

Getting Ready with Forest Governance:

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

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Suggested Citation: Williams and Davis. 2011. 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, v 1.8. WRI Working Paper. World Resources Institute, Washington DC. Online at <http://www.wri.org/publication/getting-ready>

October 2011, Version 1.8

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INTRODUCTION

The World Bank administered 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 eighth 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 to the UN-REDD Programme. The analysis is based on a desktop review of each R-PP and NPD in order to understand how countries are considering fundamental issues of forest governance during the readiness phase. We assess whether the documents identify major governance challenges contributing to forest loss, and whether principles of transparency, accountability, participation, and coordination are being applied in the development of REDD+ institutions, systems, and plans.

The 7th meeting of the UN REDD Programme Policy Board and the 10th meeting of the FCPF Participants Committee will be held in Berlin, Germany, from 13-14 October and 17-19 October, respectively. This paper evaluates R-PPs from Central African Republic and Colombia submitted for formal consideration by the FCPF Participants Committee. Draft R-PPs from Guatemala and Mozambique were submitted for informal review, but are not analyzed in this paper. We also review Nigeria's NPD, which will be considered for funding by the Policy Board. Analyses of previously submitted R-PPs and NPDs can be accessed online at: <http://www.wri.org/publication/getting-ready>.

OBJECTIVE FOR REVIEWING R-PPs AND NPDs

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

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 to evaluate preliminary steps toward readiness preparation, 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 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-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.

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\$200 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.¹

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 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 \$96 million has been committed to the UN-REDD Programme to date, of which nearly \$80 million has been allocated to support pilot and partner country National Programmes and the UN-REDD Global Programme. As of March 2011, over \$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 13 pilot and partner countries have been approved, with 10 countries currently in the implementation phase.

¹ Forest Carbon Partnership Facility. “Readiness Preparation Proposal Draft Template v. 5.” (December 22, 2010).

ANNEX 2: REVIEW METHODOLOGY

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

ANNEX 3: R-PP REVIEW TABLES

CENTRAL AFRICAN REPUBLICⁱ

(R-PP dated 28 September 2011)

GOVERNANCE OF REDD+	
<i>To what extent does the R-PP promote good governance within REDD+ systems and processes?</i>	
Stakeholder Participation in REDD+ planning and implementation	
+	<i>Identifies relevant stakeholders for REDD+</i>
	<i>Specifically considers how to engage local stakeholders</i>
	<i>Proposes a transparent process for stakeholder participation</i>
	<i>Proposes a process to ensure accountability for stakeholder input</i>
	<i>Proposes a grievance / dispute resolution mechanism</i>
+	<i>Considers how to learn and build from other relevant participatory processes</i>
<p>The consultation plan outlined in the R-PP indicates an effort to consult a broad range of stakeholders in REDD+ readiness activities. Specifically, the R-PP identifies six target groups for REDD+ consultations, including key actors from civil society, private sector, and government. The R-PP acknowledges the challenge of conducting consultations across local and national scales, and proposes to engage national NGOs to facilitate these efforts (p.35). The plan also identifies and builds upon lessons learned from past experiences with stakeholder consultation in CAR (e.g. the FLEGT VPA process), such as the importance of conducting separate workshops for each stakeholder group, providing information to local stakeholders, and ensuring proper facilitation for local groups (p.19-20). Among other outcomes, the REDD+ consultations are expected to result in the development of a specific policy for involving indigenous peoples and forest-dependent communities in REDD+ and safeguarding their interests (p.36). Although the R-PP provides a general timeline for these activities, the plan could be strengthened by including more detailed schedules and a clearer articulation of measures to ensure transparency and accountability in the consultation process.</p> <p>In addition to consultation, REDD+ stakeholders will be able to elect representatives to the National REDD+ Committee (CNREDD+) (p.12). For example, the CN-REDD+ will include two representatives from NGOs and four representatives of indigenous peoples. According to the R-PP, the CNREDD+ will be responsible for resolving stakeholder grievances. Grievances are to be identified by the REDD+ Technical Coordination body (CTREDD+) and forwarded to the CNREDD+ for resolution (p.36). However, since CTREDD+ is also responsible for day-to-day implementation of REDD+ activities, this may present a conflict of interest.</p> <p>Recommendations:</p> <ul style="list-style-type: none"> • Provide more detailed strategies for ensuring transparency and accountability in REDD+ consultation processes • Propose an independent process for submitting grievances to the CNREDD+ 	
Government coordination in REDD+ planning and implementation	
+	<i>Considers REDD+ in the context of other sector policies, land use plans, and national development plans</i>
+	<i>Proposes mechanisms to coordinate REDD+ across sectors</i>
	<i>Proposes mechanisms to coordinate REDD+ across levels of government</i>
<p>The R-PP stresses the importance of aligning existing sector policies with REDD+, and notes that weak planning and coordination across sectors is an ongoing challenge for CAR (p.48). The R-PP acknowledges that past national development strategies to reduce poverty and improve agricultural practices have not adequately considered environmental issues (p.42). It also states that cross-sector coordination is weak, partially due to the lack of integrated land use planning. In order to facilitate cross-sector coordination for REDD+, the CNREDD will include representatives from relevant sectors (e.g., agriculture, finance, and planning). In addition, the proposed REDD+ strategy options seek to improve cross-sector coordination in practice by implementing countrywide land use planning and zoning (p.62-63). The R-PP does not include a detailed discussion of how tradeoffs between competing land uses and development priorities will be managed through this process.</p> <p>According to the R-PP, coordination with local government will be achieved primarily through establishment of “Comités interprefectoraux” for each of CAR’s 16 prefectures. These entities are tasked with ensuring local implementation of REDD+ and communication with national REDD+ entities (p.13). The R-PP does not elaborate on the existing roles or capacity of local</p>	

