

CIFOR GLOBAL COMPARATIVE STUDY ON REDD+

Monday, June 18, 2012

Pancetti Room

9:00 – 10:30

SPECIAL PANEL:

A comparison of incentives strategies and impacts of four incipient REDD+ initiatives in the Brazilian Amazon

Coordinator: Amy E. Duchelle (Center for International Forestry Research, Rio de Janeiro, Brazil) - a.duchelle@cgiar.org

Panel Abstract:

Strategies to reduce carbon emissions through avoided deforestation and forest degradation and enhancement of carbon stocks (REDD+) have been proposed as an effective way to mitigate global climate change through interventions in developing countries. REDD+ is also seen as a way to bolster livelihoods of local communities and promote other social and environmental co-benefits. Since the Bali Road Map of 2007, hundreds of first-generation REDD+ projects have emerged at the sub-national scale throughout the tropics. These sub-national projects are comprised of a suite of incentives packages that are designed to promote sustainable forest and land use behaviors among local people, and are in the process of being tested on the ground.

As part of the Center for International Forestry Research's (CIFOR) Global Comparative Study on REDD+, we examined four sub-national REDD+ pilot projects in the Brazilian Amazon as a way to understand current and future land use and livelihoods impacts of incipient REDD+ initiatives that target local people. Fieldwork was carried out at the four pilot sites between June 2010 and May 2011 through interviews with project proponents to understand project design and early implementation strategies and through surveys with target communities and land managers to understand current land use and livelihood strategies.

In this panel, we present the results of research conducted at these four REDD+ pilot sites. Following a brief introduction to CIFOR's Global Comparative Study on REDD+, the first two presentations will address impacts associated with projects that have already been implemented. The first presentation highlights how land use and livelihoods impacts associated with an earlier Payments for Environmental Services (PES) project in the Transamazon Highway region of Pará (Proambiente) can inform the intervention strategies of a REDD+ pilot project that is being implemented with the same households. Results show that households participating in Proambiente adopted more intensified agricultural production strategies than their non-participating neighbors, based on project training and inputs, which possibly resulted in less clearing of mature forest. The second presentation focuses on sustainability of the Bolsa Floresta Program, which targets riverine populations in Sustainable Development Reserves in Amazonas and includes the pioneer Juma REDD+ project. Results of this study highlight that while agricultural and livestock income sources are central to local livelihoods of Bolsa Floresta participants, forest clearing within the reserves is minimal. That said, there are strong deforestation pressures immediately adjacent to the project sites. These findings lead to questions about whether or not community empowerment and incentive payments associated with Bolsa Floresta will be enough to deter forest conversion over the long term. The third and fourth presentations in the panel focus on two larger-scale

REDD+ pilot projects in their design and early implementation phase in the municipalities of São Félix do Xingu, Pará and Cotriguaçu, Mato Grosso, respectively. The third presentation addresses the multi-scalar institutions that govern REDD+ implementation in São Félix do Xingu, and the possible impacts of the project on changing forest and land use behaviors among both large and small landholders in the project area. Results emphasize the need for socially-oriented REDD+ implementation to promote project effectiveness, including capacity building for local stakeholders. The fourth presentation focuses on the potential impact of the project proponents' decision to not include direct conditional payments in the REDD+ pilot project in Cotriguaçu, Mato Grosso. Results of this study show that while local acceptance of and participation in this project would likely be greater if PES were included, direct cash payments could result in increased deforestation among smallholders and would likely not be able to discourage large landholders from clearing forests for more profitable land uses. This panel allows us to understand a diverse set of REDD+ intervention approaches in different contexts, shedding light on the potential for and challenges associated with REDD+ implementation in the Brazilian Amazon and elsewhere.

“Smallholder livelihoods and land use in the eastern Brazilian Amazon: lessons for REDD+ from Proambiente”

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Abstract:

Many sub-national projects for reducing carbon emissions through avoided deforestation and forest degradation and enhancement of carbon stocks (REDD+) are being proposed in areas that have had previous Integrated Conservation and Development Projects (ICDPs) and/or Payments for Environmental Services (PES) projects. Therefore, understanding earlier project contexts and outcomes can help improve REDD+ project design and implementation. Since REDD+ projects will directly affect local livelihoods, it is essential to define appropriate incentives packages that will encourage sustainable land use behaviors among local people.

In this paper, we focus on a comparative analysis of livelihoods and land uses of participants and non-participants of the Proambiente program in the Transamazon region of the Eastern Brazilian Amazon. Proambiente was born in the Transamazon as a result of articulation by small farmers and civil society with the aim of conciliating smallholder production with natural resource conservation through land use planning, technical assistance and PES. In 2004, Proambiente became a federal pilot program and expanded to 12 pilot sites in the Brazilian Amazon. In the Transamazon, 350 families participated in the project from 2003 to 2006; all participating households received payments over a six-month period. Although, there were notable community organization, participation, and training benefits associated with Proambiente, it ended prematurely primarily due to lack of long-term support at the national level. To provide continuity to this initiative, a Brazilian non-governmental organization has proposed a REDD+ pilot project that will target these same families.

As part of CIFOR's Global Comparative Study on REDD+, we conducted field research in the Transamazon region from June to August 2010. We first interviewed the project proponent to understand project goals and strategies. We then conducted 137 interviews with families at the Proambiente project site that were randomly selected from a stratified sample to include participants (n=67) and non-participants (n=70).

