

"South-South exchange for strengthening the development of the African and Ibero-American Model Forest Networks"

April 30, 2013

TECHNICAL REPORT

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TECHNICAL REPORT

1. BACKGROUND

The Ibero-American Model Forest Network (RIABM) and the African Model Forest Network (AMFN) have evolved since their establishment in 2002 and 2009 respectively, becoming two very active regional networks.

The RIABM has 14 member countries and a total of 28 Model Forests: Argentina (6), Bolivia (1), Brazil (2), Chile (4), Colombia (1), Costa Rica (2), Cuba (1), Guatemala (2), Honduras (4), Paraguay, Peru, Puerto Rico (1), Dominican Republic (3), and Spain (1). On the other hand, the AMFN has Model Forests in Cameroon (2), the Democratic Republic of Congo (4), Rwanda (1) and the Central African Republic (1), in addition to Model Forests in Algeria, Tunisia and Morocco that are part of the Mediterranean Model Forest Network.

Of the six key principles of Model Forests, one in particular focuses on the commitment to "knowledge sharing, capacity building and networking." This commitment is not limited to the promotion and sharing of experiences between Model Forests; it also refers to this type of sharing between regional networks. There has been significant progress within the AMFN in terms of Model Forest development, gender issues and the marketing of non-timber forest products. Meanwhile, the RIABM has seen interesting developments in the areas of governance, monitoring and evaluation, seed funding schemes for bilateral exchange and adaptation to climate change.

In this regard, the International Model Forest Network Secretariat supported the idea of a two-way knowledge and lessons learned exchange with the purpose of fostering discussion to better understand and adapt to regional realities and conditions, in order to improve processes currently under development. It is worthwhile to note that in 2012, the presidents of both regional networks participated in a workshop on local leadership for sustainable human development, held in Cameroon.

2. OBJECTIVES

The purpose of this project is twofold:

- Advancing South-South exchange between regional Model Forest networks in order to strengthen the development of the African Model Forest Network (AMFN) and the Ibero-American Model Forest Network (RIABM), based on the experiences of both, and,
- Explore and make recommendations on the UN-REDD Programme and opportunities for Model Forests

3. RESULTS

The results presented below are reported in two sections:

- Part One: Advancing South-South exchange between regional Model Forest networks
- Part Two: UN-REDD Programme and opportunities for Model Forests

Part One

Advancing the South-South exchange between regional Model Forest networks

Workshop on the sharing of experiences between the AMFN and the RIABM. The workshop was delivered in two phases: the first phase was held at the Hotel Djeuga Palace, Yaoundé, on Saturday March 9th, while the second phase of this very event was held on the 15th of the same month at the Palais de Congr s in Yaounde, within the framework of the African Model Forest Conference. The events were not held on a Sunday, in accordance with the recommendation of the African Model Forest Network (AMFN).

First phase: Saturday, March 9th, Hotel Djeuga Palace

The opening words of the event were given by the Director of the AMFN, Dr. Chimere Diaw, who emphasized that this event was a space for exchange, opportunity seeking and to "create a bridge between continents." The Manager of the Ibero-American Model Forest Network (RIABM), Fernando Carrera, commented that with this event they were fulfilling one of the principles that characterize Model Forests, referring to Principle # 6 which mentions "knowledge transfer, capacity building and networking ", except that this time the exchange was between two regional networks, i.e. a South-South exchange. The following fact was highlighted: each Model Forest is different, each network is different and both networks have much to learn from each other. It was also made clear that they expected a broad participation of all present and they had a week to share with one another as they were all invited to participate in the African Model Forest Conference.

The event was attended by 29 people from the AMFN whose names and institutions are listed in the attached table. There was simultaneous interpretation from Spanish into French and French to Spanish which facilitated the exchange between participants in the session. On behalf of the RIABM, the following participants facilitated and presented at the workshop:

- Ronnie de Camino, President of the RIABM (rcamino@catie.ac.cr)
- Fernando Carrera, Manager of the RIABM (fcarrera@catie.ac.cr)
- R ger Villalobos, Member of the Board of the Reventaz n Model Forest (rvillalo@catie.ac.cr)
- Kaley Lachapelle, Member of the RIABM team – workshop coordinator and facilitator (klachape@catie.ac.cr)

Table 1. List of participants that attended the workshop on experience sharing between the RIABM and the AMFN

#	Surname and name	Institution / Country
1	Vambi Brunhel	RAFM – DR Congo
2	Sarasin Gabriel	RAFM B-Adapt. Cameroon
3	Habamungu Mirindi	FMTMBC. Sud kivu
4	Tuver Wundi	FMNKC / RAFM. RD Congo
5	Mfochive Oumarou	RAFM
6	Nguiebouri Joachim	RAFM
7	Kamdem Jean Pierre	AGRO-PME
8	Mgbamine Zachari	CA – B-Adapt
9	Biyong Moites	CA B-Adapt
10	Ango Jean David	Vice President CAMAMF
11	Ntyam Christine	SE – CAMAMF
12	Ngome Precilla	PhD intern RAFM
13	Nyemeck Patrick	SRAFM. Yolé
14	Gagoe Julie	RAFM
15	Robertson Colette	FMLSA /RCFM
16	Ossie Ompeneg	FOMOD
17	Baily Ann-Sophie	FMLSJ
18	Mato Georgette	RAFM
19	Latiea Korso	FMT. Algeria
20	Chimere Diaw	RAFM
21	Leboh Melanie	FOMOD
22	Njomkap Jean Claude	RAFM
23	Otou Gladys	SRAFM
24	Serge sengimana	FMNOR
25	Rouambo Dimi	Caman
26	Simeon A. Eyche	SRFM
27	Ebto Helen	Caman
28	Unanga Veromiepe	PLAFFERCA M
29	Nkolea Charly	FOMOD. Cameroon

The arrangement for the introduction of the participants:

Each person introduced themselves by speaking about the main value of their work within the Model Forest Network. The Participants' list included people from various academic and professional backgrounds, people with a wide range of different experiences and cultures, a strong participation of women and the participation of an interesting group of political, community and institutional leaders, as well as students, researchers and specialists of forest science and project management. All these participants demonstrated positive leadership and a commitment to sustainable development.

Some of the values expressed by the participants include:

- Participation and working with pride and joy,
- Desire to work and willingness to share, with love, with good feelings;
- Pride in what we build in each of our Model Forests;
- The clear demonstration of bringing elements of their territories, cultures and peoples;
- A desire for mutual learning and an eagerness to share (selflessly);
- Openness to the possibility of sharing work;
- Recognition that they are participating in interesting projects;
- The recognition that places like these are enriched by contributions from different cultures, traditions and local knowledge.

After the introductions, the two networks shared a number of experiences including:

- a) Governance of both networks;
- b) Monitoring and Evaluation of Model Forests;
- c) Role of women in Model Forests;
- d) Panel on communication;
- e) Panel on the contribution of Model Forests to Development,

a) Governance of the two networks:

The Manager of the RIABM gave a presentation about governance of his regional network, summarized in four elements:

- 1) Operating Regulations of the RIABM;
- 2) Structure and composition of the Board;
- 3) Strategic Planning, and
- 4) The membership guide.

While the presentation was given in Spanish, it was being interpreted simultaneously into French, and PowerPoint presentations were also shown in French. A Word document was also made available for participants in French detailing the 4 points mentioned above, and this document and the PowerPoint presentation are available here: <http://tinyurl.com/rafm-riabm>. Following the presentation, the participants asked a series of questions about the way in which the RIABM network operates.

Jean Claude Njomkap gave a presentation about the structure and organization of the AMFN, which has a General Assembly and an Executive Secretariat whose mission is to facilitate the establishment and development of a network of Model Forests in Africa composed of sites that are representative of the continent's diversity and good governance.

The Strategic Plan includes the following strategies:

- Institutionalization of the AMFN
- Support for the Model Forests
- Networking
- Dialogue and Public Policy
- Adaptation and Monitoring of the Model Forest concept
- Resource mobilization and partnerships
- Knowledge management and communication

With respect to governance, there are similarities and differences between the two networks. The biggest difference is that members of the AMFN place a lot of importance on their General Assembly while the RIABM emphasizes the Board of Directors. Comments were made on existing structures to promote international relations between networks.

Following presentations, working groups (buzz groups) were formed. Comments from the group work, regarding governance structures include:

- There is evidence of differences between the networks on the issue of representation in the governance structures of each network.
- It was noted that there is a difference as to how to make viable representation for a network that has 8 Model Forests and another Network that has 28 Model Forests. This can compellingly justify not using the figure of General Assembly, but rather that of the Board of Directors which, in each of its meetings there is a government representative and a Model Forest representative per member country.
- In the case of the AMFN, the General Assembly is strategic for purposes of promotion and growth of the network. It is important, in each Board of Directors, to have a figure that is representative of the regions.
- It was noted that the financial resources potentially available for the networks are substantial, as are, more importantly, the commitment of the participants and the effective participation of governments, which provide a basis for sustainability.
- While the RIABM already includes some countries that have National Model Forest Networks (or programmes), in Africa some countries are considering creating this figure.
- The RIABM's effort to make contact with major international donors and technical cooperation institutions was mentioned.
- The challenges associated with the periodic change of national governments, which implies that the new authorities know and understand the meaning of Model Forests and the implications of participating in the network, were discussed.
- Some government officials believe that Model Forests are governance structures, which belong to their institutions. It is important for them to learn about the value of the voluntary nature of participation in these forums, with shared participation of government institutions along with NGOs, business and organizations.

b) Monitoring & Evaluation

Roger Villalobos gave a presentation on monitoring and evaluation standard promoted by the RIABM, emphasizing that the 6 principles governed the International Model Forest Network. It was mentioned that although these standards have criteria and indicators that have been validated, these may be country or Model Forest specific. It was made clear that this standard is primarily a tool for self-assessment and to identify strengths and weaknesses and guide the management of Model Forests. The French version of the standard was made available, at the following link: <http://tinyurl.com/rafm-riabm>

It was also mentioned that every year the Model Forests present the Board of Directors with a yearbook of activities that summarizes the progress made throughout the year. Also, each representative of a country or a RIABM Board member presents an executive summary of the activities, which form part of the material delivered to the directors at each board meeting.

It was noted that in Africa they have recently developed a comprehensive system to measure the progress or improvements at the landscape scale.

Following the presentations, working groups were formed, reaching the following conclusions:

- It is a challenge for the AMFN to achieve an objective and accepted assessment due to existing conflicts.
- External evaluations are needed to ensure transparency, but they are not always accepted. It is a process that can be difficult, but is necessary.
- A system that evaluates the entire Model Forest is needed, and not just the evaluation of one of its particular projects.
- Model Forests are slow processes that require patience in order to observe and evaluate their progress.

c) Role of women in Model Forests.

Julie Gagoe made an excellent presentation on the participation of women in the African Model Forests, this topic being one of the most important within the AMFN. The presentation showcased, for the African Network of Model Forests, a strong participation of women in many productive activities and governance platforms.

It was noted that this work addresses a difficult context for women that is characterized by limited education, limited access to resources, a lack of value placed on the entrepreneurial potential of women, lack of participation in decision-making processes and limited access to the benefits of forest management.