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

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government with regards to forest management, or discuss existing coordination challenges between local and national levels. It is also not clear from the R-PP the extent to which local governments have been engaged with or feel ownership over REDD+ activities to date.

Recommendations:

- Provide more detail on the composition and capacity of the proposed Comités Interprefectoraux
- Propose a process and strategy for managing potential trade-offs between REDD+ and other national development priorities

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

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

The R-PP proposes to create a REDD+ window in the National Environment Fund (FNE) to manage all international finance for REDD+. Although the legal framework for the FNE was established under the Environmental Code in 2008, the R-PP is unclear about whether the FNE is yet operational (p.15). The R-PP states that the FNE is housed in the Ministry of Environment and Ecology and has a management committee that provides oversight (p.15). The R-PP states that the National Treasury Committee (CNT), a government body that oversees management of state funds, can provide an additional level of transparency for the FNE. The R-PP also states that the FNE will submit financial reports to the CNREDD+ (p.15), but does not establish how frequently reports will be submitted or whether the FNE will be subject to independent auditing.

The R-PP identifies a range of actors such as private entities, local communities and territorial authorities as potential REDD+ beneficiaries, but does not articulate a process for developing REDD+ benefit sharing arrangements. The R-PP also describes some existing challenges in current revenue management and collection systems, including weak capacity to collect forest taxes and low capacity of local government to develop budgets and proposals necessary to access central government funds (p.76). The R-PP does not discuss the potential implications of these challenges for potential benefit sharing and revenue distribution arrangements under REDD+.

Recommendations:

- Propose a participatory process to clarify financial management and benefit sharing arrangements
- Clarify whether the FNE is operational and discuss the Fund's transparency, accountability, and effectiveness

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's discussion of monitoring and oversight for REDD+ is relatively weak. Despite broad recognition of the need for public outreach, the R-PP does not propose any dedicated systems for public disclosure of information on REDD+. The R-PP states that the REDD+ Technical Coordination (CTREDD) will monitor implementation of REDD+ in CAR (p.16); however, the CTREDD is also identified as the REDD+ "implementing entity" and therefore cannot provide independent oversight. The FLEGT independent observer is identified as a potential mechanism for quality control of monitoring data (p.109), but broader independent oversight mechanisms are not proposed.

The R-PP proposes to monitor impacts of REDD+ strategy options – including activities to strengthen governance – through development of criteria and indicators (p.114). However, the R-PP does not provide specific details on what governance aspects would be monitored or present a plan for developing governance monitoring approaches. Furthermore, the budget and schedule for Component 4b (i.e. on "Multiple Benefits, Other Impacts and Governance") is missing from the R-PP.