Our results show that mean total income (cash and subsistence; 2009-2010) was not significantly different among the two groups. Both groups earned the majority of their income from livestock and agriculture (Pro:

41% from livestock, mainly cattle, and 28% from agriculture; NPro: 35% from agriculture and 28% from livestock). Income derived from forests was negligible in both groups. That said, agricultural crop diversity was greater in the Pro group ($p = 0.025$). Also, while Pro households used smaller areas for crops, they obtained higher mean incomes from this sector than NPro households ($p=0.057$). Finally, Pro households reported that the project contributed to reduced use of fire for agriculture. While the mean amount of recent annual deforestation (2008-2010) was quite low for households in both groups (Pro: 3.4 ha; NPro: 3.7 ha), only 15% of the Pro households included mature forest in these recent clearings, in contrast with 30% of NPro households. Despite the low annual clearing, both groups were environmentally non-compliant, according to the Brazilian Forest Code, with less than 80% of their landholdings in forest cover (Pro:66%; NPro:58%), emphasizing high rates of historical deforestation.

Our results indicate that Proambiente households used agricultural land more efficiently than non-participants, which was evidenced by the fact that they gleaned more agricultural income from smaller areas. Even though Proambiente households were non-compliant with the Brazilian Forest Code, the majority of them chose to clear secondary forest instead of mature forest. Given the importance of income from livestock and agriculture in local livelihoods, promoting more intensive and diversified production techniques represents a key intervention strategy of the proposed REDD+ project in the region, as already anticipated by the project proponent. Reforestation on degraded lands will also be an important REDD+ strategy to promote environmental compliance among participating families.

Keywords: PES, smallholders, livelihoods, land use

“Land use, deforestation pressures and sustainability under Brazil’s Bolsa Floresta program in Amazonas”

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Abstract:

Payments as incentives for avoiding deforestation to mitigate climate change have gained increasing consideration as a means to achieve REDD+ (Reduced Emissions from Deforestation and Degradation) in developing countries. Particular attention is focused on preparing tropical, forest-rich countries for REDD+ implementation, which aims to pay local landholders to avoid clearing forests. The Amazon Basin has been a priority area for initiation of pilot REDD+ activities, and Brazil, which houses the largest tract of Amazonian forests, has been significantly engaged in these activities. Research on who exactly is participating in pilot REDD+ projects in the Brazilian Amazon was conducted to highlight the current issues and successes that these initiatives face.

The study was conducted in two Sustainable Development Reserves in the state of Amazonas, Juma and Uatuma, which are both involved in a payment program called the Bolsa Floresta (Forest Allowance) Program. Furthermore, the Juma Reserve represents one of the first credited REDD+ programs in the Brazilian Amazon. Families in these reserves receive village level assistance in the form of infrastructure, but most publicized is its incentive payment of US\$30 per month per family who commit to zero deforestation of mature forest. Juma Reserve is traversed by a road which connects the main town in the reserve to a large regional city, where access to the Uatuma Reserve is solely by river. Current deforestation rates (2010) were measured at <1% in both reserves, but by 2050, these figures are expected to increase to around 70-75% in each. Pressures for land clearing threaten the integrity of the Sustainable Development Reserves, and the Bolsa Floresta Program aims to meet this heavy pressure through community empowerment, including creation of community infrastructure (e.g., schools, transport) and providing means to develop small-scale businesses.

As part of CIFOR’s Global Comparative Study on REDD+, a survey was conducted including 340 households both inside and outside Juma and Uatuma Reserves from February to April 2011. Of these households, 244 were inside the reserves and eligible to receive Bolsa Floresta payments. Preliminary socio-economic analysis of respondents showed that small-scale agriculture remains the prominent livelihood within the reserves,

contributing 37% (Juma) and 33% (Uatuma) of the total annual cash and subsistence income. Interestingly, outside Uatuma, agricultural incomes contributed to 30% of the total and only 12% outside Juma. Forest income was the second most prominent livelihood inside Juma and Uatuma comprising 30% and 29% of total incomes respectively, compared to 12% and 23% outside the respective reserves. Households outside Juma also earned most from livestock and animal product income (41% of total income), and held the largest share of livestock assets (64% of total assets).

These results highlight that, based on potential pressures from outside the reserves, long-term sustainability of the Bolsa Floresta program could be threatened. Using household lifecycle theory, this paper examines the land use trajectories of households inside and outside reserves to help predict future land use patterns. This paper speculates about whether the integrated conservation and development approach of the program, through community empowerment and development initiatives, including incentive payments, is sufficient to deter land conversion to more profitable uses and ensure its continued success and integrity.

Keywords: land use, deforestation, REDD+, Brazil, sustainability

“Analyzing possible impacts of REDD+ initiatives on the ground: lessons from São Félix do Xingu, Brazil”

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Abstract:

This paper explores how and for what reasons forest managers in the southeastern Brazilian Amazon may react to initiatives related to Reducing Emissions from Deforestation and Degradation and enhancement of carbon stocks (REDD+). Focusing on the municipality of São Félix do Xingu, in the state of Pará, it describes conventional land and forest use strategies of small and large landholders in the area, and addresses how these behaviors could be affected by the introduction of a proposed municipality-wide REDD+ pilot program. Since behavior change rests on the assumptions of the individuals who are being targeted, different forest actors in São Félix do Xingu will likely respond to REDD+ interventions in a variety of ways. We ask: (1) what governs REDD+ initiatives in the project area?; (2) how might different local actors react to the proposed REDD+ mechanisms, including possible behavior changes that could occur?; and (3) will these new institutions be efficient, effective and fair when applied to different actors? This analysis intends to show that selected REDD+ initiatives will likely cause different reactions depending on the factors that govern land and forest use behavior.