The African Model Forests are a platform for:

- Creating a framework for collaboration, negotiation, integration of social diversity, sharing, equitable distribution, exchange and rural development;
- Encouraging the development of innovative projects in rural and entrepreneurial sectors that can contribute to the emancipation of women;
- Promoting women's access to promising sectors, investments and management techniques for the conservation of biodiversity

The main results can be summarized as:

- Appropriation of the Model Forest process brought into the local language;
- The presence of women in decision-making committees;
- Greater synergy between women and men;
- Improving the quality of certain products;
- Support for women at major national and international events.

Compared to the RIABM, it is evident that more progress is being made on gender issues by the AMFN.

Panel on Communication

Kaley Lachapelle recounted the evolution of the communication process of the RIABM. In the case of the RIABM, a consultant was hired to assess the Network's strategy and prepare a Communication Plan for the period of 2011-2014. As of January 2013 the RIABM has received the support of a Cuso Cooperant working on the issues of communication and advocacy.

The objectives of the Communication Plan and political advocacy are:

- Define communication strategies for an ample dissemination of knowledge related to Model Forests for different audiences.
- Increase network visibility; facilitate exchanges between Model Forests to promote the concept to policymakers and the general public.

The main communication activities to date include:

- RIABM Website
- Newsletters
- Brochures and promotional flyers
- Publications (papers and documentation)
- Presentations at events and conferences
- Organization of regional and international courses

Meanwhile, Patrick Nyemeck presented the progress made in the communication plan of the AMFN. He highlighted the following tools:

- a) Virtual: Presence in social networks: twitter, facebook, youtube, website, etc.
- b) Printed material: Production of posters, banners, business cards, annual calendars, brochures, etc.
- c) Reports: Taking photos, videos and audios during different activities for the benefit of the AMFN.
- d) Corporate Communications: Presentation of AMFN, Conferences, etc.
- e) Public Relations. Presence in major international events (Rio +20, "Francofonia", etc..)
- f) Equipping and strengthening communication sites: Support for sites implementing their strategies.

The AMFN has a communication plan for 2013-2014 which includes its integration into the circle of major events related to the environment and forestry in Africa to increase its exposure to the general public. The strategy includes communications events (planting trees, photo exhibition, discussion meetings), tools (Intranet, managing a database of emails, database partners), and external communications (radio and Production Program of documents).

Both networks have demonstrated that they have a good communications and political advocacy strategy. Both networks also face challenges in terms of communications to different stakeholders. For example, it was mentioned that challenges exist internationally to highlight the Model Forest concept within the scientific/academic community. In this regard, Chimere Diaw raised the possibility of taking advantage of this workshop to hold a press conference.

Plenary Discussion:

Some concerns were raised regarding aspects of governance of the RIABM but it is understood that it is a different context compared to the situation of the AMFN. The commitment of countries and governments is highlighted, as well as the commitment of other organizations such as CATIE, Cuso International and FAO, which shows that Model Forests have finally gained importance and have evolved in structure. Questions and comments raised during the session which are presented below:

- *Who is the link between Model Forests and governments?* Within the RIABM, each government has a representative that sits on the Board of Directors, and within each Model Forest, there is one or more representatives from the government (local or national agencies) on the Board of Directors. That said, it is the manager/coordinator of the Model Forest that plans the activities and serves as a link between the Model Forest and the government.
- *What advantages or justifications result from the emphasis of having a Board of Directors compared with the entity of General Assembly?* The entity of a Board of Directors is more executive as they engage in profound discussions, are better informed and are even part of Network working committees for many activities such as the Strategic Plan, Criteria and Indicators, and the Financial Sustainability. It must be clear that the RIABM went from having a Board of Directors of government officials and supporting institutions to a Board of Directors where Model Forests participate. In addition, a smaller Board of Directors allows for less costly meetings.
- *What are the mechanisms for resource mobilization in the RIABM?* We must differentiate the financing of Model Forests and that of the Model Forest Network. In the case of Model Forests there are several country-dependent mechanisms. For example, the Chilean government offers resources to partially finance the operations of its Model Forests, while in Argentina and Honduras the government only pays the salary of the coordinators/managers. In other cases, Model Forests survive independently of government contributions, thereby having to generate their own funds. In the case of the RIABM, contributions from Canada, the Junta de Castilla y León, CATIE and Cuso International have been instrumental. However it is recognized that there are challenges for the medium to long term financial sustainability of the network and there is no membership fee for countries that want to be part of the network. What has helped the RIABM and Model Forests survive is support of its partners.
- *It was asked if there are issues with convening a meeting of the General Assembly on the sidelines of an event in a particular country. Is it enough to convene a meeting when an event is going to be held or are there any rules regulating this?* The RIABM doesn't have a General Assembly but has a Board of Directors that meets once or twice a year, each time in a different country. The date and place of the next meeting is set as the last item of the previous meeting's agenda. However, in case of an emergency, an extraordinary meeting can be held, either in person or online, which to this date has never happened. Two weeks before the Board Meeting, the management team presents the technical and financial report and the

countries and organizations send an executive report of activities. The Board's agenda items are put forward by the directors.

- A representative from the AMFN sought clarification on the M&E framework of the RIABM, according to which, a Model Forest can be classified as red, yellow or green, while in Africa the focus is on a project that improves and enhances a human's environment. The RIABM team responded that the purpose of green, yellow or red indicator is not to punish the Model Forest but to allow the Model Forest and the RIABM management team to better understand the weaknesses of each Model Forest and to focus efforts on strengthening these weaknesses.
- *It was noted that gender-related elements are not well mentioned within the RIABM, while in the African Network gender is a very important element.* The RIABM not been worked on this issue in depth. The RIABM did contribute to the EcoAdapt project in this regard in 2012 as Kaley Lachapelle and a consultant developed a Gender Equality Plan for the project. It is recognized by the RIABM that this is an element that it must learn from the AMFN, where gender is recognized as an important issue.
- *Some participants commented have noticed that the RIABM chooses a number of privileged organizations, while the AMFN puts more focus on civil society organizations that interact with government institutions.* In the case of the RIABM, the participation of organizations that want to be part of the Board of Directors of the Model Forests is voluntary. In the case of the Network there are four organizations which, since their creation, have believed in the process and, more importantly, have provided resources, but any institution can be part of this network. However, we must emphasize that a Board of Directors of more than 30 directors is more difficult to manage.
- It is mentioned that it seems the "political advocacy" is a very strong theme within the RIABM. On the other hand, government involvement operates differently in both networks. It is recognized that government support is important for the proper functioning of Model Forests. However, it is very important that governments, central, regional or local, be aware of what Model Forests are and the potential they have, thus highlighting the importance of having a good communication and political advocacy plan.
- There was a reflection on communication as a tool to increase interest and participation in Model Forest initiatives. It must be acknowledged that despite efforts to disseminate the Model Forest concept, it remains to be little understood at all levels of government. In the case of the AMFN, there have been significant advances in this process to include more popular means of communication, such as the Model Forest song and a good communication plan.
- *Some people believe that there are a lot of human resources within the RIABM, and that it seems that there is less in the African network. It seems important to invest more in training and fieldwork.* Currently the RIABM management team has only one paid staff: the general manager. The other 5 people who form the management team are Cuso International cooperants whose work is invaluable. This can be good and bad at the same time, because there are no guarantees that Cuso International will continue to support the Management team of the RIABM.
- It is mentioned that the AMFN has a solid participation base, but has resources and governance challenges. Governance is a key issue in the Model Forests and this evolves positively over time. It should empower the bases to assume their own leadership. The RIABM

evolved from a network of governmental representation to a mixed Board of Directors. What is important is to have clear rules on operating regulations for both the Regional Network and each Model Forest in particular.

- It seems that there is more concern for governance aspects within the RIABM, while with the AMFN concern for governance is at the same level as development concerns. In the RIABM, an important requirement for real development is governance, hence it seems that development is secondary. The RIABM clearly believes that its role is to "link the Model Forests", and local development issues are a priority of each Model Forest in particular. This does not mean that the RIABM doesn't work on development issues, on the contrary, this is the ultimate objective and the RIABM supports and is involved in several development projects.
- *The case of Algeria is mentioned, where it took three years for the government to commit to the Model Forest Network, which was achieved recently. It is evident that achieving political support can be a difficult task.* The RIABM has also had problems with government support in some countries, such as Bolivia. With no support from the central government, this Model Forest initiated activities with the backing of an NGO and with support from municipal governments. It seems that the AMFN Model Forests are more dependent on the central governments, which may be risky when political changes occur.
- Mentioned as key issues and challenges: Communications, changes in government and representation in Model Forest governance structures. Also mentioned is that fact that within the AMFN there are discussions on the the issue of property rights over knowledge of communities and the challenge of expanding the network.

Panel on Contribution of Model Forests to Development

The statement about the vision of the African Network by Joachim Nguiebouri demonstrates that there is evidence of the importance of the link between the needs of grassroots groups and governments. The One Program Project is also presented as a comprehensive program. In this regard the President of the RIABM, Ronnie de Camino, mentioned the possibilities of south - south support, and that Model Forests are platforms for reaching the objectives of international conventions.

A discussion was held, debating various topics affecting both networks such as climate change. There are interesting links between the initiatives of both networks, such as between EcoAdapt and B-adapt, discussing the participation of women in the development of Model Forest initiatives and mentioning some of the particular development challenges faced by Model Forests:

- Access, transportation
- Illegal logging,
- Poverty,
- Lack of institutions and infrastructure,
- Local governance platforms, their functionality, whether to have a General Assembly.

Some Model Forest opportunities are mentioned, such as:

- Youth,
- Trade Possibilities
- Non-Timber Forest Products (NTFPs), timber and other
- Educational activities on topics such as sustainable management / development
- Leadership,
- Autonomy

The possibility of working together is mentioned, to establish an international network of commercial solidarity. The fact that governments are increasingly recognizing the importance of local governance platforms such as Model Forests was also mentioned as an opportunity.

Concluding statements

The following summary highlights many of the issues discussed in the workshop:

- Governance is a key issue at the level of both the Regional Networks and the Model Forests that are part of both networks
- We must learn more about the meaning of representation: how to participate, how to measure participation, and contemplate if it is essential to have the entity of General Assembly for regional networks.
- We must not forget that Model Forests are also a network and that each institution that is part of the Model Forest forms part of that network.
- Participation and equity are key elements of the Model Forests.
- The participation of women and youth increases energy, communication, efficiency, wisdom.
- Commercial opportunities must be viewed as a form of communication, to promote the restoration of ecosystems and the environment, and the development approach requires new forms of participation. We must validate the possibility of supportive international trade for Model Forests, which generates opportunities to learn. The possibility of creating an international network of commercial solidarity is contemplated.
- Model Forests: can expand and strengthen the bond that connects the community to the state.
- Resource Mobilization: Efforts should consider international cooperation, but also local resources, which provide greater sustainability, including human resources. Hence we must place an importance of training, learning through networks, locally, through processes: on topics such as production, ecology, climate change leadership.
- Conflict is an ongoing theme in the Model Forests, hence the need to promote governance for conflict resolution, and shape development through a shared vision of the landscape.
- Communication has proven to be an issue of great interest, whether external communication or communication among the various Model Forests, between local partners, with national governments, etc. Communication should be seen as a tool of governance for Model Forests and as a tool for development. It helps governments achieve greater awareness of the importance of local governance platforms, which are spaces that enliven local commitments to international agreements and help to efficiently prepare for climate change.

