Getting Ready with Forest Governance:

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

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INTRODUCTION

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

The 9th meeting of the FCPF Participants Committee will be held in Oslo, Norway from 20-22 June. This paper evaluates R-PPs from Liberia and Uganda that were submitted for formal consideration by the FCPF Participants Committee. Draft R-PPs from Colombia and Nicaragua were submitted for informal PC review, but are not analyzed in this paper. Analyses of previously submitted R-PPs and NPDs can be accessed online at: http://www.wri.org/publication/getting-ready.

OBJECTIVE FOR REVIEWING R-PPs AND NPDs

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

This analysis is not intended to take the place of assessments of R-PPs and NPDs undertaken by local civil society organizations and other actors with in-depth knowledge of each country. Rather, it aims to assess—in general terms— the extent to which

R-PPs and NPDs consider key aspects of governance as measured against a consistent set of criteria. We do this to identify where specific governance considerations are not being raised and discern broader trends across countries and over time. Our analysis is based solely on the information presented in the R-PPs and NPDs and does not purport to assess the accuracy or credibility of this information.

THE IMPORTANCE OF FOREST GOVERNANCE TO THE REDD+ READINESS PROCESS

Strengthening forest governance will be an essential component of the activities implemented by countries seeking to achieve significant and lasting emission reductions through REDD+. Poor forest governance is frequently characterized by weak capacity to effectively manage natural resources, lack of

decision-maker accountability to impacted stakeholders, and lack of access to information on forest resources and how they are being used. Potential drivers of deforestation and forest degradation such as illegal logging, unplanned forest conversion, and conflicts over access to land and resources are often symptoms of weak forest governance. In order to develop effective national REDD+ strategies, governments need to better understand these challenges and develop measures to strengthen forest governance in ways that build the trust of domestic and international stakeholders.

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

METHOD FOR REVIEWING R-PPs AND NPDs

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

Promoting good governance of REDD+ systems and processes, including:

- Effective stakeholder participation in REDD+ planning and implementation
- Government coordination across different sectors and levels of government in REDD+ planning and implementation
- Transparent and accountable systems for managing and distributing REDD+ revenues and benefits
- Transparent monitoring and effective oversight of REDD+

activities by a body independent of the implementing agency

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

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

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

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

ABOUT WRI

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

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

THE FCPF READINESS MECHANISM

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

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

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

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

THE UN-REDD PROGRAMME

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

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

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

ANNEX 2: REVIEW METHODOLOGY

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

ANNEX 3: R-PP REVIEW TABLES

LIBERIA *(R-PP dated 30 May 2011)*

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

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

The consultation efforts outlined in the R-PP indicate a commitment to learning from past participation processes and engaging local stakeholders. The R-PP notes that processes to develop the National Forestry Reform Law (NFRL) and FLEGT VPA did not sufficiently involve local stakeholders, thus REDD+ consultations have attempted to increase local participation through regional workshops and development of written and media materials in local dialects (p. 27, 33, 150). Consultations conducted thus far have generated a list of key questions and concerns that will be discussed in future consultations (p. 40). Notable concerns flagged by stakeholders included the need to bolster transparency through dissemination of hard copies of documents in advance of meetings and additional town and village level consultations (p. 32). The R-PP proposes to establish "consultation and feedback forums," but does not describe in detail how these forums will function or discuss specific strategies to ensure transparency and accountability of consultations (p. 46).

The R-PP lists steps for future stakeholder consultations to develop, pilot and finalize REDD+ arrangements (p. 41-42), although it does not elaborate a clear timeline for completing activities. The R-PP states that national and local committees for multi-stakeholder monitoring and evaluation of the consultation process may be created, although it is not clear from the R-PP if resources have been budget for this activity (p. 44). The R-PP lists existing systems for resolving conflicts, but does not discuss the capacity or relevance of any of the listed institutions for resolving REDD+ related disputes. The R-PP proposes to develop a complaints handling system that will use email, SMS or postal systems to report grievances, but does not propose a system for addressing them. (p. 46).