Using evidence from data collected within CIFOR’s Global Comparative Study on REDD+, this paper explores the relationship between government restrictions on land and forest use, and regulatory and incentive-based mechanisms for REDD+. From September of 2010 to November of 2011, we interviewed the REDD+ project proponents to understand project goals and strategies and conducted surveys with 40 large landholders and 124 smallholders in the project area to gather baseline data on land and forest use. Preliminary results show that capacity building will play a key role in building a REDD+ program in the municipality. Some challenges facing the implementation of REDD+ in São Félix do Xingu include the diversity of land use and actors in the project area and the varying interests behind deforestation activities. This analysis argues for the need to establish and reform national and international institutions for REDD+ with a more “social oriented” focus. This is because institutions are not only constraints, but they are also what shape the individual and define which rationality is relevant or appropriate in each type of choice-setting. Understanding the factors that govern forest actors’ behavior in relation to land and forest use, and providing adequate incentives for sustainable

behaviours, can allow for positive social and environmental outcomes of REDD+. Going one step further, the analysis permits the consideration of the structures, power and self that are responsible for the emergence of new institutions and the rationality and choices they want to promote.

Keywords: behavior change, climate change, mitigation, forests, Amazon

“REDD+ with or without payments for environmental services? A case study from Northwestern Mato Grosso in the Brazilian Amazon”

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Abstract:

Mato Grosso has historically been one of the states with the highest deforestation rate in the Brazilian Amazon with timber extraction, cattle ranching, and soy production as major drivers. With 80% of its tropical forest intact and high imminent threat of deforestation, the municipality of Cotriguaçu in northwestern Mato Grosso has become the target of a Reduced Emissions from Deforestation and Degradation (REDD+) pilot project, led by the state government and several NGOs. Since 2009, when the project was conceived, the strategies of implementing the REDD+ project in Cotriguaçu changed substantially to align with economic and political interests from local stakeholders, and available project financial resources. One important change was the proponents' decision to not include payments for environmental services (PES) and focus more on the promotion of sustainable livelihoods, through provision of tools and materials, and improved governance in Cotriguaçu. The first phase of REDD+ implementation in the municipality is called the “Cotriguaçu Sempre Verde Project” (CSV). This project intends to promote social and economic development in Cotriguaçu focusing on conservation and sustainable management of natural resources through the following lines of action: (1) restructuring environmental management; (2) support for sustainable forest management; (3) support for best agro-pastoral practices; (4) strengthening of governance over natural resources in the rural settlements; and (5) integration of the Rikbaktsa indigenous group.

Although there is no doubt that these actions are relevant, the major gap in the REDD+ project is related to the absence of PES implementation. This gap could result in low adhesion or even a mischaracterization of the project. In this paper, I will focus on two questions. Firstly, how does the exclusion of PES affect local beneficiaries' acceptance of the REDD+ project (especially medium and large private landholders and small rural settlers)? And secondly, how might the resource allocation of small producers change if they were economically compensated by a PES program? To answer these questions, I conducted a field-level analysis in the municipality of Cotriguaçu in 2010 and 2011 as part of the CIFOR's Global Comparative Study on REDD+. Field methods included the collection of quantitative and qualitative data through meetings and interviews with small rural settlers (122 households) and medium and large private landholders (40 households). I also conducted open-ended interviews with local leaders and project decision makers.

Preliminary results show that acceptance and adhesion to the REDD+ project in Cotriguaçu would be higher if PES were included, since the opportunity costs of protecting the forest are high, and producers' decisions to conserve forest may depend on direct financial compensation. Despite the potentially important role of PES in REDD+, preliminary results of a hypothetical scenario for resource allocation showed that indeed PES may not be enough, since without adequate enforcement measures and alternative livelihood options, small producers are likely to use direct cash inputs to expand their agricultural and livestock activities. Additionally, among medium and large private landholders, a PES strategy seems unviable due to the high profitability of conventional timber extraction and cattle ranching. Promotion of more sustainable land use activities that promise high profits, such as sustainable forest management, may indeed be more appropriate than PES. The main challenge is to convince local stakeholders to invest their resources in such livelihood activities. This study is important for informing the best strategy for design and implementation of a REDD+ project in northwestern Mato Grosso to promote both forest conservation and development of local livelihoods.

Keywords: deforestation, degradation, livelihoods, resource allocation

Monday, June 18, 2012

Pancetti Room

1:30 – 3:00

SPECIAL PANEL:

National strategies for reducing emissions from avoided deforestation and degradation – how much transformational change is possible in current political and economic realities? – I

Part I - An overview

Chair: Maria Brockhaus (*CIFOR, Bogor, Indonesia*) - m.brockhaus@cgiar.org

Panel Abstract:

Climate change represents a key driver of global change and national, sub national, and local actors respond with ongoing political, social, and economic change. Forests are at the centre of the international mitigation agenda, but transformational change beyond the forestry sector is required to realize forest's mitigation potential through avoided deforestation and forest degradation (REDD+).