The discussion on collaborative opportunities was deferred to Friday, March 15th, 2013 at the Palais de Congres in Yaoundé, within the framework of the General Assembly of the AMFN.

Presentations and documents

All workshop presentations and documents, including the programme, are accessible at the following link: <http://tinyurl.com/riabm-rafm>

Second phase: Friday, March 15, 2013, Palais de Congres, Yaounde

Within the framework of the African Model Forest Conference, the RIABM contributed with two presentations, one by Roger Villalobos (member of the Reventazón Model Forest Board of Directors) and one by Ronnie de Camino (President of the RIABM). During the General Assembly of the AMFN, Carlos Manchego (Cuso International Cooperant for the EcoAdapt Project) gave a brief presentation on the project. Ronnie de Camino provided a summary of the March 9th workshop to the General Assembly and Kaley Lachapelle facilitated a discussion to analyze opportunities for collaboration between the two networks.

Summary of the presentations given in the African Model Forest Conference

- Ronnie de Camino. President of the RIABM, gave a keynote speech in the African Conference, entitled: “Model Forests : an alternative for development”. He emphasized the issue that it is necessary to have an ambitious vision for the future, that includes an intense south-south cooperation. He referred to the need to have solutions to global problems that correspond to the magnitude of the problems, which is not currently the case because the international system and national governments do not allocate enough resources. The Model Forest strategy corresponds to the one of the Adaptive Mosaic of the Millennium Ecosystem Assessment, which means that we need the bottom-up approach of the Model Forests to achieve sound development. Model Forests reflect the concept of Climate Smart Landscapes. Finally, a broad description of the results obtained by Model Forests was given and lessons learned were explained in more detail through the analysis of the situation of Model Forests. In each Model Forest, multiple actions are taken towards the improvement of livelihood among which it is possible to name land use planning, payment of environmental services, ecotourism, forest management, non-timber forest products, policy incidence, etc.
- Róger Villalobos. Roger Villalobos presented an analysis of possibilities for innovation in forestry management from the Latin American experience, based on three case studies. As the basis of the analysis it was mentioned that in Latin America forests have been considered marginal lands, which are incorporated into development only to the extent that they are deforested. The people who inhabit the forests are often condemned to poverty, and deforestation often does not solve poverty, but in the long run can make it worse. This is why we analyze three Latin American stories on innovations born from forest communities to transform poverty and marginalization into sustainable human development. Here a short description of the presentation:

Peten, Guatemala, does not only boast enormous archaeological wealth and vast forests, but it is also a land of human groups displaced by war and poverty, which were exploited by middlemen of timber and non-timber forest products, and subsisted many years without possessions and without rights. Creating Community Forest Concessions not only formalized their access to the forest, but also made them their own development managers, guarantors of forest conservation and equitable marketing resources.

Similarly, in the Amazonian State of Acre, Brazil is the story of Extractive Reserves where a bloody fight to legalize access to forest communities exploited by middlemen allowed not only the formal access to resources, organization, health and education for the communities, but

also the government has invested in the forest industries, to improve equity and profitability of the value chain of their products.

The town of Hojancha, in Costa Rica, was completely deforested in exchange for unsustainable farming, depleted soils and water sources. In response, the community changed its story, educated its people, organized and planned its development, restored key areas to be reforested until turning forestry in one of its main economic activities, and building a prosperous town and community.

- **Carlos Manchego.** International debates on climate change highlight the need to foster adaptation planning in Latin America where significant impacts are expected. However, little progress has been made due to the difficulty of managing environmental dynamics characterized by deep uncertainties and potential tensions at various scales. EcoAdapt is built on the outcomes of two rounds on regional consultation with Latin American civil society organizations (CSO) and scientists. It aims at increasing the capacity of local communities, CSOs, policy-makers and scientists to engage in inter-disciplinary action-research to increase their collective capacity to adapt to climate change. The EcoAdapt CSOs stated that watershed services were the most critical with respect to possible tensions and social conflicts that may arise due to climate change. The EcoAdapt team considers that 1) adaptation to climate change is not something that can be done in isolation, and 2) ecosystem-based management is a robust basis for successful adaptation to climate change in Latin America. Therefore in the project concept, watershed ecosystem services (WES) are mainstreamed in an overall adaptation strategy by a variety of players involved in science-policy-civil society networks across-scales. EcoAdapt is currently being implemented in Model Forests landscapes of Argentina, Bolivia, and Chile. Knowledge sharing forms the backbone of the project and provides scientists and policy-makers with an in-depth insight of local knowledge and issues, which provides a framework of research to be done. Based on this common understanding EcoAdapt will assist local communities in developing their WES-based adaptation strategy. This will be achieved by combining exploratory scenario analysis, participatory backcasting, and social validation via hybrid forums. EcoAdapt will implement part of the strategy in pilot communities and build on existing networks for dissemination to other communities of Latin America.

Results and Conclusions of the Experience Sharing Workshop between the RIABM and the AMFN

1. Analysis of opportunities for support to the RIABM by the AMFN

- **Gender.** The RIABM has learned important lessons from the presentations, both in the workshop as well as in the conference, about the handling of Gender issues in the AMFN. We feel that even though gender issues are managed individually in each Model Forest in Ibero-America, it is important to scale-up the issue to the Network level.
- **NTFPs.** While there is a strong culture of NTFPs use in Africa, in Latin America there is a diverging trend, at least in some countries and landscapes, in which urbanization and globalization are strongly altering the previously existing practices and customs. It would be very helpful to salvage some of the traditional practices with the support of the AMFN. Nevertheless there are Model Forests in the RIABM in which traditional practices are still common. A working group of African and Ibero-American experts could develop ideas about

how to share knowledge and develop strategies based on the lessons learned on both continents.

- **Communication.** The AMFN has a strong presence in the media and at the international and Pan-African level. Their communications strategy is very effective, as demonstrated in the Conference, in which high level international and national authorities have participated. The AMFN also has a high quality website. The RIABM has a strong intra-network communications strategy, with a good and active website and a periodic newsletter, but our profile to the high level organizations and authorities is evidently weaker. The experiences of both networks could potentially improve the sphere of influence of the networks.
- **Handicrafts.** Almost all Model Forests in the world have groups and associations artisans and craftsmen. The exposition given by the producers of NTFPs and craftsmen during the congress was fantastic: pure African art. The craftsmen in the Model Forests in Latin America (the case of Spain is different) are weaker in the quality of design and finishing, and therefore sharing knowledge and experience is a good area of collaboration.
- **Moringa.** We were impressed by the presentation given by Madame Marguerite Homb, about the benefits of growing Moringa and the possibility to expand its farming within Africa but also in Latin America. We have already contacted Miss Homb and she generously shared important material with us. Moringa also grows in some communities of Latin America, and is used in some of the Model Forests (e.g. the Model Forest of the North-East of Olancho, where many communities use it to treat water). This is a promising field of collaboration to include in an exchange agenda.

2. Exchange opportunities between networks.

- **Coffee trade and bamboo trade.** Even though coffee is originally from Africa and specifically Ethiopia, the majority of the world's coffee producers are in Latin America. Many Model Forests in Guatemala, Honduras, Costa Rica, Brazil and Colombia have important areas of coffee growing. Furthermore CATIE, the headquarters of the RIABM, is home to a valuable collection of coffee plantations and has very advanced research, having developed F1 hybrids with a high potential for production. In Africa, there are also many Model Forests that produce coffee. Sharing knowledge on coffee is an important area of collaboration.

The situation is similar with bamboo, widely used and produced, both in Africa and in Latin America. The Risaralda Model Forest in Colombia is an important center for the production and management for bamboo plantations. Africa and Latin America lack adequate housing and sharing knowledge on the management of plantations and construction techniques would benefit Model forests in both continents.

- **Marketing of Model Forest products.** Both networks should publish on their websites a detailed list of Model Forest products in order to encourage trade between the networks and with other buyers. In that way, an African market could be created for Latin-American products and vice versa. This could lead to the promising creation of new markets, and could be done using the new tools of e-commerce. The IMFN e-commerce project will also provide a space for displaying products online.

- **Branding.** A possible area of action is to try to develop within the regional network and the IMFN the concept of *appellation d'origine*, i.e. marketing Model Forests products and labeling them "Product of the Model Forest". A certification system could also be developed. This would have two effects: a) improve income of communities, b) promote the concept of MF.
- **Exchanges between MF communities.** In the RIABM, one of the most successful strategies has been the « seed fund » programme. This idea consists in providing a small amount of funds, as a « seed » to encourage trade between Model Forests. The Secretariat of the RIABM has raised funds, and the Model Forests apply together, putting the difference of what they need (matching funds) to develop particular projects. For example, new Model Forests willing to improve their governance structure visit Model Forests that have efficient, well-defined governance. Exchanges have also occurred on relevant issues like ethno-tourism, coffee plantations, payments for ecosystem services, experiences with the private sector in mining and corporate social responsibility. Both the networks and their Models Forests must be encouraged to visit the respective websites and identify possibilities to increase knowledge exchange.
- **Monitoring and Evaluation.** In order to increase credibility and expand the Model Forest concept, our Model Forests in all regions need to develop good monitoring and evaluation tools. The RIABM has developed a standard of PC&I to set the baseline, monitor and evaluate progress made towards reaching the principles and objectives of the Model Forests and is willing to share this experience. A document is already available in French online at <http://tinyurl.com/riabm-rafm>.
- **Mobilization of resources** (new donors) - at the network level and at the Model Forest level (self-financing). The RIABM has contacted regional organizations, such as the Inter-American Development Bank, the Central American Bank of Economic Integration and the Organization of American States, seeking funding to cover the costs of managing the network and to launch projects that support the different Model Forests. But it might also be possible that the African and Ibero-American networks jointly develop proposals for donors different than Canada (that has generously contributed since the beginning). We can approach donors for general support for our networks, but also for specific funding for projects of mutual interests. A good example of what has been achieved individually by our Networks is the B-Adapt and EcoAdapt projects on climate change issues. This experience also creates opportunities to make inter-network proposals for consideration by the donor communities.
- **Publication of experiences / lessons learned.** CATIE (through the Secretariat of the RIABM) has contributed to many publications that systematize the experiences of Model Forests, on different subjects. One example is the book on Exemplary cases of Sustainable Forest Management, coordinated and supported by the junta de Castilla y León from Spain and FAO. Similar efforts could be made between the networks, in the form of regional publications or merging experiences and trying to identify the reasons that led to specific results in issues like food security, payment of environmental services, etc.
- **Political Advocacy.** The Model Forest concept needs to be promoted, by the IMFN Secretariat and the regional networks, as a platform that complies with international agreements on natural resources, such as that of biodiversity, food security and climate change, inviting the

international community to use our platform to transform Model Forests into landscapes for Sustainable Human Development where international conventions can be applied.