Recommendations:
- Provide a more detailed workplan and timeline for the consultation and participation plans, including concrete strategies for ensuring transparency and accountability
- Clarify how grievances identified as a result of the proposed grievance information system will be dealt and by whom

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

The R-PP expresses a general commitment to integrating REDD+ into existing policies and institutional structures across sectors (p 12). The National Climate Change Steering Committee has been established as the high-level, multi-sector, and multi-stakeholder body responsible for review and coordination of climate change strategies, including REDD+ (p. 13). On a more operational level, the REDD+ Implementation Team (RIT) is tasked with ensuring inter-sector coordination of REDD+ activities through a team of project officers from the Forest Development Authority (FDA), Environmental Protection Agency (EPA) and relevant ministries (p. 21-22). In particular, the R-PP identifies infrastructure, agriculture, and mining sectors as having potentially significant implications for REDD+, and further identifies specific policies that may directly conflict with REDD+ strategies (e.g., the Poverty Reduction Strategy) (p. 75, 77). Given that the R-PP also describes "uneven bargaining power between different interest groups" (p. 28) as a key challenge in Liberia, efforts will be needed moving forward to develop feasible strategies to overcome the inter-sectoral conflicts identified in the R-PP.

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

LIBERIA   *(R-PP dated 30 May 2011)*

The R-PP is less clear about how sub-national government will be engaged in REDD+ activities. It appears that District and Traditional Authorities will be consulted through the Regional Forest Offices of the REDD+ Technical Working Group (p. 18). However, the R-PP also states that capacity gaps in recently decentralized forest authority may necessitate more leadership from the central government in REDD+ implementation (p. 91). Thus, it remains unclear whether sub-national government authorities will play a significant role in implementing REDD+ activities, or whether REDD+ will be leveraged to build their capacity.

Recommendations:

- Describe decentralized management structures and the role of local and regional government in REDD+ implementation
- Discuss the level of authority afforded to the FDA and EPA vis-à-vis sectoral ministries and identify specific challenges for REDD+ stemming from power imbalances

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

The R-PP proposes four options for managing REDD+ revenues: direct transactions between international sources and projects, an independent fund, a state-administered fund, and state agency budgets (p. 88). While it makes general commitments to legitimacy and transparency in REDD+ revenue management, it does not yet propose specific measures to achieve these objectives. However, the R-PP does briefly mention several existing financial structures and procedures that could be utilized for REDD+, including the Liberia Extractive Industries Transparency Initiative and the Public Procurement and Concessions Act (p. 88). The R-PP proposes a study to investigate how these existing revenue transparency arrangements could be adapted for REDD+ (p. 69).

Issues related to benefit sharing are discussed throughout the R-PP, and have already been a key topic of concern during preliminary consultations on REDD+ (p. 31-32). Although visions of a REDD+ benefit sharing systems remain general at this stage, the R-PP states that any system should be pro-poor and equitable, and suggests the need for independent monitoring of benefit distribution (p. 69). It also identifies potential risks, such as land grabs and conflicts among indigenous and rural populations (p. 93). Finally, the R-PP also describes several ongoing initiatives to promote equitable sharing of forest revenues that could be leveraged for REDD+, including the Benefit Sharing Working Group (p. 24) and Social Agreements between forest concessionaires and communities (p. 57). However, the R-PP states that these initiatives have been hindered by "implementations delays" (p. 57). Although the R-PP does not elaborate on the reasons for these delays, it does state that REDD+ systems should learn from current challenges (p. 97). The R-PP proposes several activities to prepare a "concept benefit distribution system" (p. 98), but does not lay out a concrete process for developing this system or for engaging relevant stakeholders in its design.