Recommendations:

- Propose an information management system that will facilitate public access to information on REDD+
- Explore options for independent REDD+ oversight, including a role for the FLEGT Independent Observer
- Elaborate on the specific governance issues relevant for REDD+ implementation that will be monitored

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

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(R-PP dated 28 September 2011)

- Add a budget and schedule for Component 4b on Multiple Benefits, Other Impacts and Governance

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 does not provide a thorough discussion of the current situation regarding forest tenure, or propose strategies for strengthening forest tenure security. The state is presumed to own all land that is not registered (p.73). Due to the cost and complexity of registration, most communities practice customary tenure rights without formal recognition by the government (p. 73). The R-PP states that under REDD+, the government should facilitate the recognition of customary rights, but does not suggest how this might be accomplished. It does note that the Agriculture and Livestock Code is currently being reformed to facilitate community access to land and streamline the registration process. However, the code also includes provisions for underexploited land to be consolidated under the public domain (p.74), which may have negative consequences for community lands not currently under productive use. The R-PP notes that a new REDD+ law could enhance recognition of community rights and proposes a study to understand existing weaknesses of the legal framework with respect to land tenure (p.74;83). The CTREDD also has a thematic group on tenure, although no information is provided on the type of work the group will do.

Recommendation:

- Provide a thorough discussion of the tenure situation on the ground, including barriers and strategies for achieving tenure security for forest communities

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 forest management activities and challenges in CAR. According to the R-PP, lack of human and financial resources within the government currently pose major challenges for sustainable management of forests and present an obstacle for REDD+ implementation (p.47). One of the proposed REDD+ strategy options is to build government capacity on forestry at all levels (p.70).

The R-PP also broadly acknowledges a role for communities in forest management, although it does not provide a clear description of existing community forestry arrangements in law and in practice. The R-PP does state that communities face obstacles such as lack of access to information, lack of employment opportunities in logging operations, and forest fee systems that do not deliver benefits (p.48). Similarly, the R-PP notes that civil society in CAR lack tools to effectively engage on forestry issues (p.70). Proposed REDD+ strategy options include efforts to strengthen participatory forest management approaches by promoting community involvement in forest planning activities, improving community access to revenues from forest taxes and fees, developing alternative income generating activities, and building civil society capacity on forestry (p.66-67; 70). The R-PP does not elaborate more detailed strategies or approaches for achieving these objectives.

Recommendation:

- Provide a more thorough discussion of the legal framework for community forest management and the situation of community forest management in practice

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 hunting, illegal harvesting, and nonpayment of taxes as key challenges facing forest law enforcement in CAR, which are partly resulting from weak law enforcement capacity (p. 47). According to the R-PP, law

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enforcement entities lack sufficient numbers of trained field staff; for example, there are only 26 forest rangers in the country to perform field inspections (p.47). The R-PP notes that recently implemented transparency measures for timber permit allocation have reduced illegality and corruption (p.46), and that the establishment of an independent observer as part of the FLEGT VPA process has provided some additional oversight for the forest sector. However, the R-PP does not identify a potential role for the independent observer in REDD+ implementation. REDD+ strategy option 4.2 proposes some capacity building measures, including training of forest rangers (p. 69). However, the R-PP does not propose additional measures to address the range of law enforcement challenges identified or to reduce instances of corruption.

Recommendations:

- Clarify the mandate of the FLEGT Independent Observer and how this entity could be involved in REDD+
- Consider additional REDD+ strategy options to address identified law enforcement challenges

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 identifies weak governance as a major challenge facing CAR's forest sector. In particular, the R-PP cites lack of institutional capacity and financial resources as underlying factors contributing to forest loss (p.16). Noting that capacity issues pose a major barrier to successful REDD+ implementation, proposed REDD+ strategies include "institutional and governance strengthening" (p.68). Proposed activities include improved training for forest rangers and dedicated capacity building programs for government administration in charge of assessing environmental impacts and collecting forest taxes (p.69)

Recommendation:

- Conduct a capacity needs assessment in order to refine proposed capacity building activities