- **Identify the collaborative advantage.** Exchanges of people between Africa and Latin America are expensive. The list of potential collaboration themes is big, and we need to benefit from these opportunities but also prioritize according to the collaborative advantages of each one of them. Nowadays, technology allows us to be closer, and to have free e-conferences that can help us develop the habit to connect, every two months for instance, with the purpose of a) exchanging new developments, b) identifying the most important areas of collaboration and c) to preparing joint proposals.

3. RIABM Experiences relevant to the AMFN

The RIABM has developed experience in certain areas that might be of interest to the AMFN

- **Tourism.** Model Forests of Latin America have strongly developed the concept of Ecotourism that also contemplate rural tourism or ethno-tourism. There are concrete experiences in this field, and field visits and courses could be developed together to benefit African Model Forest participants.
- **Marketing (value chains).** Another field of experience is the development of the value chains of certain products (timber and non-timber). A good example is that of the Chiquitano Almond, and there are other products and services that have been successfully marketed by Model Forests.
- **Conflict Management.** The RIABM has within its staff specialists in conflict management. As many cases of conflict exist among different Model Forests actors and stakeholders, the RIABM is able to share this experience and offer training in this area if requested.
- **Leadership.** The AMFN and the RIABM have already been working together on the issue of training teams of leaders to implement Sustainable Human Development within our landscapes. We've held a joint workshop in Kribi, Cameroon in 2012 on this topic. The RIABM has a project for the training of groups of leaders and is looking for funding. In June 2013 we are organizing a Regional Dialogue on Leadership for Sustainable Development, and we hope to have the necessary resources to prepare the first modules of a regional training program.

Part Two:

UN-REDD Programme and opportunities for Model Forests

INTRODUCTION

The planet's tropical forests cover roughly 1.5 billion ha, 13 million of which are deforested yearly¹. This deforestation is responsible for 15 to 20 % of total global greenhouse gases emissions of anthropogenic origin². Latin America hosts 44% of the world's tropical forests and nearly 25% of the world's forested areas, and 4 million hectares are lost yearly across the continent, representing one-third of global deforestation³. Ten countries have forest areas in the world's three main rainforest basins – the Congo, Amazon and Southeast Asia. Of these, five are in Latin America and the Caribbean. Brazil has the largest area, with Peru and Colombia in fourth and fifth place, respectively, followed by Bolivia and Venezuela in seventh and eight places⁴. The Amazon rainforest, the largest in the world, already experiences, and will continue to experience, the negative impacts of climate change within its ecosystem, thus contributing to and suffering from global warming simultaneously⁵.

Historically, development patterns in Latin America have relied on the extraction and exploitation of natural resources, and expansion to new land by clearing forests⁶. As in many parts of the world, during much of the 20th century much of the continent's forests were seen as unproductive land available for development, as witnessed in the Amazon's massive 'colonization' plans by the Brazilian government⁷. This perspective led to policies and government incentives that continue to this day to promote the development of previously untouched forests lands, leading to deforestation and degradation⁸. As is the case in many developing countries, the dominant economic model in many countries in Latin America and the Caribbean is still based on the expansion of agribusiness, extractive industries, large-scale biofuels plantations and other, large-scale extractive activities that pose a threat to forests on many levels (deforestation and forest degradation, threats to local communities' way of life, land grabs, greater carbon emissions etc.)⁹. This model is actively promoted by most government across the continent as the core of their economic development model¹⁰. This seems to contradict the whole concept of REDD+, which fits into the 'green' and 'sustainable' economy. The contradiction lies in the fact that many countries in the region are thus promoting the 'green' and 'brown' economies simultaneously, obviously attempting to maximize their sources of revenue. Furthermore, many of these large-scale economic projects are undertaken without the requisite free, prior and informed consultation and

¹ *Ibid.*

² Climate Report, "Research on the Economics of Climate Change", September 2008, available at www.cdclimat.com/IMG/pdf/14_Etude_Climat_EN_Deforestation_and_carbon_markets.pdf

³ The Nature Conservancy, "Casebook of REDD projects in Latin America, 2010, available at www.idesam.org.br/noticias/cop15/pdf/casebook-web.pdf

⁴ Christian Aid, "REDD+ in Latin America and the Caribbean: Does it work for Local Communities ?", June 2012, available at www.christianaid.org.uk/images/Time-for-climate-justice-8.pdf

⁵ The Nature Conservancy, "Casebook of REDD projects in Latin America", 2010, available at www.idesam.org.br/noticias/cop15/pdf/casebook-web.pdf

⁶ Center for International Forestry Research (CIFOR), "Governance, forests and REDD+ in Latin America", 2010, available at www.cifor.org/online-library/browse/view-publication/publication/3270.html

⁷ *Ibid.*

⁸ *Ibid.*

⁹ Christian Aid, "REDD+ in Latin America and the Caribbean: Does it work for Local Communities ?", June 2012, available at www.christianaid.org.uk/images/Time-for-climate-justice-8.pdf

¹⁰ *Ibid.*

consent from poor communities living in areas where these activities are developed¹¹. Indigenous people' organizations across Latin America and the Caribbean are increasingly worried about REDD+ in terms of land ownership, benefit sharing and the general safeguarding of their rights and interests in forest policies, and are deeply distrustful of national governments, multilateral agencies (which often collaborate with the State) and the private sector¹².

In Latin America, ranching and pasture conversion is the main driver of deforestation, causing 65% of forest loss, followed by subsistence agriculture, at 31%, while logging and intensive agriculture cause less than 5% combined¹³. With regards to REDD+, this information entails that Payment for Ecosystem Services (PES)-based initiatives will need to provide benefits that target cattle ranchers used to clearing forests for pasture. At the same time, REDD+ will also need to reduce poverty by generating revenue for forest dependent local and indigenous communities looking to expand their subsistence-agriculture croplands. In order to prevent ranchers and forests dwellers, the main drivers of deforestation, from further cutting down trees, changes will need to be made in terms of State policy in the countries applying for REDD funds. As mentioned earlier, in many Latin-American countries, there are incentives and subsidies offered by the government that promote conversion of forest to pasture land as well as property and tax laws encouraging the colonization of virgin forests. In such a context, REDD+ will be unable to operate, as these incentives run contrary to the fundamentals of PES services.

REDD+ HISTORY

The basis behind REDD+ is that developing countries should be financially compensated for reducing CO₂ emissions from deforestation and forest degradation as well as for the conservation and sustainable management of carbon stocks in tropical forests. REDD was first proposed in 2005 by Papua New Guinea and Costa Rica at the 11th Conference of the Parties to the United Nations Framework Convention on Climate Change (UNFCCC-COP-11) and has since been primarily discussed within the World Bank Forest Carbon Partnership Facility and the UN, through the UNFCCC, the UNDP and the recently created UN-REDD program¹⁴. The mechanism was initially limited to deforestation (the acronym at first was RED), but was later expanded to included forest degradation (second D in REDD), and then to the 'enhancement' of carbon stocks through forest conservation and sustainable management (the 'plus' in the current acronym REDD+).

REDD+ was included in the 2007 Bali Action Plan (UNFCCC-COP 13) which stipulated that States reduce emissions from deforestation, albeit on a voluntary basis¹⁵. In 2009, the Copenhagen COP 15 meeting called for "the immediate establishment of a mechanism including REDD+ to enable the mobilization of financial resources from developed countries"¹⁶. The following COP 16 meeting held in Mexico in 2010 defined the framework for REDD+, the "Cancun Agreements" which outlined the goals, scope, scale, elements, phases as well as social and environmental safeguards

¹¹ *Ibid.*

¹² *Ibid.*

¹³ UN-REDD, "REDD+ Benefit Sharing: A Comparative Assessment of Three National Policy Approaches", June 2011, [available at www.undp.org/content/undp/en/home/librarypage/environment-energy/climate_change/redd_benefit_sharingacomparativeassessmentofthreenationalpolicya/](http://www.undp.org/content/undp/en/home/librarypage/environment-energy/climate_change/redd_benefit_sharingacomparativeassessmentofthreenationalpolicya/)

¹⁴ UNDP, "Local Governance, Anti-Corruption and REDD+ in Latin America and the Caribbean: Exploring Synergies to Strengthen Transparency and Accountability, September 2011

¹⁵ *Ibid.*

¹⁶ *Ibid.*

of the mechanism¹⁷. However, despite this progress, a final design of the REDD+ mechanism has yet to be agreed on. The Kyoto protocol, the most comprehensive environmental treaty of our times, does not include REDD, PES or deforestation, thus limiting forest carbon credits to voluntary markets¹⁸.

REDD+ TODAY

National governments and local stakeholders (municipalities, private property owners, NGOs, indigenous groups etc.) in Latin America have great expectations regarding the REDD+ mechanism and its potential to promote forest conservation and generate funds to communities across the continent¹⁹. National and municipal governments have recently been seeking to increase their participation in international discussions regarding REDD+ and accelerate the development of the mechanism within their territories, notably by improving their 'readiness' levels²⁰ (discussed further below). Beyond this level, certain Latin-American countries are already developing concrete REDD pilot projects and initiatives, promoting not only forest conservation and the reduction of Greenhouse Gas (GHG) emissions but also valuable experience and lessons learned in the field of Payment for Ecosystem Services (PES), which can be useful for other projects worldwide. The uncertainty surrounding international REDD+ negotiations have thus far not prevented the the progression of the mechanism in certain regions of the world, notably Latin America.

Regarding these negotiations at the United Nations Framework Convention on Climate Change (UNFCCC), they have been hindered by three main stumbling blocks which continue to delay the advancement of the REDD+ mechanism and which shall be explained briefly: financing, scale and the baseline scenario²¹.

1. FINANCING

By far the important issue under discussion for creating a REDD regime under the UNFCCC is the financial structure of its operations. The main options and scenarios for international funding are the following:

- Public funding based on voluntary State donations, presumably from 'rich' or industrialized countries, either through their Official Development Assistance agencies (ODAs) or special funds created for REDD+ ('green' funds). The main advantage of this type of funding is the stability and continuity that developed countries' governments can provide in terms of financing and commitment, as opposed to private, interest-based and non-binding funding.
- Market funding mechanism, or funds generated from the sale and auction of emission allowances, where developing countries could generate credits through REDD to fulfill their mandatory emissions reduction targets. There are actually several private funding mechanisms already in place, such as Norway's International Climate and Forest Initiative, the Forest Investment Program and the Amazon Fund, among others.

¹⁷ *Ibid.*

¹⁸ *Ibid.*

¹⁹ The Nature Conservancy, "Casebook of REDD projects in Latin America, 2010, available at www.idesam.org.br/noticias/cop15/pdf/casebook-web.pdf

²⁰ *Ibid*

²¹ *Ibid*

- A mixture of both types of funding, a public-private approach where initial investments are donated through public funds to support the readiness process of developed countries, followed by a gradual transition towards a market-based arrangement. This option is advantageous in the sense that it is realistic and has a long-term perspective, and that it would initially be launched by developed countries' governments in theory, later transitioning towards a more private setup.