Recommendations:

- Discuss how challenges of implementing new social agreements and benefit-sharing systems will be addressed in the design of REDD+ benefit sharing arrangements
- Describe the capacity of existing systems of revenue management and disbursement in the forest sector and identify challenges that will need to be addressed for management of REDD+ funds

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

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

(🟧) – *The R-PP or NPD has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*

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

LIBERIA   *(R-PP dated 30 May 2011)*

The R-PP proposes several interesting strategies for ensuring transparent and participatory monitoring of REDD+ implementation, although the level of detail provided on how these strategies will be developed and implemented remains low at this stage. The R-PP proposes to establish a centralized data management system that will promote access to information, and suggests accountability measures such as domestic and international expert review and assessment of the monitoring system (p. 123-124). The R-PP also proposes to establish a "governance baseline" and states that efforts to monitor governance challenges will attempt to track "change in carbon stocks resulting from governance interventions" (p. 128). A multi-stakeholder committee that includes community organizations, NGOs and the private sector is proposed for designing the monitoring system, including country-specific selection of indicators that could be based on the REDD+ Social and Environmental Standards (p. 127).

Several mechanisms for oversight of specific components of REDD+ implementation are also proposed. The National Climate Change Secretariat will be responsible for overall monitoring and evaluation of activities (p. 133). As part of monitoring of social, environmental and governance impacts, the R-PP proposes to create a participatory monitoring system to allow stakeholder review of monitoring reports (p. 128). Furthermore, community monitoring mechanisms are suggested for monitoring ground level activities and improving overall transparency and effectiveness of REDD+ implementation, although it is unclear whether the R-PP budget allocates dedicated resources for these efforts.

Recommendations:
- Propose specific mechanisms by which the proposed information management system will facilitate public access to information on REDD+.
- Elaborate on how communities will be engaged in monitoring efforts, and whether capacity building will be necessary

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

Land and forest tenure

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

The R-PP states that unclear land tenure and related conflict are significant problems in Liberia. However, the R-PP's discussion of the nature and origin of these problems – in either law or practice – is somewhat unclear. The R-PP states that the legal framework recognizes public, private and customary uses of land, but that the recognition of customary rights is "inadequate" (p. 55). For example, the R-PP notes that the state has "asserted public ownership of large areas of land occupied by traditional communities, who regard this land as in some sense their own" (p. 55). The R-PP states a Community Rights Law has been created to empower communities to seek recognition of their forest rights; however, the law is not yet operational and the R-PP does not provide any specific details on what the law will do (p. 65). The R-PP states that conflicts relating to overlapping land claims are common, and that the court system has been unable to handle the volume of disputes. It further notes that REDD+ could exacerbate these challenges (p 61). The R-PP states that a new Lands Commission is tasked with coordinating land policies and initiating potentially significant reforms, and may also play a role in resolving land conflicts (p. 65).

Despite the magnitude of these challenges, there is only one proposed activity (with corresponding budget) relating to land tenure and property rights in all of Component 2 of the R-PP: a "study on carbon ownership and tenure in the context of Liberia" (p. 98). None of the proposed REDD+ strategy options seek to address tenure related challenges. This lack of emphasis on clarifying land tenure and addressing conflict through REDD+ may originate from the R-PP's assertion that: "As long as the current distinction between state and non-state forest land which currently applies to timber resources is maintained for sequestered carbon, the lack of clarity of land ownership should not affect development of a REDD+ program in the short to medium term" (p. 89).

Recommendations:
- Develop proposals to address land conflicts and clarify land tenure through the REDD+ strategy
- Explain the goals and key provisions of the Community Rights Law
- Provide additional detail on the capacity and mandate of the Lands Commission

Forest Management

+	*Discusses the ability of forest agencies to plan and implement forest management activities*

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

(🟧) – *The R-PP or NPD has mentioned the issue but not discussed it in detail and has not provided concrete next steps.*

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

LIBERIA   *(R-PP dated 30 May 2011)*

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

The R-PP discusses a host of capacity challenges that impact the FDA's ability to effectively manage Liberia's forests and their resources. Corruption and poorly trained staff are cited as key capacity constraints contributing to deforestation and forest degradation (p. 57, 61). While the R-PP states that efforts have been made through the NFRL to broaden forest management activities to non-government users, it provides relatively little detail on the extent to which communities are involved in forest management. The R-PP mentions that Community Forestry Development Committees have been established to assist in forest management activities, but does not further elaborate on the effectiveness of these structures (p. 24). Commercial forestry activities have been scaled up through establishment of timber concessions, timber sales contracts and private use permits, although overemphasis on commercial forest use is also cited as an underlying cause of forest loss (p. 51, 61). With respect to REDD+, the R-PP states that "there is no assessment of whether Liberia has the capacity to manage such a complex and demanding set of forest management arrangements" (p. 64). However, it does not propose to conduct such an assessment during readiness preparation. Capacity building activities proposed by the R-PP focus on improving technical capacity of forest actors – e.g., to improve commercial logging standards – rather than addressing identifies challenges related to corruption or staff capacity.