ⁱ Documented page numbers are from the final French Version of the R-PP, which can be accessed online at:

http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/Sep2011/RPP_RCA_Soumission_Septembre_28_2011.pdf

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COLOMBIA

(R-PP dated 27 September 2011)

GOVERNANCE OF REDD+

*To what extent does the R-PP promote good governance within REDD+ systems and processes?***Stakeholder Participation in REDD+ planning and implementation**

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

The R-PP contains a detailed stakeholder analysis that emphasizes a rights-based approach to REDD+ and adapts consultation strategies to each stakeholder group. Objectives of the consultation plan include development of a protocol for free, prior and informed consent (FPIC), improved capacity of communities to participate, and enhanced coordination of public institutions (p.60-61). In order to achieve these goals, the R-PP proposes capacity building, training and public communication activities with key stakeholder groups such as indigenous peoples, Afro-Colombian communities, regional and local governments and NGOs. Tailored approaches to consultation will be developed for each interest group and major region of the country. The R-PP also proposes a schedule and locations for further dialogue with indigenous communities (p.45-47), and the creation of indigenous and Afro-Colombian advisory bodies to provide inputs to the REDD+ Interdisciplinary Working Group (IWG) (p.19). The R-PP also lists existing consultation bodies and the policy processes in which they participate for each type of REDD+ stakeholder group (p. 65-66), although it does not discuss specific lessons from these processes or how REDD+ might build on these existing bodies.

The R-PP describes discussions and stakeholder feedback received from consultations held to date, particularly noting concerns of local communities (p.45; 52-58). A website for posting drafts of the R-PP and an email address for R-PP comments have been created to facilitate incorporation of stakeholder views (p. 60). The R-PP states that work is underway to define procedures for conflict resolution, and proposes to use existing institutions such as the Ministry of Environment and the Ministry of Interior to handle REDD+ complaints (p. 67). The R-PP does not elaborate on whether these existing mechanisms will require specific capacity-building efforts or possess the relevant expertise to address REDD+ complaints.

Recommendation:

- Discuss how REDD+ efforts can build on the existing consultative bodies and institutions listed in the R-PP
- Identify capacity-building needs for institutions tasked with handling complaints arising from REDD+ processes

Government coordination in REDD+ planning and implementation

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

The R-PP contains a detailed discussion of the links between REDD+, broader climate change and national development policies, and sector policies. It also identifies potential conflicts between development plans and potential REDD+ strategies. For example, the 2014 National Development Plan promotes sectors that directly cause deforestation, such as mining, agriculture, and infrastructure (p. 89). The REDD+ strategy proposes options to address these conflicts, including efforts to minimize development impacts on ecosystems and explore incentives that promote alternatives to deforestation (p.105). The R-PP proposes future studies to analyze the relationship of key sectors with deforestation as well as an “analysis of tradeoffs among different land uses” (p.92).

REDD+ management will be situated within the broader context of climate change policy in Colombia, which is overseen by an Executive Committee on Climate Change (COMECC). The COMECC is comprised of members from relevant government ministries, including those in charge of agriculture, mining, environment and transport (p. 14). The R-PP states that the COMECC plays a coordinating role and will not override the power of the individual ministries (p.15). It is unclear whether there is sufficient support at the ministry level to implement the proposed sector reforms identified by the REDD+ strategy options.

A REDD+ Interdisciplinary Working Group (IWG) will be the main coordination body for REDD+, with membership from environmental and agriculture ministries, academia, NGOs, and forest communities (p.18). The R-PP does not identify a role for

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actors from infrastructure, mining, or other sectors on the IWG, despite describing these sectors as key participants in the development of REDD+ strategies. Regional and thematic advisory groups will also be created to provide input into the REDD+ IWG (p.18-19). The R-PP notes that development of regional and local advisory groups will require training and capacity-building efforts, and includes a preliminary budget and schedule for these activities (p. 20).