Dense webs of economic interests, political realities, and local needs come to the forefront as countries become "ready for REDD+" and start to develop national REDD+ strategies and policies. A deeper understanding of the underlying political economy of national REDD+ planning processes is needed to derive insights on the motives and barriers for actors to promote or obstruct the formulation and implementation of sustainable national REDD+ policies.

In these two sessions, we will present results from an ongoing global comparative study that analyses REDD+ policies and strategies in 10 countries in Africa, Latin America, and South East Asia. Differences and similarities in political discourses, policy networks and the institutional context for a REDD+ mechanism will be analyzed to explain outputs and outcomes of the REDD+ process. We will address the following questions: i) what are the main determinants of the national REDD+ policy process, ii) who are the key agents of change, and iii) what are the limits and barriers in the policy arenas to efficient, effective and equitable reform in and beyond the forestry sector.

The sessions will provide early lessons on politico-economic and institutional opportunities and obstacles for success (and failure) in achieving the necessary transformational change to realize emissions reductions and co-benefits through national REDD+ strategies. The target audiences include policy makers, academia, private sector, development agencies, IGO/NGOs and media.

Rationale

Efforts to integrate a REDD+ mechanism into the global climate change regime must be effective in reducing emissions and efficient in achieving reductions at the least possible cost, but they also need to take into account equity aspects if they are to deliver sustainable development. It is important to understand under

which circumstances national-level REDD strategies and local initiatives are sufficiently inclusive to ensure the interests of women, poor people, indigenous peoples and other vulnerable groups are adequately protected. These sessions will give insights from a global comparative study by CIFOR and its partners and provide opportunities for all participants to debate and share their knowledge.

“Dead-lock or transformational change – a comparison of REDD+ politics in the media”

Monica Di Gregorio^{1,2}, Maria Brockhaus², Tim Cronin^{2,3}, Efrian Muharrom², Levanía Santoso²

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Abstract:

At a global level, reducing emissions from deforestation and forest degradation in developing countries (REDD+) has been presented as a cost-effective option for mitigating climate change since 2005. Since then, REDD+ strategies, policies and measures have been negotiated in national policy arenas. Policy actors involved in the design of REDD+ argue that broad policy and governance reform is a *prerequisite* for its successful implementation. Others argue that this mechanism can also *trigger* transformational change in and beyond the forestry sector

Based on a comparative, media-based analysis of the politics of REDD we will examine in this paper the potential for such change in national policy arenas. We will argue that substantive progress on designing and implementing REDD is dependent on the presence of a) strong national ownership and political will, as opposed to an internationally driven process; b) a ‘domestic, multi-level and multi-sector coalition of change’, as opposed to dispersed actors, interests and positions; c) the domestic capacity to undertake significant change technical and governance systems.

We analyzed media frames on REDD+ in six countries (Bolivia, Peru, Brazil, Cameroon, Vietnam and Indonesia), which appeared in 3 national print media outlets between 2005 and 2010. Based on a coding scheme we identified frequencies, topics, advocates and adversaries of the frame, as well as their future assessments and priority outlooks on REDD+. We then manually coded specific positions, or stances, on REDD+ into ** broad categories, to which we applied social network analysis in order to identify discourse coalitions in and across the countries.

Our results illustrate that the content and focus of REDD+ discourse across the 6 countries varies significantly, even though most coverage is centered around policy making, as opposed to ecological or societal issues. The actors engaged in the debate, and which are shaping public perceptions of REDD+ tend to be national and international elites, with only Brazil and Indonesia engaging a wide range of different actor groups in public debate. While most actors offer an optimistic assessment of REDD+, discourse coalitions around specific stances indicate that REDD+ is a contested policy mechanism, with different actor groups having different priorities, perspectives and expectations of future outcomes.

Some countries, such as Cameroon, have expressed interest in REDD+, but the public is not engaged and international and national elites are driving the process. Other countries, such as Indonesia and Brazil, have broad engagement with the topic, but the diversity of coalitions and positions may hinder effective policy making. This is even more obvious in the case of Bolivia, where core-beliefs clash, especially around the issue

of market-based funding. Vietnam is moving forward rapidly with REDD+, but its authoritarian political system and state control of the media raises questions about the role of civil society in policy formulation.

Although REDD+ has made considerable progress at an international level, evidently there is still much work to do in strengthening ownership, consensus and capacity at a national level, in order to redefine existing power structures and address underlying drivers of deforestation. It seems transformational change is still far at the horizon.

“Land Tenure and REDD+: The good, the bad and the ugly”

Anne M. Larson¹, Maria Brockhaus¹, William D. Sunderlin¹, Amy Duchelle¹, Andrea Babon¹, Therese Dokken², I.A.P. Resosudarmo¹, Galia Selaya¹ and Abdon Awono¹

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Abstract:

A number of international donors, national governments and project proponents have begun to lay the groundwork for REDD+, but tenure insecurity – including the potential risks of land grabbing by outsiders and loss of local user rights to forests and forest land – is one of the main reasons that many indigenous and other local peoples have publicly opposed it. Under what conditions is REDD+ a threat to local rights, and under what conditions does it present an opportunity? This article explores these issues based on available data from a global comparative study on REDD+, led by the Center for International Forestry Research, which is studying national policies and processes in 12 countries and 22 REDD+ projects in 6 countries. The article analyses the extent to which tenure concerns are being addressed at both national and project level in emerging REDD+ programs. Results so far suggest that there is little reason to believe REDD+ strategies will make significant changes in the status quo. National level REDD+ discourses rarely focus on governance or tenure issues and the organizations that do have little influence. At the local level, tenure is not easy to resolve where conflict is serious, and piecemeal project interventions are insufficient in the absence of broader, national programs. At the same time, REDD+ may have put the issue of rights for indigenous and local people on the international and national agendas as never before.