The main advantage of market-based mechanisms is the participation of the private sector, which could prove essential given the magnitude of the financial resources needed to halt the process of tropical deforestation. Market-based funding is also more flexible and is not as dependent as public-funding on politics. The main question remains whether the market will sufficiently finance the massive economic endeavor of reducing tropical deforestation, estimated by Stern (2006) at between 5 and 15 billion US dollars per year²², which much higher revised estimates in 2013 made by the same author, while other estimates indicate 15 – 35 billion US dollars per year²³. But the carbon market has many unresolved issues. The principal critique is that market-based solutions allow industrialized countries to continue emitting CO₂ by acquiring offsets in developing countries. The largest emitters in the world would still maintain their fossil-fuel based economies, simply delaying the necessary and ultimately inevitable transition towards greener and more sustainable ones. Furthermore, the carbon trading scheme has many unresolved issues, such as governance and the institutional need for linking carbon markets across nations and ensuring market efficiency. The absence of safeguards for people directly affected by offsetting activities is also a major consideration, which is further discussed in the following pages.

2. SCALE

Another important issue is the scale of implementation of REDD+. Basically, one option is to implement the mechanism nationally and through the State, while the other is at the subnational, or project level, through municipalities. The advantage of national REDD schemes is the assumption that they will help to avoid leakage from one project to another within the country and facilitate monitoring²⁴. On the other hand, the benefits of more local-level projects are the avoidance of State politics and bureaucracy²⁵ and the increased flexibility in implementation, pertaining to the fact that local-level projects can be adapted to local needs and conditions. Another advantage with the smaller scale is the increased efficiency in fundraising and implementation of activities, and simpler replication of the project in other areas²⁶. At the moment, there exists a hybrid 'nested approach' which combines the implementation of projects and activities at the subnational level, but under a national accounting and monitoring system²⁷.

²² H. Stern, "The Economics of Climate Change", 2006, available at mudancasclimaticas.cptec.inpe.br/~rmclima/pdfs/destaques/sternreview_report_complete.pdf

²³ The Nature Conservancy, "Casebook of REDD projects in Latin America, 2010, available at www.idesam.org.br/noticias/cop15/pdf/casebook-web.pdf

²⁴ The Nature Conservancy, "Casebook of REDD projects in Latin America, 2010, available at www.idesam.org.br/noticias/cop15/pdf/casebook-web.pdf

²⁵ *Ibid*

²⁶ *Ibid*

²⁷ CIFOR, "Governance, forests and REDD+ in Latin America", 2010, available at www.cifor.org/online-library/browse/view-publication/publication/3270.html

3. THE BASELINE SCENARIO

This last issue has repeatedly been a stumbling block at the negotiating table²⁸. It has been practically impossible to reach an agreement about the best way of establishing national reference levels of deforestation, or baselines, upon which the emissions reductions produced by REDD would be compared to and calculated. Currently, there are two basic options²⁹:

- Historical deforestation rates, an average of previous annual rates. This option could favor countries with large historic rates and relatively robust economies, such as Brazil, and not really help poor countries with low rates and immense economic needs. Furthermore, past rates do not reflect future trends, especially in countries that are rapidly developing and expanding their economies.
- Projections and modeling of simulated deforestation rates based on current socio-economic parameters and tendencies, such as population growth, infrastructure expansion, economic development and others.

Beyond the issue of setting the Baseline, international negotiators also disagree on the very definition of a forest and how to measure it. Forests are dynamic spaces, ever-changing, and are greatly affected by the impacts of climate change in terms of their size and composition, which can cause issues at the negotiating table in terms of defining and measuring forests that will later be subject to REDD+.

REDD+ LEADERS

There are many REDD+ initiatives under way at the moment, such as the UNREDD program, the World Bank's Forest Carbon Partnership Facility, Norway's International Climate and Forest initiative, the Global Environment Facility (GEF), Australia's International Forest Carbon Initiative, among others. The first two mentioned initiatives are the main multilateral platforms that assist countries preparing their REDD+ readiness. The REDD+ readiness phase is meant to develop analytical and preparatory work for establishing the key elements of REDD+ readiness, including the preparation of the national REDD+ strategy. It is meant primarily for technical assistance and capacity building activities, with the objective of preparing the country for a large-scale project yet to come. UNREDD and FCPF have been working together increasingly in recent years, harmonizing technical frameworks, organizing joint events, sharing information and coordinating their interventions³⁰. Currently, they are both in the process of finalizing social and environmental safeguards guidance for the REDD readiness phase and implementation of national REDD+ programs³¹.

²⁸ The Nature Conservancy, "Casebook of REDD projects in Latin America, 2010, available at www.idesam.org.br/noticias/cop15/pdf/casebook-web.pdf

²⁹ UKaid, "Optimal reference level setting for REDD+", 2010, available at redd-net.org/files/Optimal%20reference%20level%20setting.pdf

³⁰ Christian Aid, "REDD+ in Latin America and the Caribbean: Does it work for Local Communities?", June 2012, available at www.christianaid.org.uk/images/Time-for-climate-justice-8.pdf

³¹ *Ibid*

The FCPF program³²

The World Bank-hosted Forest Carbon Partnership Facility is the other main multilateral REDD+ readiness platform. The program is a global partnership that has created a framework and processes for REDD+ readiness at the country level. Each participating country develops a set of tools, notably reference scenarios, a national REDD+ strategy, safeguards and monitoring systems, that enable them to prepare for REDD+ in ways that are hypothetically inclusive of the key national stakeholders. The program is a leader in the area of economic analysis for REDD+ strategies, since its creation in 2008. The support the FCPF provides to countries engaging in REDD+ activities is provided through two mechanisms within the FCPF: the readiness fund and the carbon fund.

The 15 Latin-American countries thus far selected by the FCPF (Forest Carbon Partnership Facility, WORLD BANK) for REDD+ assistance



The UNREDD Program³³

The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD+) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and

³² The Forest Carbon Partnership Facility, World Bank, available at www.forestcarbonpartnership.org/

³³ United Nations REDD program, available at www.un-redd.org/

Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.

UNREDD National Programs and Partner countries in Latin America



Established in 2008, the UN-REDD Programme is one of the leading primary multilateral initiatives capable of providing early support to countries and strengthening the role of Indigenous Peoples, local communities, other forest-dependent communities and civil society organizations in REDD+ activities, and developing MRV systems. Norway is the founding donor of the Programme and has contributed significant start-up funds. The Programme was officially launched in September 2008 by the Prime Minister of Norway, Jens Stoltenberg, and the UN Secretary-General, Ban Ki-moon. In 2009, Denmark became the second donor to the Programme, followed by Spain in 2010.

The 'Quick Start' phase was initiated in partnership with nine pilot countries:

- In Africa: Democratic Republic of the Congo (DRC), Tanzania, Zambia
- In Asia-Pacific: Indonesia, Papua New Guinea (PNG), Viet Nam
- In Latin America and the Caribbean: Bolivia, Panama, Paraguay

REDD+ activities are broken down into the following three phases:

Phase 1: Development of national strategies or action plans, policies and measures, and capacity building

Phase 2: Implementation of national policies and measures and national strategies or action plans that could involve further capacity building, technology, development and transfer, and results-based demonstration activities

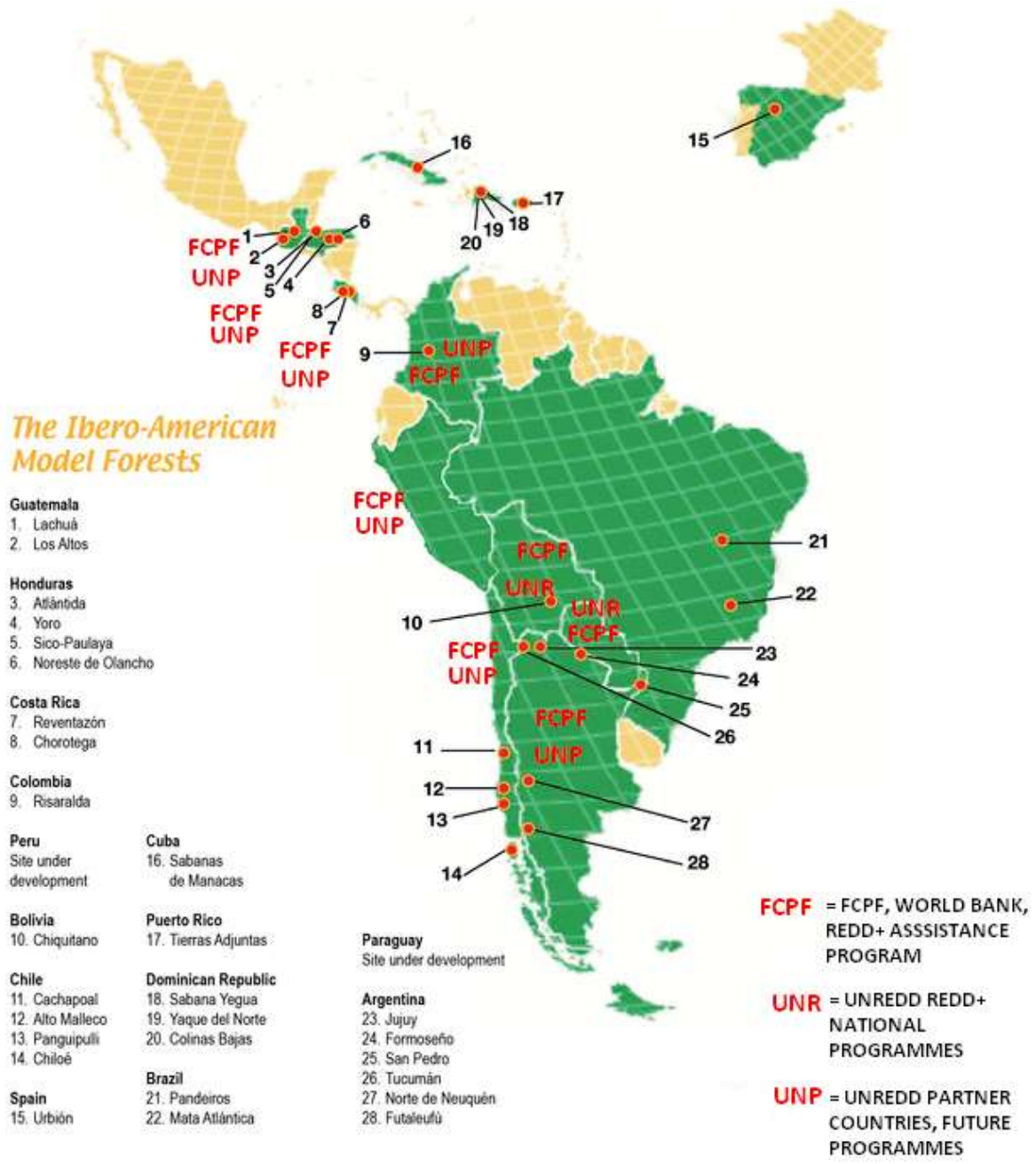
Phase 3: Results-based actions that should be fully measured, reported and verified

The UN-REDD Programme is already active in phase 1 and has delivered technical support and funding for the development of national REDD+ strategies in pilot countries. While the phases are country-specific, and many countries are likely to remain at phase 1 for some time yet, there is also a clear role for the UN-REDD Programme in phase 2, in areas such as further capacity development and policy and institutional strengthening. Such a role would be consistent with the UN-REDD Programme agencies' function to be neutral, trusted partners of REDD+ countries. Performance-based payments of the nature and scale are new—especially compensation for proxy-based results—and require careful analyses and consultation. FAO, UNDP and UNEP are well-placed to facilitate such consultations and offer country-specific support.