Recommendation:

- Expand the membership of the REDD+ IWG to include representatives from other sectors that impact forests (e.g., mining, infrastructure)

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

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

The R-PP proposes to conduct analysis of opportunity costs and financial mechanisms while developing the REDD+ Strategy. According to the R-PP, The Ministry of Environment and Sustainable Development and the Ministry of Foreign Affairs will be responsible for international financing, and the Ministry of Finance and the National Planning Department will be responsible for determining the benefit distribution structure (p.94). The R-PP provides no additional information about how these institutions will manage REDD+ financing or what fiscal transparency measures will be put in place. The overall climate change strategy establishes a national Financial Management Committee (p.15), but the R-PP does not clarify whether this entity will play an oversight role in REDD+ financial management.

The R-PP lists several approaches to creating financial incentives for forest protection, such as reforestation incentives and a national strategy on payments for environmental services (p. 209-210), although it does not discuss the effectiveness of these tools. The stakeholder mapping in Annex 1b of the R-PP identifies some potential REDD+ beneficiaries, such as indigenous, Afro-Colombian, and peasant communities (p.175-177). The R-PP also lists equitable sharing of benefits as a core topic to be addressed through stakeholder consultations (p.64).

Recommendations:

- Propose specific transparency and accountability measures for REDD+ financial mechanisms

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 a national information and monitoring system (p.68). The Institute of Hydrology, Meteorology and Environmental Studies of Colombia (IDEAM) designed a web tool to enable consolidation of information on REDD+ projects, spatial information, and consultation activities (p.138). The R-PP notes that these approaches can facilitate validation and individual monitoring activities. Furthermore, the R-PP states that entities such as ombudsman and citizen control groups can play a role in enhancing the governance and transparency of REDD+ (p.65). The R-PP does not propose any specific activities to support these mechanisms, thus it is unclear how this type of independent oversight will be supported and linked to REDD+. Other oversight mechanisms include external auditing to take place as part of the R-PP's monitoring and evaluation framework (p.154).

The R-PP proposes to monitor governance as part of efforts to monitor and evaluate social and environmental impacts (p.116), although there is no detail on the types of governance issues that will be monitored. Some additional governance-related issues such as land tenure, benefit distribution, and conflict resolution are also listed as factors to be considered when identifying and monitoring potential social impacts of REDD+ (p.117). The system for monitoring social and environmental impacts will feed into the broader national REDD+ monitoring system as well as existing information systems such as Colombia Environmental Information System (p.135).

Recommendation:

- Provide additional detail on the governance issues that should be monitored as part of the SESA and ESMF process

GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS

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*To what extent does the R-PP consider key forest governance challenges for achieving REDD+?***Land and forest tenure**

Discusses the situation regarding land and forest tenure, including for indigenous peoples

- Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens

Links identified governance challenges to proposed REDD+ strategy options and implementation framework

The R-PP describes the tenure situation for communities and land conflicts on the ground as significant challenges that require tenure reform before other land policy solutions can be realized (p.97). Despite this recognition, the R-PP does not include a detailed discussion of the legal framework for tenure. For example, the R-PP states the number of collective titles or indigenous territories in each region of the country, but does not thoroughly discuss processes for titling or establishing secure tenure for communities. In many cases Afro-Colombian communities have collective ownership rights to vacant public lands, with Community Councils that perform internal land administration functions (p. 26). The R-PP notes that some Afro-Colombian and indigenous communities do not yet have legal title, but does not explain how titles could be obtained (p.34).

The R-PP describes some existing land conflicts created by resettlement and displacement policies (p. 96), as well as overlap between mining and collective territories (p. 107). However, the proposals to address tenure issues and land conflicts propose limited solutions rather than comprehensive tenure reform. For example, the R-PP proposes strategies to mitigate mining impacts, but does not propose mechanisms for addressing overlapping land claims. Strategies to address resettlement issues suggest standardizing information on “unoccupied land and other forms of land tenure in the country” (p. 100), although it is not clear how improved information will contribute to conflict resolution.

Recommendations:

- Include a thorough discussion of the legal framework for tenure and the situation on the ground for the different categories of forest communities

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 general overview of the institutional, legal, and policy framework for forest management. The Ministry of Environment, Housing and Territorial Development is responsible for environmental issues, including development of forest policies and plans to reduce deforestation such as the National Forestry Development Plan (p.90) The R-PP lists several other actors involved in forest management activities, such as autonomous regional corporations, sustainable development corporations, and urban environmental authorities (p. 204-205). These groups are responsible for actions to reduce deforestation such as illegal logging control and forest management (p. 204). Districts, municipalities, and indigenous territories are also described as having authority to implement environmental and forest conservation plans and issue rules to control deforestation (consistent with Ministry and regional guidelines) in their jurisdictions (p. 205). While the major actors are identified, there is no discussion of the capacity or specific responsibilities of these organizations. Proposed REDD+ strategy options do not identify specific strategies related to forest management activities or institutions.