“Political-economy of REDD+ in Peru”

Mary Menton¹, Hugo Che Piu², Javier Perla³, Daniela Freundt³

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Abstract:

Given its potential role as an economic incentive to mitigate climate change, reducing emissions from deforestation and degradation plus (REDD+) will be discussed widely at Rio 20+. In this paper we will present the case study of political and economic constraints for REDD in Peru. The study is part of a CIFOR (Center for

International Forestry Research) led Global Comparative Study of REDD+ (GCS-REDD+). This paper is based on an overview of the Peruvian REDD+ context, assessing drivers, actors and institutions in the REDD landscape in Peru. It also draws on an analysis of media discourse around REDD+ at the national level.

On the international scene, Peru has been a supporting voice for REDD, participating in most of the major REDD readiness initiatives (UN-REDD, FCPF, etc). With the R-PP approved in March 2011, the government's lead institution on REDD, the Ministry of the Environment (MINAM) is working towards a definitive national strategy. REDD is receiving growing attention within environmental and development organizations. Civil society organizations have formed a REDD-roundtable and an Indigenous REDD group was recently formed. Unlike in many other countries, MINAM has maintained a dialogue with civil society through these groups. Whilst environmental groups and newsletters discuss REDD+ extensively, an analysis of media discourses on REDD in national level newspapers found only 29 articles that addressed the subject, 76% of which focused on international events. While a small group of stakeholders are involved extensively in building the national REDD strategy, holding capacity-building workshops on REDD themes, and implementing REDD projects on the ground, these efforts are not appearing in the national press.

Whilst MINAM is making progress towards REDD readiness, a number of recent national government decisions are likely to limit REDD success whilst others may have mixed effects. Of uncertain final consequences, forest governance in Peru is currently undergoing a decentralization process whereby regional governments will be responsible for forest governance. Whilst increasing local control has been successful in some countries, the variability of current local capacity (financial and human) could compromise successful implementation of REDD. At the same time, a new forest law was passed. The norms and regulations are currently under construction, providing opportunities to clarify carbon rights and other forest governance conflicts which are of relevance to REDD. Whilst some government initiatives are supporting REDD, others support deforestation. For example, investment in construction of roads and hydroelectric dams can have significant implications for deforestation and degradation. Whilst the government invests in REDD, it simultaneously promoted agricultural and cattle production. In addition, mining receives support from some government institutions whilst other like MINAM push to limit its reach and control illegal mining which is widespread in some parts of the Peruvian Amazon. As such, Peru is currently faced with inter-sectorial inconsistencies which make a holistic national REDD strategy difficult to define.

“Institutional embeddedness of information sharing on REDD+: a case from Indonesia”

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Abstract:

With the first emergence of a proposal to reduce emissions through avoided deforestation at the global climate negotiations in Montreal in 2005, Indonesia is heavily engaged in preparing a national architecture for REDD+. At the national level, a multitude of actors with their individual interests negotiate the options for REDD+ and decide over the REDD+ mechanism for the country. Information, financial incentives and institutions can be considered as the main elements for such a national architecture of REDD. One part of REDD+ information is supposed to be gathered and processed through a national MRV system and translated by a payment authority according to established principles into financial transactions. But information is

required not only along vertical reporting linkages but also horizontally for better coordination and policy making at national level. Nodes in such an information network need to be identified (e.g. who are the sources and users of information, who are the brokers, who associates with whom).

This paper will focus on information flows among policy actors involved in shaping and implementing REDD+, and explore how the REDD+ information network can contribute to more effective and efficient policy making. A key question concerns the paradox of a busy flow of information involving numerous actors but the lack of useful information necessary to build practical knowledge on REDD. In an attempt to understand this, we focus on the networks of actors exchanging information on REDD. We use data from a policy network analysis that was obtained during 2011 in 64 interviews with representatives from a broad range of organizations formally or informally involved in REDD. Based on previous studies (a context analysis and media based discourse analysis in the framework of CIFOR's global comparative study on REDD+ in Indonesia) and an expert panel, we defined the boundaries of the REDD policy arena. We then conducted a network survey and in-depth interviews with the identified actors, and analyzed the patterns of information exchange, as well as coalition building using social network analysis.

Results seem to support the idea that information exchange is embedded in broader social and political processes that shape what information is transferred to whom and who seeks information

“Knowledge and brokerage in REDD+ policymaking: evidence from Tanzania”

Salla Rantala (*Sustainability Science Program, Harvard Kennedy School*)

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Abstract:

As various countries are preparing their national REDD+ strategies, balancing different types of knowledge and interests for legitimate and effective policy outputs has become a primary, pressing challenge. Knowledge and discourses on REDD+ are deliberated in political bargaining processes between various actors involved in the policy domain that differ in their resources and capacity to influence outcomes. Using Tanzania as a country case, this study assesses the relative influence of deliberation and knowledge brokerage on the dynamics of the REDD+ policy process and its outputs vis-à-vis entrenched power relations between the involved policy actors. It is hypothesized that the more public and politicized the policy process, the less the discursive dimension may be ignored and the more there is to gain for discourse coalitions with wide bases of legitimacy among policy actors with varying power resources.