Recommendations:
- Make plans to conduct a capacity needs assessment for forest management activities
- Propose concrete strategies to address identified government staff capacity needs during REDD+ implementation

Forest Law Enforcement

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

The R-PP cites several challenges for law enforcement in Liberia, including corruption, lack of forest monitoring capability, and weak capacity to address unregulated logging (p. 61). The R-PP provides information on several recent law enforcement reforms under the NFRL, including expanding the FDA's enforcement powers and responsibilities (p. 93) and implementing a Chain of Custody monitoring system. Although some of these reforms have been operational for several years, the R-PP does not discuss whether or not the reforms have been effective in improving law compliance or enforcement. The R-PP proposes a study to review the legal context for REDD+ and law enforcement issues, which will include consultation with forest dependent communities and law enforcement agencies such as the FDA and the police (p. 98). Furthermore, the R-PP does not propose any additional measures to address identified law enforcement challenges under the REDD+ strategy or implementation framework. It does, however, propose to conduct a "review of the legislative context for REDD+ and issues relating to law enforcement," which will include consultations with forest dependent communities and law enforcement agencies (p. 98).

Recommendations:
- Discuss the effectiveness of reform efforts targeted at improving law enforcement efforts of the FDA
- Propose REDD+ strategy options to address identified challenges such as corruption and weak capacity

Other Forest Governance Issues Relevant for REDD+

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

The R-PP states that REDD+ should include a focus on forest governance, noting that Liberia has put in place a framework for good forest governance that "could be adapted to carbon" (p. 57). However, the R-PP does not clearly define what is meant by forest governance, pinpoint specific challenges, or propose strategy options related to governance issues.

Recommendation:
- Elaborate on the meaning of "good forest governance" in the context of REDD+ in Liberia

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

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

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

Stakeholder Participation in REDD+ planning and Implementation

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

The R-PP suggests that preliminary efforts to raise awareness about REDD+ and solicit views from stakeholders have been quite extensive, particularly with respect to reaching forest dependent people. To achieve these "expanded" consultations, additional resources and support were provided by the Norwegian Government and several NGOs (p. 36). The R-PP summarizes key outcomes from the consultations and identifies seven categories of stakeholders that were directly consulted: ministries, development partners, NGOs, the private sector, forest dependent people, academia, and research institutions (p. 39).

With respect to future stakeholder engagement, the R-PP describes key objectives and desired outputs from the Consultations and Outreach Plan (REDD-C&P) and Awareness and Communication Strategy (RACS) that will be developed during R-PP implementation (p. 43-47). It further states that the National Technical Committee and REDD+ Steering Committee will ultimately be responsible for incorporating stakeholder feedback into REDD+ strategy options (p. 47). However, the R-PP does not identify any specific strategies or approaches that could be used to achieve stated objectives and outputs. As a result, the R-PP's commitment to transparency and accountability at this stage remains fairly general.

The R-PP's discussion of conflict resolution and grievance mechanisms is relatively thorough. It anticipates potential conflicts that may arise under REDD+ (i.e., at field, institutional, and policy levels), describes existing grievance mechanisms relating to natural resource management, and discusses potential additional mechanisms for REDD+ (p. 48-49). Furthermore, it provides a schedule and budget for developing a "Conflicts and Grievances Management Strategy" to identify and mitigate potential conflicts and build capacities for conflict resolution (p. 49). The Strategy will be linked to the SESA.