Recommendation:

- Provide a more detailed discussion of the capacity of the institutions responsible for carrying out forest management activities

Forest Law Enforcement

Discusses the ability of law enforcement bodies to effectively enforce forest laws

Discusses efforts to combat corruption

+ Links identified governance challenges to proposed REDD+ strategy options and implementation framework

The R-PP describes illegality in the forest sector as a major driver of deforestation, particularly due to illicit crop production and illegal timber harvesting. According to the R-PP, illicit crops such as cocaine are found in high forest cover areas and can be difficult to track due to their mobile nature (p.75). The R-PP proposes a range of short and long term strategies to address illicit

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crops, including strengthening illicit crop prevention and substitution programs and identifying where governance challenges related to illicit crops may hinder REDD+ activities (p. 102). However, the R-PP does not elaborate on what these governance challenges entail. Corruption is identified as a risk for REDD+ and an important topic for future consultations (p.60; 64), although specific corruption risks are not identified.

Illegality is also present along the timber supply chain, and is enabled by lack of resources, poor control mechanisms and limited participation of forest communities in control activities (p.102-103). Proposed options to control timber extraction include strengthening the capacity of command and control authorities, improving activities to promote timber legality and developing replacement strategies for illegal timber exploited for fuel (p. 104).

Recommendation:

- Discuss whether corruption is an issue facing the forest sector that should be addressed as part of REDD+

Other Forest Governance Issues Relevant for REDD+

Discusses other forest governance issues that are relevant for REDD+

Links identified governance challenges to proposed REDD+ strategy and implementation framework

The R-PP does not explicitly discuss governance challenges facing Colombia's forest sector, although it does generally note that limited institutional capacity is an underlying driver of deforestation (p.86). Several of the proposed REDD+ strategy options to address deforestation drivers—such as mining, settlement policies and agriculture expansion—propose strengthening the capacity of relevant institutions to participate in REDD+ activities as a short-term measure (p. 96; 100; 110). The R-PP does not identify the specific institutions facing governance and capacity challenges.

Recommendation:

- Identify the institutions that require strengthening for successful REDD+ implementation and conduct a capacity needs assessment

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ANNEX 4: NPD REVIEW TABLES

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(NPD dated October 2011)