A structured survey and semi-structured in-depth interviews were carried out with sixty-four organizational actors involved in the Tanzanian REDD+ domain between March and September 2011. Social Network Analysis techniques were applied to analyze the quantitative survey data, complemented by a qualitative content analysis of the actors' stances and strategies related to the national REDD+ policy. The results support the proposed hypothesis. Through sustained public efforts, actors engaged in so-called protest events parallel to the formal government-led process have influenced the course of the policy process and to an extent, policy content. Successful coalitions include brokers that occupy strategic positions in networks of information and resources, and have the capacity to enhance information flow and promote closure of REDD+ discourse on the appropriate policy proposals. Brokers that are characterized by discourses based on legitimized knowledge and ties to central policy actors have the greatest potential to enhance the efficiency and legitimacy of the policy process and outcomes.

Monday, June 18, 2012

Pancetti Room

3:15 – 4:45

National strategies for reducing emissions from avoided deforestation and degradation – how much transformational change is possible in current political and economic realities? - II

Part II – A policy network perspective:

Session Chair: Monica Di Gregorio

“A comparative analysis of national REDD+ policy networks: Identifying political constraints to effective policies”

Maria Brockhaus¹, Monica Di Gregorio^{1,2} et al.

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Abstract:

Reducing emissions from deforestation and forest degradation (REDD+) was for the first time proposed in 2005 during the COP 11 in Montreal. The main idea of the scheme is to provide positive financial incentives to countries to reduce emissions through avoided deforestation and forest degradation. A number of countries are now negotiating and designing national REDD+ mechanisms and policies.

The paper uses a comparative policy network approach that investigates and compares inter-organizational linkages among actors in the REDD+ policy domain in 6 different countries. It aims at answering the following questions: Which policy network structures and which constellation of interests and coalitions are most suited to formulate effective policies for REDD+ and why? How do power relations affect the development of REDD+ policies? The results from the comparative analysis will help to devise policy recommendations on how to overcome political constraints to effective policy formulation and implementation.

The paper answers these questions by identifying and comparing three features of networks that characterize the power relations in the REDD+ policy domain: i) the different types of network structure, ii) the most influential actors and iii) the central coalitions in the policy domain.

The paper first compares the overall network structures of different countries and categorizes the networks in different typologies to later test how different network types fare against policy outcomes. For example, very exclusive policy domains are formed by tightly-knit policy communities which include a small group of government actors, while other actors remain peripheral to the network. While such a policy domain might be

very effective at taking authoritative decisions, it also marginalizes demands from other actors. More inclusive policy networks are more open to new-entrants and maintain linkages with a disparity of actors, but policy decisions might be difficult to take if processes to reach agreements are weak. Fragmented networks might indicate serious coordination problems, while polarized networks might reveal strong areas of contestation and the risk of stalling in policy decisions. Finally, more unified networks are likely to be more effective and fast in making decisions.

Second, the paper maps and compares the most influential policy actors in different countries and assesses the extent to which these actors are likely to push for policies that effectively address the main drivers of deforestation. The ability to implement effective policies depends on the support of influential policy actors for tackling these drivers and on the autonomy of the state vis-à-vis key interests that are behind these drivers.

But more often it is not single policy actors but coalition of like-minded actors working together that are most influential in policy decisions. The paper thus compares also the type of cohesive sub-groups in the different policy networks.

The paper then explores the links between network structures, constellations of influential actors and coalitions and countries' REDD+ policy outputs, which are assessed against a set of criteria derived from the literature. The most important criteria are the degree to which drivers of deforestation are effectively addressed and consequently the extent to which REDD+ policies will lead to emission reductions. Other assessment criteria refer the cost-efficiency of policies instruments and equity outcomes. We discuss our findings in the context of characteristics of the political system that are indicated as affecting implementation of policies including amongst others governance conditions, government capacity, and cross-sectoral coordination, degree of participation in policy formulation and implementation.

We conclude by presenting some of the major constraints as well as opportunities associated with certain typologies of networks and network features and derive policy recommendations on ways to overcome such political constraints.

“Impact of Political affiliation on national REDD+ policy: A case study from Vietnam”

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Abstract:

REDD+ (reduced emissions from deforestation and forest degradation) has recently captured the interest of policy makers, researchers, and local community due to its dual potential in climate change mitigation and pro-poor outcomes. While there is considerable debate on how to incorporate REDD in the global climate change regime, national level policy frameworks in developing countries have only recently become the subject of research. REDD+ national strategies differ from country to country and are strongly influenced by the interplay between interests of key policy actors and national development objectives.

Using Vietnam as a case study, this paper analyses the role of political coalitions on national REDD+ policy development and outcomes. Policy network analysis coupled with in-depth interviews with representatives of 54 organisations (including government agencies, international and national NGOs, donors and private sector) are used to answer the following questions:

- Who are the influential actors in REDD+ in Vietnam and how do they establish their political coalitions in REDD+ both when they agree and disagree with each other?
- What are the key events that shape the national REDD+ policies and how do influential actors as well as their coalitions engage, control and influence these events?
- How do scientific information and financial exchanges affect REDD+ policy decisions?

We first map and compare groups of the most influential policy actors in the REDD policy domain in general and for each major REDD events. Then, we investigate those who supported and collaborated in these events and their reasons. To understand the existing relationship amongst these influential actors and how their affiliation have been set up, we identify their disagreements and collaborations and assess how these influence their choice in participating, supporting or countering the policy events.