Recommendations:
- Identify past/existing stakeholder processes in Uganda that provide relevant lessons or that could be leveraged for proposed REDD+ consultations
- Begin identifying specific strategies/approaches for ensuring transparency and accountability in the consultation process

Government coordination in REDD+ planning and implementation

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

The R-PP repeatedly emphasizes the importance of integrating REDD+ strategies across sectors and promoting institutional coordination. It assigns specific responsibilities for coordination to various institutions. The National Policy Committee on the Environment, which is housed in the Prime Minister's office, is tasked with high-level policy harmonization for REDD+ (p. 22). In addition, the REDD-Plus Steering Committee is tasked with resolving conflicts between institutions (p. 18). Both of these bodies have multi-sector representation. At this stage the R-PP does not identify any specific sector policies that may be a barrier to REDD+, even though agricultural expansion and energy demand are generally identified as important drivers of deforestation (p. 63, 65, 70).

The R-PP identifies district level government as important actors in REDD+ due to Uganda's decentralized system of forest management (p. 21). According to the R-PP, preliminary consultations with district political and technical leadership have already been carried out, but it is not clear from the R-PP what type of role district actors will play in REDD+ moving forward. Currently, there is one district government representative on the REDD+ Steering Committee. Although the R-PP states that "Districts were represented in the REDD-Plus Working Group" (p. 21), it is not clear from the provided list of participants (p. 162-163) who the

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representatives were.

Recommendation:
- Discuss the relationship between key sector policies in agriculture and energy, and proposed REDD+ strategies
- Discuss the role for district actors in R-PP and REDD+ strategy implementation, and how they will be engaged

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

The R-PP's consideration of issues relating to REDD+ revenue management is preliminary at this stage; however, several studies and next steps are proposed to investigate options for fund management and financial incentives delivery (p. 99). The R-PP states that the Ministry of Water and Environment will have the mandate to receive, manage, and account for REDD+ investments from international sources (p. 97). The R-PP also describes, in very general terms, a commitment to transparency and accountability for REDD+ investments. For example, it states that transparency and accountability will be promoted through the application of "REDD-Plus Guidelines and Standards" (which are not further described in the R-PP), oversight from the REDD-Plus Steering Committee, and "systems for regular reporting, communication and participatory planning" (p. 97-98). Specific tools, such as the use of independent audits, are not mentioned.

The R-PP's consideration of how REDD+ revenues and other benefits will be shared is also very limited at this stage. The R-PP mentions at several points that existing benefit sharing mechanisms in forest management have been inadequate (p. 70, 80), but does not elaborate reasons for this. It further states that a benefit sharing mechanism for REDD+ must be developed to provide a "sufficient incentive to all stakeholders" (p. 76), and it proposes a study to review existing benefit sharing arrangements and potential options for REDD+ (p. 85).

Recommendations:
- Discuss current practices of the Ministry of Water and Environment regarding financial transparency and accountability
- Provide additional detail on potential benefits and beneficiaries anticipated under REDD+, and describe how potential benefit sharing options will be developed and considered in consultation with relevant stakeholders

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

The R-PP proposes to create a comprehensive monitoring system and information database on deforestation, forest governance and new funding mechanisms (p. 20). In particular, it proposes to develop a system that tracks "key governance issues pertinent to implementation," although it does not elaborate on which aspects of governance might be relevant in this context (p. 132). As the National REDD+ National Focal Point, the Forest Sector Support Department (FSSD) will be responsible for monitoring R-PP implementation. However, the R-PP does not identify a monitoring or oversight mechanism that will be independent from the agencies responsible for R-PP implementation.

The R-PP notes the need for transparency and public disclosure of information (p. 73), and states that a REDD+ monitoring system should enable and encourage other research organizations to use the information (p. 126). However, it does not describe in practical terms how public access to information will be promoted through specific measures or mechanisms.

Recommendations:
- Consider developing monitoring and oversight mechanisms that are independent from REDD+ implementation
- Elaborate on the specific governance issues that will be relevant for REDD+ implementation

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

Land and forest tenure

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UGANDA   *(R-PP dated May 2011)*

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

The R-PP provides useful detail on the various categories of land tenure in Uganda, and their implications for deforestation and degradation. However, the R-PP does not provide a clear picture of how secure land tenure is in practice, especially for forest dependent communities. For example, it mentions that significant areas of land are under customary tenure; however, this land is "generally not officially survey or registered" (p. 54). Similarly, the R-PP states that community forests can be owned by Communal Land Associations (CLA), but few community groups have managed to complete the CLA application process and none have been endorsed by the minister (p. 58). Finally, the R-PP frequently references the existence of conflicts over forest resources (e.g., p. 14, 42, 58, 70), but does not describe the capacity or effectiveness of existing dispute resolution and recourse mechanisms, such as the land tribunals and judicial system (p. 48).