GOVERNANCE OF REDD+	
<i>To what extent does the R-PP promote good governance within REDD+ systems and processes?</i>	
Stakeholder Participation in REDD+ planning and implementation	
+	<i>Identifies relevant stakeholders for REDD+</i>
	<i>Specifically considers how to engage local stakeholders</i>
	<i>Proposes a transparent process for stakeholder participation</i>
	<i>Proposes a process to ensure accountability for stakeholder input</i>
	<i>Proposes a grievance / dispute resolution mechanism</i>
-	<i>Considers how to learn and build from other relevant participatory processes</i>
<p>The NPD states that REDD+ actions in Nigeria should be designed and implemented in a participatory manner, with special emphasis on forest-dependent communities and vulnerable groups such as women. Annex 1 contains a preliminary stakeholder analysis, which describes the current functions and potential REDD+ roles of various government, private sector, and civil society actors from the federal to the local level. A more detailed stakeholder analysis and needs assessment is proposed as a next step (p.59; 66).</p> <p>The NPD proposes stakeholder engagement mechanisms at three levels: federal, state, and community. Stakeholder forums will be established at the federal level and in the selected pilot state, i.e. Cross River State (p.68). In addition, civil society and community representatives will serve on various federal and state level REDD+ bodies (p.69-73). Forest communities will be engaged according to a process of free, prior, informed consent (FPIC) and will have access to a recourse mechanism (p.46). The FPIC and recourse mechanisms will be designed based on guidelines currently being developed by the UN-REDD Programme.</p> <p>Beyond the information summarized above, the NPD does not provide any specific details about the process by which stakeholders will be engaged and consulted. For example, the NPD does not describe how the stakeholder platforms will be managed, how official civil society representatives will be selected, or what a “recourse mechanism” might entail. These details will need to be articulated in a transparent manner as REDD+ readiness activities get underway.</p> <p>Recommendations:</p> <ul style="list-style-type: none"> • Provide a more detailed work plan and timeline for stakeholder engagement, including concrete strategies for ensuring transparency and accountability throughout the engagement process • Identify past/existing mechanisms for stakeholder engagement in Nigeria that are relevant for REDD+ 	
Government coordination in REDD+ planning and implementation	
	<i>Considers REDD+ in the context of other sector policies, land use plans, and national development plans</i>
	<i>Proposes mechanisms to coordinate REDD+ across sectors</i>
+	<i>Proposes mechanisms to coordinate REDD+ across levels of government</i>
<p>The NPD identifies agriculture, infrastructure, and mining as key drivers of deforestation in Nigeria (p.23). However, it does not contain or propose any specific analysis of how sectoral policies and national development plans currently impact the forest sector. According to the NPD, the National REDD+ Secretariat is tasked with integrating REDD+ into national and sectoral development strategies (p.58). The Secretariat will be embedded within the Special Climate Change Unit (SCCU), which has a cross-sectoral mandate and membership (p.70). In Cross River State (CRS), sector coordination will be facilitated through the CRS Technical Committee on REDD+ (p. 73). The NPD does not contain an explicit reflection on whether these bodies will possess adequate authority and power to ensure coordination and resolve conflicts across sectors.</p> <p>According to the NPD, REDD+ will be implemented in a manner consistent with Nigeria’s federal structure of government, whereby the Federal Government sets national policy and State Governments are responsible for implementation (p.18). Cross River State has been selected as a pilot state to demonstrate how state level institutional and legal frameworks for REDD+ will be embedded within a national framework. The National Advisory Council on REDD+ will be co-chaired by the Minister of Environment and Governor of CRS and will be responsible for federal-state coordination on REDD+ (p.69).</p>	

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Recommendations:

- Identify any sector policies or national development plans that may conflict with or impede REDD+ objectives
- Discuss whether the SCCU and CRS Technical Committee have adequate power to effectively resolve sector conflicts

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

The NPD broadly acknowledges the need to develop robust financial management systems and equitable benefit sharing arrangements for REDD+ (p. 47). However, the NPD does not articulate any potential options or preliminary ideas on these topics. According to the NPD, the PGA will be used to explore options for designing a REDD+ fund and a REDD+ benefit distribution system (p.47). The NPD also states that a fund will be created to support community initiatives in Cross River State, although it does not elaborate on how the fund will be managed or how communities will access the fund (p. 56).

Recommendations:

- Include a discussion of potential options for managing and distributing REDD+ 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

The NPD proposes to establish a web platform to make information about REDD+ available to the public (p.59). The platform is intended to promote transparency and independent verification. The NPD states that the platform will host information produced by the MRV system and the Participatory Governance Assessment (PGA), but it does not provide a more detailed description of the scope of information that will be disclosed on the website.

The NPD outlines an institutional framework for REDD+ implementation (p. 68). For example, at the national level, responsibilities for programme planning, oversight, and management have been assigned to the National Advisory Council on REDD+, the REDD+ Secretariat, and the Special Climate Change Unit, respectively. The separation of day-to-day management from strategic planning and oversight could provide some level of independent oversight, but this approach could be strengthened by articulating clear roles for non-government stakeholders or by appointing an independent monitor for REDD+.

The NPD provides an overview of governance issues that will be assessed through the PGA (p.47). The NPD also states that the national monitoring system for REDD+ will provide information on social and environmental safeguards, including governance (p.26-28, 63). The REDD+ safeguards have been articulated by the Cancun Agreements, but they have not yet been elaborated for the Nigerian context. As a result, the NPD is not specific about which aspects of governance will be monitored as a part of the safeguard system.

