies and land use plans**

The R-PP stresses the importance of designing efficient REDD strategies that will exploit linkages with other sectors and national economic development while keeping with the goals of the Multi Annual Development Plan (MADP) for 2006-2011 (p43). However, it also states that the MADP includes a target of expanding the area under timber exploitation as well as expanding the mining, agriculture, and energy sectors, which are cited elsewhere in the R-PP as drivers of deforestation. The R-PP states that these tradeoffs will need to be addressed, but does not yet describe how potential conflicts set up by the goals of the MADP and the goals of the national forest policy might be dealt with. The Ministry of Planning and Development Cooperation is charged with harmonization of the R-PP and REDD+ strategies with the MADP and other economic development goals. The Ministry of Physical Planning, Land and Forest Management (RGB) – which houses the forest service – will coordinate the National REDD+ Working Group and the National Forest Carbon Unit.

#### **Recognition of the role of different stakeholders, including local communities, in forest management**

While the R-PP consistently acknowledges that indigenous, Maroon and other local communities are dependent upon forest resources, there is no discussion of their specific role in forest management, or how they will be involved through the implementation of REDD strategies. The need for sustainable forest management is cited in several sections of the R-PP, but overall there is little emphasis on stakeholder involvement in forest management.

### **FOREST MONITORING**

#### **Government institutions with the capacity to monitor forests and report information**

The Foundation for Forest Management and Production Control (SBB) is charged with assisting the Ministry of Physical Planning, Land and Forest Management with the implementation of the R-PP, including the forest carbon accounting system and MRV. SBB is also responsible for forest monitoring and for forest production statistics. The R-PP notes that SBB has neither carried out a complete forest inventory, nor established a complete forest monitoring program due to a lack of funding and capacity. The Centre for Agricultural Research in Suriname, which is affiliated with the Anton de Kom University of Suriname, has carried out some small- to medium-sized forest inventories, including some mapping and remote sensing analyses, which could provide data and expertise in the development of a national forest monitoring system. The need for capacity building, increased technical knowledge and data collection is highlighted as fundamental to development of a national monitoring system (p66).

#### **Transparent and coordinated systems for managing information**

The technical department of the National Forest Carbon Unit will be responsible for managing technical issues relating to the national REDD+ strategy, including receiving, handling and disseminating information. More information is needed on how this department will coordinate with other agencies such as SBB that are typically responsible for gathering data and information on forests and forestry activities. The second draft of the R-PP (released Jan 2010) now proposes to create a National REDD+ Databank. It is not yet clear what types of information it will bring together, or how it will coordinate across the various agencies responsible for gathering forest data.

#### **Independent institutions with the capacity to monitor and verify information**

The R-PP describes independent verification as a component of the Monitoring and Evaluation Framework for REDD implementation, but also notes that Suriname has little experience with issues such as verification and that capacity building will be needed. The R-PP's discussion of verification activities focuses mostly on building national level capacity rather than building the capacity of third party actors. The second draft of the R-PP (released Jan 2010) states that the Planning Office responsible for monitoring the implementation of the Multi Annual Development Plan will also function as the independent monitoring body for implementation of the R-PP (p14). Given that this designated body is a governmental body, however, more clarity is needed on how independence will be ensured, such as by specifying how transparent procedures for monitoring and reporting on REDD+ implementation will be developed.

### **FOREST LAW ENFORCEMENT**

#### **Effective systems for deterring and penalizing illegal activities**

The R-PP lists the institutions responsible for forest law enforcement (see below), but does not discuss the efficacy of the legal system.

#### **Institutions with the capacity and authority to enforce forest laws**

The Forest Service (LBB) of the Ministry of Physical Planning, Land and Forest Management is responsible for forest law enforcement in Suriname. The Forest Management Act of 1992 gives forest guards the authority to confiscate illegally logged timber and to enforce forest laws as established under the act. The R-PP notes that these activities have been constrained by a lack of capacity, but gives little detail about the extent and nature of these capacity constraints.

### **FOREST REVENUE DISTRIBUTION AND BENEFIT SHARING**

#### **Understanding of the relationship between forest ecosystem services and local livelihoods (and potential alternative livelihoods)**

The R-PP implicitly recognizes that indigenous and Maroon communities must be involved in all of the key stages of R-PP development and REDD+ strategy implementation due to the dependence of many of these groups on forests for livelihoods. More detail on the nature of this relationship will be needed as readiness preparation moves forward. The second draft of the R-PP (released Jan 2010), now proposes to perform a cost-benefit analysis of different alternative livelihood opportunities (p46).

#### **Transparent and accountable systems for distributing revenues from forest management**

The R-PP does not describe existing systems for forest revenue management or distribution. However, the second draft of the R-PP (released Jan 2010) does propose to conduct analysis on the social, environmental and political impacts of implementing taxation and revenue measures, as well as analysis on financial mechanisms that are applicable to REDD+ and their potential effects in Suriname (p35). The R-PP also states that the Ministry of Finance will assist the National REDD Working Group (NRWG) with all financial issues relating to REDD, including development of benefit sharing mechanisms. While it does not provide further detail, it does cite establishing "a monitoring system for transparency, and the equitable sharing of revenues from carbon credits for ecosystems services" as a key REDD+ strategy (p44).