The R-PP does not elaborate on the origins or implications of these challenges. Further, it is not yet clear whether the proposed REDD+ strategy options relating to tenure (i.e. to clarify property rights to land and trees and to assess forest and carbon rights of forest dependent people) will seek to address them (p. 87-88). The R-PP does make brief reference to the current process to develop a new Land Policy (p42 and Appendix 2, p. 17), which may have bearing on these issues, but more detail is needed to understand the potential implications.

Recommendations:

- Elaborate on the Land Policy drafting process, including changes to existing tenure arrangements and potential implications for implementation of REDD+ strategies
- Provide detail on the capacity and effectiveness of existing dispute resolution and recourse mechanisms
- Consider additional REDD+ strategy options to address issues such as low levels of registration of customary lands and community forests.

Forest Management

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

The R-PP provides a relatively thorough discussion of the current forest management situation in Uganda. Table 20 (p. 77) outlines the mandates and roles of various national and local institutions, including communities, in forest management. The R-PP also describes several key implementation challenges, such as poor record-keeping for timber permits, lack of national standards for timber harvesting and processing, and inadequate access to information (p. 77). As a result, only 12 of 506 forest reserves have management plans, most of which are still not implemented (p. 69). Similarly, efforts to implement community forest management systems have also been slow due to time consuming negotiation processes, inadequate benefit sharing provisions, and high operational costs (p. 80).

The proposed REDD+ strategy options to address these challenges include interventions such as improving forest management planning/zoning, strengthening timber tracking systems, assessing options for increased private sector engagement in forest management, and assessing options to improve existing community forest management programs (p. 87-89). Moving forward with R-PP implementation, these options will need to be elaborated into more specific strategies to address the barriers to implementation that have stymied past efforts to strengthen forest management systems.

Recommendation:

- Propose additional studies or activities to address capacity constraints for both government and community actors involved in forest management

Forest Law Enforcement

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

The R-PP identifies illegal encroachment and timber harvesting as key challenges in the forest sector, and states that weak law

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UGANDA   *(R-PP dated May 2011)*

enforcement – characterized by lack of capacity and coordination – was a major barrier to the implementation of the 2002 National Forest Plan (p. 82). The R-PP also describes ongoing efforts to improve law enforcement, including the recent creation of a Green Police unit (p. 66, 70), although few additional details are provided. Corruption is briefly cited as contributing to these challenges, but the R-PP does not elaborate on the nature of corruption in the forest sector (p. 69).

The R-PP proposes additional studies to identify solutions to current law enforcement challenges and to develop methods to curb corruption (p. 76). It also identifies several institutions that should collaborate on these efforts – the Forest Sector Support Department, the Regional Environment Support Units, and the newly formed Green Police. However, at this stage the proposed REDD+ strategy options relating to law enforcement are very general and vague, i.e. "strengthen law enforcement capacities and measures" (p. 87, 90).

Recommendations:
- Provide additional discussion of corruption challenges in the forest sector
- Elaborate on REDD+ strategy options to strengthen law enforcement

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

The R-PP discusses efforts to address forest governance issues such as increasing community and citizen participation in environmental decision-making and natural resource management (p. 79). General weaknesses in policy implementation, law enforcement and "mismanagement of institutional mandates" are noted (p. 74), as well as the fact that decentralization policies in the 1990s occurred without sufficient capacity-building for local authorities (p. 79). The R-PP includes a terms of reference for "Strengthening National Capacity and Readiness for REDD-Plus" that outlines a range of governance issues to be addressed, including a capacity needs assessment (p. 164).

Recommendation:
- Provide additional detail in the capacity building terms of reference for how identified local capacity constraints will be targeted and addressed

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