The Programme will be guided by five inter-related principles of the UN Development Group (UNDG):

- Human rights-based approach to programming, with particular reference to the UNDG guidelines on Indigenous Peoples' issues
- Gender equality
- Environmental sustainability
- Results-based management
- Capacity development

FCPF / UNREDD Programmes in the Ibero-American Model Forest countries



REDD+ SAFEGUARDS: MRV / DISTRIBUTION OF BENEFITS AND GOVERNANCE

The term “safeguards” is defined as the need to protect a given project, initiative or investment against social and/or environmental damage or harm³⁴. In practice, safeguards often take the form of measures, such as policies and procedures, designed to prevent undesirable outcomes or negative impacts, in a context of risk management³⁵. They ensure that environmental and social issues are evaluated beforehand, i.e. during the planning process of a given program or project, thereby helping to assess and reduce risks³⁶.

For example, the World Bank operates environmental and social safeguards policies in order to “prevent and mitigate undue harm to people and their environment in the development process”³⁷. This applies to their REDD+ program initiated by the FCPF, during the preparation and implementation phases, a two-pronged approach: (1) address potential risks and impacts by incorporating social and environmental considerations during the design phase of the national REDD+ strategy and (2) manage and mitigate risks and impacts at the time of application of the selected REDD+ policies during implementation phase³⁸. The United Nations applies a similar safeguard policy: “environmental and social safeguards are the adoption and integration of precautionary environmental and social principles and considerations into decision making processes. The objective of such safeguards is to prevent and mitigate undue harm to the environment and people at the earliest possible planning stage. Safeguards can appear as a combination of minimum standards and best practice guidelines”³⁹.

It is widely recognized that the implementation of REDD+ actions can pose a number of social and environmental risks, including⁴⁰:

- The loss of indigenous territories and the displacement and relocation of native groups and other forest dependent communities
- The erosion or loss of rights to access and use of resources, land, etc.
- The loss of traditional ecological knowledge
- The loss of traditional and rural livelihoods
- Social exclusion and the seizure and misuse of REDD+ financial benefits by elite groups, at the expense of impoverished and marginalized indigenous and forest peoples.
- Loss of biodiversity, forest areas and increased carbon emissions, through ‘leakage’ and contradictory / competing national policy frameworks.

In addition to the prevention of undesirable results, REDD+ safeguards can also help enhance the positive impacts and benefits of the mechanism, in terms of improving human wellbeing, maintaining biodiversity and promoting good governance and respect for human rights⁴¹. These safeguards could eventually improve the overall sustainability, effectiveness and equity of national

³⁴ UNREDD, “A Review of Three REDD+ Safeguard Initiatives”, available at reddpluspartnership.org/29785-0e1d064b96b75dfb79469cf0d86708dda.pdf

³⁵ UNREDD, “REDD+ Benefit Sharing: A Comparative Assessment of Three National Policy Approaches”, 2011, available at un-redd.org

³⁶ *Ibid*

³⁷ UNREDD, “REDD+ Benefit Sharing: A Comparative Assessment of Three National Policy Approaches”, 2011, available at un-redd.org

³⁸ *Ibid*

³⁹ *Ibid*

⁴⁰ UNREDD, “REDD+ Benefit Sharing: A Comparative Assessment of Three National Policy Approaches”, 2011, available at un-redd.org

⁴¹ *Ibid*

REDD+ programs, by increasing transparency, donor confidence, stakeholder engagement and environmental integrity of forest systems⁴². Therefore, safeguards can not only help to minimize risks, but they can also enhance benefits.

Safeguards have different meanings to different groups. The main groups that require safeguards in a REDD+ context are government, donors, private financiers and investors, multilateral institutions, indigenous peoples and forest dependent communities and civil society in general⁴³. Common to these groups is the belief that the use of social and environmental safeguards to REDD+ will improve the sustainability of the REDD+ mechanism and help reduce exposure to legal, financial and reputational risks and unexpected negative outcomes for donors, private financiers, multilateral institutions, the private sector and civil society⁴⁴.

Safeguards priorities for different groups involved in REDD+⁴⁵

Actors	National governments	Donors	Financiers and investors	Multilateral institutions	Indigenous peoples and forest dependant communities	The Private sector	Civil Society
Benefits of Safeguards	Provide guiding principles for a national program framework that integrates social and environmental considerations and ensures that REDD+ contributes to sustainable development	Ensures that funds will help minimize adverse social and environmental impacts and possibly enhance social and environmental aspects, including human development, poverty reduction and biodiversity conservation.	Ensure that negative social and environmental impacts will be managed adequately, thus reducing risks for investments	Provide reliable means to meet legal and policy commitments	These groups will possibly be the most affected by REDD+. Safeguards can ensure their rights and interests are addressed during the planning process and, subsequently, during REDD+ implementation.	Safeguards provide better transparency, less risk, more predictability in terms of social and environmental impacts, allowing for future involvement in ventures resulting from REDD+.	Ensures that major social and environmental issues will be integrated into the planning of national programs, and provide a framework of social and environmental standards to shape civil society-driven REDD+ initiatives

⁴² *Ibid*

⁴³ *Ibid*

⁴⁴ *Ibid*

⁴⁵ UNREDD, “A Review of Three REDD+ Safeguard Initiatives”, available at reddpluspartnership.org/29785-0e1d064b96b75dfb79469cf0d86708dda.pdf

As explained earlier, the two major multilateral REDD programs, the Forest Carbon Partnership Facility (FCPF) and the UN-REDD program, are both in the process of finalizing social and environmental safeguards guidance for the planning and implementation of REDD+. In addition to these, a voluntary international standard for REDD+ has also been developed through a multi-stakeholder process facilitated by CARE International and the Climate, Community and Biodiversity Alliance (CCBA), titled 'REDD+ Social and Environmental Standards' (REDD+SES), which is expected to be used as a standard for government-led programs at national, state, provincial, or other level⁴⁶. The government of Norway, a major supported and financier of REDD+, has also made their funding to Guyana and Indonesia conditional upon implementation of a set of social standards and governance safeguards, through its International Forests and Climate Initiative⁴⁷.

The FCPF's safeguards approach is guided by its strategic environmental and social assessment (SESA) applicable during the REDD+ readiness preparation. SESA allows for the incorporation of environmental and social concerns into national REDD+ strategies at the earliest stage of decision making, connecting economic, political and institutional factors⁴⁸. The SESA facilitates planning of REDD+ for governments by integrating key stakeholders and key environmental and social issues identified during the REDD readiness phase. The key steps to the SESA process can be summarized as follows⁴⁹:

- Identify the main drivers of deforestation and the key social and environmental issues associated with these drivers, and conduct assessments in accordance with the World Bank's safeguard policies on issues such as land tenure, sharing of benefits, access to resources, and likely impacts of REDD+
- Undertake diagnostic work on legal, policy and institutional aspects of REDD+ readiness
- Assess existing capacities and gaps to address the environmental and social issues identified
- Draft REDD+ strategy options addressing the above issues
- Develop a framework to mitigate and manage the environmental and social risks and potential impacts of REDD+ in compliance with the WB's safeguard policies
- Establish communication with relevant stakeholders for each of the above steps.

The World Bank has its own broad range of safeguards policies, separate from the FCPF. The ones most likely to apply to REDD+ are the following⁵⁰:

- *Environmental Assessment*: This policy aims to ensure the environmental and social soundness and sustainability of WB projects and support the integration of environmental and social aspects of projects into the decision making process.

⁴⁶ UNREDD, "A Review of Three REDD+ Safeguard Initiatives", available at reddpluspartnership.org/29785-0e1d064b96b75dfb79469cf0d86708dda.pdf

⁴⁷ Christian Aid, "REDD+ in Latin America and the Caribbean: Does it work for Local Communities?", June 2012, available at www.christianaid.org.uk/images/Time-for-climate-justice-8.pdf

⁴⁸ The Forest Carbon Partnership Facility, World Bank, available at www.forestcarbonpartnership.org/

⁴⁹ UNREDD, "REDD+ Benefit Sharing: A Comparative Assessment of Three National Policy Approaches", 2011, available at un-redd.org

⁵⁰ UNREDD, "REDD+ Benefit Sharing: A Comparative Assessment of Three National Policy Approaches", 2011, available at un-redd.org

- *Indigenous People*: This policy aims to ensure that the development process fully respects the dignity, human rights, economies, and cultures of Indigenous Peoples. This includes the engagement of free, prior and informed consent in the recipient country, as well the avoidance, minimization and mitigation, or compensation, of adverse effects on Indigenous Peoples Communities.
- *Involuntary Resettlement*: This policy aims to avoid or minimize involuntary resettlement and, where this is not feasible, to assist displaced persons in improving or at least restoring their livelihoods and standards of living.

The UN-REDD program is also developing a set of environmental and social principles and criteria, which aim to ensure that UN obligations and commitments are met in REDD+ programs. These principles and criteria are still under development, with a working title of the UN-REDD program “Social and Environmental Principles Framework”. The framework is made up of two components⁵¹:

- A minimum standard risk assessment and mitigation framework: implies that UN-REDD projects will have to comply with a set of minimum environmental and social standards, also referred to as safeguards or “do no harm” principles, which are based on international treaties, conventions, and best practice guidance.
- An assessment of impact magnitude: This component’s objective is to minimize social and environmental risks and maximize multiple benefits for climate change mitigation, sustainable development and conservation.

DISTRIBUTION OF BENEFITS AND CORRUPTION

Around 15 countries in Latin America are involved in REDD+ related processes. REDD+ represents a new opportunity for these countries, but also a threat, especially in States where governance of natural resources is poor and corrupted, a common characteristic in many forest-rich developing countries, such as the Democratic Republic of Congo but also in many Latin-American countries. Corruption could be one the major obstacles to an effective REDD+ mechanism. Corruption may occur at all levels of government (national, federal, municipal, communal) and in both the planning (before) and implementation (during) of REDD+. Corruption in REDD may affect land and natural resource tenure and administration, agrarian reform, allocation of carbon rights, setting the baseline level, distribution of benefits and many other aspects of the mechanism. The particular context of the international forestry sector presents significant corruption and governance challenges, given that an estimated US\$ 10-23 billion worth of timber is illegally felled each year in the world, due to some extent to deeply engrained corruption within national and regional ministries in charge of forest administration⁵². In many cases, forest resources assets are used for personal enrichment of for buying political support or influence⁵³. This certainly applies to

⁵¹ UNREDD, “REDD+ Benefit Sharing: A Comparative Assessment of Three National Policy Approaches”, 2011, available at un-redd.org

⁵² UNREDD, “Local Governance, Anti-Corruption and REDD+ in Latin America and the Caribbean: Exploring Synergies to Strengthen Transparency and Accountability”, 2011, available at unredd.net

⁵³ *Ibid*

Latin America, where corruption in the forest sector is widespread, a definite barrier to a successful future REDD+ mechanism, at least in social terms. Addressing corruption risks in the context of REDD+ is essential to increase the commitment of local actors and communities who are expected to make major sacrifices under the mechanism, namely the suspension of extractive and transformational activities within the forest, such as timber felling and conversion to pastures. Furthermore, corruption must be dealt with in order to gain the confidence of potential donors and investors and safeguard long-term sustainability and financing. In the absence of safeguards against corruption, it is very likely that REDD will become an additional source of corruption and unfair distribution of economic benefits, further compounding current issues that plague the forestry sector in many Latin-American countries.