Finally, to understand the motivation for the collaboration, we analyze how the financial and information exchanges amongst these actors are reflected in major REDD events overtime. We discuss the implications of the analyzed policy networks for strengths and weaknesses of the current REDD program in the context of the national political and economic context. The results of this investigation will inform policy makers on how to policy networks can support effective, efficient and equitable REDD policy design.

Government agencies and donors are dominant actors in REDD in Vietnam. However, some important actors associated with major drivers of deforestation and degradation in Vietnam are not involved in the discussion. Scientists play a minimal role, although they are expected by stakeholders to be the final resources for decision making, due to their weak technical capacity and unreliable data. Vietnam's REDD program has to address not only institutional challenges but also technical challenges. Capacity building is urgently needed. Despite different perceptions on REDD, stakeholders still exchange information and resources with each other and have collaborated in three major REDD events. Actors' level of collaboration as well as their influence and importance depend on their institutional position and the level of funding they provide.

REDD requires not only cross-sectoral but also cross-level collaboration, and failure at any level may lead to failure. To achieve this collaboration, the interests of different political groups need to be harmonized. Also, more importantly, national priorities should be well balanced; this sometimes requires a significant trade-off. What pathway Vietnam should follow greatly depends on the political consensus as well as the political vision and interests of powerful groups. However, enhancing the voice and participation of vulnerable groups (women, the poor, and indigenous people) is critically important for effective, efficient, and equitable implementation of REDD.

“REDD Policy-making in Nepal: Business as Usual or Transformational Change?”

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Abstract:

Nepal is recognized for its participatory conservation and community-based forest governance policies and programs. Since the late 1970s, its forestry sector has undergone a process of steady decentralization toward increased local autonomy over decisions about forest management and use vested in community-based institutions, and a gradual shift toward a more inclusive and polycentric national policy-making process involving multiple actors. In recent years, however, government officials and forestry bureaucrats have attempted to restrict the autonomy of forest communities and capture more economic value from forests, through numerous legislative proposals, directives and discretionary measures. At the same time, the government, international NGOs, donors and civil society organizations have embraced an emerging international market-based mechanisms for climate change mitigation known as “reducing emissions from deforestation and forest degradation in developing countries” (REDD), and are currently engaged in related policy-formulation and piloting processes.

The government and other actors see REDD as a means of bolstering forest conservation efforts and enhancing rural livelihoods. However, its broader implications for the fate of decentralized, polycentric forest governance in Nepal and elsewhere remain uncertain and contested. Proponents of REDD have pinned their hopes on its potential to promote transformational change by injecting forest governance with renewed vigor, transparency and accountability. In addition to its financial benefits, they feel it could provide an opportunity to further strengthen effective institutions of decentralized forest governance. Critics, however, argue that global carbon-trading regimes like REDD could contribute to a re-centralization of forest governance, eroding local autonomy and resource rights.

Drawing on the concepts and tools of social network analysis, we study the linkages, disconnects and discourses among and within different actor coalitions engaged in Nepal’s REDD policy process, based on a survey of 34 organizations from government, civil society, international NGOs and donors, and the private sector conducted between June and December 2011. By pairing this ‘policy network analysis’ with narrative analysis from qualitative interviews and popular media sources, we examine the evidence for a recentralization of forest governance in Nepal, and the implications for key aspects and institutions of forest governance.

We hypothesize that REDD is simultaneously serving as a vehicle for reinforcing the centralizing tendencies of the state and facilitating the domination of the policy process by powerful coalitions of select government, donor/INGO and civil society actors, while marginalizing the voice and role of other important stakeholders. Simultaneously, we postulate that new nodes and modes of collaboration are emerging, with the potential to transform the existing institutions of forest governance. We interrogate these hypotheses via the following questions:

1. Which actors and coalitions dominate the policy process in terms of perceived influence, collaboration, and exchange of information and resources?
2. How inclusive is the REDD policy process (network) of important stakeholders outside of the mainstream forestry sector (i.e., other sectors and peripheral actors)? Which stakeholders have been marginalized or excluded from the process and how?
3. How centralized or cohesive (i.e., closed) is the policy network as a whole, and what does this bode for further REDD policy development and implementation?
4. To what extent and how are different groups of actors collaborating with each other in terms of sharing information and resources? Has the REDD policy process enhanced coordination and collaboration, or created new alliances among or within these groups? What specific evidence is there for this?

By addressing these questions, this paper examines whether the current process of REDD policy formation—and the specific configurations of actors involved—will reinforce existing centralized modes and institutions of forest governance or, alternatively, forge more cohesive, cooperative institutions capable of producing effective, cost-efficient and equitable outcomes for REDD. Preliminary results of this ongoing collaborative research with CIFOR suggest that the exchange of information and resources related to REDD in Nepal is controlled by a few international and national NGOs implementing pilot projects, whereas a small number of

government organizations are most influential in terms of shaping specific policies. Similarly, REDD discourses and policies have been influenced by interactions among a few key actors in the government, donor/INGO and civil society sectors. We discuss the implications of these findings for the successful implementation of REDD policies and programs, and conclude with some recommendations for specific measures that could help counter recentralizing tendencies and reinforce more decentralized, polycentric modes of forest governance in Nepal.