Recommendations:

- Provide a clearer link between the PGA and the development of monitoring systems for REDD+ safeguards
- Propose a mechanism or institution responsible for independent oversight of REDD+ implementation

GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS

To what extent does the R-PP consider key forest governance challenges for achieving REDD+?

Land and forest tenure

- Discusses the situation regarding land and forest tenure, including for indigenous peoples
- Considers the capacity of judicial and non-judicial systems to resolve conflicts and uphold the rights of citizens
- NA Links identified governance challenges to proposed REDD+ strategy options and implementation framework¹

According to the NPD, challenges relating to forest tenure are an indirect driver of deforestation (p.23). The NPD contains a general discussion of forest tenure issues in Nigeria, but it lacks a deeper analysis of these challenges and their relationship to observed deforestation trends. The NPD notes that the National Land Use Act vests ownership of all land in the state government

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(p.18), and that tenure laws fail to formally recognize community tenure (p.22). The NPD also identifies “land tenure issues” as a potential social risk for REDD+, notably with respect to women’s ownership of land (p.46). The NPD states that assessments will be carried out on national land and forest tenure laws as they relate to REDD+, as well as land tenure and carbon rights issues in Cross River State (p.53; 60). However, the NPD does not present a clear budget, timeline, or plan for completing these activities.

Recommendations:

- Complete a thorough analysis of forest tenure challenges and potential solutions as part of the PGA process

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

NA Links identified governance challenges to proposed REDD+ strategy options and implementation framework

The NPD provides a clear discussion of forest management regimes in Nigeria. The NPD notes that across federal, state, and local levels there is a lack of institutional capacity, training, and resources that contributes to weak governance and oversight in the forest sector (p. 22). The proposed PGA will assess institutional capacity in the forest sector, and presumably PGA findings could be integrated into future REDD+ strategies.

Since management of forest resources in Nigeria is largely decentralized to the state level, the NPD’s discussion focuses primarily on the forest management situation in Cross River State (CRS). The CRS Forestry Commission has oversight over forest management and is supervised by a Management Board that includes both government and civil society actors (p. 20). Forest management in CRS includes community involvement through Forest Management Committees (FMCs), which give rights for community forest management activities. Many FMCs have received capacity building, training, and other support from NGOs and have contributed to efforts to monitor logging. FMCs are therefore identified as a means to integrate communities into REDD+ implementation (p. 21; 37).

Recommendation:

- Provide more information on forest management activities and capacity outside of Cross River State, including the role of the Federal Department of Forestry
- 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

NA Links identified governance challenges to proposed REDD+ strategy options and implementation framework

The NPD notes an effort in Cross River State to control illegal timber harvesting through establishment of an Anti-Deforestation Task Force (p. 26), but it does not contain any broader analysis of the needs and capacities of forest law enforcement. Although corruption is described as an indirect driver of deforestation in Nigeria (p. 24), the NPD does not provide any additional details on the nature or magnitude of the corruption challenge. The proposed PGA will include an assessment of corruption risks for REDD+ in order to develop an anti-corruption strategy and mechanism (p.47).

Recommendation:

- Provide a discussion of forest law enforcement agencies and their effectiveness

Other Forest Governance Issues Relevant for REDD+

+ Discusses other forest governance issues that are relevant for REDD+

NA Links identified governance challenges to proposed REDD+ strategy and implementation framework

The NPD broadly recognizes the importance of addressing forest governance challenges as part of REDD+ in Nigeria. The NPD identifies potential governance risks for REDD+ implementation (p. 45), many of which will be further investigated through the PGA. Initial stakeholder workshops identified the core governance issues to be assessed in the PGA: institutional capacity, policy and legislation relating to REDD+, stakeholder participation, anti-corruption, and benefit distribution systems (p. 47). While the PGA approach is still being developed, some envisioned outputs include baseline governance information to inform the REDD+ process and a capacity development program to address PGA findings (p. 47).

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NIGERIA*(NPD dated October 2011)***Recommendation:**

- Elaborate on the process by which PGA findings will be translated into REDD+ strategies to address identified governance challenges

ⁱ The NPD focuses on building technical and institutional capacity and conducting necessary studies, and does not propose specific REDD+ strategy options. As a result, the criteria assessing how governance challenges are linked to proposed REDD+ strategies were deemed not applicable.

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