Alternatively, REDD+ could also help attenuate corruption. Given that the mechanism is likely to involve large sums of money and a host of recognized and renowned international organizations, it will be subject to greater supervision. Such organizations include Ministries of Environment, international donors, NGOs, civil society bodies, private investors, ODAs (official development agencies)⁵⁴ etc. At the national level, countries are requested to develop monitoring systems that shall supervise many different aspects of REDD+ and the associated corruption risks, notably benefit redistribution, forest land tenure and carbon stocking⁵⁵. A special emphasis has been placed (by UNREDD among others) on the contentious issue of civil and indigenous populations' participation, seeking to proactively integrate these often marginalized groups into all processes and phases of REDD+, notably the oversight aspect⁵⁶. In this context, the UN-REDD program has included anti-corruption as a key issue of its five year REDD+ program strategy, spearheaded by UNDP, focusing particularly on the following issues:

- Capacity-building for institutions in terms of equitable, transparent and accountable benefit distribution systems
- Developing effective and inclusive national governance systems and safeguards
- Creating multi-stakeholder mechanisms involving local and indigenous communities

MRV – Measurement, Reporting and Verification

MRV is one of the most commonly debated subjects pertaining to REDD+ and, more specifically, forest carbon monitoring. MRV was included in the Cancún Agreements (2010) as one of the most critical elements necessary for the successful implementation of any REDD+ mechanism⁵⁷. The main purpose of MRV is to provide a reliable way of measuring and monitoring forest carbon changes over time, a core monitoring challenge under REDD+. MRV has been thoroughly defined by the Inter-governmental Panel on Climate Change (IPCC). The main focus and challenge at this stage is the national level reporting to the IPCC and United Nations Framework Convention on Climate Change (UNFCCC), respecting the strict standards established, and the subsequent awaited accounting of carbon credits⁵⁸.

⁵⁴ *Ibid*

⁵⁵ *Ibid*

⁵⁶ *Ibid*

⁵⁷ NRDC, "Key Outcomes of Climate Negotiations in Cancun, Mexico", 2010, available at switchboard.nrdc.org/blogs/jschmidt/Key%20Outcomes%20of%20COP16-ENGLISH.pdf

⁵⁸ UNREDD, "Local Governance, Anti-Corruption and REDD+ in Latin America and the Caribbean: Exploring Synergies to Strengthen Transparency and Accountability", 2011, available at unredd.net

The three components that make up MRV can be defined as follows⁵⁹:

- Measurement: “The process of data collection over time, providing basic datasets, including associated accuracy and precision, for the range of relevant variables. Possible data sources are field measurements, field observations, detection through remote sensing and interviews.” Refers to information about a forested area undergoing man-made transformations with coefficients that quantify carbon emissions resulting from deforestation / degradation. For REDD+, this translates into measurements of forest area and area change. This provides the basis for compiling a GHGs inventory. Countries may also be required to measure safeguards indicators and benefits.
- Reporting: “The process of formal reporting of assessment results to the UNFCCC, according to predetermined formats and according to established standards, especially the Intergovernmental Panel on Climate Change (IPCC) Guidelines and GPG [Good Practice Guidance].” Refers to the compilation and availability of national data and statistics (mostly GHGs emissions and removals) to be used in the GHG inventory and reported to the UNFCCC.
- Verification: “The process of formal verification of reports, for example, the established approach to verify national communications and national inventory reports to the UNFCCC.” Refers to the process of checking the accuracy and reliability of reported information, transparently and independently, i.e. by external review, namely the UNFCCC secretariat. Depends on three factors: 1) the degree to which reported data is capable of being verified; 2) the actors conducting the verification; and 3) the way in which verification is performed.

MRV thus forms an essential component of the REDD+ mechanism, both as a tool for monitoring the impact and success of conservation efforts and as a safeguards option. Unfortunately, most Latin-American countries still lack the technical know-how, infrastructure and personnel necessary for effective MRV activities, with the exception of Brazil and, to a lesser extent, Mexico. Since the 1980s, Brazil has been developing state-of-the-art Geographical Information Systems (GIS) capacity in monitoring of deforestation in the Amazon, which includes photo-interpretation, cartography and the use of remote sensors. Today, Brazil is one of the most advanced countries in the world in terms of capacity to monitor its forest resources and, consequently, is able to push forward with REDD projects.

⁵⁹ UNREDD, “REDD+ Benefit Sharing: A Comparative Assessment of Three National Policy Approaches”, 2011, available at un-redd.org

Models forests and REDD+

In many developing countries, decentralization of natural resources management has been promoted as an effective strategy for achieving a variety of goals, including improved management efficiency, improved governance, reduced costs for the government transferring of responsibilities better adaptation of public policies to local priorities, increased transparency and accountability among government agencies, institutionalization of democratic participation and stakeholder dialogue, increased property rights, with empowerment of local communities and ultimately, advancement of socially equitable sustainable development. In fact, decentralized forest resources management in developing nations is believed to be “the most significant, most distinctive and most visible shift in national environmental policies since the late 1980⁶⁰.”

There is a possibility that REDD+ might promote decentralization to organize and monitor projects, in order to avoid the complexities, shortcomings and corruption of inadequate national governments⁶¹. This could favor subnational policymakers, municipal governments and other local governance platforms, such as Model Forests, particularly in federal States like Brazil and Mexico, encouraging them to pursue further decentralization, prevent deforestation and restore degraded forests in order to receive REDD+ funds. A key advantage of a decentralized, small-scale approach to REDD+ would be the increased possibility of directly engaging and involving forest-dependent communities, thereby reducing their dependency on a centralized system and its hierarchical, top-down approach. Therefore, REDD+ could require a balanced approach, perhaps a hybrid system that combines central organization and national-level monitoring with a decentralized decision-making and communal participation.

A leading forest sector policy approach relevant to REDD+ has emerged recently and is being increasingly discussed and debated as a potential benefit-sharing mechanism that could be implemented in the near future. Participatory forest management (PFM) is a promising decentralized management strategy compatible with PES schemes under which small landholder communities may be included in a future REDD+ delivery system⁶². Recent studies on PFM have demonstrated the benefits of devolving ownership, management responsibilities and benefits of public lands to local governance levels and community actors for increased reforestation and forest conservation⁶³. PFM originated in government-led initiatives to improve forest management by increasing local community control and reducing the poverty of those living in and around forests⁶⁴. It is now being seen as promising decentralized management strategy to include small landholders in a future REDD+ scenario. PFM may include a range of centralized and decentralized scenario options, from provincial or district level authorities, groups of forest user stakeholders (such as Model Forests) and traditional authorities⁶⁵. PFM offers a wide range of benefits to communities, in addition to carbon financing. Eco-tourism and the trade of non-timber forest products (NTFP) are two potentially major sources of revenue that could exist under a PFM REDD+ scenario. However, equitable benefit distribution has been a challenge for PFM since its inception

⁶⁰ Peter H. May *et al.*, “The context of REDD+ in Brazil”, CIFOR, 2011, available at www.cifor.org/publications/pdf_files/OccPapers/OP-55.pdf

⁶¹ UNREDD, “Local Governance, Anti-Corruption and REDD+ in Latin America and the Caribbean: Exploring Synergies to Strengthen Transparency and Accountability”, 2011, available at unredd.net

⁶² UNREDD, “REDD+ Benefit Sharing: A Comparative Assessment of Three National Policy Approaches”, 2011, available at un-redd.org

⁶³ *Ibid*

⁶⁴ *Ibid*

⁶⁵ *Ibid*

in projects in Asia and Africa⁶⁶. For REDD+ to function equitably under a PFM mechanism, safeguards to improve transparency, accountability and fair distribution of revenue will be critical. Model Forests present an interesting form of decentralized governance platform which apply a set of principles and safeguards that are relevant to REDD+ priorities. This will be discussed in the following pages.

Model Forests were first implemented in Canada in 1992 in forested areas where conflicts over resources among conservationists, indigenous populations, governments and private companies required innovative mediation mechanisms. The concept was then exported overseas, and several Model Forest initiatives sprung up all over the world. Currently, there are 58 Model Forests across the world, all of them affiliated to the international and regional networks of Model Forests despite fairly autonomous governance. In Latin America, Model forests are of special relevance to REDD+, given that they cover 25.5 million hectares and are inhabited by 3.5 million people.

Today, Model Forests in Latin America form a major regional platform that encompass good governance principles, poverty reduction efforts, multi-stakeholder participation and forest and biodiversity conservation, all essential components of REDD+ and payments for ecosystem services (PES) initiatives. In fact, Model Forests apply a set of principles, conditions and criteria, many of which correspond to REDD+ objectives, namely:

- Effective participation of stakeholders
- Respect and recognition of local and indigenous rights and knowledge
- Conservation of biodiversity and ecosystem services
- Promotion of social and environmental benefits

As discussed earlier, good governance is of massive importance when addressing REDD+ challenges. Model Forests present an interesting a form of territorial governance platforms. Model Forests are decentralized, multi-actor governance spaces that allow dialogue and decision-making processes among individuals representing national and local organizations at the level of forest landscapes where deforestation is taking place. As a decentralized territorial platform, MF are characterized by less hierarchical institutional designs, where NGOs, academics, local and national governments and private companies cooperate over specific issues and common interests in a participatory and democratic manner, working to reach agreements and compromises in a way that ultimately leads to a sustainable social and environmental development of the territory. Model Forests are considered intermediate scale platforms, occupying the space between local forest communities and national policy makers. The MF thus encourages dialogue among different actors and stakeholders as well mediation and negotiation, which facilitates the solution of complex problems such as deforestation, land use planning and forest land tenure.

In November 2011 in Santa Cruz de la Sierra, Bolivia, a workshop was organized and representatives from all the region's Model Forests were invited to discuss Model Forests and local implementation of national strategies for REDD+ in the Latin American region. This was the first REDD+ event in the history of the network, thus building a foundation for dialogue between Model Forests. The workshop also focused on creating synergies between REDD+ processes and existing regional alliances, ways to address REDD+ obstacles and training needs, research, opportunities for collaboration and processes to improve the region's institutions. The region's model forests are basically working on ensuring that the REDD+ process fit into the existing

⁶⁶ *Ibid*

institutional landscape and support current sustainable forest management initiatives, whilst also contributing to continued participation of the broad base of stakeholders present in all the MF landscapes. The following recommendations were issued at the end of the workshop⁶⁷.