“Networks, actors and power: A case study of REDD+ in Brazil”

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Abstract:

Reducing Emissions from Deforestation and Degradation (REDD+) has emerged as a new strategy to climate change mitigation. It was proposed by a coalition from tropical developing countries as a way of having their role in the reduction of greenhouse gas (GHG) emissions and being important actors in the post-Kyoto period (post-2012). Brazil, as it is the largest global emitter of GHG resulted from deforestation and forest degradation, is one of the leading countries in designing and implementing a REDD+ scheme. .

Using Social Network Analysis, this paper analyses the political process with its multitude of actors involved, their political positions and relations, and the coalition building around key events in the domestic REDD policy design. The study is based on data collected during 2010-11 in in-depth interviews and a survey tool with 64 organizational actors in the Brazilian REDD+ policy arena. We measured centrality, cohesion, and other network level indicators for their networks of information, influence, financial and political support. Combining these measures with actor based indicators (for example In-degree) allows us to identify powerful actors that shape the outcomes of the REDD policy process in Brazil. In addition, we analyzed agreement and disagreement about REDD-related political statements, and negotiation behaviour for specific REDD+ decisions to identify discourse coalitions. This comprehensive analysis allows us to identify obstacles but also brokers and bridges in the REDD+ policy arena to progress towards an effective, efficient, and equitable REDD+ in Brazil

In Brazil much focus in the public has been on the scientific and technical aspects of a REDD mechanism, but less on policy-making and implementation. Reluctance with regard to decision making on REDD can be related to the diverse number of actors being skeptical about the fairness in the international distribution of environmental costs and benefits. However, there is a firm agreement on the potential effectiveness of REDD. We conclude the analysis drawing on diverse aspects regarding the relationship of these organizations and their degree of influence on REDD+ issues and show different implications that may arise from these networks in the Brazilian context. First of all, REDD issues mobilized the policy actors in the sense that it resulted in the foundation and institutional reorientation of certain important organizations. In general, the REDD agenda is rather polarized as organizational positions on many issues are polarized, such as on the potential of REDD in exacerbating existing socio economic conflicts. However, policy disagreements and oppositions are not concentrated on certain individual organizations, but rather spreaded out. On the other hand, there are also rough but important positional consensus such as on accepting the offset market mechanism for REDD as well as on the concern with REDD in assuring the fairness in the international distribution of environmental costs and benefits. While collaboration between organizations are common, a few organizations, such as Ministry of

Environment (MMA) and Amazon Environmental Research Institute (IPAM), stood out as more crucial than others in formulating and/or influencing the formulation of a REDD regime in Brazil. As a result, this study reveals the dynamics of policy networking at a very crucial moment of REDD in Brazil. It may timely inform the domestic and international policymakers in moving forward with REDD, and also contribute with a new ongoing case to the policy/political study of the environmental sector in Brazil in general.

“REDD+ in the Cameroon policy arena: Perceptions, power and politics”

Félicien Kengoum Djiégni (*Center for International Forestry Research (CIFOR)* - f.kengoum@cgiar.org)

Abstract:

Cameroon is still in the preparatory phase for REDD + and is in the drafting stage of the R-PP. National coordination has not been set up and a national policy not yet clearly defined. At this stage, a number of actors in the arena are trying to influence the process of designing a national architecture of REDD+. Mostly, actors do not negotiate independently, but try to influence outcomes of policy processes by building coalitions inside complex policy network structures.

Between April and November 2011, we investigated these policy networks in the emerging Cameroonian REDD+ arena. Based on an expert panel process we identified a total set of 64 actors and 5 of key policy events. With 42 of these actors we conducted a survey and in 28 cases also in-depth interviews to deeper understand their involvement in the identified policy events and their networks of influence, information and finance exchange, as well as their cooperative and possible adversary behavior. We analyzed the data by using UCINET, social network analysis software. The objective was to provide answers to the following questions: Who are the most influential actors and groups of actors in the Cameroon context and are these influential actors the key one of the forest sector? How do resources flows shape the configuration of the REDD+ arena in Cameroon? What are the perceptions of these influential networks of the key REDD+ related events in the country?

Our preliminary results show that the context of REDD+ in Cameroon has a large range of actors from all categories. International organizations, donors and governmental actors are the central actors in the arena, in terms of technical and scientific information for the first, financial resources for the second and political power for the latest. Organizations from civil society are most isolate and pendant in the network and there is a limited connection amongst them. Very few brokers make the junction with influent actors. Despite the fact that they are identified as important by the other actors, business organizations are mostly absent and seem neither to integrate debates nor to exchange resources yet. Participation wise, the different groups of actors have very relative interest to the political REDD+ related events and the few is their satisfaction of the outcomes from these events.

It seems that in Cameroon, despite the large range of organizations, the policy making around REDD+ is run by a limited number of actors, and international agencies are key players. Inside the governmental group the coordination role is not yet obvious. Given that earlier experiences with externally driven reform processes in Cameroon have shown very limited results in implementation, further efforts to achieve national ownership and to encourage broader participation across sectors and actor groups seem to be necessary to achieve actual change in Cameroon's forest and REDD+ arena.

Monday, June 18, 2012
Salvador Dali Room
1:30 – 3:00

ROUND-TABLE:

The Brazilian Forest Code and payments for environmental services

Chair: Virgilio Viana (*CEO, Fundação Amazonas Sustentável-FAS*)

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Panelists:

Carlos Eduardo F. Young (*Universidade Federal do Rio de Janeiro, UFRJ*) - young@ie.ufrj.br

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