Training is any indispensable component of any future REDD+ implementation throughout the RIABM. Specifically, MF representatives and stakeholders require training to understand and simplify REDD+ basic terminology, educate other stakeholders and/or Model Forests about REDD+ and strengthen existing capacities within MODEL FORESTS, namely good governance, development and project management, monitoring, evaluation, negotiation etc.

Research is also necessary to increase knowledge about social, economic and environmental baselines of the populations involved. Information and data concerning these baselines is an absolute prerequisite for the implementation of REDD+. To this effect, tools are required in order to measure indicators, generate data and provide information pertaining to the social, economic and environmental situation of any given territory.

Institutional strengthening is another important component. Institutions have a role in ensuring that safeguards are met, that knowledge is generated and shared and that partnerships are created. Furthermore, institutions can work to influence decision-makers and improve the dialogue with the community and local populations.

The positive aspect of Model Forests is that it involves local development actors which collaborate towards a common vision of sustainable development. This dialogue and inter-partner synergy within Model Forests make these good candidates for REDD+ projects, especially for the management of the social aspects of the process. In countries with weak governance Model forests can promote good governance and become an intermediary between national and international levels on one side and communities and sectors operating in forest landscapes where deforestation and forest degradation is happening on the other. As such, MF can help strengthen national and sub-national governance structures to improve coordination across sectors and scales. As countries further pursue decentralization of natural resource management, REDD+ could provide new incentives and resources for building local capacity and increasing autonomy. Many countries in Latin-America, such as Mexico and Brazil, have long traditions of community forest management, providing a strong foundation for local REDD+ management⁶⁸. Furthermore, in large countries such as Brazil, a highly centralized system is unlikely to succeed given that the central government cannot possibly monitor land use across its entire territory and, therefore, will need to rely heavily on local authorities to fulfill REDD+ MRV requirements⁶⁹. If REDD+ is to succeed, there is growing consensus that bottom-up approaches that have local support and involve increased resource flows to rural areas, with adequate safeguards, are the way to go. Model Forests provide a prime example of local-level good governance, bottom-up participatory collaboration and decentralized natural resource management that would be ideal for REDD+ and PES projects.

⁶⁷ REDDnet, "REDD+ Governance across scales in Latin America", 2012, available at www.imfn.net/system/files/REDD%20governance_perceptions%20from%20the%20Model%20Forests.pdf

⁶⁸ CIFOR, "New climate change mitigation schemes could benefit elites rather than the rural poor", 2010, available at [www.forestsclimatechange.org/media-forestsclimate-change/press-releases.html?tx_fccpressrelease\[id\]=1246](http://www.forestsclimatechange.org/media-forestsclimate-change/press-releases.html?tx_fccpressrelease[id]=1246)

⁶⁹ *Ibid.*

ANNEX 1 – CORRUPTION RISKS UNDER REDD+

TABLE 1 –CORRUPTION RISKS AT THE PLANNING PHASE⁷⁰

REDD+ Design	
Phases	Corrupt Practices
Land Use Planning	<p>Logging companies seeking to influence the design of land use plans by bribing officials to exclude high value timber concessions from REDD+, while pressing for areas which have already been degraded (selectively logged) to be included.</p> <p>Project developers, multinational corporations or powerful agribusiness operators bribing public officials to ensure that land areas they own or have an interest in are allocated to, or excluded from, REDD+.</p>
Land and Natural Resource Tenure	<p>Failing to recognize competing rights of formal or informal customary land tenure, so that political elites can “trump” customary tenure and capture REDD+ revenues.</p> <p>Adopting a REDD+ framework which appears to respect customary land tenure, for example by recognizing registered customary land titles while failing to provide the necessary administrative and budgetary support to build capacity for the land registration process (“corruption by omission”).</p>
Allocation of Carbon Rights	<p>Corrupt actors may seek to “legalize” corruption. For example, political elites may seek to link carbon rights to state ownership of forests – thus excluding any claims to carbon rights by those holding or asserting customary tenure.</p>
Setting Reference Emission Levels	<p>Artificially inflating the baseline to increase the emissions reductions, and thus the REDD+ revenues, which can subsequently be claimed. This allows the excess to be “skimmed” by corrupt officials at a later date once the real rate of deforestation/degradation becomes apparent.</p>
Design of Benefit Distribution Systems (BDS)	<p>BDS may be unduly influenced by state capture, nepotism and cronyism, which could influence design of the BDS at the national, provincial and local levels.</p>

⁷⁰ UNREDD, “Local Governance, Anti-Corruption and REDD+ in Latin America and the Caribbean: Exploring Synergies to Strengthen Transparency and Accountability”, 2011, available at unredd.net

TABLE 2 – CORRUPTION RISKS AT THE IMPLEMENTATION PHASE⁷¹

REDD+ Implementation	
Phases	Corrupt Practices
Land Administration	<p>Bribe public sector officials to fraudulently create land titles or to register titles over state land in the name of particular individuals or corporations.</p> <p>Bribe public sector officials to overlook competing customary claims to land titles.</p>
Spot Rezoning	<p>Logging companies may bribe a public sector official to include a specific parcel of land in REDD+, with a view to revoke the REDD+ zoning designation at a later date, thus allowing the logging concession over the land to be reactivated.</p>
Carbon Rights	<p>Project developers, logging companies or local elites may bribe public officials in the lands department to register the carbon rights over particular parcels of land in the name of the corrupt actor, who could sell the carbon rights to a third party and then abscond with the proceeds. This could occur without the knowledge or consent of the indigenous people or other local communities, who own, use or occupy the land.</p> <p>Laundering of money through the purchase and sale of carbon rights.</p>
Carbon Measurement Risks	<p>Public sector officials may over-estimate the amount of avoided emissions and emission reductions against the baseline in order to inflate REDD+ revenues, and subsequently “skim off” and embezzle these additional revenues generated by political elites or public sector officials.</p> <p>Project developers may bribe public sector officials to falsify claimed emissions reductions from projects to secure additional revenues.</p>

⁷¹ UNREDD, “Local Governance, Anti-Corruption and REDD+ in Latin America and the Caribbean: Exploring Synergies to Strengthen Transparency and Accountability”, 2011, available at unredd.org

ANNEX II – UNREDD SAFEGUARDS TABLE⁷²

Overview of draft UN-REDD Programme Social and Environmental Principles and Criteria

Principle 1 – Democratic governance: The program complies with standards of democratic governance

Criterion	Elaboration
Criterion 1 – Ensure the integrity of fiduciary and fund managements systems	The program has assessed and addressed fiduciary and fund management risks
Criterion 2 – Implement activities in a transparent and accountable manner	Program administration and REDD+ readiness activities are carried out in an accountable and transparent manner
Criterion 3 – Ensure broad stakeholder participation	a) All relevant stakeholder groups are identified and enabled to participate in a meaningful and effective manner; b) Special attention is given to most vulnerable groups and the free, prior and informed consent of indigenous peoples

Principle 2 – Stakeholder livelihoods: The program carefully assesses potential adverse impacts on stakeholders’ long-term livelihoods and mitigates effects where appropriate.

Criterion	Elaboration
Criterion 4 – Promote gender equality	Program planning and REDD+ readiness activities are carried out with attention to different gender roles and women’s empowerment
Criterion 5 – Avoid involuntary resettlement	The program is not involved and not complicit in involuntary resettlement
Criterion 6 – Respect traditional knowledge	The program is not involved and not complicit in alteration, damage, or removal of any critical cultural heritage or the erosion of traditional knowledge
Criterion 7 – Develop equitable benefit distribution systems	Benefits(including revenues) are shared equitably

⁷² UNREDD, “A Review of Three REDD+ Safeguard Initiatives”, available at reddpluspartnership.org/29785-0e1d064b96b75dfb79469cf0d86708dda.pdf

Principle 3 – Policy coherence: The program contributes to a low-carbon, climate-resilient and environmentally sound development policy, consistent with commitments under international conventions and agreements.	
Criterion	Elaboration
Criterion 8 – Ensure consistency with climate policy objectives	The program is compatible with overall national mitigation and adaptation strategies (e.g. concerning land requirements). The program is designed to be climate resilient according to current knowledge
Criterion 9 – Address the risk of reversals: plan for long-term effectiveness of REDD+	The program includes actions to reduce potential future risks to forest carbon stocks and other benefits, for example by addressing climate change resilience, institutional stability, the sustainability and long-term effectiveness of incentives
Criterion 10 – Ensure consistency with development policy objectives	The program is designed to be compatible with and contribute to poverty reduction strategies and other existing sustainable development goals at all levels of government. Social and economic implications of REDD+ program are carefully assessed and adverse impacts mitigated where appropriate
Criterion 11 – Ensure consistency with biodiversity conservation, other environmental and natural resource management policy objectives	The program is designed to be compatible with and contribute to environmental goals, such as national and subnational forest programmes, and plans to implement the Convention on Biological Diversity, UN Convention to Combat Desertification and other relevant MEAs. Existing inconsistencies in the policy framework governing use of natural resources are addressed where possible.

Principle 4 – Protect and conserve natural forest: The program protects natural forest from degradation or conversion to other land uses, including plantation forest	
Criterion	Elaboration
Criterion 12 – Ensure that REDD+ activities do not cause the conversion of natural forest, and do address the other causes of conversion.	REDD+ activities do not convert natural forest to other land uses such as plantation forest. The program prioritizes REDD+ interventions that reduce conversion of natural forest
Criterion 13 – Minimize degradation of natural forest in order to maintain biodiversity and other key values	REDD+ activities, including work with other sectors, are designed to maintain (protect from degradation) biodiversity and other key values in natural forest

Principle 5 – Maintain and enhance multiple functions of forest: The programme increases benefits delivered through ecosystem services and biodiversity conservation

Criterion	Elaboration
Criterion 14 – Set goals and plan for maintenance and enhancement of ecosystem services and biodiversity in new and existing forest.	<p>The program sets goals for delivery of ecosystem-based multiple benefit, and land use planning explicitly takes account of these. The implementation of REDD+ is informed by analysis of the potential for multiple benefits and trade-offs between different benefits (e.g. through spatial analysis)</p> <p>Management plans and activities aim to ensure that forests deliver multiple benefits that are valued locally (for example, by enabling community forest management), and to collectively meet program goals. For example, consider impacts of species choice in new planting.</p>
Criterion 15 – Use monitoring and adaptive management to support maintenance and enhancement of biodiversity and ecosystem services	Progress towards goals and management objectives is monitored, and activities reviewed and adjusted where necessary, if outcomes are negative

Principle 6 – Minimise indirect adverse impacts on ecosystem services and biodiversity

Criterion	Elaboration
Criterion 16 – Minimize indirect land-use change impacts on carbon stocks	Action taken to reduce harmful effects on carbon stocks of forest and non-forest ecosystems resulting from displacement of land-use change
Criterion 17 – Minimize indirect land-use change in natural ecosystems and its impacts on biodiversity	Action taken to reduce displacement of land-use change into natural ecosystems (forest and non-forest) that are not targeted by REDD+ policies and measures
Criterion 18 – Minimize other indirect impacts on biodiversity	The program assesses and mitigates other indirect impact on biodiversity, for example as a result of intensification of agriculture and forestry